

**Utilization Review Guidelines**  
*(Revised June 2009)*

## CSA Utilization Review Guidelines

### Definitions

Utilization Management - A set of techniques used by, or on behalf of purchasers of health and human services to manage the provision and cost of services by influencing client care and decision making through systematic data driven processes.

Utilization Review - A formal assessment of the necessity, efficiency and appropriateness of the services and treatment plan for an individual. Utilization review (UR) is part of the utilization management process.

### Utilization Review Elements:

1. Verification of date services initiated
2. Verification of delivery of service(s)
3. Verification of quality of service(s)
4. Progress in meeting identified, specific short-term outcomes and goals in Individual Family Services Plan (IFSP) or the IEP as appropriate
5. Progress in working toward identified, specific long-range outcomes
6. Current medication status, as applicable
7. Educational progress
8. Verification of school attendance
9. Written materials outlining all modifications vendor has made to IFSP
10. Current CANS summary sheet
11. Participation of family/legal guardian in client interventions and in other services included in the IFSP or the IEP, as appropriate
12. Strategies to engage families if they are not currently participating
13. Steps to be taken if progress toward meeting outcomes is not being made. (May include changing services and/or vendors or reconsidering outcomes)
14. Steps to be taken if outcomes are being met
  - (a.) Continue services necessary to meet outcomes and goals
  - (b.) Develop plan and time line to transition the child to less restrictive setting
15. Date for next utilization review

### **Process:**

Reviews of youth may be a paper review of written reports or a site visit.

- For children receiving, or who may need, intensive in-home services, therapeutic foster care, or residential care, a report from the vendor should be received and reviewed every three months or more frequently based on the needs of the child and family.
- For children placed in licensed residential facilities, the locality should have telephone, written or face-to-face contact with the vendor within three working days after placement.

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- For children in an acute psychiatric setting, crisis stabilization program or assessment and evaluation program, a daily review of risk factors should be done. Local staff or their designee should make every effort to conduct a site visit at the time of placement or within three working days after placement is made. The locality should receive a report from the vendor detailing the child’s adjustment within three treatment days.

This review can be a combination of site visits, telephone calls and paper reviews. The review includes but is not limited to:

1. Verification of delivery of service(s)
2. Verification of date service initiated
3. Review of risk factors that caused acute hospitalization
4. Current medication status, as appropriate
5. Participation of family/legal guardian in client interventions and other services as included the IFSP or the IEP, as appropriate
6. Strategies to engage families if they are not currently participating
7. Discharge planning to facilitate movement to less restrictive level of care

## Utilization Review Frequency

The frequency of utilization review is based on the utilization management model chosen by the locality. Localities using the state endorsed model should follow the review schedule suggested for CANS reviews. Localities using locally designed models must follow the review schedule in their approved plans.

Service Needs	Utilization Review	CANS
basic foster care maintenance, including day care,	At the discretion of the FAPT	Local option
non-clinical community-based services	Every 6 months	Every 6 months
clinical services and/or a combination of two or more services	Every 3 months	Every 3 months
intensive in-home services, therapeutic foster care, or residential care,	Every 3 months	Every 3 months
special education private day services or services in the	Based in local practice	Every 6 months

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public school, (only non-instructional services not in the IEP. The IEP is reviewed by the local school division)		
significant service change ( <i>i.e.</i> , <i>either moving into or out of therapeutic foster care, special education private day placement, or residential care</i> ),	Before the change in services is implemented	before the change in services is implemented