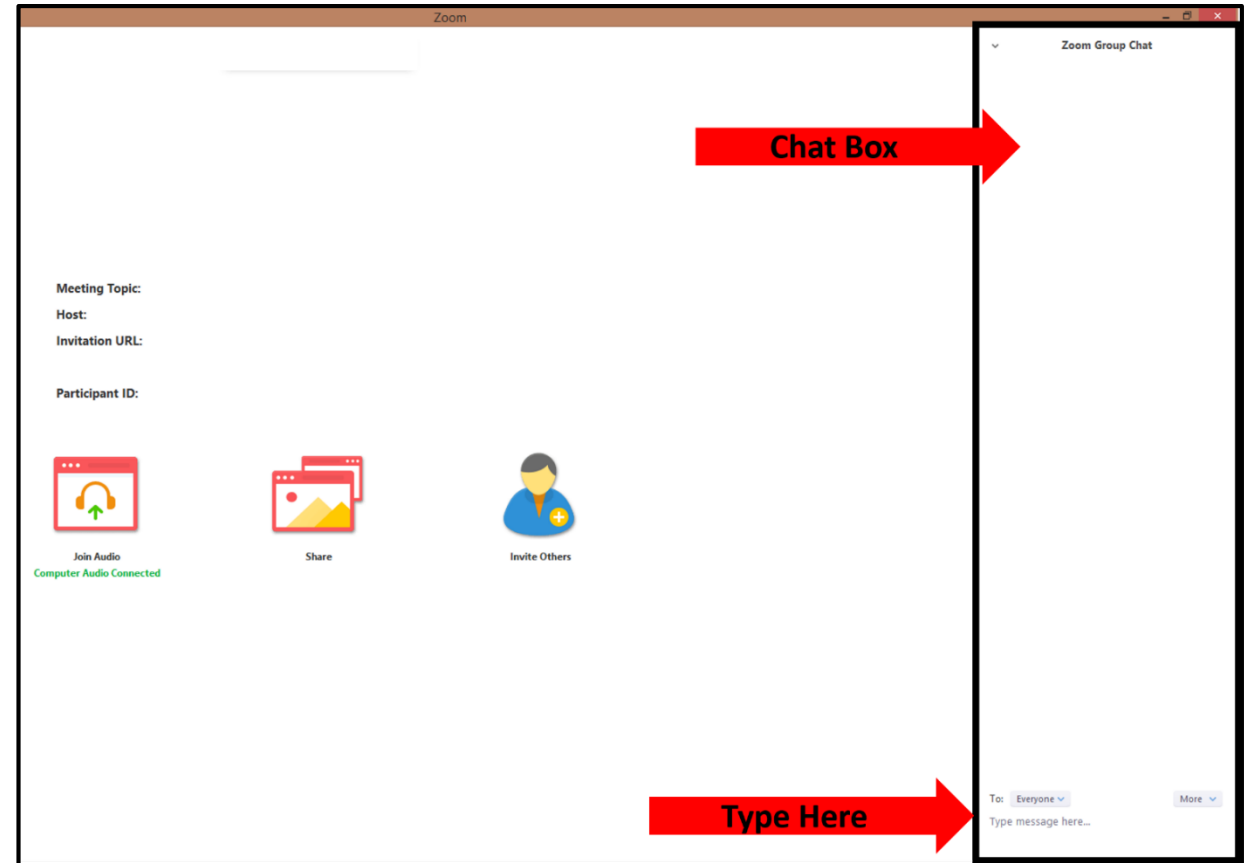


Instructions

While in Zoom, please use the Chat Box on the bottom right of your screen and enter:

- Your Name and Job Title
- Your Program Name
- Your Tribe's Greeting



Conducting AIVRS Consumer Case File Reviews

April 23, 2019

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General Guidelines for Participating Through Zoom

- When someone is speaking and you want to chime in, enter your comments in the chat box.
- The narrator will respond to the chat box comments and provide you the opportunity to talk.
- Questions, comments, and recommendations are welcome.
- Everyone's experience is valued, please share, and allow time for others to share as well.



