

Tips on Client Record Reviews Prior to Licensing Inspection

When reviewing client records to determine if all contents required by licensure are present, pay particular attention to the assessment, treatment plan, and progress notes. These three documents need to go above and beyond simply being present and up to date. They need to relate to each other and reflect treatment progress.

Provided below are basic directions and steps to follow during record reviews that will allow for a smooth licensing inspection.

1. An Assessment identifies a person's needs. If the person's situation changes significantly, the assessment must be updated to reflect the changes.
2. A Treatment Plan specifies the service(s) that will be provided, based on the needs identified in the assessment. If the person's assessed needs change, the Treatment Plan must also change to address the newly identified needs.
3. Progress Notes document the service from the treatment plan that was provided to the person on a specific date (individual counseling, for example) and the person's response to the service.

A review of these three documents should show that they are inter-related and that:

The Treatment Plan is based on the person's needs from the Assessment.

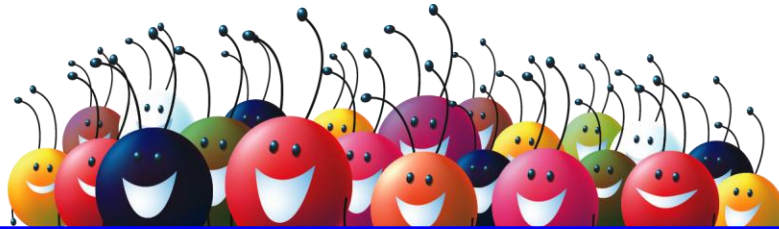
Progress Notes reflect the provision of services identified on the Treatment Plan and document the person's response to the service.

The Assessment and the Treatment Plan are updated when the Progress Notes reflect changes to the person's situation, needs and response to services.

We wish you great success on your next licensing documentation review!

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About the author: Alice Prather has over 30 years of experience working with persons with developmental disabilities in addition to reviewing agency compliance and clinical documentation, resolving deficiencies, and developing necessary internal policies and procedures. She is a consultant with Piurek & Associates, a values-based firm specializing in the delivery of customized management consulting services for health and human service organizations.



The staff at Piurek & Associates hopes you found these tips to be a helpful resource as your organization prepares for your next licensure audit. For more licensing tips or to have a Piurek & Associates' Consultant assist your organization with any of your licensing needs, [\(602\) 996-8800](tel:6029968800) or [email info@piurek.com](mailto:info@piurek.com).