1. General Information – Complete all fields. Be sure to enter information accurately.

* Full Review means a Compliance & Quality (C&Q) review of all parts of a case that has reached at least IPE, up to the current date, and a Technical & Purchasing (T&P) review of information in the electronic and paper case record and of specific purchasing requirements. All sections of both the C&Q and T&P must be completed in a Full Review.

*TIP: The C&Q reviewer (the AM or UPS) assigns a T&P reviewer (typically the MSS or UST) in TxROCS at the time he or she initiates a Full Review. The C&Q reviewer and T&P reviewer can see all sections of the Full Review but can make changes only to the part of the review they are completing. Note that the AM or UPS may assign themselves as the T&P reviewer in addition to being the C&Q reviewer.*

*TIP: It’s handy to have a printed copy of the “Consumer Case Snapshot” (run from the “VR – Field Support” database) available as you do your review. This way, you don’t have to count days from application to eligibility, or from eligibility to plan, and you have other case information available without having to search through the electronic system.*

* C&Q Review – means a stand-alone C&Q review. C&Q reviews can be performed to meet local needs. When you initiate this review, TxROCS will give you the choice of selecting an “Entire” C&Q review or a “Partial” C&Q review. If you select Entire, the system ensures you complete all sections of the review. If you select “Partial”, you will decide which section(s) to complete. For example, you might perform a Partial C&Q Review on a case which has not yet reached IPE, or when you want to look at only specific parts of cases, such as eligibility.
* T&P Review - means a stand-alone T&P review. T&P reviews can be performed to meet local needs. When you initiate this review, TxROCS gives you the choice of selecting an “Entire” T&P review or a “Partial” T&P review. If you select Entire, the system ensures that you complete all sections of the review. If you select “Partial”, you will decide which section(s) to complete. For example you might perform a Partial T&P review if you want to track how your unit is purchasing prosthetics. To gather this information you may choose to complete only the Prosthetics section. For T&P reviews, TxROCS also gives you the choice of completing either the technical or the purchasing section of the review. You make this choice from the “3399 Coverage” dropdown box.
* Oversight Review means a case review or a review of a case review that is performed by regional or central office reviewers. Oversight reviews are used for monitoring case quality and as a tool to coach area managers about the case review process.

1. Performing the Compliance & Quality Review –
2. Read the entire case, from the beginning to the present, making notes as you go. As you note items (both positive and negative) that you want to address in the review, also make note of where in the process the issue occurred. The pyramid graphic can be helpful here. Review pertinent screens in the electronic case management system, (remembering that the T&P review will evaluate those screens for completeness), and documents contained in the paper case file.

*TIP: You may want to jot down key dates as you read the case: Application, Eligibility, original IPE, amended IPEs, Joint Annual Reviews, consumer contacts (especially following IPE). Don’t forget that the* [*Day Calculator*](http://darsnet.dars.txnet.state.tx.us/rhwhelp/day_calculator.htm) *is available on the* [*Programs Web Page*](http://darsnetmossx.dars.txnet.state.tx.us/en/organization/drs/programs/Pages/Programs.aspx)*. Consider printing out the IPE and any amendments to refer to as you move through the review.*

1. Before initiating a C&Q review in TxROCS, based on information in the case record (paper and electronic), determine whether the consumer is eligible for VR services. This is not the time to evaluate the counselor’s decision making process – the only question to be answered is “Is the consumer eligible?”
   * If the consumer is eligible, initiate a review and mark the appropriate box in TxROCS to continue with the review.
   * If the consumer is NOT eligible and you want to create a review for coaching purposes, you may initiate a review in TxROCS.
   * If there is not enough information in the case record to determine whether the consumer is eligible or not, do not initiate a review. Instead, coach the counselor offline regarding additional information that’s needed to determine eligibility and establish a date for re-review. Once the counselor has taken appropriate action, begin the review again.
2. Complete the remaining sections of the C&Q review..
3. For Compliance ratings, using the Case Review Guide and Supplemental Guides, determine whether each of the requirements for the area has been met. All the requirements carry equal weight, so if any requirement has not been met, mark “No” on the form. Explain the reason for the “No” rating in the appropriate location, and describe corrective actions that must be taken.

