



# Case Management Audits 2023-2024

## Summary & Recommendations

By  
 Claire Purkis  
 Purkis.Claire@countyofdane.com  
 Aging Program Specialist, AAA Dane County

Xinyue Zhang  
 University of Wisconsin Madison Masters in Social Work  
 Student

Feb 20, 2024

## Case Management Program Description

This program funds professional and confidential client-centered case management services that are **culturally and linguistically appropriate to financially eligible clients, age 60+ who live in Dane County. Financially eligible is determined as falling below 240% of the Federal Poverty Level. Client-centered and client/family-centered case management acknowledges the importance of respecting each client's values and beliefs, and their right to confidentiality, and self-determination and/or familial determination.**





**Numbers -**  
10 clients per FP  
picked from 610  
reports for 2023 ( 15  
for NewBridge) Most  
clients selected had  
more than 10 hours  
of service per year.



## AUDIT METHODOLOGY

**Visits -** In  
person visit -  
consisted of  
initial  
conversation  
with CMs, and /  
or FP Director,  
file review,  
short wrap up  
comments  
followed by  
written report



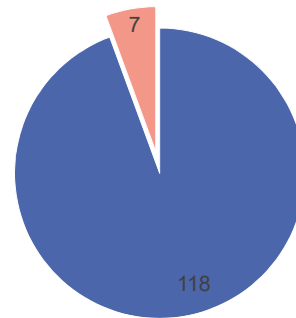
**Reports -**  
reviewed data  
provided in audit  
and made specific  
recommendations  
as well as general  
recommendations  
for the future



## Case Notes



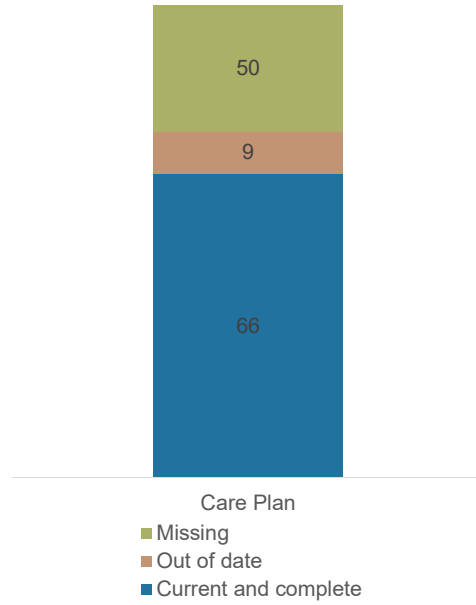
12 Focal Points: 125 clients audited  
118 detailed, concise and informative



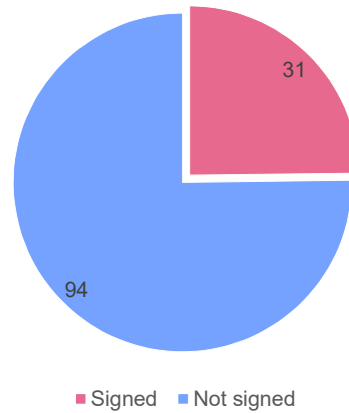
- Detailed, concise and informative
- Lacking some information

# Care Plan

12 Focal Points: 125 clients audited
66 Current and complete
9 Out of date
50 Missing



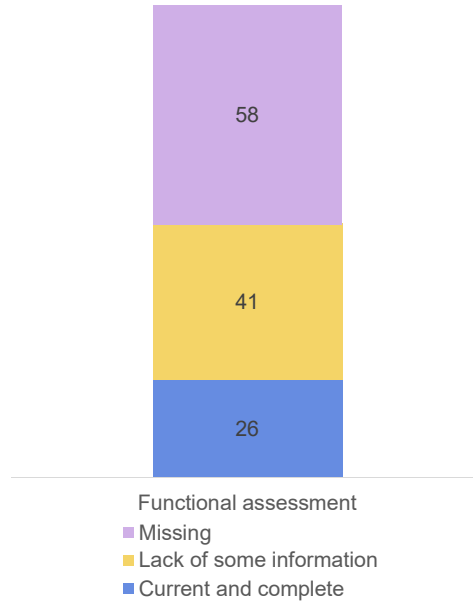
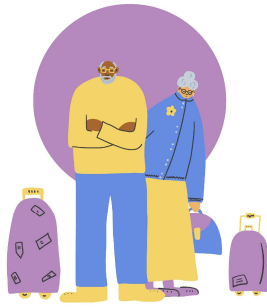
# Care Plan Signed and Copy Given to Client



