



# Individual Quality Review

## Section 3. Case Management

Class Member	On-Site Date	Region	Surveyor	Case Judge
CM Interview Date & Time	CM Agency:	CM Name:	CM Email:	CM Phone Number:

### Guide for Case Manager's Interview

The purpose of the interview is to gain information and insight into the perspective, knowledge, opinions, preferences, and circumstances of the person interviewed. The interview may present the Surveyor with the opportunity to observe first hand someone's communication skills, appearance, manner and working style.

Remember: these interviews are VERY stressful for individuals answering your questions.

- Begin** your interview with an introduction; thank them for their time, tell the person who you are and give a brief overview of what you are there to do, the overall aim of the review (understanding of the supports and services needed and being provided). Be clear that we know the Case Manager knows the person well and that their support is critical to the person's success, growth and safety. Be clear that we respect their opinion... that is why we interview them specifically.
- Explain** that the information provided by the case manager is very helpful to YOUR understanding of what is important to the individual. Tell the case manager that if you ask questions that don't make sense, to please ask you to state the question again or to reword the question. Do not lead the case manager to an answer and do not use words or acronyms that may not be familiar to them. Tell the person being interviewed that you will be typing their responses to ensure accuracy of the record. The person being interviewed should always be allowed to add information, even if it doesn't exactly go with the exact question being asked, but please note the additional information with the correct question later as a reference.
- Type** the interviewee's responses *verbatim*. Try not to paraphrase. **Do not prompt** the interviewee for desired answers. The Surveyor should make any needed notes at a level of detail and reference that permits the Surveyor to put the information in the context necessary to be useful in supporting the Surveyor's judgments and descriptions.
- New CM** If the Case Manager is very new (30 days or less), his or her supervisor may sit in, but the Case Manager should answer questions first. Make clear that you want the Case Manager to answer first and if the supervisor has anything to add at the end of the interview they are welcome to do so. You must record the responses from the Case Manager separate from the responses of the supervisor. It is fine to use initials, but we must know who said what.

DO NOT Even if asked directly, **do not** tell the person interviewed that anything is or is not "all right," "okay with me," does or does not "comply" with any regulation, law or requirement, or any other indication of approval or disapproval. Even if asked directly, **do not** provide technical assistance or "recommendations" to resolve or improve issues.

Change in who is being interviewed: If the person's Case Manager is not available/allowed to participate in this interview find out why and note the reason and who is giving you this information. Make these notations in your protocol under the appropriate interview. Notify the agency that you will record the answers provided but they may not be counted and the entire interview may be scored a "0". Consult with your Case Judge and Community Monitor prior to completing your protocol.

Names During the interview, whenever the protocol uses the term "(Name)" the Surveyor should use the person's name when speaking, for example, "Ms. Smith," or "Mr. Jones."

Emergencies Remember that the Case Manager may have to respond to an emergency or crisis situation during the interview. If this happens, the Surveyor should terminate the interview immediately and establish a time to reschedule or resume the interview. Do not continue to engage the person in conversation.

At the End At the end of the interview, thank the person for his/her time, information and cooperation.

Use this space to record items identified during your **record review** that you wish to specifically ask or verify with the Case Manager. During your interview find the appropriate time to pursue these issues. If the information you require is found to your satisfaction, check the box next to the item you've listed. If not, leave it blank, highlight it and use it as a reference when scoring and/or writing up your findings and recommendations summary. Use this space to identify missing information you need to ask the Case Manager for, use it to verify that recommendations have been followed, use it to ask about needed equipment/devices, etc.

Item to Verify or Request	Completed (Y/N)

CASE MANAGER'S INTERVIEW	
1.	Tell me about (Name). <i>Note: The interviewee may ask, well what do you want to know? The surveyor can respond by saying: "I've never met (Name) or don't know him/her well —so please tell me about her/him".</i>
1A.	