Conducting AIVRS Consumer Case File Reviews

AGENDA

1. Learning Outcomes
2. Conducting a Consumer Case File Review
3. Future webinars and conference-Save the dates
4. End of Event Evaluation



2. Learning Outcomes

Upon completion of the webinar (on your own) you will be able to:

- | | |
|------|--|
| LO-1 | Access the AIVRS Case File Review Tool through the AIVRTTAC Website (PDF and Excel formats) |
| LO-2 | Identify the evaluation components of the AIVRS Case File Review Tool |
| LO-3 | Demonstrate an understanding of how to implement the AIVRS Case File Review Tool |
| LO-4 | To develop an understanding of the roles and responsibilities of AIVRS Staff with conducting an AIVRS Case File Review |
| LO-5 | To develop an understanding of how to incorporate the use of the AIVRS Case File Review Tool as a part of program management |

Why conduct a consumer case file review?

- Audience participation
- Please write and enter your responses in the chat box

Why conduct a consumer case file review?

- To identify case management practices that inform good data collection and data management, and data reporting.
- For AIVRS counselors to assess their own case management practices.
- To develop common case management practices among AIVRS counselors.
- To train new VR Counselors and support staff.
- To improve program performance and increase employment outcomes.



The AIVRS Case File Review Tool

AIVRS CASE FILE REVIEW TOOL

INTRODUCTION



The AIVRS Case File Review Tool is designed for use by AIVRS staff in monitoring the vocational rehabilitation (VR) service process, provision, and documentation. The AIVRS Case File Review Tool was adapted from a document originally "created" by Dick Corbridge. The AIVRS Case File Review Tool addresses Eligibility, IPE development, and IPE use and can also be used to gain a greater understanding of the VR Counselor's work with consumers, as well as areas where policy might be improved. The instrument can be used as both an opportunity for training as well as program evaluation. AIVRS Directors and counselors that learn to use the instrument can begin to monitor their practices through case file reviews. The case file review provides an important evaluative component for programs to gather data and identify strengths and areas for improvement in case management. By using this instrument, the goal is for AIVRS staff to identify strategies and practices that will improve program performance and successful employment outcomes.

Find the Tool on
the
AIVRTTAC.org
website

In PDF and Excel Versions

AIVRS CASE FILE REVIEW TOOL

Program Name	
Date Reviewed	
Name of Reviewer	
Is the case open or closed?	
If closed, please select one of the following outcomes: <ul style="list-style-type: none">• Successfully with an IPE• Before application (at referral)• Before eligibility (at application)• Before IPE• With an IPE (unsuccessfully)	
Case File Number	



The Development of the AIVRS Case File Review Tool

- Through technical assistance, the AIVRTTAC team discovered case management is a common AIVRS program need
- Developed for AIVRS Programs to conduct internal reviews
- Guided by a previously developed instrument of Dick Corbridge
- Addresses the stages of the VR Process including Eligibility, IPE development, IPE implementation, State Partnership and Confidentiality
- Can be used individually or jointly between AIVRS Directors/Managers, VR Counselors and staff



Beginning the Review- Step 1

- Review the Case File Review Tool and become familiar with the questions
- Determine your guidelines for using the tool
 - Sample set of files or individual files
 - Group review (Group Learning), Director Review, VR Counselor Review
 - PDF or Excel version
- Identify case file numbers for improved management of data collection
- Consider consumer confidentiality and signed release of information (ROI) documents

Conducting the Review- Step 2

- Select a case file to review and complete the demographic portion of the tool
- Begin with completing each section of questions in the toolkit
 - “Yes, No, I don’t know” are appropriate answers when reviewing
- Provide comments in comment column
 - Comments confirm evidence of good strategies and provides direction to make improvement with case management

