

# Missouri Case Management QA Review

## Summary Report of Cases

		Yes	No	NA	Total Appl.	% Yes
<b>Application to Eligible</b>	1 Documentation of comprehensive application interview (9-13)	13	0	0	13	100.0%
	2 Documentation the individual has a physical or mental impairment (9-13)	13	0	0	13	100.0%
	3 Documentation the impairment constitutes or results in substantial impediment (9-13)	13	0	0	13	100.0%
	4 Documentation that vocational rehabilitation services are required to enable the individual to prepare for, enter into, engage in, or maintain employment (9-13)	13	0	0	13	100.0%
	5 SSI/SSDI documentation used to presume eligibility (9-13)	0	0	13	0	
	6 Existing information used as primary source for eligibility, when appropriate (9-13)	12	0	1	12	100.0%
	7 Eligibility determined within 60 days, or extension properly justified (9-13)	13	0	0	13	100.0%
	8 Eligibility determined in a timely manner (2 weeks) of receipt of records or proof of benefit (9-13)	12	1	0	13	92.3%
	9 Appropriate functional limitations for Disability Priority (9-13)	12	1	0	13	92.3%
	10 Appropriate Disability Priority determined (9-13)	13	0	0	13	100.0%
	11 Client notified of appointment within 2 weeks of Eligibility Determination (9-13)	13	0	0	13	100.0%
<b>Section Sub Totals</b>		127	2	14	129	98.4%
<b>Eligible to Service</b>	1 Case file documents vocational planning and guidance activities with client to assist in establishing an appropriate vocational goal (9-13)	18	2	2	20	90.0%
	2 Documentation reflects counselor is an active participant in the client's rehab services (9-13)	16	1	5	17	94.1%
	3 Documentation is goal directed and includes next plan of action (9-13)	17	1	4	18	94.4%
	4 Counselor followed through as indicated in goal directed documentation (9-13)	14	3	5	17	82.4%
	5 Informed choice documented (9-13)	18	3	1	21	85.7%
	6 If IPE not developed in a timely manner (90 days), justification documented (9-13)	7	4	11	11	63.6%
<b>Section Sub Totals</b>		90	14	28	104	86.5%

# Case Management QA Review

## Comments Report

	<p>Financial Needs Assessment was completed prior to services - great! Be sure to complete the entire form; 2014 Estimated Household Income is not completed; Unemployment income in 2013 should also be included; recommend using the comments section on the Fin Application to explain any income discrepancy. Be sure to complete the Financial Needs Assessment before any further financial needs based services.</p>
	<p>Case moved quickly to Eligible status. Strengthen documentation of the vocational planning and guidance activities you have done with client to assist her in establishing appropriate vocational goal. Documentation indicates client is comfortable talking with VRC but hesitant to venture out to work with a provider - this is an opportunity in which VRC can establish a G &amp; C plan working with client addressing issues such as interviewing, job development etc... as client has been able to complete/submit job applications independently. This will keep the case moving forward for the client.</p>
	<p>Documentation indicates VRC has a good relationship with provider. Strengthen documentation of communication VRC has with client while in Service status - remember that even though client is working with a provider, active VRC participation is needed to ensure client has a good VR experience. Remember to document quarterly staff meetings with client and provider while job development services are being provided and until employment is obtained. These meetings provide an opportunity to process issues and offer support and encouragement.</p>
	<p>Good luck assisting client in overcoming the barriers that are interfering with his success.</p>
	<p>Remember to document follow through of goal directed next action documentation. Using time frames with your goal directed next action documentation helps to keep the case moving forward and the client engaged.</p>
	<p>Case moved fairly quickly into Employed status and client seems to be very pleased so far with her job. Keep up the good follow up with client while in Employed status in order to help client with maintaining the job and to provide encouragement.</p>

