Utilization Review

Lessons Learned; A State and Local Perspective

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Training Objectives

- Define Utilization Review (UR)
- Review UR Requirements for CSA localities
- Overview principles and practices of 3 distinct UR programs
- Summarize collective lessons learned from UR practice

What are the UR/UM Requirements?

The Code of Virginia (COV) states that "each locality receiving funds for activities under the Comprehensive Services Act (CSA) shall have a locally determined utilization management plan…" (COV 2.2-2648)

The Community and Policy Management Team is charged with…developing and implementing the local Utilization Management Plan (COV 2.2-5206)

Requirements Continued

The Family Assessment and Planning Team or approved alternative multidisciplinary team, in collaboration with the family, **shall provide regular monitoring and utilization review of the services and residential placement** for the child to determine whether services and placement continue to provide the most appropriate and effective services for the child and his family. (COV 2.2-5208)"

What is Utilization Review (UR)?

Reviews Service

Necessity, Efficiency, & Appropriateness

Part of the Utilization Management process

Measures the progress of the youth and family According to IFSP goals and objectives

Recommendations Regarding service plan or service delivery

What is Utilization Review (UR)?

UR is the process of evaluating the appropriateness and effectiveness of services.

- NOT a means of cutting necessary services
- NOT a series of paper exercises or box checking that does not improve care
- NOT a pathway to second guessing the case manager, service provider, or FAPT

