

Ryan White Title I Dental Record Review 2002

**Prepared for the Miami-Dade County
Office of Management and Budget
Ryan White Title I Program**

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2002 Ryan White Title I Dental Care Record Review

Report of Findings

July, 2002

Introduction

The federal administering agency for Ryan White, the Health Resources and Services Administration (HRSA), has increased its emphasis on the measurement and assurance of quality services. HRSA also expects that clients will be able to receive care of equal quality and appropriateness, regardless of where it is received, with zero disparities and equal access. HRSA has announced new requirements for Title I programs to develop, implement and monitor quality management programs.

This document describes the first attempt to assess the dental care services rendered by Title I providers. The dental care chart review is the fourth step in the development of a quality assessment and improvement program for the Ryan White Title I program; the first was medical care record reviews, the second the initiation of case management chart reviews, and the third the review of psychosocial counseling.

In Miami-Dade County the Ryan White Title I program of care and treatment for people living with HIV/AIDS provides dental care to more than 1,500 clients, 74 percent of whom are male. The Hispanic population counts for 50 percent of HIV/AIDS cases receiving dental care while Blacks, Whites, and Haitians are 28 percent, 12 percent, and 8 percent respectively. More than 80 percent of the dental care services were provided to people 49 years old or less.

The HIV/AIDS population has been receiving dental care from seven dental care providers: Community Health of South Dade, Economic Opportunity Family Health Center, PHT/North Dade Health Center, PHT/PET Center, PHT/SFAN, Rafael B. Alfonso, and Miami Beach Community Health Center.

The Review Process

In order to accomplish a request from the Miami-Dade HIV/AIDS Partnership regarding the assessment of dental care the following steps were taken:

- ✍ The Office of Management and Budget (OMB) sent a letter to providers informing them of the review and asking for their cooperation.
- ✍ Following the general provider notification, the reviewers contacted providers by telephone to arrange for the visit and review. Every effort was made to accommodate provider schedules.
- ✍ The reviewer sent the list of clients to be reviewed to the providers prior to the review.
- ✍ The review was conducted on site.
- ✍ The instrument was used uniformly at all providers.

- ✍ The record evaluation covered the time period from the client's initial intake to the most current visit.

The reviews were designed to record documented information, assess the quality of care being rendered and to provide teaching for quality improvement as needed.

Dental hygienist professional reviewers were selected to participate in the study. The reviews took place during March and April, 2002. The data collected was recorded on scannable forms and this information was scanned into a database programmed for scoring and reporting.

The Chart Review Instrument

The 2002 review instrument was developed by The Partnership's Medical Care Subcommittee, Medical Quality Review, Inc., and Williams, Stern & Associates staff, using as guides:

- ✍ The Ryan White Title I Standards of Care
- ✍ State of Florida Department of Health Dental Care Standards
- ✍ Interviews with dental care providers on accepted practices.

The instrument was sent to all Ryan White Title I dental care providers for their review. The providers were asked to provide feedback and comments.

The instrument contained sections on:

- ✍ Client Intake
- ✍ Medical History
- ✍ Treatment/Service Plans
- ✍ Referral
- ✍ Client Education

Providers Reviewed

Dental care records were reviewed at seven provider locations: Community Health of South Dade, Economic Opportunity Family Health Center, PHT/North Dade Health Center, PHT/PET Center, PHT/SFAN, Rafael B. Alfonso, and Miami Beach Community Health Center.

Sample selection

Table 1 shows the number of records reviewed for each provider compared with the number of Ryan White clients they served. The review sample was selected from a pool of 3,965 clients who had received dental care services reported in the Ryan White Title I Service Delivery Information System (SDIS) in Year 10 or Year 11. (Not all of Year 11 data was available at the time of review).