12 Focal Points: 125 clients audited
31 Signed

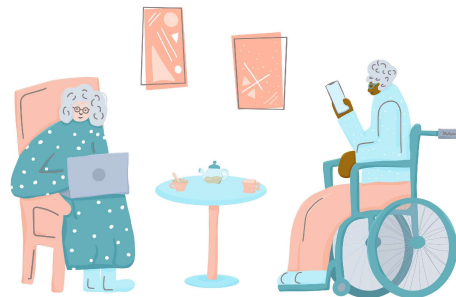
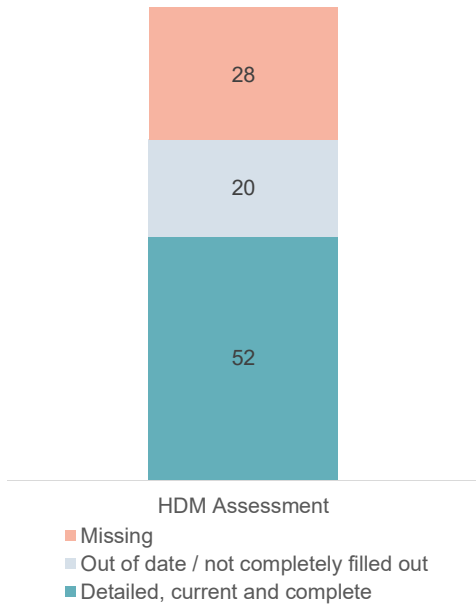
## Functional Assessment

12 Focal Points: 125 clients audited
26 Current and complete
41 Lack of some information: ADL or IADL score, PHQ-2, symptom check, substance abuse, suicide risk assessment
58 Missing



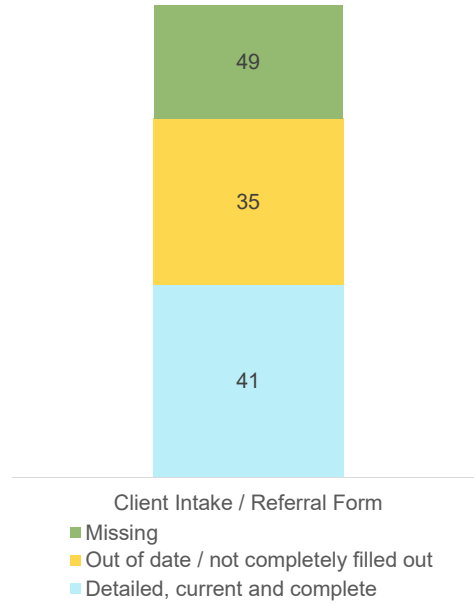
## Home Delivered Meals Assessment

12 Focal Points: 100 clients audited
52 Detailed, current and complete
20 Out of date / not completely filled out
28 Missing

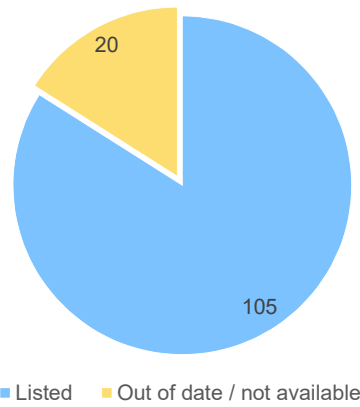


# Client Intake / Referral Form

12 Focal Points: 125 clients audited
41 Detailed, current and complete
35 Out of date / not completely filled out
49 Missing



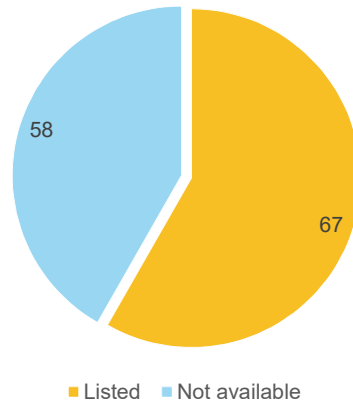
12 Focal Points: 125 clients audited
105 Listed



# Care Team and Emergency Contacts

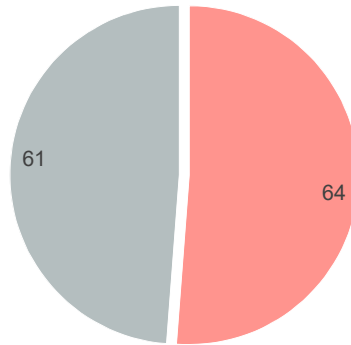
# Financial Information

12 Focal Points: 115 clients audited  
67 Listed

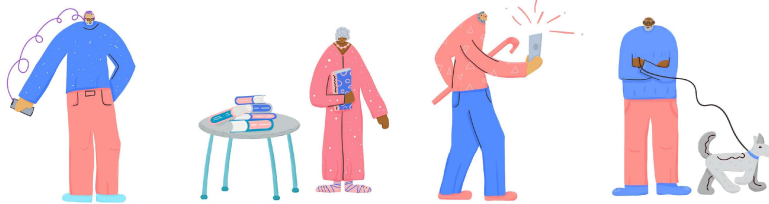


# Releases of Information

12 Focal Points: 125 clients audited  
64 Listed and current



Listed and current    Out of date / not available



# Powers of Attorney

Not a required element but something to consider for clients who have no or few natural supports / relatives and where CM may have to act on their behalf / get further involvement / intervention.