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Richmond City CSA

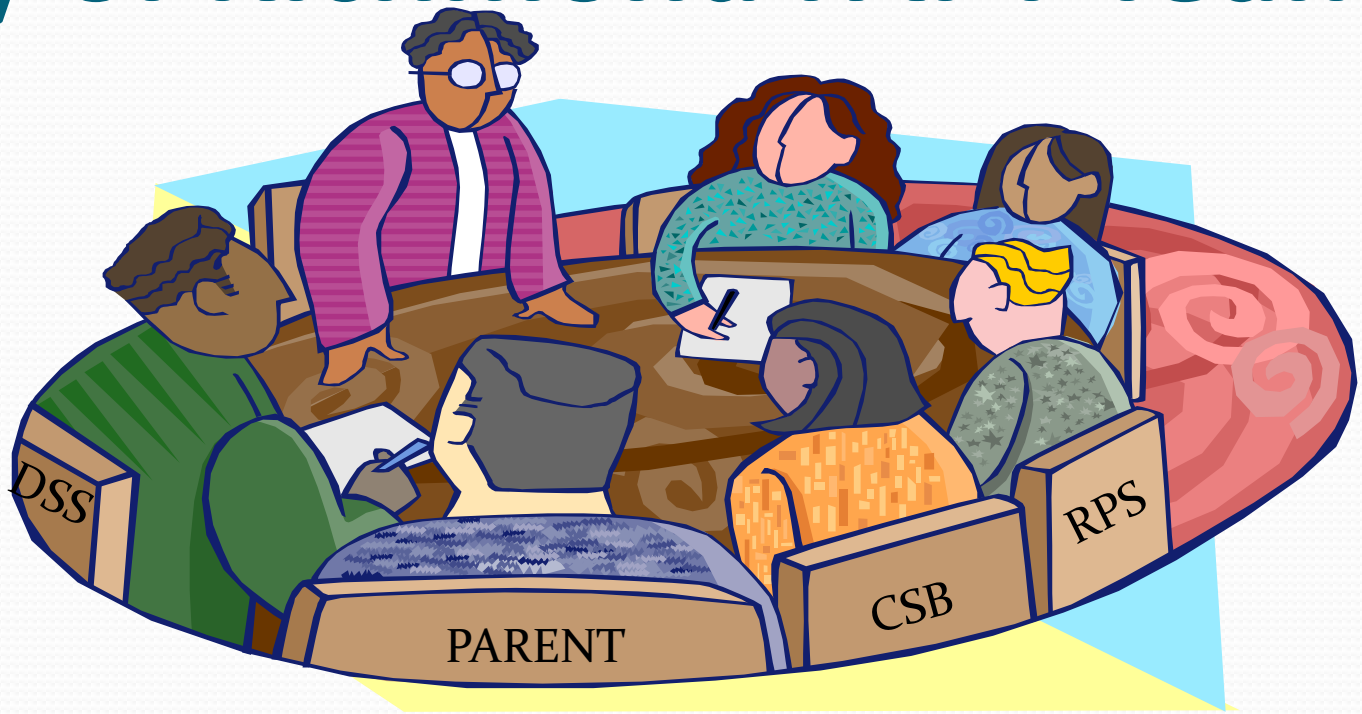
City of Richmond- FY 2014

Children Served: 541

- Foster Care 80
- Treatment Foster Care 211
- Group Home 86
- Residential Treatment 43
- Special Education- Private Day 121

Total Expenditures: $11,805,330.

City of Richmond FAPT Team



FAPT Team and Case Managers

- Review cases every 3 months
- Youth, families, providers, case managers and providers present
- CANS is used to develop the IFSP
- Harmony used to capture minutes, IFSP, funding recommendations
- All providers must follow a specific reporting format
- All parties provided with comment cards
- Providers are evaluated at FAPT

Utilization Review Begins With:

- CSA Coordinator
- Case Managers
- FAPT
- FAPT Coordinator
- Contract and Medicaid Administrative Support
- Utilization Review Manager

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Richmond's UR Practices

UR Manager uses customized **review forms** compiled from:

- ✓ Licensing (DMAS and DBHDS)
- ✓ Regulation of Children's Residential Facilities
- ✓ State Board of Social Services Standards for Child-Placing Agencies (DSS)

Types of Providers Reviewed

- ✓ Treatment Foster Care (Specific TFC homes included)
- ✓ Independent Living Programs
- ✓ Group Homes
- ✓ Residential Treatment Facilities
- ✓ Community Based Service Providers

On-Site Utilization Review Practices

- Program Review utilizing a Service- Specific audit tool
- Interview youth, case manager, and therapist
- Exit Interview
- Written report of findings sent to service provider:
  - Strengths,
  - Recommendations,
  - Corrective Action Plan (if necessary)

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Utilization Review- Where to Start?

- ✓ Are the services appropriate and efficient?
- ✓ Are goals specific to the needs of the youth?
- ✓ Is the family actively involved in treatment planning and service provisions?
- ✓ Is the youth making progress towards completing goals?
- ✓ If the youth is not making progress,

  what changes need to be made?

More UR Questions to Ask

- ✓ Is the discharge plan realistic? Not based on program length.
- ✓ Does the discharge plan match the FAPT/Court approved plan?
- ✓ What is the step down plan?

Office on Youth/ CSA

Goochland County CSA

FY 2014:

Children Served: 34

Foster Care: 25

Special Education: 8

CSA Parental Agreement: 1

Total Expenditures: $880,000

GOOCHLAND COUNTY CSA

Goochland County CSA Overview

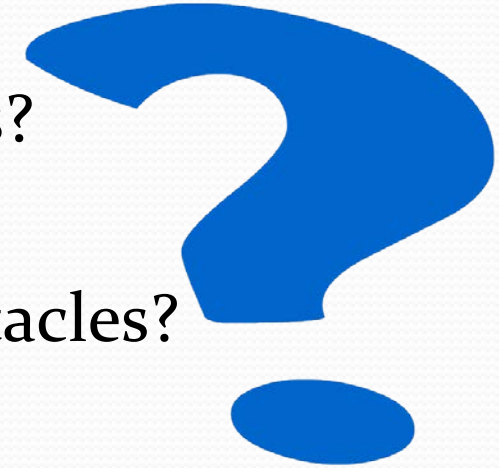
Goochland County CSA- Basic Principles

Is the child/ family making progress?