Reviewing the Results- Step 3

- Review the data results for “% of Required Indicators met”
- Identify the practices by VR counselors that contribute to the indicators met with a high percentage
- Identify indicators being met with a low percentage, and identify possible explanations for a low percentage
- Developing consistency
 - Set targets and develop a case management plan to achieve high percentage indicators
- Implement your plan and set a timeline to follow up by conducting a second case file review

Using the AIVRS Case File Review Tool

AIVRS CASE FILE REVIEW TOOL

INTRODUCTION



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AIVRS CASE FILE REVIEW TOOL



Program Name	
Date Reviewed	
Name of Reviewer	
Is the case open or closed?	
If closed, please select one of the following outcomes: <ul style="list-style-type: none">• Successfully with an IPE<ul style="list-style-type: none">• Before application (at referral)• Before eligibility (at application)<ul style="list-style-type: none">• Before IPE• With an IPE (unsuccessfully)	
Case File Number	

A Sample Case File Review

- Review a completed case file review

SAMPLE- AIVRS CASE FILE REVIEW TOOL



SAMPLE

Directions: This form can be completed electronically or printed and completed by hand. The pdf of the printed version is available on the website. If completing electronically, when you click on the cell to insert your answer, a small box with a downward arrow may appear to the right of the cell. Click on this arrow and a drop down menu for your answer options will appear.

Program Name	The AIVRS Program	
Date Reviewed	1/1/2019	
Name of Reviewer	The AIVRS Counselor	
Is the case open or closed?	Open	
If closed, please select an outcome from the drop-down menu. Options include: Successfully with an IPE; Before application (at referral); Before eligibility (at application); Before IPE; or With an IPE (unsuccessfully)		
Case File Number	1012019	

Section A: Eligibility

(A signed ROI is needed to obtain relevant information regarding eligibility.)

Yes/No/Don't know

Comments

1 Is there a signed and dated AIVRS application for services?	yes	
A. If yes, please write the date of application in the comments section.		1/1/2018
B. If no, please briefly explain in comments section.		
2 Is the applicant a member of a federal or state recognized tribe?	yes	
A. Are supporting documents provided (e.g. tribal identification cards or the Certificate of Degree of Indian Blood or Certificate of Degree of Alaska Native)? <i>(CDIB is only used as supporting documentation if it is what is used by the Tribe to determine membership. A letter should be requested from the Tribe stating that the CDIB is the Tribe's method of membership.)</i>	yes	Tribal ID Card



3	Does the applicant live on or near the reservation, and in the designated service area?	yes	
	A. Are supporting documents provided (e.g. address on utility bill, map, description of location, or village name)?		Provided a utility bill with address
4	Is there a case note or documentation that indicates the applicant or representative has been notified in writing of the following rights:		
	A. to an impartial due process hearing?	yes	The AIVRS counselor documented this in their case notes.
	B. to pursue services from the Client Assistance Program (CAP)?	No	No evidence found in case notes or IPE documents
	C. that all personal information collected will be treated as confidential?	yes	A general statement addressing due process, and confidentiality is on the application form and signed by the consumer. The AIVRS program provides a copy of rights and responsibilities to each applicant.
5	Does the applicant have a documented mental or physical impairment? <i>(Review correspondence and/or case notes to ensure there is documentation of the disability or impairment included in the case file.)</i>	yes	Case notes of interview with the AIVRS consumer. Supporting evidence provided by medical providers.
	A. Does the impairment cause substantial impediment to employment? Please explain in the comments section. <i>(In addition to any program document, such as a "severe disability statement" form, please review case notes and notes on intake interview to ensure there is a clear indication in the case file of how the consumer's disability or impairment effects potential employment.)</i>	no	Indian Health Service medical records and case notes.
6	Does the applicant require VR services to achieve an employment outcome? <i>(Review case notes and notes on intake interview to ensure there is a clear indication in the case file of how VR services will reduce barriers to employment caused by consumer's impairment. Review case notes to ensure there is a reasonable expectation of benefit from an employment outcome.)</i>	yes	Documented on the determination of eligibility form found in the case file.