# Quality Assurance Case Management Performance Appraisal Report

	Yes	No	NA	Total Appl.	% Yes
Provides appropriate guidance and counseling throughout the life of the case leading to a great VR experience.	22	2	21	24	91.7%
Conducts a thorough initial interview to understand client's values, goals and needs.	13	0	0	13	100.0%
Appropriately identifies client's limitations and determines eligibility and SD classification (appropriate functional limitations)	12	1	0	13	92.3%
Appropriately identifies client's limitations and determines eligibility and SD classification (appropriate Disability Priority)	13	0	0	13	100.0%
Conducts a comprehensive assessment to effectively assist client in developing an individualized IPE with a goal that is likely to lead to successful employment.	15	0	10	15	100.0%
Facilitates informed choice regarding goals, services, and providers.	32	4	16	36	88.9%
Justifies and documents substantial services leading to a successful employment outcome.	5	0	0	5	100.0%
Utilizes existing records and/or pursues additional information appropriately to expedite case movement.	12	0	1	12	100.0%
Determines eligibility in a timely manner (not to exceed 60 days) or properly justify the extension.	13	0	0	13	100.0%
Works with clients to develop an initial IPE to expedite services, providing justification when exceeding 90 days past determination of eligibility.*	7	4	11	11	63.6%
Maintains monthly contact with clients in employed status.	10	2	3	12	83.3%
Collaborates with clients, providers, partners, and businesses.	29	5	13	34	85.3%

**NOTE:** When using this information to assist with performance ratings, consider there may be a margin of error given the manner AWARE stores data.

\* "Yes/No responses represent whether the IPE delay was justified. An "N/A" response represents the IPE was developed prior to 90 days or the case was placed inactive.



Review Title

Date Completed  
June 17, 2015

TYPE OF REVIEW

Probationary

Counselor II

District Office

Other

On June 11, 2015, Quality Assurance randomly selected cases from THIS caseload to review work from approximately early December to present. Cases solely in Application status and those which were recently transferred to the counselor were not reviewed.

STATUS OF CASES WHEN REVIEWED

Eligible = 9	Service =11
Service-J = 0	Service-I = 2
Employed = 6	Closed-R = 6
Closed-O = 6	PES = 0

NUMBER OF CASES REVIEWED 40

CASE REVIEW SUMMARY: TRENDS NOTED FROM QA RESPONSES

Strengths (responses with 93% or better performance):

- Application interviews were comprehensive.
- Documentation for eligibility determination reflected individuals had a physical or mental impairment that constituted or resulted in a substantial impediment and vocational rehabilitation services were required to enable the individual to prepare for, enter into, engage in, or maintain employment.
- Maximizing VR resources, counselor used existing information as a primary source for eligibility, when appropriate.
- Eligibility was determined within 60 days, or an extension was properly justified.
- Counselor determined appropriate Disability Priorities.
- Clients were notified of appointments within 2 weeks of being determined eligible for services.
- During Eligible status, documentation reflected the counselor was an active participant in the client's rehabilitation services.
- When providing services based on financial need, financial guidelines were met. In the few situations when needed, the counselor obtained documentation of current income and appropriate federal tax returns.
- Financial Needs Assessments were appropriately completed.
- Counselor developed and reviewed IPEs directly with the client prior to service authorization.
- Documentation reflected the vocational goal considered the client's unique strengths, resources, priorities, concerns, abilities, capabilities, interests, informed choice and need for rehab tech.
- Counselor created amended IPEs due to a change in vocational goal, provider of rehabilitation services, and/or primary services.
- For clients receiving Supported Employment services, the counselor developed a partnering relationship with providers.
- High school cases were coded as Transition when opened. Current IEPs and diagnostic summaries/evaluations were on file. IPEs were developed prior to the client's graduation, COOP was identified in Special Programs after the IPE was developed, and post-secondary planning was documented.

Consistent (responses from 85% to 92.9% performance):

- Counselor acted with a sense of urgency by determining eligibility within about 2 weeks of receiving records or proof of Social Security disability benefit.
- Appropriate functional limitations for Disability Priorities were chosen.
- Counselor documented vocational planning and guidance activities with the client to assist in establishing an appropriate vocational goal.

Recommendations (responses below 85% performance):

- Strengthen justification for time in Eligible status when an IPE is not developed in a timely manner (90 days).
- Be sure to conduct quarterly staffings within 90 days with client and provider during job development when employment is not obtained.