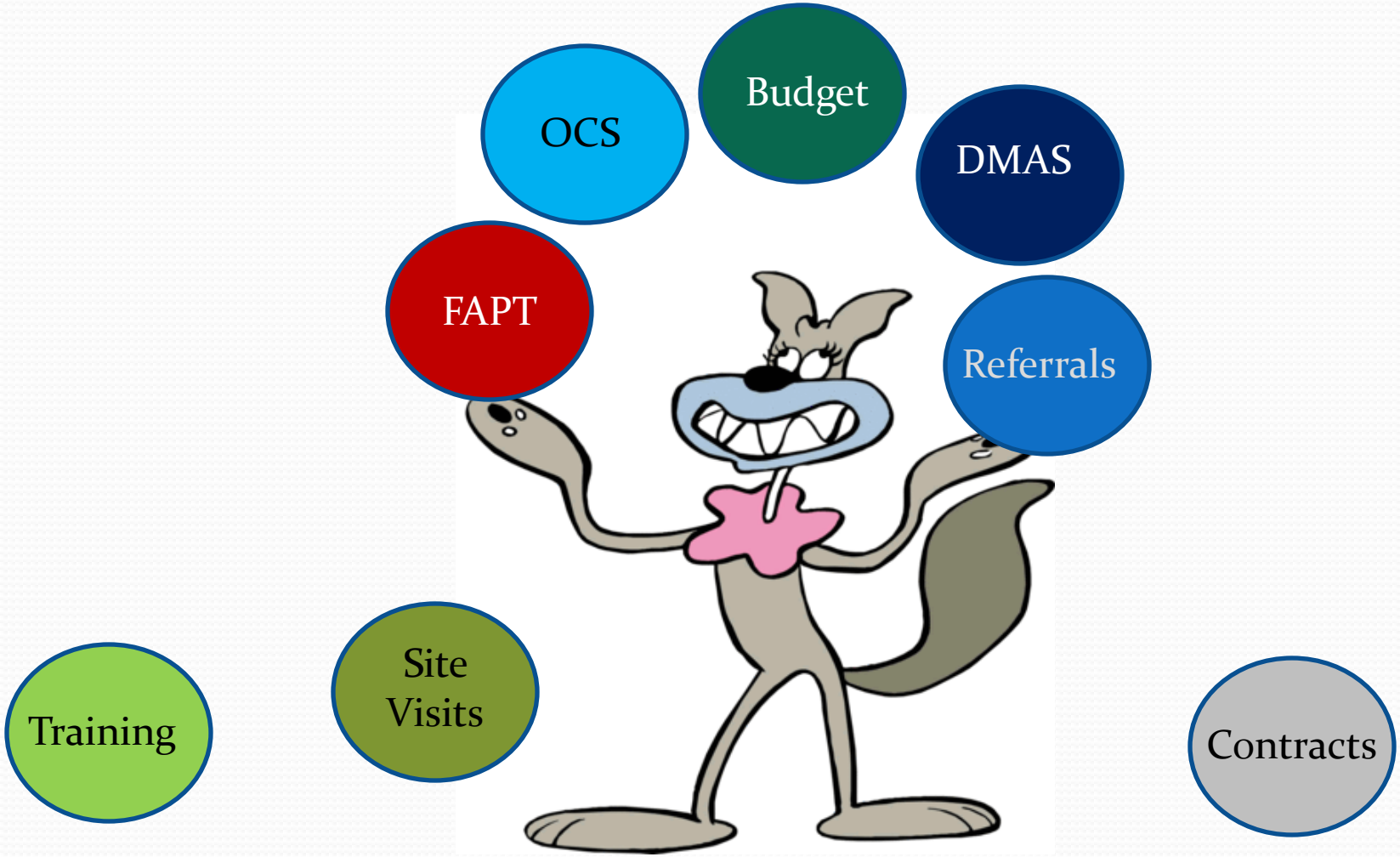
What specific strategies are used to encourage progress?

What are the obstacles to making progress?

What is the provider's plan to address obstacles?