Table 1. Review Sample and Title I Dental Clients by Provider				
	Record Review Sample		Year 11 Dental Care	
	Number	Percent	Number	Percent
Community Health of South Dade	20	9.8%	235	5.9%
Economic Opportunity Family Health Center	20	9.8%	199	5.0%
PHT/North Dade Health Center	20	9.8%	248	6.3%
PHT/PET Center	35	17.1%	674	17.0%
PHT/SFAN	40	19.5%	1,315	33.2%
Rafael B. Alfonso	35	17.1%	677	17.1%
Miami Beach Community Health Center	35	17.1%	617	15.6%
Total	205	100%	3,965	100%

A random sample was selected for the dental care record review. The number of records reviewed at each provider ranged from 20 to 40 with an over-sampling of small providers and under-sampling of the larger ones. After the number of records to be reviewed at each provider was determined, clients were randomly selected. Williams, Stern & Associates provided the reviewers with lists of identification numbers for clients to be reviewed at each provider. Additional identification numbers were provided at the time of the review to replace those for records that were unavailable for review.

One-sample Chi-square tests were used to test for differences between the observed frequencies in the sample and the expected frequencies based on the population distribution by providers. There were significant differences between the review sample and the Ryan White Title I dental clients because the sampling procedure which was used was selected to sample an adequate number of records from each provider. The final sample size was 205 or 5 percent of the total. This is a relatively small sample, but was thus selected due to the “pilot study” nature of this review. A sample of 205 is accurate within plus or minus 6.7 percentage points with 95 percent confidence.

Characteristics of the Sample Population

Table 2 compares the review sample with the Ryan White Title I population receiving dental care, the Ryan White Title I population as a whole, and the prevalence of HIV/AIDS in Miami-Dade County (not all columns sum to the total cases because of missing or incomplete data).

One-sample Chi-square tests were used to test for differences. There were no significant differences between the review sample and the Ryan White Title I dental clients in terms of race/ethnicity and age groups. However, the sample selected for review over-represents females.

Table 2. Demographic Characteristics of Ryan White Title I Dental Care Clients

Category	Sample		Ryan White Dental		Ryan White Overall		Estimated Living with HIV/AIDS	
	N	%	n	%	n	%	n	%
Total Cases	205	100%	2,567	100%	11,009	100%	21,905	100%

Race/Ethnicity

Black (non-Hispanic)	70	34%	715	28%	4,260	39%	12,057	55%
Haitian	11	5%	213	8%	1,087	10%		
Hispanic	91	44%	1283	50%	4,024	37%	6,328	29%
White (non-Hispanic)	27	13%	318	12%	1,415	13%	3,490	16%
Other/Unknown	2	1%	36	1%	223	2%	40	0%

Sex

Male	136	67%	1,889	74%	7,452	68%	15,120	69%
Female	66	33%	669	26%	3,516	32%	6,785	31%

Age

0-5 years	0	0%	2	0%	294	3%	337	2%
6-12 years	0	0%	29	1%	205	2%		
13-19 years	1	0%	14	1%	149	1%		
20-24 years	14	7%	166	6%	314	3%	21,568	98%
25-29 years					680	6%		
30-39 years	74	36%	937	37%	3,718	34%		
40-49 years	76	37%	970	38%	3,787	34%		
50 years or older	37	18%	441	17%	1,352	12%		

HIV Status

HIV+ Asymptomatic	72	35%	743	29%	3,839	35%	10,974	50%
HIV+ Symptomatic	23	11%	247	10%	1,167	11%		
AIDS	107	52%	1566	61%	5,875	54%	10,931	50%

Notes:

All numbers do not sum to the total because of missing data and/or rounding errors.

Estimated "Living with HIV" is an 18 percent increase of HRSA's estimate for the previous year.

Sources: Miami-Dade County Health Department, Florida Department of Health, CDC, and Ryan White Title I Service Delivery Information System.

General Findings

Scoring of the Questions

Table 3 shows a question by question breakdown of review items for all Ryan White Title I dental care providers combined. Tabular results for individual providers are also attached.

Not all questions are applicable to all clients. We used several numbers, depending on the question. These are the definitions:

Number in Sample is the number of client records reviewed.