7	Was the applicant determined eligible within 60 days of the application or agreed to an extension of time? <i>(Compare signature date on application to eligibility determination date.)</i>	no		
	A. Please write the date of eligibility determination in the comments section.		3/8/2018-67 days there are no case notes indicating an extension or communication to inform the consumer	
Section B: IPE Development		Yes/No/Don't know	Comments	Evidence (where applicable)
1	Is there evidence that the consumer and VR counselor <i>worked together</i> to develop the IPE (i.e. signatures from both consumer and counselor)? <i>(Review case notes to ensure they identify the actions taken in IPE development by the consumer and VR counselor.)</i>	yes	Case notes	
2	Is the vocational goal (description of the specific employment outcome) consistent with the consumer's strengths, resources, priorities, concerns, abilities, capabilities, interests, and informed choice? Please provide a brief description of evidence (e.g. Eligibility form, Case notes, Medical documentation, Interests Listed in Application) <i>(Review case notes and notes on intake interview to find information about consumer's strengths, resources, interests, etc.)</i>	yes		
3	Does the consumer IPE <i>clearly describe</i> the vocational rehabilitation services needed to achieve an employment outcome? <i>(Review case notes to ensure they support that the IPE service is needed to achieve the employment outcome. Consider using an ROI where necessary.)</i>	yes		
	A. Is the employment outcome provided in an integrated setting? <i>(Review case notes to ensure they identify the appropriate integrated setting specifically designed for each consumer.)</i>	yes		
4	Is there evidence that assistive technology (AT) needs were addressed? <i>(Review case notes to ensure the intake and IPE address whether or not AT is required. Consider using an ROI where necessary.)</i>	no		

A. If AT is needed, does the IPE describe the service and training needed to manage such services? <i>(Review case notes to ensure they complement the IPE and VR language.)</i>			
5 Is there evidence that personal assistance services were addressed? <i>(Review case notes to ensure the intake and IPE address whether or not PA services are required. Consider using an ROI where necessary.)</i>	no		
A. If personal assistance services are needed, does the IPE describe the service and training needed to manage such services? <i>(Review case notes to ensure they complement the IPE and VR language.)</i>			
6 Were the timelines for the consumer achieving the employment outcome clearly identified in the IPE? <i>(Review case notes to ensure that IPE timelines were established.)</i>	yes		
7 Were the timelines for the initiation of services clearly identified in the IPE? <i>(Review case notes to ensure they address the reason for established service initiation timelines.)</i>	yes		The IPE is dated and signed by the consumer and the VR Counselor
8 Were all the dates to start each consumer service clearly stated in the IPE?	yes		Each consumer service provided has unique start dates.
9 Were all the dates to finish each consumer service clearly stated in the IPE? <i>(Review case notes to ensure they address the reason for the end of service dates.)</i>	yes		Each consumer service provided has unique end dates.
10 Is there a clear description of the service providers chosen by the consumer, or as appropriate, by the consumer's representative, who will provide services? <i>(Review case notes to ensure they support the IPE.)</i>	yes		
A. Is there a clear description of the methods to procure such services? <i>(Review case notes to ensure they support the IPE.)</i>	yes		The VR Counselor indicates who is responsible for procuring each service.

