



# Utilization Management and Utilization Review

**Anna Antell, LCSW  
Program Consultant**

# Session Outline

- Summarize the UM/UR Requirements as identified in the Code of Virginia
- Define Utilization Management and Utilization Review
- Provide examples of what to examine when conducting Utilization Management and Utilization Review
- Summarize State Sponsored Utilization Review
- Answer your UM/UR Questions

# What are the 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 the responsibility of developing and implementing the local Utilization Management Plan (COV 2.2-5206)

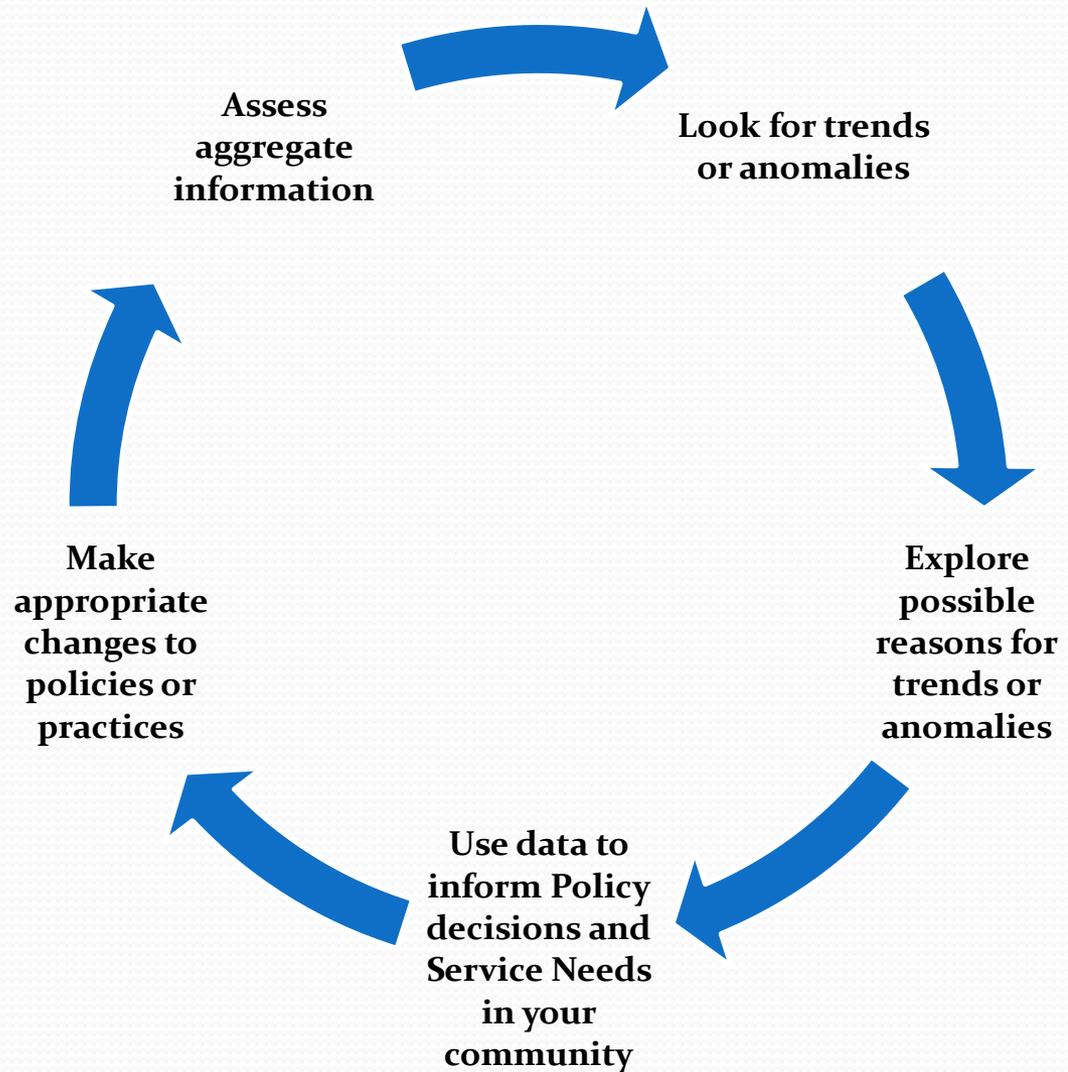
# Requirements Continued

“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 Management (UM)?

- The collecting and analyzing of data in management reports for all the youth served through CSA in the locality
- Data is utilized to evaluate outcomes, trends, and/or gaps in services
- Collected data and outcomes can guide policy or program development needed to better serve the CSA youth in the community