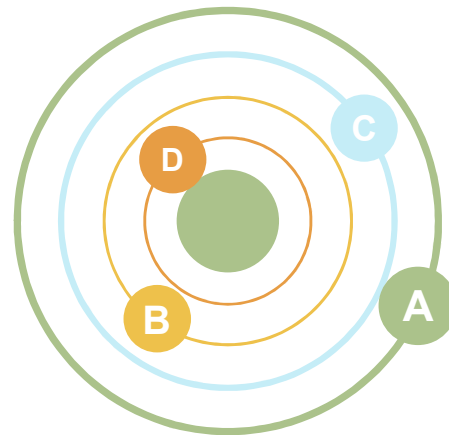
# Impressions



## Relationship is key:

“Case managers are charged with building a trusting relationship with their client and/or client and family and one that seeks to empower such that clients and/or families will feel safe in discussing what they need in order to restore or maintain interdependent and/or independent functioning to the fullest extent possible. Building this relationship is a necessary foundation for linking the client and/or family with systems that include advocacy, services, resources, and opportunities.”

**Case managers are doing a fantastic job building trusting and respectful relationships with the clients! Well done!**



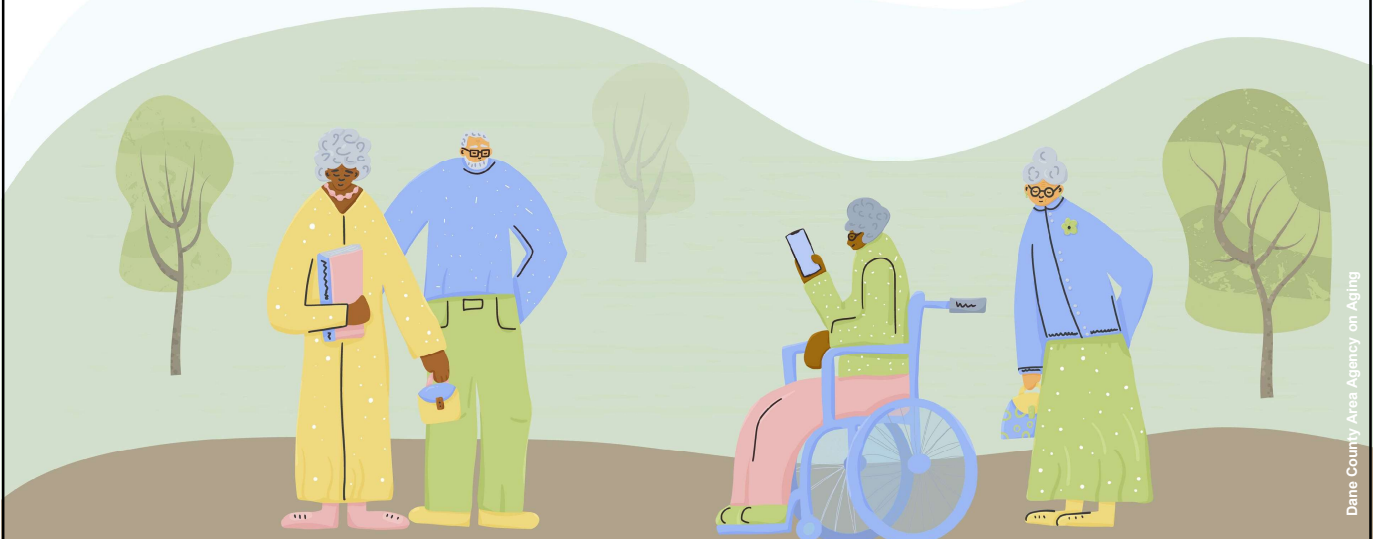


**Redundancy:** there is a lot of redundancy in the paperwork that is currently making the work inefficient, laborious and slowing the case managers down.

**Multiple record systems:** using multiple recording systems for different parts of the records is also inefficient and somewhat cumbersome. It also raises issues of confidentiality.

