



KAISER PERMANENTE®
Primary Care Provider
Medical Record Audit Tool

Reviewer: _____

Review Date: _____

Provider: _____

Location : _____

Identifier : _____

Completed by Provider Services Consultant:

	Question	Yes or No	Comments
1.	Do all pages contain patient ID?		
2.	Is there biographical/personal data?		
3.	Is the provider identified on each entry?		
4.	Are all entries dated?		
5.	Is the record legible?		
6.	Is there documentation of the following for members 14 years and older and seen 3 or more times:		
	• Tobacco habits		
	• Alcohol use		
	• Substance abuse		
7.	If medical record indicates patient uses tobacco, is there documentation of advice to quit during the previous year?		
8.	Does the practice use an electronic medical		

	record to the exclusion of paper records?		
9.	Are the records well-organized?		
10.	Are the records easily retrievable?		
11.	Are the records stored in a secure manner?		
12.	Is access to records restricted to only authorized personnel?		
13.	Does staff receive periodic training on protected health information and confidentiality of records?		
General Comments:			

Kaiser Permanente follows CMS guidelines regarding medical record documentation. If the answer to any of the questions in this audit is "No," the Provider Services Consultant will bring the issue to the attention of Contracting and the Medical Director for determination as to whether the issue may be addressed during the contracting process or whether to decline to contract with the provider.



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- Scoring Criteria:
- 1 – Care as documented appears to be below acceptable standards
 - 2 – Care as documented meets minimal acceptable standards but improvement is needed
 - 3 – Care as documented meets standards
 - 4 – Care as documented exceeds standards
 - 5 – Care as documented is exemplary and worthy of recognition

Completed by Medical Director:

	Question	Response (Circle the correct Response)	Patient Specific Comments
1.	Is there a completed problem list including physicals and an acknowledgement of pertinent past history?	Yes No	
2.	Is there a current medication profile including current medication list, allergies, and adverse reactions?	Yes No	
3.	Is there evidence that working diagnoses demonstrate aligned clinical findings, appropriate lab/imaging and treatment plans?	Yes No	
4.	Is there evidence that chronic care needs are identified and integrated into each encounter as appropriate?	Yes No	
5.	When consultants are used, is there evidence of ongoing active participation and coordination of care by primary care physician?	Yes No N/A	
6.	Are age-appropriate immunization records	Yes No	

	Question	Response (Circle the correct Response)	Patient Specific Comments
	present?		
7.	Are age-appropriate health maintenance needs met?	Yes No	
8.	Are clinical findings and evaluations for each visit included in the medical record?	Yes No	
9.	Is the documented care medically appropriate?	Yes No	
General Comments:			

Overall appropriateness of documented care is subject to the discretion of the Medical Director. Kaiser Permanente follows CMS guidelines regarding medical record documentation. If the answer to any of the questions in this audit is less than a "3" or a "No," the Medical Director will make a determination as to whether the issue may be addressed during the contracting process via a Corrective Action Plan or whether to decline to contract or terminate the contract with the provider.