CSA Juggling Act



Data
CSA

Goochland County CSA- Basic Principles

EFFICIENT PROCESS

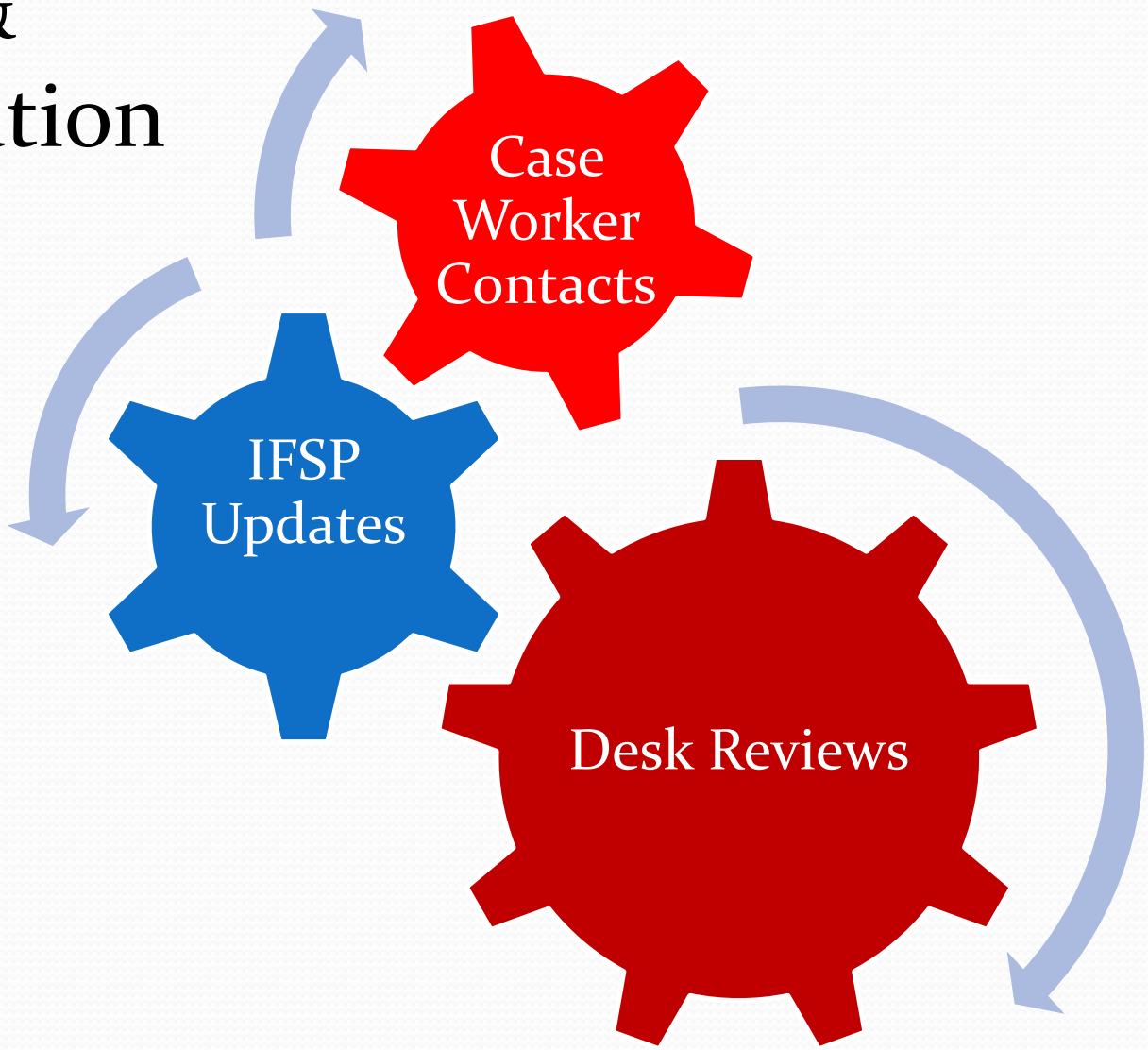
STREAMLINE

TEAMWORK

SHARED ROLES

COMMUNICATION

Teamwork & Communication



Streamlined Processes

Case worker Contacts

- Frontline UR process
- Evaluate Services and Providers (General)
- Report to CSA/FAPT

