



## Case Manager Quality Service Review Instructional Guide

### Introduction

Case managers should complete quality service reviews (QSRs) during the site visits for all individuals on their caseloads designated to receive case manager quality reviews. For individuals who receive both day and residential support, one quality reviews should be done at each site. For individuals who receive only day support, one quality review should be done at that day site. For individuals who receive only residential support, one quality review should be done at that residential site.

Refer to the charts titled “Case Manager Tasks” describing the requirements for planning, visits, and quality service reviews for each division. These charts are located in the *Case Manager Table of Contents* within the *Case Management* folder on the J-Drive and at the following link: [Case Manager Tasks](#).

### Case Manager QSR Tool Indicators

There are a maximum of 29 questions or indicators per service location:

Consumer Interview: 7   Observation: 10   Safety Checklist: 8\*   Documentation: 4

\* **Please note:** The safety checklist is only done for those who live in their own homes and receive in-home supports, including individualized home supports.

Case Managers will use the data application to schedule their reviews and to conduct and record the results of their reviews.

### Quality Service Review Process

- Schedule the review.  
*Please note: When new residential supports are delivered as described in the plan, the case manager quality review of residential supports should occur within the first quarter after supports have been initiated. In subsequent years, the case manager residential and day service reviews may occur at any time during the year. Reviews must occur when support staff are present and providing supports.*
- Conduct quality service review.
- Enter the results of the review in the QSR data application.
- Forward Reviews to the Provider/Vendor or the CM Supervisor, as appropriate.

### Before the Review

- Identify the individual to be reviewed.
- Notify appropriate people of the review by telephone.
  - ✓ Notify the individual and support provider, and the family or guardian as appropriate to the individual. It is not required that you obtain the family or guardian’s permission to do the review. The individual may refuse the interview, in which case the case manager should do all other components of review.

- ✓ Explain the purpose and steps of the review to those involved including how long the visit and interview typically take (approximately 1 - 2 hours)
- ✓ Confirm any supports the individual needs during the interview.
- Coordinate the date and time of the visit, and time and place of the interview and make arrangements to confirm the visit on the day of the review, if needed.
- Review the person's IP, including the Action Plan and Provider Qualifications and Training sections.

## Gathering Information

There is no strict order for the review. Gather information and rate questions and items specifically for the focus person. If you have concerns related to other people receiving services, they can be written in the general comment section of the review form, however that information should not be included when rating the indicator.

You can be flexible in how you gather information for questions and items.

- For interview indicators – first attempt to ask the question the way it is worded on the tool. If the person does not understand the question, you may reword or rephrase. Using an open-ended questioning approach is recommended. For example, instead of “Are you happy with where you live?”, you could say: “Tell me what it’s like to live here.”
- ***Please note:** A surrogate will not be asked to answer on behalf of individuals who cannot communicate for themselves or do not want to. It is not necessary to contact family member or friend to conduct the interview.*
- For observation indicators – observe the person when support staff are present and providing supports. You can be flexible in how and when you observe. Observations should be completed for supports that are provided in the community when there are no in-home supports provided. However, you are not required to observe any individuals in supported employment in business employment sites.
- For documentation indicators – if the documents you need are not present at a site, ask for them from a support person. You can also ask that information be sent to you.

## Indicator Ratings

**Met Exemplary:** Met Exemplary rating will not be utilized at this time. However, exemplary findings may be noted in the comment section.

**Met:** A quality indicator is rated met when evidence relevant to the indicator is present for an individual or vendor/provider service.

**Not Met:** A quality indicator is rated not met when evidence relevant to the indicator is not present for an individual or vendor/provider service. You must make a written comment for any indicator you rate as not met. This information will assist the provider/vendor to respond appropriately with a corrective action plan.

**Not Rated:** The indicator is applicable to an individual or vendor/provider service, but circumstances have not allowed the reviewer to evaluate the indicator.

**Not Applicable:** A quality indicator is rated not applicable when the indicator does not relate to an individual or the vendor/provider service reviewed.

## After the Review

- You may choose to share the preliminary results of the quality review with the individual and/or the supervisor on duty at the home or day service location.
- Record your ratings and comments in the QSR Data Application.
- Forward Reviews with MET and/or NOT MET/NO FOLLOW-UP REQUIRED indicators directly to the Provider/Vendor.
- Forward Reviews with NOT MET/ FOLLOW-UP REQUIRED to the CM Supervisor.
- If you encounter serious concerns that are potential jeopardy situations during the quality review, follow the attached jeopardy guidelines.

## Examples of Case Manager Follow Up Activities:

- Convene Planning & Support Team for example, when:
  - ✓ IP requires updating or revision
  - ✓ Different or additional supports are needed
  - ✓ Person is unhappy with supports or staff
- Follow Abuse and Neglect Procedure as appropriate
- Follow Jeopardy Guidelines as appropriate.

## Case Manager Corrective Action Plans (CAPs)

Following a review conducted by a State or Regional Quality Reviewer, Case Managers may receive notification in the QSR data application that a Corrective Action Plan (CAP) is required for one or more indicators identified as not met/ follow-up required. Case Managers will develop the CAP and forward it to the CM Supervisor for review. The CM Supervisor will approve the CAP and forward it to the Regional Quality Coordinator or the Resource Manager. The Case Manager will correct the identified issue by the due date.

## References

References are located in the *Quality Review Reference Materials* folder in the Case Manager Table of Contents on the J-Drive.

- Quality Service Review (QSR) Overview
- Case Manager Tasks
- Jeopardy Guidelines
- Case Manager QSR Indicator Interpretive Guidelines

Please refer to the *Interpretive Guidelines* for each indicator. If you have a question about a specific indicator, call or e-mail Fred Balicki, Quality Review Specialist Supervisor at 860 418-6088 or [fred.balicki@ct.gov](mailto:fred.balicki@ct.gov).