Parent-Child Assistance Program (PCAP)

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Client File Review Protocol

PCAP clinical supervisors are required by DBHR contract to review all PCAP client files every four months. Supervisors:

- Verify that all client file components are up to date and correctly filed;
- Send completed Client File Review forms to FADU every four months.

A client file review consists of these steps:

1. Review all client file contents, for all case managers, to see whether each section is up to date.
2. Read case notes, and sign the last case note reviewed with full supervisor name and date.
3. Cross-check Time Summary forms with case notes. This step is required as a quality control measure to assure that case activity is documented consistently on both forms; that is, Time Summary form information should be reflected accurately in the content of the case notes and vice versa.

   NOTE: To cross-check every case managers' weekly Time Summary form for every client for every week is too time consuming. Recommendations for performing an efficient sample of cross-checks are below, based on ideas from PCAP supervisors:

   <u>For case managers with a demonstrated track record for correct documentation:</u>
   - Sample approximately 25% per month. This can be done by cross checking one full week per month of each case manager's Time Summary form with their case notes (select a full schedule work week with no holidays or time off).
   - Tips from experienced supervisors to improve efficiency and clinical oversight: 1) **When case managers have clear and consistent expectations from you, they will do Time Summaries and case notes correctly and on time.** 2) Ask case managers to bring completed Time Summary forms to supervision with them. If they haven't completed the form, reschedule supervision. Review Time Summaries with case managers during individual supervision and then do a cross-check with case notes afterward.

For new case managers:

- Cross check every Time Summary form with case notes for every client for first 90-120 days. With good feedback and coaching, after this amount of time the new case manager should be doing both Time Summary forms and case notes correctly and consistently.
- Some supervisors have their experienced case managers perform the cross-check with new case managers during the training/probation period, then the supervisor does spot checks.

For case managers whose performance is concerning:

- Cross check every Time Summary form with case notes, for every client, for recent weeks and the time periods you have concerns about. NOTE: Some supervisors contact clients who they think the case manager may not be connecting with, to ask for feedback about how PCAP is doing; supervisors sometimes use the Advocate-Client Relationship Inventory for this purpose.

4. Using the Client File Review form, supervisors note corrections that need to be made by the case manager by their next scheduled supervision, or at another time designated by the supervisor.

5. Case managers verify that corrections are completed by initialing the small box in bottom right corner.

6. Supervisors sign and date the bottom of each completed Client File Review form and send a copy to FADU.