FAPT

- Schedules maximize caseworker efficiency.
- Group Service Providers (TFC, School, etc)

Vendor Evaluation

- FAPT Process
- CSA Follow-up (Phone call, Site visit, Case Conference)

...AND THAT IS WHY WE LIFT ON THREE...
COMMUNICATION
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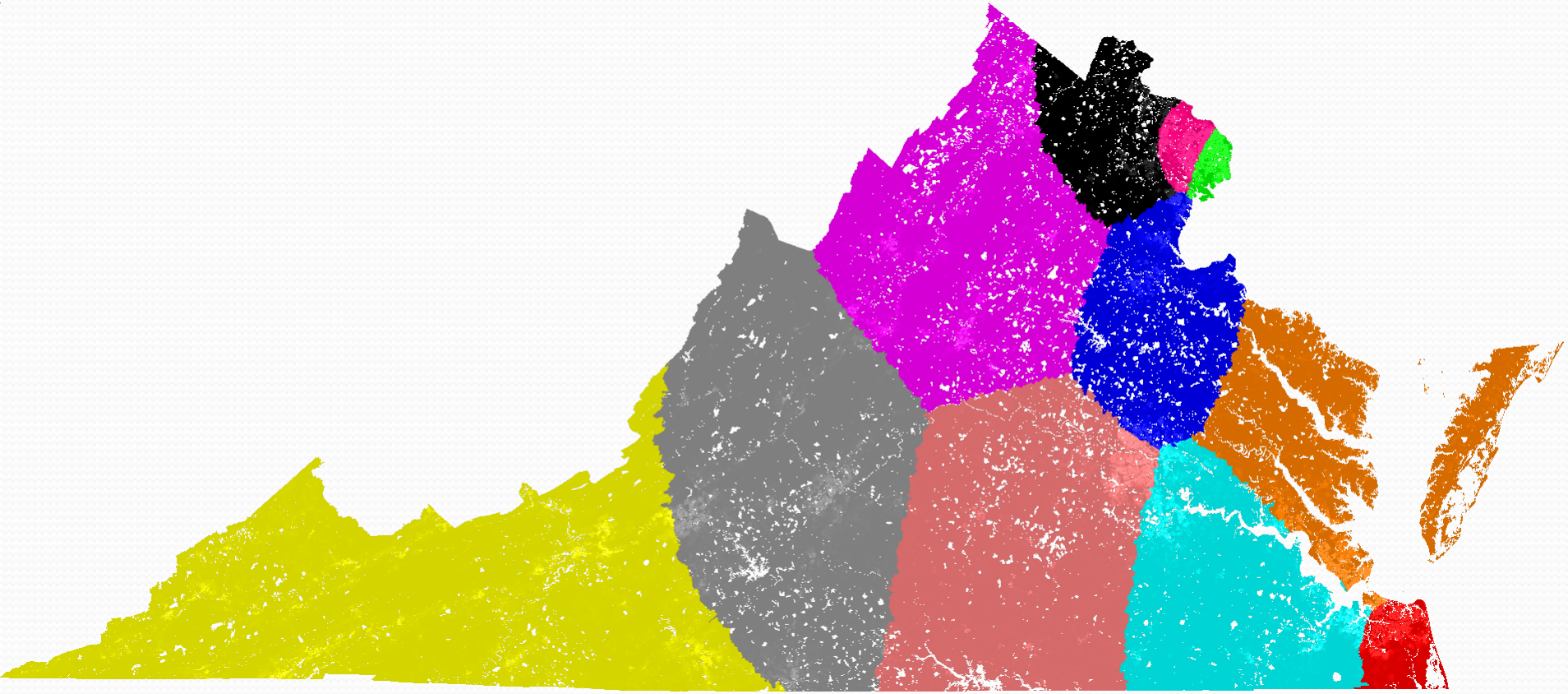
State Sponsored Utilization Review



State Sponsored Utilization Review

State Sponsored Utilization Review

- **FREE** to localities who enter into an agreement with OCS (currently 18 localities served)
- Completed on all CSA children in a residential facility for mental health/behavioral reasons
- Initial Desk Review completed 60 days after placement
- Subsequent Desk Reviews completed every 90 days
- Offers a neutral, third party, “birds eye” perspective

