



PROCEDURE

Title/Subject: Case Record Review			
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Approved By:		Title: President/Chief Executive Officer	
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The Florida Center for Child and Family Development (The Florida Center) reviews a sample of open and closed records and treats all cases as high-risk cases. 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 service provided. Utilization and Record/Compliance reviews occur at a minimum of every 90 days.

All records are required to be organized in a clear, consistent, and chronological manner. In addition, all staff are required to enter client data/information on daily basis to ensure timely entry into the client record.

Utilization Review focuses on:

- ✓ Appropriateness and effectiveness of services,
- ✓ Necessity and cost-effectiveness of continued service to persons served.

Record/Compliance Review focuses on:

- ✓ Completeness and accuracy of the documentation
- ✓ Compliance with contractual and applicable regulations.

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- ✓ All staff will maintain confidentiality of client information at all times, and sign the agency approved Confidentiality Statement at the time of hire.
- ✓ At scheduled Utilization Review and Record Compliance reviews, the team leader will reinforce the need for client confidentiality and agency consequences for non-compliance.
- ✓ Utilization and Record/Compliance reviews are conducted so that no person involved in the review is in a position of conflict of interest. The Florida Center makes every effort to ensure that each professional discipline involved in the provision of services is represented in the review process.
- ✓ All reviews are conducted for the purpose of improving the quality of services, identifying training needs, and verifying agency performance.

- ✓ Tools used to record data are based on measurable criteria. Utilization review tools include qualitative measures such as appropriateness of the assessment, treatment and discharge planning processes. Record/Compliance review tools focus on contract and regulatory compliance and best practice documentation standards.
- ✓ The sample for Utilization Review and Record Review will be open cases and cases closed within the last 90 days. The sample will be drawn using standard random selection procedures. Review of open and closed cases ensures both a concurrent and retrospective review process.
- ✓ Review activities may be centralized or decentralized at the discretion of the teams.

Utilization Review

- ✓ Utilization Review will be conducted across the entire agency, wherever individual client services are provided.
- ✓ Staff does not review their own records and supervisors do not review cases of therapists who are under their supervision. Supervisors do not review cases where they were at one time assigned.
- ✓ At six month intervals, the Clinical Management team, including the Clinical Director, reviews samples of Mental Health Services files that have been reviewed for high volume services and assess how treatment decisions were and are implemented.
- ✓ Utilization Reviews on Mental Health files are not done by agency staff who do not have a mental health background. Mental Health clinical files will only be reviewed by individuals with a minimum of a Masters degree in a related field and experience that allows for understanding of the clinical process. To validate consistency between different reviewer staff, a formal tool is used to review all mental health files.
- ✓ Utilization Review occurs at a minimum every three months, as scheduled by the clinical team.
- ✓ Utilization Review data is collected on the established agency forms, with summary data submitted to the CQI Council as part of the agency's quality improvement process.
- ✓ The Utilization Review and Clinical Management teams analyze the data collected and prepare any initial recommendations to present to the CQI Council.
- ✓ Recommendations from the teams and the CQI Council are finalized and forwarded to the department/program staff for any remediation or corrective action.

Record/Compliance Review

- ✓ Record/Compliance Review is conducted within each department on a monthly basis.
- ✓ Record/Compliance Review occurs monthly, as scheduled by each program director. The Florida Center requires that staff do not review cases in which they have been directly involved.
- ✓ Record/Compliance Review data will be collected on the established agency form with summary data submitted to the CQI Council as part of the agency's quality improvement process.
- ✓ The Risk Management Committee analyzes the data collected and prepares initial recommendations to present to CQI Council.
- ✓ Any recommendations from the CQI Council will be forwarded to the department/program level for remediation or corrective action.

Healthy Families Sarasota (HFS) case files are routinely reviewed by the Total Quality Improvement (TQI) committee for compliance with both qualitative and quantitative expectations. The results of these reviews are documented and given to the Family Support Worker Supervisor to use as a learning tool for the improvement of documentation in the case record. These case reviews are performed by members of the Management Team and peers. Copies of all case reviews are sent to the HFS Program Manager for review. The Program Manager analyses the review sheets and looks for trends/problems, and identifies areas for improvement at subsequent management meetings. Cumulative data is prepared on a quarterly basis and provided to the CQI Council for review and recommendations.

Cases for these record reviews are selected randomly using valid sampling techniques, and the sampling is determined by the person responsible for leading the review. Case records are sampled at a minimum confidence level of .03, as recommended by COA standards.