## CASE MANAGER'S INTERVIEW

2.	What are (Name's): a. Strengths? b. Preferences?
2A.	
3.	What do you see (Name) accomplishing in terms of skill building in the next year or two? <i>(Note: If you get a general answer, ask if there is anything specific they would like to see (Name) do/achieve?)</i>
3A.	
4.	(Verify your copy of current ISP.) Is this a copy of the IDT's current plan for (Name)? <input type="checkbox"/> Yes <input type="checkbox"/> No <i>Note: If different from what you were provided, get copy of most recent and record date of ISP you were sent and ISP provided.</i> Date of ISP you were sent: <input type="text"/> Date of most current: <input type="text"/>
4A.	
5.	If (Name) has a guardian, how often does the Guardian visit or contact (Name)?
5A.	
6.	Is the guardian responsive to (Name's) needs? <i>If yes, please provide an example. If no, please provide an example and explain what the team does.</i>
6A.	
7.	How does the guardian participate in planning and the supports that (Name) receives?
7A.	
8.	Is this level of guardianship participation appropriate for (Name)? If not, why not? <i>(Note: List measurable indicators that the level of participation is a problem, if it is.)</i>
8A.	
9.	Does (Name) have any advanced medical directives, or any end-of-life directions? If so, what are the instructions? Do you know how these were chosen? <b>If not</b> , do you know why none have been prepared?
9A.	
10.	Please describe how input from (Name) is reflected in the current ISP. <i>Note: if the person uses words to communicate you are looking for what the person said about his/her future (Visions) including how s/he wants to spend his/her days and whether or not that is reflected in the ISP. If the person does not use words to communicate, you are looking for how the team determined (through experience) the content of the ISP fits with (Name's) preferences and needs".</i>
10A.	
11.	How does the team integrate (Name's) culture, traditions, and values into the ISP and his/her everyday life? <i>Note: List specific measurable indicators, then look for verification in the notes and program records or other interviews. This question usually needs to be repeated, and needs to be taken slowly, with spacing between the words: culture—and tradition— and— values. You can explain that when thinking about culture we mean things like ethnic and or lifestyle preferences; values can include religion or family and tradition can mean things like customs passed down from generation to generation.</i>
11A.	
12.	Do the individual members of the IDT carry out their responsibilities as stated in (Name's) ISP?

## CASE MANAGER'S INTERVIEW

	<i>Note: If the case manager stated everyone does and the record review evidenced lack of a particular service or assessment or follow up, ask the case manager about the discrepancy.</i>
12A.	
13.	Has the team, including the guardian, ever failed to reach a consensus on (name's) service and support needs? <b>If Yes</b> , what was the disagreement(s) and how were they resolved?
13A.	
14.	What, if any, change in behavior has occurred during the past year? How is (Name) doing in terms of behavior?
14A.	
15.	What, if any, change in sleeping patterns has occurred during the past year? Describe. <i>Note: Try to get information (e.g., dates, records or where to get them) so you can verify this information and identify frequency.</i>
15A.	
16.	What, if any, change in overall activity levels has occurred during the past year? Describe. If you can get dates, look for frequency and measurability. <i>Note: This can be rephrased, for example: "Is (Name) more or less active than usual or more/less independent?"</i>
16A.	
17.	If any change is reported in behavior, sleeping patterns, or activity levels, was (Name) evaluated for underlying reasons (health, environment, relationships, etc.) for the change(s)? (If yes, Who conducted the evaluation? When? What type of specialist was this person? What was the outcome?)
17A.	
18.	Please describe any health-related needs (Name) may have. Please include current medical diagnoses. <i>Note: The information you receive here should be verified by the record, ask the case manager about any discrepancies.</i>
	<b>18a.</b> <i>If the person does not reference the individual's Aspiration risk, ask:</i> What is (Name's) Aspiration Risk Level?
18A.	
19.	Has the IDT discussed (Name's) health-related issues? What did they do and how did they resolve these health issues? <i>Note: They may have discussed health issues at the last Annual ISP meeting. If so, the ISP and/or meeting minutes need to reflect such, ask about any discrepancies</i>
19A.	
20.	What opportunities does (Name) have for integration with non-disabled persons?
20A.	
21.	Is (Name) employed?
21A.	
22.	Does (Name) volunteer in the community? How often? Is this an integrated opportunity?
22A.	
23.	Is (Name) a member of a group or organization? With what groups? (List all identified) How often does s/he engage with each of these groups? Are they integrated?