State Sponsored Utilization Review

- Provides a comprehensive review of all elements of youth's care (IFSP, CANS, Service Providers) with focus on System of Care

- Looks for evidence that all components of youth's plan of care are coordinated, incorporate youth and family voice, and match with the strengths and needs of the youth and family

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State Sponsored Utilization Review

- Case information is submitted by CSA Coordinator or CSA Office
- Completed reviews sent to the CSA Coordinator and CPMT Chair
- Offers feedback, recommendations, and questions intended to facilitate dialogue and a critical review at the local level
- Monitors for implementation/consideration of these recommendations

Information Submitted for 60 day Initial Review:

- FAPT documentation that addresses the placement (FAPT minutes, case documentation submitted to CPMT, FAPT Referral Form)
- Most recent IFSP
- Most recent Foster Care Plan (if applicable)
- Information about prior placements (if applicable)
- Psychotropic Medication information
- Most recent Magellan (Medicaid) authorization/UM form (if applicable)
- Service Plan/Treatment Plan and progress reports from placement
- Psychological (if available)
- Discharge Plan
- Most recent CANS assessment

Information Submitted for 90 day Subsequent Reviews:

- FAPT documentation that addresses the placement (FAPT minutes, case documentation submitted to CPMT, FAPT Referral Form)
- Most recent CANS assessment
- Most recent IFSP
- Most recent Foster Care Plan (if applicable)
- Psychotropic Medication information
- Most recent Magellan (Medicaid) authorization/UM form (if applicable)
- Treatment Plan and progress reports from placement
- Discharge Plan
- Changes and/or actions in the Service Plan/IFSP in response to most recent UR

State Sponsored UR Asks:

- Are the services an appropriate match to the strengths and needs of the youth and family?
- What documentation supports the need for the services?
- Is the service being delivered as indicated in service agreement?
- Are the youth and family participating in the services?

State Sponsored UR Asks:

- Are the youth and family progressing towards identified goals in treatment plan? How do you know? (How is progress measured?)
- Is there a clear discharge plan?
- What work is occurring to achieve the discharge plan?

State Sponsored UR Asks:

- Does the current CANS match the clinical, behavioral, and social presentation of the youth and family?
- Does the IFSP incorporate the strengths and needs of the family? Are the strengths and needs guiding the services and goals?
- Are the IFSP goals measurable?
- Is the family and youth voice/participation reflected in the IFSP?

Lessons Learned

Develop UR Framework:

- What are your locality's priorities?
- What does your locality want to get out of your UR process?
- What is realistic for your locality?
- What can your locality do to achieve this?

Lessons Learned

Service Planning:

- Use data to develop the Service Plan

CANS,VEMAT, Court Plan, Medicaid Authorization, Clinical Evaluations

<u>Are These Congruent????</u>

- Incorporate the youth and family voice
- Utilize strengths to develop the Service Plan

Lessons Learned

Providers:

- Know services the provider is delivering
- Goals and objectives: Measurable? Child specific? Changing?
- Reports: Progress? Measurable? Barriers?
- Understand what model guides their work
- Discharge plan?
- UR is not a licensure process

Lessons Learned

Site Visits:

- Physical Plant
- Treatment Services
- Is the provider doing what they say they are?
- Documentation
- Licensure Reviews
- Interviews: Youth, Staff, and Therapist

