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DATE: May 31, 2007

TO: Jaci Noonan, AWARE, Inc.
Case Management Director

FROM: Sandra L. Carpenter, Region 1 QIS

RE: Quality Assurance Review, FY '07
Case Management Services for Region 1

Please find attached report for the Quality Assurance Review for AWARE, Inc., Region 1 Case Management. Cindy Frederickson, QIS and I enjoyed the welcome we received while on-site and learning more about each case manager. I want to thank you and your staff for your cooperation and assistance.

This report contains findings, comments and suggestions noted during my review of Case Management services from checking agency and client records and visiting with consumers. Files surveyed were chosen by random sample and represented a cross-section of people and services.

During the review, the use of Quality Assurance Observation Sheets (QAOS) was used to record exemplary practices and indicated deficiencies. The QAOS is a record of what is observed and which Administrative Rule, DDP Policy or contract requirement is surpassed or deficient. There were **1** commendation and **0** deficiencies.

Thanks to you and your staff for the ongoing effort to provide quality services to individuals with developmental disabilities. Please don't hesitate to call if you have questions, concerns and comments.

cc: John O'Donnell, President, AWARE, Inc. Board of Directors
L.P. Noonan, Executive Director, AWARE, Inc.
Dain Christianson, Region 1 Regional Manager
Suzn Gehring, Region 3 Regional Manager
Tim Plaska, Bureau Chief, DDP
John Zeeck, Quality Assurance Specialist, DDP
Perry Jones, Waiver Specialist, DDP
DDP Contract File

AWARE, INC.
QUALITY ASSURANCE REVIEW
Region 1 Case Management Services
FY '07

SCOPE OF REVIEW

The purpose of this summary is to evaluate the quality of case management services provided to individuals with developmental disabilities by AWARE, Inc. Services were reviewed following the July 1, 2005 Quality Assurance Standards for Case Management. Two files were reviewed for each case manager: one client file of an individual already in DDP services, and one client file for an individual receiving Case Management services only.

All case managers were full-time. Caseloads were found to be within the limit of an average of 47 caseloads per case manager. It is interesting to note that over the year, case managers covered above the 47 limit for several months while vacant case manager positions were filled and coverage for extended medical leave.

Individuals "In Service" Files

- Client Survey – All files had a completed client survey
- Waiver 5 Form – All files had a completed Waiver 5 Form; if concerns evidence is found of follow-up at the IP.
- Services Delivered According to IP – Quarterly reports on services were present for consumers but not always up to date. Case managers receive quarterlies from service provider agencies. It is suggested if quarterlies are not received in a timely manner to write a note in the contact logs of follow-up with the provider agency on this matter. Case managers are unable to adequately perform service review for consumers without this documentation.
- Services Coordinated – Please see QAOS 1. AWARE case managers meet and exceed the expectation of this standard. Evidence of coordination was in abundance. From accessing different waiver services such as Homemaker to helping individuals participate in Special Olympics to filling out forms for Social Security and public assistance programs, it is apparent that case managers are creative and determined to find and obtain services for the consumers. AWARE is proud of what they can do to assist consumers achieve their dreams and goals. Other wonderful examples are assisting consumers in buying their own homes and prompting providers to support individuals in learning to drive and own vehicles. Consumers know they can go to the case manager for their concerns and joys.
- Abuse, Neglect & Exploitation Protocols followed – Case managers are an integral part of Developmental Disabilities Program Incident Management. Case managers are involved with weekly committees looking at incidents and trends. Of the files in this survey, there were no accounts of involvement with Adult Protective Services. Evidence is available that shows case managers are educating and empowering individuals in ways to keep safe and what to do if someone hurts them.

- Face-to-Face Contacts – With the exception of 1 consumer, all files showed significant face-to-face and indirect contacts with or on behalf of the consumer. The one file not meeting the standard of 4 direct face-to-face contacts was for a day program only client in an area where a vacant case management position was located and vacant for several months with coverage provided by other case managers.

Individuals with “Case Management Only” services

- Completed, Current Individual Service Plan – All files met this standard.
- Referrals Up-to-Date – All files that contained referrals met this standard.
- Additional Available Resources Being Accessed – Again, AWARE meets and exceeds this standard with evidence of coordination found in all files.
- Face-to-Face Contacts – Case managers have a significant number of indirect contacts with or on behalf of the consumers. Evidence shows they are available by phone and contacts by mail. The standard of 2 direct face-to-face contacts was not met in 3 out of 6 files surveyed. 1 file showed 2 additional attempts but the consumer was unwilling to open his door for the case manager. 1 file was from a case manager out on medical leave for several months (case manager was able to come back but had a relapse that was unplanned) and the other file was from the vacant case management position, the latter two being covered by other case managers. Please see suggestion below.

Conclusion

While the standards were not met in face-to-face contacts, there were extenuating circumstances in all instances. There is evidence showing effort to meet the standard. It is suggested that a notification be made in writing or email to the regional office when it looks as if those contacts will not be made due to unplanned circumstances and what effort is being made to meet the standard. Please consider advising us of your policy for back up coverage for those times when the usual case manager is not available.

AWARE, Inc. has 6 current case managers in Region 1 which encompasses a vast area in northeast Montana. Of those case managers, 4 have been in their positions for many years. Their longevity is a resource for new case managers and a benefit for the consumers they serve. The fact that case managers cover a very rural part of Montana may have contributed to lack of direct contacts. Overall, contacts were numerous for each consumer. All the files were organized and up-to-date with internal supervision. Case managers are proud of their accomplishments and show attentiveness to consumers needs, goals and dreams.