



**THE FLORIDA CENTER**  
FOR CHILD AND FAMILY DEVELOPMENT

<b>Title/Subject: Utilization &amp; Record Review Procedure</b>			
<b>Policy #: OPS - 205</b>	<b>Page 1 of 1</b>	<b>Adoption Date:</b>	<b>Revision Date: 06/09/08</b>
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<b>Distribution Date:</b>			
<b>Authority Reference: COA G2</b>			

**PURPOSE**

Each month, every department conducts a case record review of community outreach services, education, developmental intervention, and mental health records. The record review includes a sampling of both open and closed records. Records are evaluated for the presence or absence of required documents, as well as the clarity and continuity of such documents. Qualitative review includes an evaluation of the appropriateness, necessity, and effectiveness of the services provided. The documents include, but are not limited to:

- Assessments
- Service plans
- Appropriate consents
- Progress, case notes or summaries
- Evidence of quarterly supervision
- Relevant signatures
- Service outcomes
- Aftercare plans/recommendations

**PROCEDURE**

**General**

1. Data is collected, analyzed with individual and summary data and submitted to the Continuous Quality Improvement Council (CQI) on a quarterly basis.
2. All staff will maintain confidentiality at all times. As agreed to at hire through the signing of the agency approved Confidentiality Statement.
3. At scheduled chart reviews, the department supervisor will discuss the need for client confidentiality prior to the scheduled reviews and agency consequences for non compliance.
4. The Florida Center has written procedures for case record review that ensures staff do not review cases in which they have been directly involved, and that all professional disciplines involved in the provision of services are represented in the review process.

5. All reviews will be conducted in the spirit of peer review, with recommendations framed in positive terms representative of the learning organization style.
6. Tools will be developed by the teams which record data based on measurable criteria. Record review criteria include, but are not limited to admission, referral, extended treatment or service, changes in status or level of need presented by the person served. Record/Compliance review tools will focus on contract and regulatory compliance and best practice documentation standards.
7. The sample for chart reviews will be 10% of open cases and 10% of recently closed cases, the sample drawn using random selection procedures developed by the teams' supervisor. This ensures both a concurrent and retrospective review process.
8. Review activities may be centralized or decentralized at the discretion of the teams; however the process must remain independent of established case review.

#### Utilization Review

1. Utilization review focuses on the appropriateness and effectiveness of services and the necessity and cost effectiveness of continued service to persons served.
2. Specifically during the review process, staff does not review their own records. Supervisors do not review cases where they were once assigned.
3. Specifically, mental health files are only to be reviewed by staff that has a mental health background. To validate consistency between reviewer staff, a formal tool is used to review all mental health files in order to protect confidentiality of clients with mental health issues.
4. Reviews occur at least every 30 days, as scheduled by the department supervisor. The schedule will coincide with the overall CQI calendar so that the data collected during the review is available for the appropriate committee, for submission to the CQI council on a quarterly basis.
5. Department review data will be collected by the program administrative assistant, with individual and summary data submitted to CQI as part of the agency's quality improvement process.
6. Recommendations from the teams will be finalized and forwarded to the department supervisor who reviews and establishes corrective actions at the department level.

#### Record/Compliance Review

1. Record/Compliance Review focuses on the completeness and accuracy of the documentation and compliance with contract and applicable regulation. Additionally, this review is a resource/tool to assist programs in preparing for contract monitoring.
2. Record/Compliance Review occurs at least every 30 days, as scheduled by the team's department supervisor. The schedule will coincide with the overall CQI calendar so that data collected during the review are available for the appropriate committee, for submission to CQI on a quarterly basis.
3. Record/Compliance Review data will be collected on the established agency form with individual and summary data submitted to CQI as part of the agency's quality improvement process.
4. The Record/compliance Review team will analyze the data collected and prepare initial recommendations to present to CQI.