# Missouri VR Fiscal QA Tool Questions & Supplemental Information

Fiscal QA Review: College Costs (Payments created between June 01 - December 31)

Aware Review Set Name: College

<u>Fiscal QA Tool</u>	<u>Supplemental Information for Reviewers:</u>	<u>Resources:</u>
Payment Request ID	(enter Aware Payment Request ID here)	
<b>RAAN</b>		
Does this Authorization and Payments satisfy the RAAN Test (Reasonable, Allocable, Allowable & Necessary)?		<a href="#">OMB Uniform Grant Guidance</a>
<b>Authorization</b>		
Were Services Authorized Appropriately?	Was the authorization issued prior to the purchase/service start? Does the IPE support the service? Was the service authorized to the vendor designated on the IPE? Was the correct Procedure Code utilized? Was Nearest Tax Supported College Guideline followed? Or documented exception?	<a href="#">Client Services Guide (CSG)</a> <a href="#">Frequently Used Procedures.xlsx</a>
<b>Invoice Requirements:</b>		
Did invoice contain all components required by federal regulations and state statute?	<p><b>Invoice:</b></p> Is there an original invoice present in the case file supporting the payment? Is the invoice mathematically accurate? Does the invoice include: Correct vendor name and address? Billed to Vocational Rehabilitation? Appropriate client identifier? Service date(s)? Itemized description of services provided? Invoice Date? Total Amount Billed/Due? <b>Appropriate markups:</b> Date Received? Date Paid? Bill Payer initials verifying valid invoice? VRC initials/signature verifying receipt of service? Do the service dates reflected on the invoice fall within the Authorization service dates?	<a href="#">Client Services Guide (CSG)</a> <a href="#">Verification of Services Memo</a> <a href="#">MVR Invoice Approval Requirements</a> <a href="#">College Fee Listing</a>
	<p><b>Payment:</b></p> Was the payment processed timely? Is there documented independent VOS present prior to payment? Was payment made to the correct vendor? Was the correct amount paid? Does the amount paid tie to supporting documentation? Was Missouri Sales Tax handled appropriately? Is there documentation in the case file verifying receipt of goods/service? (itemized receipt, report, records, etc.) Was payment amount reduced by grants & gift aid appropriately?	

 Indicates that follow-up may be necessary

# Missouri VR Fiscal QA-Summary of Review Report

*Report: Fiscal-College (2year) 01-15, Fiscal-College (4 year) Part I 01-15, Fiscal-College (4 year) Part I Addition and 2 more*

		<b>Yes</b>	<b>No</b>	<b>NA</b>	<b>Total Appl.</b>	<b>% Yes</b>
<b>College</b>	2 Does this Authorization and Payments satisfy the RAAN Test (Reasonable, Allocable, Allowable & Necessary)? (01-15)	131	7	0	138	94.9%
	3 Were Services Authorized Appropriately? (01-15)	100	38	0	138	72.5%
	4 Did invoice contain all components required by federal regulations and state statute? (01-15)	86	52	0	138	62.3%
<b>Section Sub Totals</b>		317	97	0	414	76.6%
<b>Totals</b>		317	97	0	414	76.6%

*Number of cases reviewed: 138*

# Missouri VR Fiscal QA Statewide Comment Report

Fiscal QA Review-College Tuition 012015

General Comments
Thorough casenotes. Good contact with client following payment for services.
Excellent use of rehab. tech. for a client with significant limitations. Very good VRC involvement. Case was easy to follow.
Great casework!!
Nice job at keeping client engaged via numerous contacts by VRC
Case notes document very consistent client contact.
Very thorough plan review casenote. Very easy to follow case.
Excellent Plan review case note on 6/10/14.
VRC did a nice job of coordinating services
Case was extremely organized and easy to find items.
Nice work by VRC - distance cases are always challenging.
Case is easy to follow.
Interesting case with good RAAN documentation even though it did not meet the definition of a 2 or 4 year college case.
Well documented case.
Very thorough IPE.

Does this Authorization and Payments satisfy the RAAN Test (Reasonable, Allocable, Allowable & Necessary)?
Authorization not issued prior to service start.
Good documentation of RAAN.
Excellent documentation of RAAN.
Most recent IPE lists NTID/RIT as chosen provider, but all verbiage and written justification is for NTIS not RIT.
Authorization not issued prior to purchase/service
Good documentation of RAAN.

Were Services Authorized Appropriately?
Authorization not issued prior to service start.
Authorization not issued prior to service start date.
Authorization not issued prior to service start date.
Service authorized to vendor not designated on IPE. Strengthen documentation to show why client is no longer eligible for pell grant.
Authorization not issued prior to purchase/service start, pell grant was applied to invoice but could provide the award letter/strengthen documentation.
VRC might want to strengthen why client is attending Gaillaudet
Used wrong procedure code - should of been CLT0yTF not CLT2yTF
Moving forward, need documentation in Aware justifying out-of-state tuition rate over VR Max Rate.
Invoice billing for 8/25/14-12/10/14; however, authorization did not start until 9/8/14.
Good documentation of financial aid status.
Incorrect procedure code used to authorize services.
Appears UMMSL rate used (\$315.80/hour) but fee schedule lists \$274/hour as VR max. May want to clearly indicate that UMMSL is nearest 4 year school in area.
Updated IPE needs to be completed to reflect new Service Categories

Missouri VR Fiscal QA District Office Comment Report

Case Review Set Name	Reporting Structure	Case/Load	Participant Name	Case Master ID	Case Review Set Detail Other Comments Narr	Case Review Item	Case Review Item Response	Case Review Item Comment
Fiscal-College (4 year) Part II 01-15	Kansas City North			21193	Great casework!!	Payment Request ID (01-15)	3-N/A	961213
Fiscal-College (4 year) Part II 01-15	Kansas City North					Does this Authorization and Payments satisfy the RAAN Test (Reasonable Allowable Allowable & Necessary)? (01-15)	1-Agree	
Fiscal-College (4 year) Part II 01-15	Kansas City North					Were Services Authorized Appropriately? (01-15)	1-Agree	
Fiscal-College (4 year) Part II 01-15	Kansas City North					Did invoice contain all components required by federal regulations and state statute? (01-15)	1-Agree	
Fiscal-College (4 year) Part II 01-15	Kansas City Downtown			24790	Nice job at keeping client engaged via numerous contacts by VRC	Payment Request ID (01-15)	3-N/A	957462
Fiscal-College (4 year) Part II 01-15	Kansas City Downtown					Does this Authorization and Payments satisfy the RAAN Test (Reasonable Allowable Allowable & Necessary)? (01-15)	1-Agree	
Fiscal-College (4 year) Part II 01-15	Kansas City Downtown					Were Services Authorized Appropriately? (01-15)	1-Agree	
Fiscal-College (4 year) Part II 01-15	Kansas City Downtown					Did invoice contain all components required by federal regulations and state statute? (01-15)	1-Agree	
Fiscal-College (4 year) Part I 01-15	Kansas City North			57213		Payment Request ID (01-15)	3-N/A	
Fiscal-College (4 year) Part I 01-15	Kansas City North					Does this Authorization and Payments satisfy the RAAN Test (Reasonable Allowable Allowable & Necessary)? (01-15)	2-Disagree	
Fiscal-College (4 year) Part I 01-15	Kansas City North					Were Services Authorized Appropriately? (01-15)	1-Agree	
Fiscal-College (4 year) Part I 01-15	Kansas City North			76700	Good financial file organization	Payment Request ID (01-15)	3-N/A	944144
Fiscal-College (4 year) Part I 01-15	Kansas City North					Does this Authorization and Payments satisfy the RAAN Test (Reasonable Allowable Allowable & Necessary)? (01-15)	1-Agree	
Fiscal-College (4 year) Part I 01-15	Kansas City North					Were Services Authorized Appropriately? (01-15)	1-Agree	
Fiscal-College (4 year) Part I 01-15	Kansas City North					Did invoice contain all components required by federal regulations and state statute? (01-15)	1-Agree	
Fiscal-College (4 year) Part II 01-15	Kansas City North			125863	VRC authorized appropriately and was in good contact with client and school	Payment Request ID (01-15)	3-N/A	961628
Fiscal-College (4 year) Part II 01-15	Kansas City North					Does this Authorization and Payments satisfy the RAAN Test (Reasonable Allowable Allowable & Necessary)? (01-15)	1-Agree	
Fiscal-College (4 year) Part II 01-15	Kansas City North					Were Services Authorized Appropriately? (01-15)	2-Disagree	Used wrong procedure code - CLT4yTF - should be CLT2yTF
Fiscal-College (4 year) Part II 01-15	Kansas City North					Did invoice contain all components required by federal regulations and state statute? (01-15)	1-Agree	
Fiscal-College (2year) 01-15	Kansas City North			130019	VRC is a great advocate and very supportive of the client.	Payment Request ID (01-15)	3-N/A	
Fiscal-College (2year) 01-15	Kansas City North					Does this Authorization and Payments satisfy the RAAN Test (Reasonable Allowable Allowable & Necessary)? (01-15)	3-N/A	
Fiscal-College (2year) 01-15	Kansas City North					Were Services Authorized Appropriately? (01-15)	1-Agree	
Fiscal-College (2year) 01-15	Kansas City North					Did invoice contain all components required by federal regulations and state statute? (01-15)	2-Disagree	No documentation stating why payment was not processed timely
Fiscal-College (4 year) Part II 01-15	Kansas City Downtown			136181		Payment Request ID (01-15)	3-N/A	978797
Fiscal-College (4 year) Part II 01-15	Kansas City Downtown					Does this Authorization and Payments satisfy the RAAN Test (Reasonable Allowable Allowable & Necessary)? (01-15)	1-Agree	
Fiscal-College (4 year) Part II 01-15	Kansas City Downtown					Were Services Authorized Appropriately? (01-15)	2-Disagree	IPE does not support service and service authorized to vendor not designated on IPF
Fiscal-College (4 year) Part II 01-15	Kansas City North			137413		Payment Request ID (01-15)	3-N/A	977160
Fiscal-College (4 year) Part II 01-15	Kansas City North					Does this Authorization and Payments satisfy the RAAN Test (Reasonable Allowable Allowable & Necessary)? (01-15)	1-Agree	Good documentation of RAAN.
Fiscal-College (4 year) Part II 01-15	Kansas City North					Were Services Authorized Appropriately? (01-15)	1-Agree	
Fiscal-College (2year) 01-15	Kansas City North			150332		Payment Request ID (01-15)	3-N/A	961209
Fiscal-College (2year) 01-15	Kansas City North					Does this Authorization and Payments satisfy the RAAN Test (Reasonable Allowable Allowable & Necessary)? (01-15)	1-Agree	
Fiscal-College (2year) 01-15	Kansas City North					Were Services Authorized Appropriately? (01-15)	2-Disagree	Incorrect procedure code used to authorize services.
Fiscal-College (2year) 01-15	Kansas City North					Did invoice contain all components required by federal regulations and state statute? (01-15)	2-Disagree	No documentation stating why payment was not processed timely
Fiscal-College (4 year) Part II 01-15	Kansas City North			151449	Very thorough IPE which documented RAAN for vocational goal and services. Wonderful letter from client to VRC thanking VRC for all she has done.	Payment Request ID (01-15)	3-N/A	961874
Fiscal-College (4 year) Part II 01-15	Kansas City North					Does this Authorization and Payments satisfy the RAAN Test (Reasonable Allowable Allowable & Necessary)? (01-15)	1-Agree	Excellent RAAN on IPE
Fiscal-College (4 year) Part II 01-15	Kansas City North					Were Services Authorized Appropriately? (01-15)	1-Agree	
Fiscal-College (4 year) Part II 01-15	Kansas City North					Did invoice contain all components required by federal regulations and state statute? (01-15)	2-Disagree	No independent VOS prior to payment for services. Be sure to enter range of dates for service dates. Entered start date of school for both start and end date of invoice.
Fiscal-College (2year) 01-15	Kansas City Downtown			151704		Payment Request ID (01-15)	3-N/A	959960
Fiscal-College (2year) 01-15	Kansas City Downtown					Does this Authorization and Payments satisfy the RAAN Test (Reasonable Allowable Allowable & Necessary)? (01-15)	1-Agree	
Fiscal-College (2year) 01-15	Kansas City Downtown					Were Services Authorized Appropriately? (01-15)	2-Disagree	Authorization not issued prior to service start date.
Fiscal-College (2year) 01-15	Kansas City Downtown					Did invoice contain all components required by federal regulations and state statute? (01-15)	2-Disagree	Independent Verification of Services not present prior to payment
Fiscal-College (2year) 01-15	Kansas City Downtown			156344	IPE # 3 created- vendor change- client signature required. Client working- Good job.	Payment Request ID (01-15)	3-N/A	974896
Fiscal-College (2year) 01-15	Kansas City Downtown					Does this Authorization and Payments satisfy the RAAN Test (Reasonable Allowable Allowable & Necessary)? (01-15)	1-Agree	
Fiscal-College (2year) 01-15	Kansas City Downtown					Were Services Authorized Appropriately? (01-15)	1-Agree	
Fiscal-College (2year) 01-15	Kansas City Downtown					Did invoice contain all components required by federal regulations and state statute? (01-15)	1-Agree	
Fiscal-College (2year) 01-15	Kansas City North			157335	Case notes documented consistent client contact and case file was organized.	Payment Request ID (01-15)	3-N/A	974838