

AAA Case Management Worksheet					Section 10-CM
Review Section: D=Desk Review O=On-site Review	Requirement Reference	Available On-site	Review Questions	Compliance Yes/No	On-site Training Area: If "No" identify issue, list Training, and set Outcome (Outcome is what needs to be implemented)
D10-CM-1	PM 8.9.	Determine through staff interview and documentation	Are supportive service plans signed by the client or legal representative prior to initiation of services?		Issue: Training: Outcome:
D10-CM-2	PM 8.11.4.	Determine through staff interview and documentation	Does AAA complete NAPIS Registration Information?		Issue: Training: Outcome:
D10-CM-3	PM 8.11.4.	Determine through staff interview and documentation	Does AAA complete the ICOA approved assessment instrument (ICAT)?		Issue: Training: Outcome:
D10-CM-4	PM 8.11.4.	Determine through staff interview and documentation	Does AAA track pertinent correspondence relating specifically to the client?		Issue: Training: Outcome:
D10-CM-5	PM 8.11.4.	Determine through staff interview and documentation	Does AAA track a narrative record of client and community contacts, including problems encountered and SSP modifications developed in response?		Issue: Training: Outcome:
D10-CM-6	PM 8.11.4.	Determine through staff interview and documentation	Does AAA complete SSP, and get it signed by the client?		Issue: Training: Outcome:
D10-CM-7	PM 8.11.4.	Determine through staff interview and documentation	Does AAA get written consent and acceptance of Case Management Services and release of information forms signed up client?		Issue: Training: Outcome:
D10-CM-8	PM 8.11.4.	Determine through staff interview and documentation	Does AAA track any other documentation necessary for systematic case management and SSP continuity?		Issue: Training: Outcome:
D10-CM-9	IG CM	Determine through staff interview and documentation	Are all referrals for CM service screened by Information and Assistance (I&A)?		Issue: Training: Outcome:
D10-CM-10	IG CM	Determine through staff interview and documentation	Are referrals to CM made when results of screening or follow-up meet all requirements for CM service referral?		Issue: Training: Outcome:

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D10-CM-11	IG CM	Determine through staff interview and documentation	Do referrals accepted by CM include the following?		Issue: Training: Outcome:
		Determine through staff interview and documentation	1. I-CAT, Section One (Intake and Screening) 2. Section Two (Eligibility, Consent and Referral) 3. Supporting documentation		Issue: Training: Outcome:
D10-CM-12	IG CM	Determine through staff interview and documentation	Does CM return all referral to I&A that do not meet all requirements for CM service?		Issue: Training: Outcome:
D10-CM-13	IG CM	Determine through staff interview and documentation	Is a comprehensive assessment completed during program intake to collect information necessary for development of an individual supportive service plan (SSP)?		Issue: Training: Outcome:
D10-CM-14	IG CM	Determine through staff interview and documentation	To determine level of need and type of service needed, is the I-CAT, Section One (Intake and Screening), Section Two (Eligibility, Consent and Referral), and Section Three (SSP) utilized?		Issue: Training: Outcome:
D10-CM-15	IG CM	Determine through staff interview and documentation	Are only eligible clients authorized for services funded through the OAA or Idaho Senior Services Act?		Issue: Training: Outcome:
D10-CM-16	IG CM	Determine through staff interview and documentation	Is the development of the Supportive Service Plan completed during a CM in- home assessment?		Issue: Training: Outcome:
D10-CM-17	IG CM	Determine through staff interview and documentation	Is the SSP developed from information documented in the following areas of the consumer file?		
			1. I-CAT Section One (Intake and Screening): Unmet needs and service gaps identified during the assessment.		Issue: Training: Outcome:

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			2. I-CAT Section Two (Eligibility, Consent and Referral): a. Justification for service authorization b. Components of each service authorized (i.e. units of service). c. Anticipated duration of service (i.e. start date and end date)		Issue: Training: Outcome:
			3. Case notes: a. Unmet needs identified during the assessment. b. Exploration of informal and formal opportunities. c. Those involved in service planning.		Issue: Training: Outcome:
			4. I-CAT Section Three (SSP): a. Overall goals and objectives to be achieved. b. SSP actions tasked to CM. c. SSP actions tasked to consumer, family and other informal services. d. References to formal services arranged as part of SSP. e. Document the anticipated schedule for: CM monitoring – I&A follow-up – SSP Review		Issue: Training: Outcome:
D10-CM-18	IG CM	Determine through staff interview and documentation	Is monitoring conducted by means of telephone conversation or written correspondence with the consumer, family, formal providers and others identified in the supportive service plan to make sure formal and informal supports are provided?		Issue: Training: Outcome:
D10-CM-19	IG CM	Determine through staff interview and documentation	Is monitoring done until the SSP is fully implemented?		Issue: Training: Outcome:
D10-CM-20	IG CM	N/A	Does the CM conduct a reassessment of an SSP, by means of telephone conversation, when the following conditions have been met?		