# UM Cycle



# Examples of UM Data Collection:

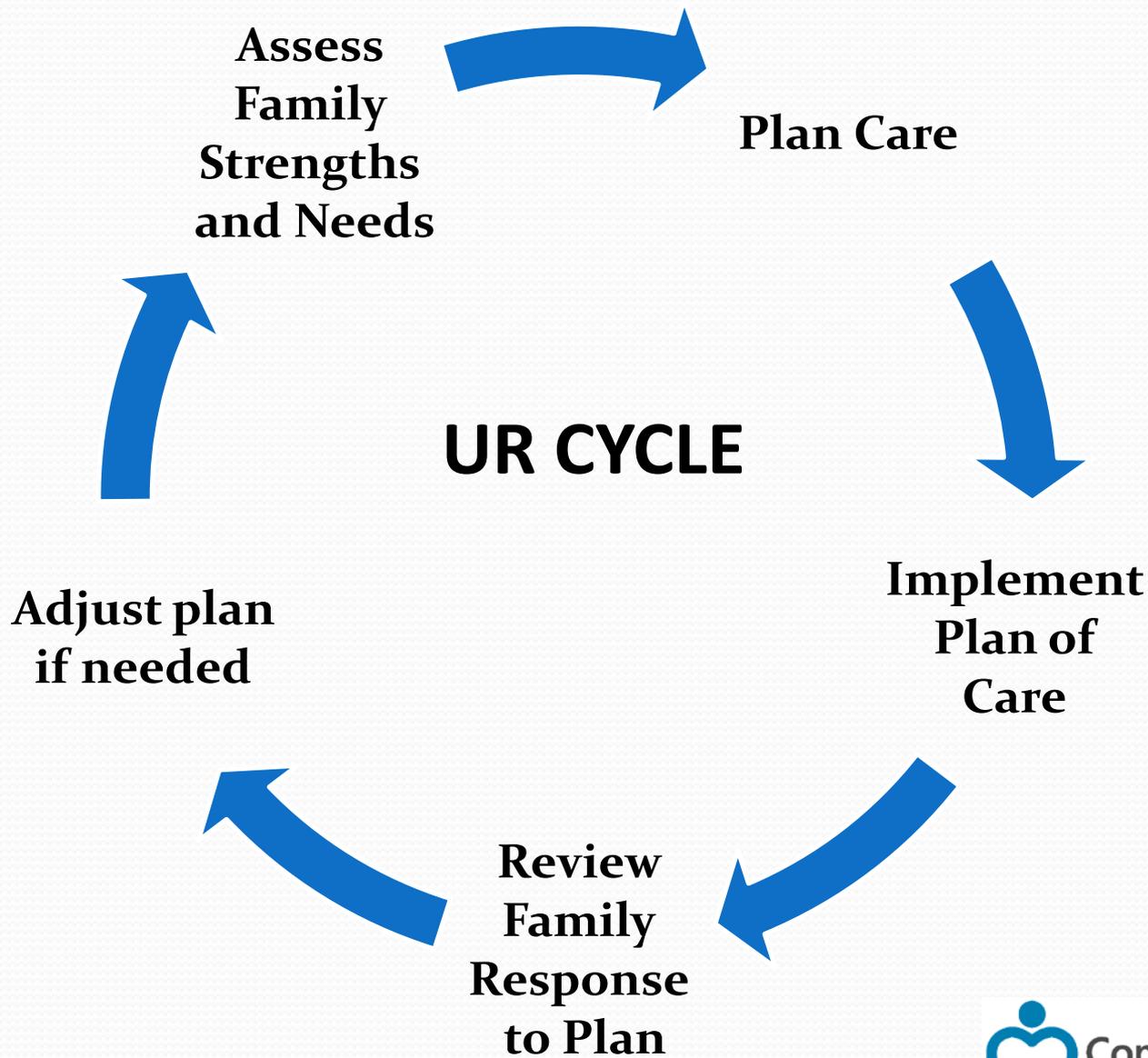
- Service usage and cost
- CSA cost per child (comparing cost by mandate type)
- Average number of services per child
- Average length of stay in residential placement
- Outcomes of youth in residential placements
- CANS outcomes by service type
- Family satisfaction related to CSA services

# What is Utilization Review (UR)?

- A part of the Utilization Management process
- An individual review of the necessity, efficiency, and appropriateness of services
- Measures the progress of the youth and family against the goals and objectives established in the Individual Family Service Plan (IFSP)
- Provides recommendations to the FAPT, case manager, and/or provider that may include adaptations to the service plan or service delivery

# What UR Is Not:

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



# Who can do Utilization Review?

- UR can be done and documented by:
  - State Sponsored UR
  - UR Specialist
  - CSA Coordinator
  - FAPT
  - Anyone else designated by the policies of the CPMT

# Utilization Review as a Service

- Utilization Review (UR) can be purchased using CSA funds
- Because all CSA services must be connected to a youth, purchased UR is identified as a service at FAPT, placed on a youth's IFSP, and approved via CPMT
- UR can be purchased through the Community Services Board (CSB) or a private entity

# UR Frequency

The frequency of UR is based upon the locally developed plan, however, the UR Guidelines (adopted by the SEC) provide a recommended schedule for review.

