

**DEPARTMENT OF
PUBLIC HEALTH AND HUMAN SERVICES**



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Date: June 30, 2008

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

From: Sandra L. Carpenter, QIS

Subject: Quality Assurance Review FY 2008
Case Management Services for Region 1

Please find the attached Quality Assurance Report for Region 1 Case Management. I want to thank you and your staff for allowing us the opportunity to get to know the AWARE case managers through your files and on-site visits. Cindy Frederickson, QIS and I were once again shown professionalism and courtesy during this review.

This report contains findings, comments and suggestions noted during our 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.

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
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 '08

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. in Region 1. Services were reviewed following the July 1, 2007 Quality Assurance Standards for Case Management. At least 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.

Individuals "In Service" Files

- Client Survey – All files had a completed client survey; if concerns or issues, there is evidence of follow-up.
- Waiver 5 Form – All files had a completed Waiver 5 Form. A copy of the Waiver 5 is forwarded to the QIS.
- Annual IP/PSP – All files had an annual IP or PSP.
- Quarterly Reports reviewed – All files showed evidence of quarterly reports being reviewed. Case managers are able to adequately perform service review however; some reports were lagging from the providers.
- IP/PSP Revised, if needed – Evidence is present.
- Services Delivered According to IP/PSP – With the new PSP process, it hasn't always been clear on who is doing what or when. It has been a struggle for all team members to stay abreast on the changes to the system and case managers have been working extremely hard to manage this. I'd like to reserve judgment until we have a good year under our collective PSP belts. Evidence is present that case managers are starting to receive implementation strategies and evidence is present that case managers are following up when a glitch occurs.
- Services Coordinated – AWARE, Inc. case managers meet and often exceed the expectation of this standard. There are numerous examples of coordination. Consumers rely on case managers to assist them in understanding different issues from Social Security to health maintenance.
- 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.

- Provides Training in Abuse Reporting – While individuals are appraised of their right to be free from abuse, it wasn't always clear if they received any specific training. One case manager had cards made with the local Adult Protective Service number. Many individuals will answer that they would talk to their case manager if someone was to hurt them. Some will say, "Call the police." It is clear that many individuals would feel okay reporting to the case manager, a staff, a family member or the police.
- Provides Technical Assistance for Waiver Services – There are many examples in case notes of case managers talking with individuals and families about services but it is unclear if they get a "menu" of waiver services. This has not been a clear expectation for case managers this year and will not be cited. There are many services available and it might be a good idea to go through a menu of services during a pre-PSP meeting to allow the individual and/or team members to consider what the entire waiver might have to offer.
- Face-to-Face Contacts – All files met the standard of 6 face-to-face contacts per year. Files showed significant face-to-face and indirect contacts with or on behalf of the consumer. Many had over 10 face-to-face contacts.

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 often exceeds this standard with evidence of coordination found in all files.
- Provides Training in Abuse Reporting – This is the same as for those in services as mentioned above.
- 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 4 direct face-to-face contacts was not met in 2 files; however, every effort to make contact is documented. These individuals simply weren't going to be available no matter what but the case managers never quit trying and made 8-12 efforts for contact. Please keep documenting these cases where individuals are reluctant to meet.

Conclusion

While the standards were not met in face-to-face contacts for case management only services, there were extra efforts put in place to achieve those contacts to meet the standard.

AWARE, Inc. has 8 current case managers in Region 1 which encompasses a vast area in northeast and eastern Montana. Case managers are an important and vital link for services to individuals with developmental disabilities. One might even say, they are the glue that holds it all together at times! It is easy to see in person and in the files, the dedication and commitment the Region 1 AWARE, Inc. case managers have for their jobs and the people they serve. Thank you.