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			1. Information gathered through follow-up indicates a necessity for reassessment of the SSP due to changes in the consumer's circumstances.		Issue: Training: Outcome:
			2. The consumer agrees to accept CM service and follow-up findings meet all requirements for CM service referral.		Issue: Training: Outcome:
D10-CM-21	IG CM	Determine through staff interview and documentation	Are CM services terminated when:		
			1. Implementation of SSP results in an increase of family or other available formal or informal supports to the consumer?		Issue: Training: Outcome:
			2. The consumer's needs can be met through I&A?		Issue: Training: Outcome:
			3. Any reason has been met to discontinue AAA authorized service per IDAPA?		Issue: Training: Outcome:
D10-CM-22	IG CM	Determine through staff interview and documentation	Are consumers notified in writing of the reason for termination of service, and the right to appeal at least 2 weeks prior to termination?		Issue: Training: Outcome:
D10-CM-23	IG CM	Determine through staff interview and documentation	Is the documentation of notice maintained in consumer file?		Issue: Training: Outcome:
D10-CM-24	IG CM	Determine through staff interview and documentation	Are the Area Agencies on Aging employees providing the Case Management services?		Issue: Training: Outcome:
D10-CM-25			Is CM service referral and priority for service based on findings of the ICAT?		Issue: Training: Outcome:
D10-CM-26			Do the working agreements address at least the following:		
			How long each party will take to respond to a request for service;		Issue: Training: Outcome:

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			Release of information procedures;		Issue: Training: Outcome:
			Referral and follow-up procedures;		Issue: Training: Outcome:
			How each party will notify the other of program changes and non-availability of service; and		Issue: Training: Outcome:
			Procedures for working out problems between the two (2) parties.		Issue: Training: Outcome:
D10-CM-27	PM 5.2.1.H.		Does CM have desk procedure to ensure that case management services will—		
			not duplicate case management services provided through other Federal and State programs		Issue: Training: Outcome:
			be coordinated with I&A		Issue: Training: Outcome:
			give each older individual seeking services through CM a list of agencies that provide similar services within the jurisdiction of the area agency on aging		Issue: Training: Outcome:
			give each older individual seeking services through CM a statement specifying that the individual has a right to make an independent choice of service providers and documents receipt by such individual of such statement		Issue: Training: Outcome:
			act as agents for the individuals receiving the services and not as promoters for the agency providing such services		Issue: Training: Outcome:

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D10-CM-28	PM 8.8.2.		Does CM have a desk procedure to ensure referrals indicating a crisis or potential crisis such as a marked decline in health or functional status, hospital discharge, or adult protection referral, which require a home visit, being conducted to assess service need within two (2) working days of receipt of referral?		Issue: Training: Outcome:
D10-CM-29	PM 8.11.2.		Does each AAA carry insurance covering case management services in the types and amounts which meet acceptable business and professional standards?		Issue: Training: Outcome:
D10-CM-30	PM 8.11.3.		Does each AAA conduct an orientation program for all new case management employees which covers, at least, local resources available, case management service delivery, confidentiality of information, and client rights?		Issue: Training: Outcome:
D10-CM-31	PM 8.13.		Does the AAAs have a procedure to assure case management meets the requirements for service neutrality?		Issue: Training: Outcome:
D10-CM-32	PM 8.14.		The AAA is responsible for monitoring case management activities for quality control and assurance. Does the AAA review client records to determine the following:		
			Services are being provided as outlined in the SSP;		Issue: Training: Outcome:
			Services are meeting the goals established in the SSP;		Issue: Training: Outcome:
			The client is satisfied with the service being provided;		Issue: Training: Outcome:

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			Changes in service have been authorized;		Issue: Training: Outcome:
			The SSP continues to be cost-effective;		Issue: Training: Outcome:
			Providers are noting observations and relating information about informal caregivers, additional actions required by the case manager, re-evaluations, amendments to the SSP, and client contacts.		Issue: Training: Outcome:
D10-CM-33	IG CM. PG 2		Is Case Management service conducted during working hours of which the Area Agency on Aging (AAA) office is open for transaction of normal business each day except weekends and holidays?		Issue: Training: Outcome:
D10-CM-34	IG CM. PG 2		Does CM have desk procedure in place to ensure CM Program intake is conducted task of CM within appropriate time frames for Normal Intake and Emergency Intake:		
			Normal Intake – Are consumers contacted within 5 days of receipt of the referral, and an in-home assessment conducted within 2 weeks of receipt of referral from I&A?		Issue: Training: Outcome:
			Emergency Intake – Are home visits and assessments done within 2 working days of receipt of referral from I&A?		Issue: Training: Outcome:

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D10-CM-35	IG CM. PG 2		Does the CM have a desk procedure to ensure that applicants are notified in writing of the reason for denial of service, and the right to appeal?		Issue: Training: Outcome:
D10-CM-36	IG CM. PG 4		Have the individuals that are providing Case Management services participated in all training necessary to ensure proficiency of the program, services, rules, regulations, policies and procedures?		Issue: Training: Outcome:
D10-CM-37	IG CM. PG 4		Do the AAA employees who provide case management services meet the qualifications, as defined in IDAPA, for Case Management Supervisor, Certified Case Manager, and Supportive Services Technician?		Issue: Training: Outcome: