CIS Services Client Record Review Process/Tool

A Client Record Review tool is a resource to help regional CIS teams to assess their systems for creating and maintaining individual client records. This tool can be used to assist with monitoring and implementation of contract requirements; identify areas needing CIS regional and/or state technical assistance; and assist with overall quality improvement of the record system.

Reviews should be conducted at a minimum of every 12 months to ensure there is comprehensive documentation that complies with established record-keeping standards. The review findings are shared with home visitors who use these records and other who are engaged in making improvements.

The CIS agency should review their current policies, procedures and professional development for creating, maintaining and improving client records, which support the best interest of children, youth and families and protect their privacy and confidentiality.
An organization may choose to inform clients at the start of the file review that their files may be reviewed. If the person conducting the Client Record Review is an external contractor, they will be required to sign a confidentiality agreement. No information about a client should be recorded in the review process.

Steps for Client Record Review and Follow-up

1. Define the purpose of the review
2. Define the sample size and scope
3. Delegate responsibility for conducting the review
4. Define a timeframe for completing the review
5. Identify resources required e.g. staff, time, venue
6. Delegate responsibility for writing the Summary Report
7. Inform staff and gain consent from clients (if not already obtained)
8. Write the review report for each service delivery area or location

9. Implement the review for each service delivery area or location
10. Write a summary report and plans for any staff or system changes as appropriate

11. Provide staff education about client record system and required elements as needed

12. Implement action plan activities related to the client record system

13. Provide feedback for each service delivery area/location to implement

14. Set a date for the next record review

Client Record Review Process

1. Review a random sample of client records.

2. The sampling procedure used to select records for review should reflect the complexity of the organization. Both multiple service delivery areas and locations should be taken into account.

3. When there are multiple service areas and multiple sites, the sampling procedure should take account of service area first, then service site.

4. There should be a separate sample of records for each type of service

5. The equation for determining sample size for the internal reviews is:

The square root of the total number of client records, plus 1 (A minimum of five files should be reviewed). Example: If the total number of client records in a single service delivery area is 225, the sample size is the square root of 225 plus 1. i.e. 15 + 1 = 16

Record information for each of your locations/ services includes:

1. Name of organization

2. Date of Review

3. Name of person conducting the review

4. Who wrote the report? (if different from above)

5. Service delivery area/location

6. Rating: Satisfactory (S), Not Satisfactory (NS), or (Not Applicable) NA

Criteria	Present in Records								Total			
	1	2	3	4	5	6	7	8	# of S	% of S	# of N/S	% of N/S
All CIS staff meet qualifications												
All staff have the appropriate supervision												
All staff demonstrate cultural competence and family-centered practices												
All staff are knowledgeable about community services												
All staff provide linkages for families among community programs that support coordinated supports & services for families												
All services are available year round												
All services are provided within the CIS Timelines												
All services are provided within a child/family's natural environment												

Includes essential individual/demographic/financial/insurance information												
Referral & intake information												
Signed consent/authorization												
Health & dental information												
Screening/assessment results												
Eligibility												
Development of One Plan, goals and outcomes, including service grid												
Documentation of six month and annual plan reviews												
Multi-disciplinary consultation and or review team meetings												
Transition/discharge planning												
Notes are legible; communication is clear and topics are relevant to plan goals												

Notes include family information; staff observations, screening/assessment/test results; summary of visit; plans for next steps re: goals/outcomes												
Notes are dated & signed with CIS staff name & credentials												