11	Is there a clear description of how progress toward an employment outcome will be evaluated (i.e. milestones towards progress)? Please provide evidence (e.g. Short and long-term vocational goals, Clear case notes to document progress, Objectives in IPE, Benchmarks listed to achieve goal) <i>(Review case notes to ensure they support the description of progress.)</i>	no		
12	Do the IPE and corresponding case notes clearly describe the terms, conditions, and responsibilities of: <i>(Consider using an ROI where necessary.)</i>			
	A. the consumer in relation to an employment outcome?	yes		
	B. any third-party agency (tribal, state VR) in relation to an employment outcome?	no		
	C. the AIVRS program in relation to an employment outcome?	yes		
13	Does the consumer have a significant disability that might involve a supported employment setting? <i>(Review case notes to ensure they describe the setting and reasoning.)</i>	no		
	A. For a consumer with the most significant disabilities, is there a description of an appropriate employment outcome in a supported employment setting? <i>(Review case notes to ensure they include a detailed description of the situation.)</i>		Not applicable	
14	Was the consumer informed that post-employment services are available if required and upon request? <i>(Review case notes to ensure they describe the post-employment services conversation.)</i>	no		
15	Is there clear evidence that the consumer, and/or representative, signed the IPE and were provided a copy of the IPE? <i>(Review case notes to ensure they demonstrate that the consumer and/or representative was provided a copy of the IPE. Consider using an ROI where necessary.)</i>	yes	The signed IPE by the AIVRS consumer has a statement about receiving a copy of the IPE.	

16	Is there clear evidence that an annual review of the consumer IPE took place and amendments to IPE were made as needed? <i>(Review case notes to ensure they support the IPE review and dates of amendments. Consider using an ROI where necessary.)</i>	yes		
17	Is there evidence that culturally appropriate services were provided to the consumer throughout the provision of services? <i>(Review activities listed in IPE as well as case notes for evidence of culturally appropriate services.)</i>	yes		
Shared Case with State VR <i>(Obtain an ROI before sharing information about consumers.)</i>		Yes/No/Don't know	Comments	
1	Was there state VR agency involvement in this case? <i>(Review case notes to ensure they demonstrate that the consumer was offered State VR services.)</i>	no		
	A. If yes, is there clear evidence in the IPE that this case was shared with the State VR agency? <i>(Review state document and case notes to ensure they detail and monitor state involvement.)</i>		Not applicable	
2	Is there clear evidence that the State VR Agency contributed to the consumer's vocational rehabilitation costs? <i>(Review tribal and state procurement documentation and case notes.)</i>		Not applicable	
Confidentiality		Yes/No/Don't know	Comments	
1	Are there ROIs for each of the above noted categories where information about a consumer is shared between or across specific agencies? <i>(Separate ROIs are required for every agency with whom information is shared.)</i>	Yes	Signed ROIs are in the case file folder from behavioral health services and the local school agency	

Evaluating the Data

- What do the results tell you?
- If reviewing multiple case files, what do the patterns of responses tell you?
- Do the responses indicate any need to provide training to individual staff members or to the team as a whole?
- Are there case management practices that are particularly strong or need improvement?

Benefits to Conducting Case File Reviews

- Develops confidence with conducting internal case file reviews to monitor your case management practices
- Develops the capacity among AIVRS staff members to understand the importance of making sense of the data for program improvement and reporting
- Informs AIVRS staff development training needs to improve the VR process and case management
- Informs the roles and responsibilities of each AIVRS staff member are impacted from conducting a review

AIVRTTAC Webinars/Conference-SAVE THE DATE

Topic	Date	Presenters
Developing Your AIVRS Program Policies and Procedures Manual Register here	May 28, 2019	Lee Gaseoma, Wayne Dagele, Winona Reid
Talking Circle: Case Management and Policies and Procedures	June 25, 2019	The AIVRTTAC Team
The Ripple Effect: AIVRS Program Implementation, Outcomes, and Storytelling- AIVRS meeting and IHD Conference	July 14, 15, & 16 Location: Scottsdale, AZ	The AIVRTTAC Team and partners with Assistive Technology and Evidence Based Practices



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Complete the Survey

Please complete the evaluation using the following link –

Case File Review Webinar Survey

NORTHERN ARIZONA UNIVERSITY

I believe my participation in the Grant Management Talking Circle has the potential to benefit individuals who access AIVRS services at my program site.

Strongly agree

Somewhat agree

Neither agree nor disagree

Somewhat disagree

Strongly disagree

My perspectives were acknowledged and respected during the AIVRTTAC Grant Management Talking Circle.

Strongly agree

Somewhat agree

Neither agree nor disagree