

**STATE OF CONNECTICUT
DEPARTMENT OF DEVELOPMENTAL SERVICES
Working Draft**

Procedure No: I.C.1.PR.001.g

Issued: November 30, 2008

Subject: Case Management Quality Service Reviews

Effective date: Upon release

Section: Services and Supports, Case Management/Broker Services

A. Purpose

The purpose of this procedure is to establish a consistent process for case management staff to monitor the implementation of the person's Individual Plan, evaluate whether the services adequately address the person's needs, the person is satisfied with services and supports, and safeguards are in place where appropriate.

B. Applicability

This procedure shall apply to all individuals eligible for DDS supports and services who have Individual Plans.

This procedure shall apply to all DDS staff who provide case management services.

C. Definitions

See Case Management Definitions at the beginning of this section.

D. Implementation

1. Case Manager Quality Reviews

The DDS case manager will complete a Quality Service Reviews (QSR) for all individuals who participate in the Individual Planning process.

Case managers will engage in ongoing activities to evaluate whether supports and services are meeting the desired outcomes for the individual. Monitoring of supports and services will include the completion of Case Manager Quality Service Reviews in settings identified in the Individual Plan. The case manager will visit the individual at locations where supports and services are provided to conduct the quality service reviews. For individuals who receive both day and residential support, one quality service review should be done at each site.

Case managers should complete a quality service review once a year at each service site, residential and day. When new residential supports are delivered as described in the Individual Plan, the case manager quality service review of residential supports should occur within the first quarter after supports have been initiated. The review of the day service may occur at any time. In subsequent years, the case manager residential service reviews may occur at any time during the year. Reviews must occur when support staff are present and providing supports.

The case manager quality service reviews include an interview with the individual, observation of support providers, and a review of provider documentation. Case managers also complete a safety checklist for individuals who live in their own home and receive individualized home supports including qualified provider supports or self-directed supports. Case managers are not required to complete the observation component of the QSR for any individuals in supported employment settings located in business employment sites. Case managers shall document quality service reviews on the case manager quality service review forms and/or enter the information into the Quality Service Review data system once operational.

Case managers should follow-up on issues or concerns identified in quality service reviews, as appropriate. If a case manager encounters a jeopardy situation, he or she should follow the jeopardy guidelines. When a case manager identifies or is notified that an individual may be in need of additional support, is at risk, or may be entering a crisis, the case manager shall take steps to notify appropriate parties, convene the planning and support team to make needed support changes, make referrals to the region's Planning and Resource Allocation Team (PRAT), implement appropriate practices or procedures, or manage the crisis as appropriate to respond to the situation. Case managers will notify the regional Resource Administrator or designee when issues are identified with the provider or vendor, such as the provider is not providing supports identified in plan, there is inadequate documentation of supports (specific plans, protocols, nursing plans, progress reports), or finances are not well managed. For concerns with Public sector services, the case manager should notify the regional Quality Improvement Director or designee.

Case managers should respond to case management issues or concerns identified in QSRs completed by quality monitors or quality management staff.

2. Case Management Supervisor Quality Reviews

The case management supervisor is responsible to evaluate case management services as performed by each case manager under his or her supervision. Case management supervisors will use a consistent methodology to evaluate the performance of each case manager who has individuals on his or her caseload who receive waiver services and participate in individual planning.

Case management supervisors will complete one case management supervisor quality service review each quarter of the year for each case manager who meets the criteria. The case management supervisor quality service review includes a comprehensive review of an individual's master file/ individual record. Case management supervisors shall also conduct an audit of eCAMRIS data for the individuals sampled for case management supervisor QSRs. Case management supervisors shall document their quality service reviews on the case management supervisor quality service review forms and/or in the Quality Service Review data system. Case management supervisors shall follow up with case managers on areas of concern identified during the quality reviews.

E. References

Jeopardy Guidelines

F. Attachments

None