## CASE MANAGER'S INTERVIEW

<b>23A.</b>				
<b>24.</b>	Does (Name) have non-disabled, non-paid friends in his/her life? If so, who are they and how often does he/she get to be with and do things with these people (List by person).			
<b>24A.</b>				
<b>25.</b>	What generic services does (Name) use? <i>Generic meaning services available in the community that everyone uses (e.g., grocery store, library, stores).</i> When he/she goes to these places, is he/she with other people with I/DD? If not, how often does he/she go when he/she is NOT in a group of people with I/DD?			
<b>25A.</b>				
<b>26.</b>	Do you have any concerns that provider practices or policies restrict (Name's) ability to pursue adult relationships? <i>If yes--ask the interviewee to tell you what policies/practice and any examples they may have.</i>			
<b>26A.</b>				
<b>27.</b>	During the past year, are there services that (Name) needed that were delayed or are not in place now?			
<b>27A.</b>				
<b>28.</b>	If there was anything listed that are needed but not in place, ask: Why was the service not received by (Name)? <i>Note: If the case manager states they do not know, write that down, and then ask who would know or how the case manager/team might find that information.</i>			
<b>28A.</b>				
<b>29.</b>	Are there other services needed by (Name) now or over the next 6 months? If Yes, list services. If Yes, what actions are being taken by whom to secure the needed services? <i>Note: If the case manager states they do not know, note that, and then ask who would know or how the case manager/team can find that information.</i>			
<b>29A.</b>				
<b>30.</b>	How do you review/monitor activities of providers?			
<b>30A.</b>				
<b>31.</b>	The Therap CM site visit questionnaire does not specifically ask about progress towards outcomes, how are you monitoring and documenting progress towards outcomes?"			
<b>31A.</b>				
<b>32.</b>	What is (Name's) current status in terms of meeting and completing Outcomes and Actions Steps? Has s/he made progress or experienced regression in the following areas in the last year? If there is progress, describe it. If there has been no progress, explain why not for each area. If there is regression in any area, describe what actions have been taken by the IDT in each regressed area.			
<b>32A.</b>	<b>Life Area</b>	If there has been <b>progress</b> , identify it.	If there has been <b>no progress</b> , explain why not	If there has been <b>regression</b> , describe what actions have been taken by the IDT to address the regression.
	Live			
	Work/Learn			
	Fun/Relationships			
	Health			

## CASE MANAGER'S INTERVIEW

	Other/Non-ISP		
33.	How do you determine whether a modification of this plan is needed?		
33A.			
34.	Who supports you and your efforts to meet the needs of (Name)? Is this enough support for you? If not, why not?		
34A.			
35.	During the past year, have there been any allegations of abuse, neglect or exploitation related to (insert name)? Tell me about it.		
35A.			
36.	If you were to suspect abuse, neglect or exploitation, or note a suspicious injury, how and to what agency would you report it?		
36A.			
37.	Does (Name) have any Health Care Plans (HCPs)? <b>If yes</b> , What do these plans specifically address? <b>If No</b> , Does s/he need one? Please explain.		
37A.			
38.	Does (Name) have medical emergency response plan(s) (MERPs)? <b>If yes</b> , What do these plans specifically address? <b>If No</b> , Does s/he need one? Please explain.		
38A.			
39.	Has (Name) been taken to the emergency room or urgent care during the past year? If yes, when and why? What were the discharge instructions?		
39A.			
40.	Was (Name) admitted into the hospital in the past year? If yes, when and why? What were the discharge instructions? Was there a team meeting to discuss the admission and/or aftercare?		
40A.			
41.	Do the supports and services (Name) currently receives meet his/her needs? Explain.		
41A.			
42.	Does (Name) require any adaptive equipment or assistive technology? If yes, please tell me what is needed. <i>Note: List EVERYTHING the CM identifies:</i>		
42A.			
43.	Did (Name) receive all needed devices? If yes, are they available, in good working condition, and used across all environments? <b>If No</b> , Do you know why not? What is being done to acquire the device, to get it into working order, to get it used across all areas?		
43A.			
44.	Have you observed staff using (these devices) with (Name)? Were they doing it correctly? What were they doing that was correct/not?		
44A.			
45.	Does (Name) have a Positive Behavioral Support Plan (PBSP) in place? If yes, what are the behavioral issues in the PBSP? What are some of the strategies or interventions that are recommended in the PBSP? Do they meet his/her needs?		
45A.			
46.	Does (Name) have a Behavioral Crisis Intervention Plan (BCIP) in place? If yes, what are the behavioral issues in the BCIP? What are some of the strategies or interventions that are recommended in the BCIP? Do they meet his/her needs?		
46A.			

