



RECORD REQUIREMENTS

Policy Category	ECS Records	Policy Number	5.01
Date Issued	5/19/2015	Supersedes	NA
Date Revised	3/17/2020		

INTRODUCTION

It is the policy of Solari to maintain an Electronic Health Record (EHR) to document each SMI Eligibility Determination made, as well as any appeals received.

PROCEDURES

1. SMI ELIGIBILITY DETERMINATION

- 1.1. SMI Eligibility Determination Coordinators will create an EHR entry for each request for SMI Eligibility Determination received.
- 1.2. The EHR for each request for SMI Eligibility Determination must contain the following information:
 - 1.2.1. The SMI Assessment Packet and all supporting documentation reviewed to make a SMI Eligibility Determination.
 - 1.2.2. Any consent or Release of Information (ROI) forms.
 - 1.2.3. The following demographic information:
 - 1.2.3.1. Name;
 - 1.2.3.2. Date of birth;
 - 1.2.3.3. Social security number, if provided;
 - 1.2.3.4. AHCCCS number, if applicable;
 - 1.2.3.5. MPI identification number.
 - 1.2.4. The following information about the SMI Eligibility Determination request:
 - 1.2.4.1. Referral date;
 - 1.2.4.2. Referral source;
 - 1.2.4.3. Pended status (20 or 90 day);
 - 1.2.4.4. Pended status date;
 - 1.2.4.5. Reason for pended status;
 - 1.2.4.6. SMI Eligibility Determination finding (SMI or N-SMI);
 - 1.2.4.7. Reason for non-SMI Eligibility determination, if applicable;
 - 1.2.4.8. SMI Eligibility Determination/Review decision date;

- 1.2.4.9. ICD-10 Code Diagnoses;
- 1.2.4.10. Name and title of the person who conducted the evaluation;
- 1.2.4.11. Name and title of the person who rendered the SMI Eligibility decision;
- 1.2.4.12. Indication if the person meets SMI-A or SMI-B criteria;
- 1.2.4.13. If an extension is required, date of request and end of extension;
- 1.2.4.14. All notices provided to the individual;
- 1.2.4.15. Case notes.

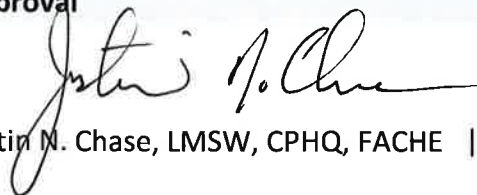
2. GRIEVANCE SYSTEM

- 2.1. All appeal information will be documented in the EHR in the individual's SMI Eligibility Determination record by the Grievance Specialist or Grievance Specialist Supervisor.
- 2.2. Each record will include the following information for any appeals received:
 - 2.2.1. Name of individual filing appeal;
 - 2.2.2. Date appeal received;
 - 2.2.3. If appeal was received verbally or in writing;
 - 2.2.4. Date of scheduled Informal Conference;
 - 2.2.5. Case note about Informal Conference include attendees;
 - 2.2.6. Outcome of the Informal Conference.

3. RECORD RETENTION

- 3.1. All records and information related to making an SMI Eligibility Determination will be maintained for a period of six (6) years from the date of the last service entered in the EHR.
- 3.2. Appeal records and information will be maintained for a period of five (5) years after the date of final disposition and resolution.

Approval



Justin N. Chase, LMSW, CPHQ, FACHE | President and CEO

Date

3/12/21