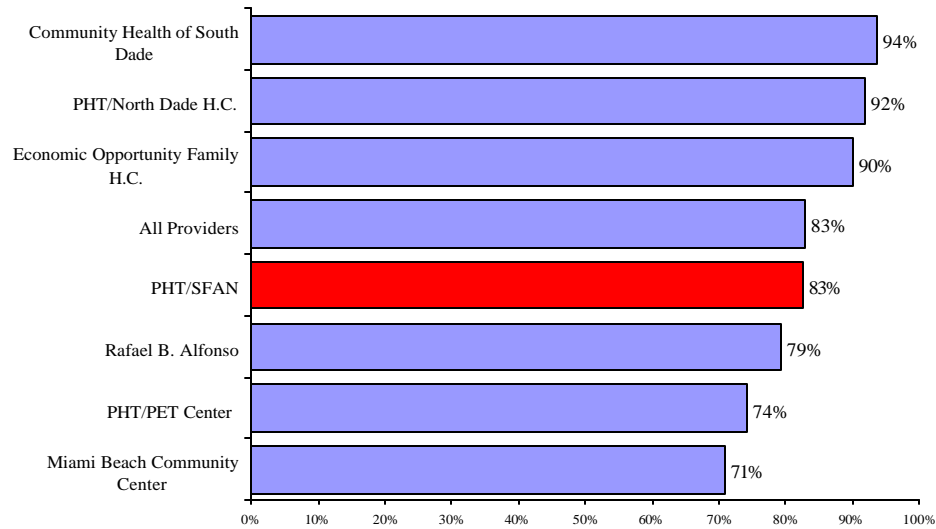
- ✍ **Applicable Cases** is the number of persons to whom the question applies. For example, the question, “Evidence of coordination of care between the specialty dental provider and the primary care dental provider?” refers only to those who had been referred to a dental specialist. In this case, the applicable number of cases is not 205; the total number of records reviewed, but rather 58, those who had been referred to a specialist.
- ✍ **Yes** is the number of positive responses to a question. In the example above, 54.
- ✍ **Percent** is the percentage of applicable cases for whom the answer to the question was “Yes”. For example, the question, “Evidence of coordination of care between the specialty dental provider and the primary care dental provider?” this is 54 out of 58 or 93 percent.

When interpreting the findings, it is important to remember that when the number of applicable cases is small, one or two cases will have a large effect on the percentage. If there are no applicable cases, the percent cell is blank.

Findings:

- ✍ The Dental Care Services Review showed in general a notable 83 percent of compliance.
- ✍ The lower percentages of compliance were related to “Client Education” and the “Client Intake” 76 percent and 44 percent respectively.
- ✍ “Medical History”, “Treatment/Service Plan”, and “Referral” had a percent of compliance around 90 percent or more.
- ✍ There was not a significant overall score difference by gender ($F = 3.5, p > 0.05$).
- ✍ There were significant differences among providers regarding all categories except for “Referrals”.
- ✍ Providers showed significant differences for the overall compliance ($F = 26.2, p < 0.001$). The range of scores showed a high of 94 percent and a low of 71 percent.
- ✍ All of providers provide a high level of standard dental documentation. There are provider differences on individual oral exam questions. In addition, while some providers consistently maintain client intake and eligibility documentation, others do not.

Overall Score by Provider



Recommendations:

- ✍ This was an initial review of basic documentation activities. It did not encompass the appropriateness of care. Such a review would have to be conducted by dentists themselves. In the future the Partnership may wish to consider such a review, possibly through a records exchange among providers, or through the Florida peer review organization.
- ✍ Providers should periodically conduct self-reviews and make sure records are up to date and complete.
- ✍ Providers should pay more attention to the patient education documentation and to the evidence of financial eligibility in the client's file.
- ✍ Providers may want to contact others who had higher scores for assistance, particularly with documentation and client education.
- ✍ A new dental care review should be designed and executed in the near future for those providers with the lowest percent of compliance.
- ✍ The Dental Panel should resume its quarterly meetings.