## CASE MANAGER'S INTERVIEW

47.	Does (Name) have a current Person Centered Assessment? Do you know the date of that Assessment? <i>(note the date given)</i>
47A.	
48.	Did (Name) and/or his/her Guardian participate in the Person-Centered Assessment? <b>If Yes</b> , ask who attended, and for the Case Manager to describe their contribution(s)
48A.	
49.	Has (Name) identified what type of work or volunteer activities he/she would like to do?
49A.	
50.	Has (Name) been offered the opportunity to participate in work or job exploration activities including volunteer work and/or trial work opportunities? <b>If yes</b> , a. What are the opportunities, and what has been done? b. Are these new experiences clearly documented in the ISP Work, Education and/or Volunteer History section? <b>If no</b> , Is (Name) trying new discovery experiences in the community to determine interests, abilities, skills and needs? <b>If No</b> , Why not?
50A.	
51.	Is (Name) engaged in the Informed Choice Project?
51A.	
52.	Has (Name's) Guardian had the opportunity to gain information on how (Name) responded during job exploration activities such as volunteering and/or trial work experiences?
52A.	
53.	Has (Name) received information regarding the range of employment options available to him/her? <b>If Yes</b> , when and what was shared?
53A.	
54.	Has (Name's) Guardian received information regarding the range of employment options available for him/her)? <b>If Yes</b> , when and what was shared?
54A.	
55.	If there are barriers to employment, has the Team addressed how to overcome those barriers to employment including, but not limited to, integrating clinical information, assistive technology and therapy supports as necessary for the (Name) to be successful in employment?
55A.	
56.	Does (Name's) Guardian support him/her working? If not, why not?
56A.	
57.	Is (Name) Working? <b>If Yes</b> , a. How many hours per week? b. How much does s/he make per hour? c. Where does s/he work? d. Is this an integrated setting?

## CASE MANAGER'S INTERVIEW

57A.	
58.	<i>If (Name) is working</i> , Does (Name) have a Career Development Plan? <i>Note: If Yes, and a copy has not been provided, request one.</i>
58A.	
59.	How long have you been employed in your current position? (Try to record the date s/he started)
59A.	
60.	What is the size of your current caseload? Of that, how many are Jackson Class Members? If you are unavailable, how is coverage provided?
60A.	
61.	How long have you been (Name)'s case manager? (If you can record month and year this person started working with this class member.
61A.	
62.	How frequently do you meet face-to-face with (Name)?
62A.	
63.	What training did you receive to assist you in working with (Name)? <i>Note: The Individual Specific Training Requirements section (previously called Addendum B) of the ISP lists training needed; compare to CM's answers, ask if there are discrepancies. Also, if they say they received individual specific training, ask them what.</i>
63A.	
	Add your additional questions here... add as many questions/rows as are needed.



## CASE MANAGEMENT SERVICES SCORING

### Ratings Guide:

A rating of "0" = No Compliance, (No)

A rating of "1" = Needs Improvement; few of the indicators are met, many are inconsistently met

A rating of "2" = Many Indicators Met, but not all

A rating of "3" = Full Compliance, (Yes)

A rating of "NA" = Not Applicable, and represents an item that does not apply to the individual being reviewed

A rating of "CND" = Can Not Determine

**You must provide an answer for every question**

For each question, your possible responses are limited to the optional responses listed. For instance, if a question does not list NA as a possible response, you may not use it.  
 Surveyors: **In your justifications use a (+) to indicate examples of compliance; Use a (-) to indicate examples of non-compliance.**

<b>24.</b>	<p>Does the case manager "know" the person?  <i>Note: We expect the CM to thoroughly describe this person's preferences, needs and circumstances, including information describing the individual's method/style of communication; personality, likes, dislikes; the individual's general routine; important people, activities, things in the individual's life; significant events that occurred or are occurring which have an impact on the individual and what s/he is doing or plans to do. Also look for description of strengths, positive attributes, things to build on, such as: communication method; work ethic; skills s/he possess; willingness to try things; willingness to participate in activities; etc. Cannot be a "3" if the case manager gives only clinical diagnoses and no personal information or vice versa.</i></p>	<b>Choose</b>
	<b>Justification:</b> <input style="width: 95%;" type="text"/>	
	<b>Case Judge Comments:</b> <input style="width: 95%;" type="text"/>	
<b>25.</b>	<p>Does the case manager understand his/her role/job?  <i>Note: We will take into consideration BOTH what the CM says during the interview about what the job is, as well as what the CM <u>has done</u> in light of the person's needs and circumstances. From the interview, refer to CM activities such as twice-monthly visits, reviewing provider data tracking sheets and semiannual reports, reviewing reports from therapists, conversations with Team members, specialty services reporting or use of Regional Office Request for Assistance Form. Consider if the CM reviewed data sheets and reports from providers and/or therapists which indicate whether or not outcomes are met. If there has been no progress on an outcome, is there evidence that consideration was given to the need to revise strategies or action steps. If there has been a significant life change, such as job status change or living situation change, was the ISP revised to reflect this? Did the CM describe how they: advocate, monitor, provide or acquire technical or other assistance as needed?</i></p>	<b>Choose</b>
	<b>Justification:</b> <input style="width: 95%;" type="text"/>	
	<b>Case Judge Comments:</b> <input style="width: 95%;" type="text"/>	
<b>26.</b>	<p>Is the case manager available to the person?  <i>Note: Is the CM making the required number of visits with the class member in different locations? Specifically, Visits twice a month, at least one of</i></p>	<b>Choose</b>