Service Level	Utilization Review
Basic foster care maintenance	At the discretion of FAPT
Non-clinical community based services	Every 6 months
Clinical services and/or a combination of two or more services	Every 3 months
Intensive In-Home, Therapeutic Foster Care, Residential Care	Every 3 months
Acute Psychiatric Setting, Crisis Stabilization, Assessment and Evaluation Program	Daily review or risk
Special education private day	Reviewed by IEP team

# What Makes a Thorough Utilization Review?

- Provides a neutral assessment of the plan of care
- Critically examines all elements of the plan of care; the IFSP (including the goals, CANS, and evidence of family/youth participation) and the services in place
- Provides recommendations to the FAPT and monitors for implementation/consideration of these recommendations

# A Thorough Utilization Review 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?

# A Thorough Utilization Review Asks:

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

# A Thorough Utilization Review 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?

# A Thorough Utilization Review Asks:

- Are the youth and family progressing towards the IFSP goals?
- If not, what are the barriers/needs towards goal achievement?
- What steps will be taken to meet these needs?
- What steps has the FAPT taken to incorporate/consider recommendations from previous reviews?

# State Sponsored Utilization Review

- Provided at no cost to localities who enter into an agreement with OCS
- Completed on all CSA cases placed 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
- Offers feedback, recommendations, and questions intended to facilitate dialogue and a critical review at the local level

# Information for 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 for Submitted for 90 day Subsequent Reviews:

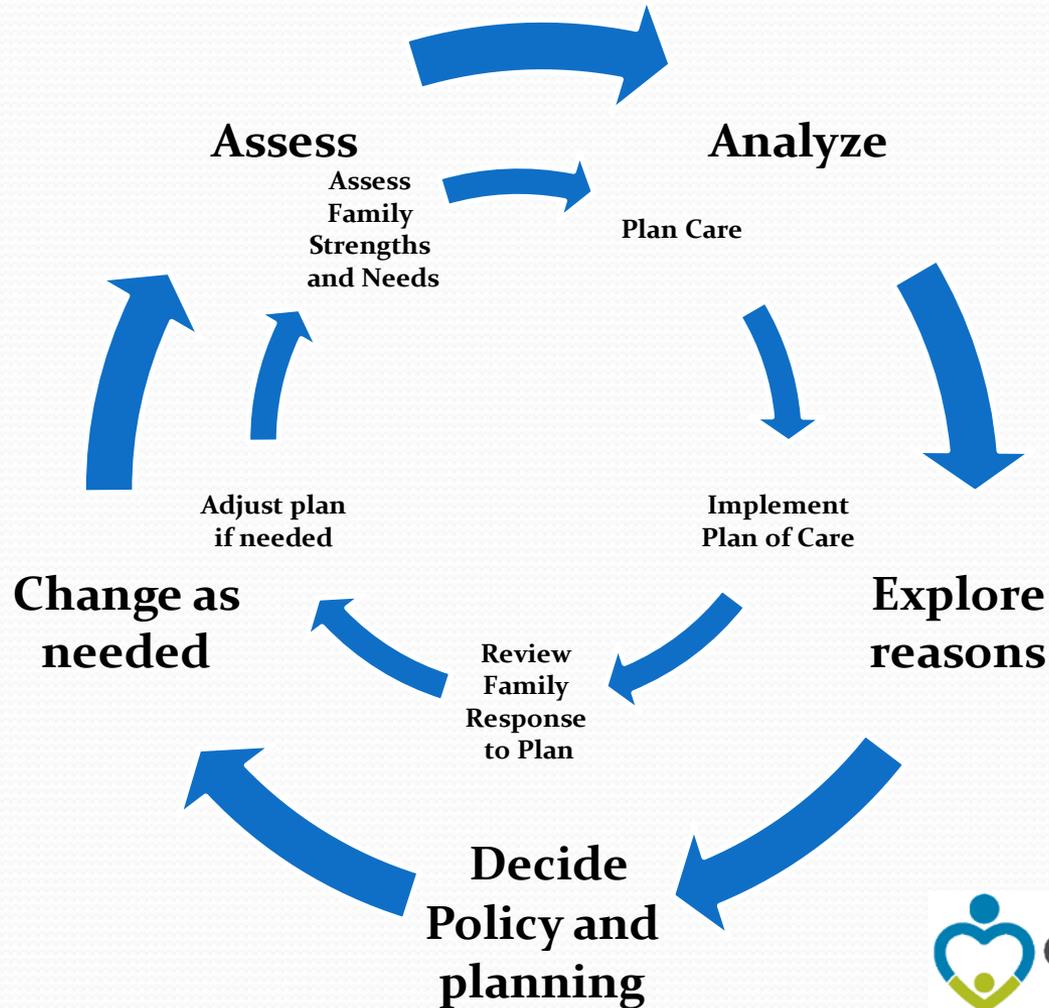
- FAPT documentation that addresses the placement (FAPT minutes, case documentation submitted to CPMT, FAPT Referral Form)
- Most recent CANS assessment
- Most recent IFSP
- Most recent Foster Care Plan (if applicable)
- Psychotropic Medication information
- Most recent Magellan (Medicaid) authorization/UM 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

# Remember...

Your locality's Utilization Management (UM) plan (which includes your locality's UR plan) should reflect the unique goals, strengths, and needs of your community because:

- The purpose of UM is to collect and analyze data in order to evaluate and inform policies and/or services in *your* locality
- AND
- Each locality is different
- AND
- UM plans are locally devised and implemented

# UM/UR is a Continuous Cycle



# What Questions Do You Have?