HIV/AIDS Dental Care Services Review

Miami-Dade County Ryan White Title I

All Providers. 2002

Client Intake	Number in Sample	Applicable Cases	Number "Yes"	Percent in Compliance
1. Proof of client's HIV status or a current Ryan White Certified Referral.	205	205	140	68%
2. Evidence of financial eligibility in the client's file or a current Ryan White Certified Referral	205	205	139	68%
3. A signed and dated Consent to Release and Exchange Information in the SDIS	205	205	150	73%
4. Socio-demographic data includes at least address, phone number, emergency information age, race\ethnicity and gender	205	205	166	81%
5. Informed consent for treatment signed?	205	205	180	88%
<i>Client Intake Subtotal</i>				76%
Medical History	Number in Sample	Applicable Cases	Number "Yes"	Percent in Compliance
6. A comprehensive medical history that includes medications and conditions that may affect the diagnosis and management of oral health	205	205	202	99%
7. The medical history is signed and dated by the patient and dentist	205	205	88	43%
8. Medical conditions or medications requiring an alert are flagged: any condition that may affect dental treatment is noted	205	205	203	99%
9. The medical history is updated every six months or at the next appointment after six months and any change is noted	205	174	173	99%
10. Allergies or NKA are prominently noted	205	205	202	99%
10a. A dental history is taken that includes: Problems with or reactions to anesthesia	205	205	185	90%
10b. A dental history is taken that includes: Specific or chief complaint(s);	205	205	205	100%
10c. A dental history is taken that includes: Problems with previous treatment	205	205	185	90%
<i>Medical History Subtotal</i>				90%
Treatment/Service Plan	Number in Sample	Applicable Cases	Number "Yes"	Percent in Compliance
11. There is a treatment plan	205	205	183	89%
12. All progress noted are legible, dated and signed by the provider	205	205	205	100%
13a. Documentation of services rendered contains, at a minimum, the following: Date of service	205	205	205	100%
13b. Documentation of services rendered contains, at a minimum, the following: Tooth number;	205	191	191	100%
13c. Documentation of services rendered contains, at a minimum, the following: Description of the service;	205	205	205	100%
13d. Documentation of services rendered contains, at a minimum, the following: Anesthetic used, including strength and quantity;	205	166	163	98%
13e. Documentation of services rendered contains, at a minimum, the following: Materials used;	205	198	198	100%

13f. Documentation of services rendered contains, at a minimum, the following: Prescriptions or medications dispensed including name of drug; quantity and dosage	205	112	110	98%
14a. There is an initial comprehensive oral exam that includes: Cavity charting;	205	205	190	93%
14b. There is an initial comprehensive oral exam that includes: Complete periodontal exam or periodontal screening record;	205	205	61	30%
14c. There is an initial comprehensive oral exam that includes: Documentation of restorations and prosthesis;	205	205	197	96%
14d. There is an initial comprehensive oral exam that includes: Full mouth radiographs;	205	205	147	72%
14e. There is an initial comprehensive oral exam that includes: Pre-existent condition(s);	205	205	192	94%
14f. There is an initial comprehensive oral exam that includes: Disease presence;	205	205	166	81%
14g. There is an initial comprehensive oral exam that includes: Structural anomalies	205	205	87	42%
15. Charting of the examination findings/treatment is completed in the appropriate tooth grids.	205	205	193	94%
16. There is an informed consent prior to any/all new oral surgery procedures that includes the risks, benefits, alternatives and the consequences of not having procedure.	205	42	35	83%
17. Reason for client refusal of radiographs/treatment is documented	205	4	4	100%
18. Reason for dentist's refusal to perform a requested treatment is documented	205	2	2	100%
19. Treatment plan including periodontal maintenance is reviewed every six months	205	138	131	95%
20. Treatment provided for oral opportunistic infection is coordinated with the client's PCP	205	123	123	100%
<i>Treatment/Service Plan Subtotal</i>				87%
Referral	Number in Sample	Applicable Cases	Number "Yes"	Percent in Compliance
21. Documentation of reason for referral to a specialty or ancillary service provider	205	57	57	100%
22. Evidence of coordination of care between the specialty dental provider and the primary care dental provider	205	58	54	93%
<i>Referral Subtotal</i>				97%
Client Education	Number in Sample	Applicable Cases	Number "Yes"	Percent in Compliance
23. Evidence of education in preventive oral health practices including hygiene	205	205	169	82%
24. Counseling is provided concerning tobacco use and other behaviors that may compromise oral health	205	205	11	5%
<i>Client Education Subtotal</i>				44%
Total		6595	5497	83%