	<p><i>those times in the home. Does the CM spend time with the person so he/she knows and observes firsthand the person's needs and circumstances? Cannot be a "3" if the documentation from the record review indicates the case manager makes fewer than 2 visits per month; or all visits occur in the same location.</i></p>	
	<p><b>Justification:</b> [REDACTED]</p>	
	<p><b>Case Judge Comments:</b> [REDACTED]</p>	
27.	<p>Was the case manager able to describe the person's health related needs?  <i>Note: Since the Case Manager, as part of site visits, is required to verify that Comprehensive Aspiration Risk Management Plans (CARMPs) are available and being implemented, it is expected the case manager would provide some information which indicates that they know the person's status regarding aspiration. Also consider statements of clinical diagnoses, such as seizure disorder, high blood pressure, diabetes; symptoms the person has displayed, diagnoses the person has and what is being done to address them. For example, has been having trouble standing up from sitting in a chair, residential provider made an appointment with PCP, will go to the doctor about it next week. Also note past illnesses that may affect the person now; such as was hospitalized for pneumonia last winter so extra precautions are taken during the winter such as not going out when it is really cold, and if s/he gets a cough s/he goes to the doctor right away. If undiagnosed issues exist, the CM should outline what is being done to pursue and protect the person's overall health. Cannot be a "3" if the case manager does not, for example, mention aspiration if the person is considered to be at risk of aspiration or does not mention diabetes and the person is diabetic.</i></p>	Choose
	<p><b>Justification:</b> [REDACTED]</p>	
	<p><b>Case Judge Comments:</b> [REDACTED]</p>	
28.	<p>Does the case manager have an appropriate expectation of growth for this person?  <i>Note: The CM should articulate this person's ability, potential and natural next steps. There should be an expectation of growth. More than just the person being happy, healthy, and safe. Look for information such as: the person working at a community integrated job; living in a more independent setting; going for further formal education; learning a particular new skill or activity. Cannot be a "3" if the case manager only mentions that they would like the person to be healthy, happy, and/or safe; or to just keep going to their day program or living where they are, with no specific indication of why that's relevant to the person long term. If the person has significant health issues (i.e. on hospice) appropriate expectation could be to maintain current status.</i></p>	Choose
	<p><b>Justification:</b> [REDACTED]</p>	
	<p><b>Case Judge Comments:</b> [REDACTED]</p>	
29.	<p>Does the case management record contain documentation that the case manager is monitoring and tracking the delivery of services as outlined in the ISP?  <i>Note: Case Manager's contact notes, the site visit forms and overall record will be reviewed. If the person is not getting a service that is noted in the ISP and there is no documented evidence that the case manager is following-up on getting the service in place, this cannot be a "3". Likewise, if the person has recommendations that have been made but not followed up on and acquired timely, there should be evidence that the Case Manager knows about the issue and has acted timely with the provider. Cannot be a "3" if the documentation from the record review indicates the case manager makes fewer than 2 visits a month; or all visits occur in the same location.</i></p>	Choose
	<p><b>Justification:</b> [REDACTED]</p>	
	<p><b>Case Judge Comments:</b> [REDACTED]</p>	

30.	<p>Does the case manager provide case management services at the level needed by this person?  <i>Note: We will consider the degree (timeliness and effectiveness) to which recommendations have been followed up on, services have been provided in line with this person's needs and barriers have been identified, addressed and eliminated. If the person is not getting a service that is noted in the ISP and there is no evidence that the case manager is following-up in a timely way to get the service in place, this cannot be a "3".</i></p>	Choose
Justification:		
Case Judge Comments:		

#	Question	Score
<b>NOTE: The Scores in the right column will populate based on the answers you select above. If they are not visible, try a Print Preview.</b>		
<a href="#">24.</a>	Does the case manager "know" the person?	Choose
<a href="#">25.</a>	Does the case manager understand his/her role/job?	Choose
<a href="#">26.</a>	Is the case manager available to the person?	Choose
<a href="#">27.</a>	Was the case manager able to describe the person's health related needs?	Choose
<a href="#">28.</a>	Does the case manager have an appropriate expectation of growth for this person?	Choose
<a href="#">29.</a>	Does the case management record contain documentation that the case manager is monitoring and tracking the delivery of services as outlined in the ISP?	Choose
<a href="#">30.</a>	Does the case manager provide case management services at the level needed by this person?	Choose