*TIP: Corrective Actions on closed cases are often not possible. You can, however, require that the counselor review pertinent sections of the RPM, CDR or other resources, and discuss them with you, as the Corrective Action.*

1. For Quality ratings, evaluate whether the case documentation reflects the Quality Standards listed in the Case Review Guide. Rate the work as “Quality,” “Competent,” or “Needs Improvement,” as defined on page 1 of the Guide. Just as you expect counselors to clearly document their decision-making process, you must clearly explain your reason for the rating given.

As a general rule, presume that the counselor’s performance in each area (Services & Closure, Plan & Planning, Counseling & Guidance or Eligibility Decision) is Competent. If the work rises to the level of Quality, you must cite specific reasons for that rating. Likewise, if the counselor’s work in an area Needs Improvement, you must cite specific reasons, and offer coaching in how to improve the work. Help the counselor understand what he/she might have done to earn a higher rating.

Remember: Competent, or even Quality, work may still warrant coaching for improvement, and an area rated Needs Improvement or Competent may also have some quality aspects which should be noted.

Make specific comments regarding Quality Indicators you identify (you are encouraged to identify and include other indicators not listed in the Guide.) Do not limit your comments to citing errors – provide feedback in a positive manner, using this review as an opportunity to coach for increased quality. Do not use the Quality Indicators as a checklist, or find fault because there isn’t evidence of any particular Indicator. Do not require corrective actions.

*TIP: Don’t restate compliance here (e.g. “Eligibility decision was made within 60 days of application.) That has already been addressed in the Compliance section.*

*TIP: Although the Counselor may be able to describe in conversation with you how and why a particular decision was made, if the documentation doesn’t meet the Quality Standards, then a lower rating is appropriate. Do not change an original rating based on your discussion with the counselor, unless, in the course of the discussion with the counselor, you identify something in the case that you missed originally. Take the opportunity to coach the counselor for better quality documentation of his/her decision making process.*

1. Overall Comments – *No rating is required*. Provide comments and coaching on the overall process as it unfolded in the course of the case. Do not reiterate comments – especially negative ones - that were made earlier in the review. *Comment specifically* on how all the individual components of the process (Eligibility, Assessing & Planning, Services, Closure) worked together to produce the outcome. Use the opportunity to coach regarding “results received” versus “results hoped for.”
2. Corrective Actions - Reviewers enter corrective actions as necessary on both the C&Q and T&P review forms in TxROCS. After the reviewer assigns a date on which the actions should be completed, TxROCS sends an email to the counselor alerting him or her that a review is ready for his or her action. As the Counselor reads the review, he or she notes Corrective Actions. The counselor may ask the RST to address corrective actions on T&P reviews. As needed, discuss the review with the Counselor. Explain ratings; answer questions. Provide positive feedback and coaching for improvement. If the due date you’ve assigned for Corrective Actions needs to be adjusted, make the necessary changes in TxROCS.

Enter a case note in the consumer record for full and partial reviews. Use the format “Full/Partial Case Review (or Technical & Purchasing Review) performed by [reviewer title] on [mm/dd/yyyy]”

1. Follow Up – The Counselor enters in TxROCS the date Corrective Actions have been completed. TxROCS sends the reviewer an email alerting him or her that the Counselor has completed the Corrective Actions. The email will also alert the reviewer to assign a validator to verify Corrective Actions have been completed appropriately. The AM or UPS validate Corrective Actions completed for C&Q reviews. The AM, UPS, MSS or UST may validate Corrective Actions completed for a T&P review. Validators review Corrective Actions to verify that they are complete, and to verify the Counselor’s understanding of the issues being addressed. If the Corrective Actions required included review of RPM, CDR or other resources, discuss the Counselor’s understanding of the information, and provide further coaching as necessary. If Corrective Actions have not been completed adequately, the Validator discusses with the counselor what must be done. When the Validator is satisfied that the Corrective Actions have been completed appropriately, he or she selects the “Completed Validation” button on the Actions page in TxROCS. When the validation is complete and the case review is final and no further changes may be made.