

## CASE FILE REVIEW PROCEDURES

Each month, 1 in-depth case file review will be completed for each case manager.

Each month, 1 target review including 10 cases will be completed for each case manager.

Each office will review on the same subject. The topic schedule for target reviews is as follows:

- April 2015 – QCRS
- May 2015 – EPI's in the file
- June 2015 – FSSP's current and signed
- July 2015 – Meaningful Monthly Contact
- August 2015 – Childcare CC3 & Authorization in the file
- September 2015 – Supportive Services
- October 2015 – QCRS
- November 2015 – Meaningful Monthly Contact
- December 2015 – WAV / PCP
- January 2016 –
- February 2015 –
- March 2016 –

### **Potential Review Topics:**

Penalties	QCRS
Supportive Services	
Participation	EPI's in the file
FSSP End Dates	FSSP's current and signed
Referral / Engagement	Meaningful Monthly Contact
WAV / Performance Confirmation	
Job Retention & Progression	Child Care CC3 & authorization in file
Due Diligence / Documentation	Supportive Services

This schedule is fluid, and could change based on current situations and/or supervisor judgement, but will be made as a group decision with all supervisors so as to maintain statewide consistency.

Supervisors will add the upcoming target review topic for the following month to the agenda for scheduled ESS IV meetings. We will ensure each office is collecting the same data and update the target review form if needed to reflect the topic.

All file reviews (target and in-depth) will be completed, reviewed with CM and submitted to appropriate PC I no later than the last business day of each month.

Supervisors will randomly choose cases from the caseload report each month.

Supervisors will meet each month to discuss the topic before the next target review to ensure statewide consistency in what constitutes a "yes, no or n/a". Case managers will be informed at the beginning of the month what the target review subject for the month is. Reviews will be based on current policies and procedures already slited in the ATAP Manual and WSPM.

### **Monitoring for Principles**

There are several reasons for case file reviews:

1. Determine whether the case manager is adhering to the **DPA Mission and Principles** in delivering services to DPA clients;
2. Function as an informal staffing and an opportunity to share ideas, best practices and brainstorm next steps for the client;
3. Identify training needs and areas for improvement;
4. Ensure services are timely, strength-based, and aimed at employment.

The review examines the file for adherence to the DPA Principles, such as: whether the client was engaged promptly, the Family Self-Sufficiency Plan was appropriate and current, services matched the client's situation and goals, supportive services were appropriate and actions were well documented. For a listing of issues that should be viewed and addressed, go to the **Work Services Continuous Improvement Monitoring Guide** and review the section on case file reviews (page 15).

The case file must present a clear and complete picture of the client's situation and activities. Documentation must be complete and consistent across the FSSP; the CLNO's and work activity reports. Supportive service expenditures must be consistent with the FSSP and work activities.