Lessons Learned

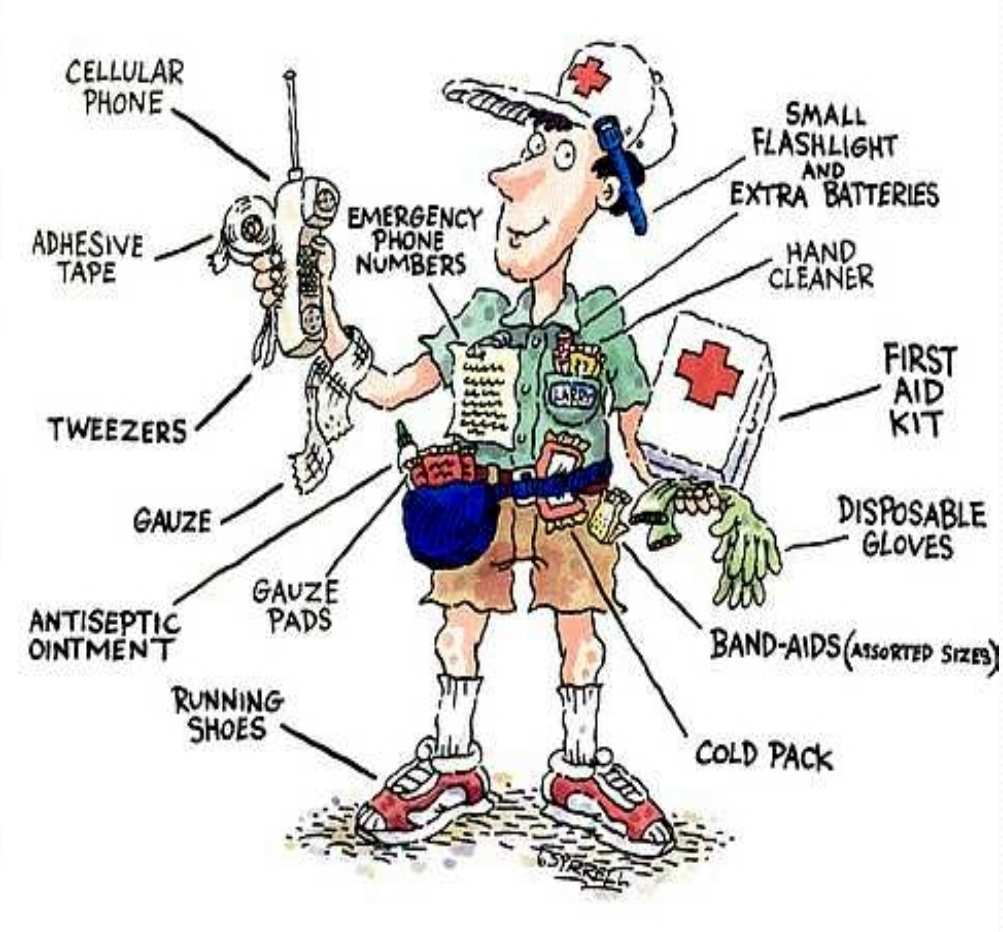
Professional Collaboration:

- Work closely with CSA Case Managers to develop and review services
- Utilize local and state partners to plan and problem solve
- Develop open communication with providers and CSA Case Managers
- Ask questions! Don't feel intimidated

Every Locality is Unique

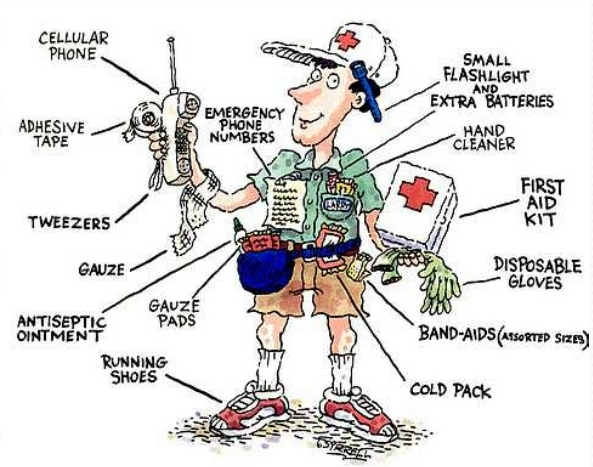
This means each UR plan is unique…. Your UR Plan needs to fit the individual strengths, needs, and abilities of your locality

Utilize Your Resources



Utilize Your Resources

When developing your UR plan, utilize the resources available to you; local expertise, state offices, other localities, provider input



Partnerships

Effective UR requires teamwork and flexibility

Questions