**Accountability:** CMs may need guidance and support from FP leadership/Staff leads to adhere to CM standards, build accountability, standardize documentation and work on quality assurance.

## Recommendations



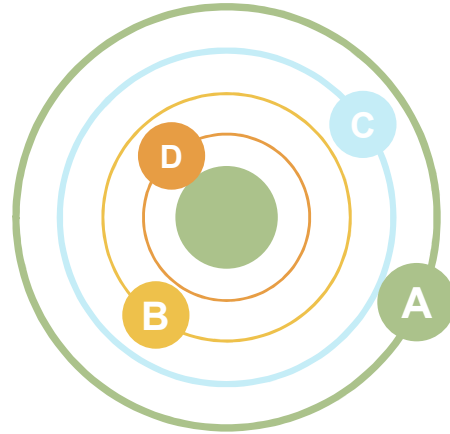


# Assessments

- Functional assessment
- HDM assessment
- Safety assessment
- Intake assessment

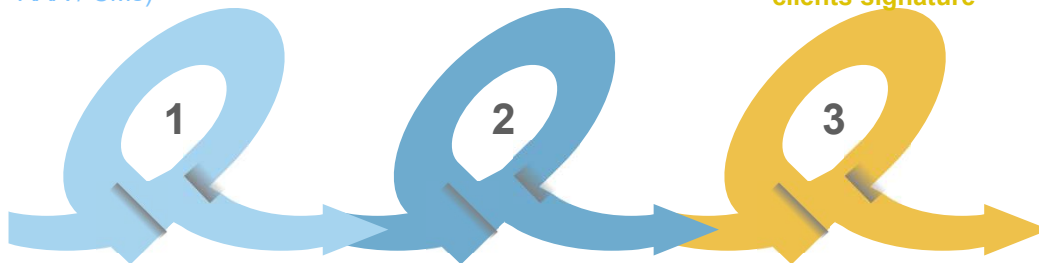
These assessments - if you do all of them - are repetitive and redundant and can be combined and streamlined into one form.

Future plan: Revisit the assessments (AAA & CMs) and create a robust assessment form.



# Care / Service Plans

- Care Plan form needs to be updated and streamlined into a fillable form that can be edited (to be addressed by AAA / CMs)
- Clarity is needed about how often form is to be updated with the client (to be addressed by AAA / CMs)
- Clients need to review and sign / date the plan and be provided a copy of it for their records. CM should sign / date underneath clients signature

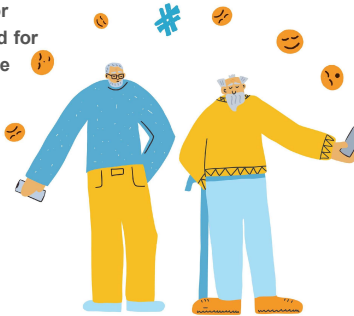


## Eligibility

“The client must be age 60 (or older), live in their own home, apartment, or home of a family member, and fall below 240% of the Federal Poverty Level. Clients eligible for Targeted Case Management (e.g., Medical Assistance) or for case management paid for by any Waiver program (e.g., Family Care, IRIS, Partnership) are not eligible for case management under this program. Three exceptions are allowed:

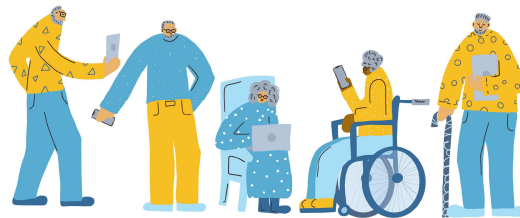
1. Clients requesting a home-delivered meal assessment/clients requiring a home-delivered meal reassessment,
2. Medicare Part D enrollment assistance,
3. Referrals from DCDHS Adult Protective Services.”

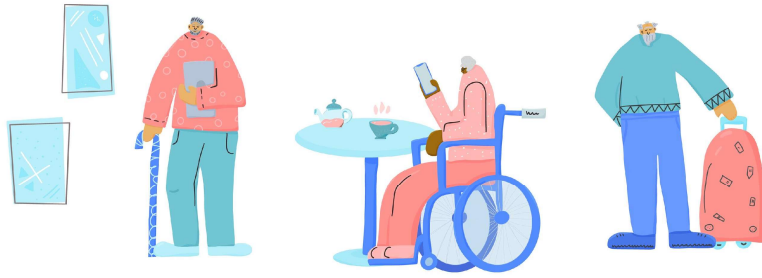
**We need to ensure that clients know what program they are enrolling in, and that they are eligible for that program by providing information / documentation**



## Other important elements

- Releases of information
- Care Team / Emergency Contacts

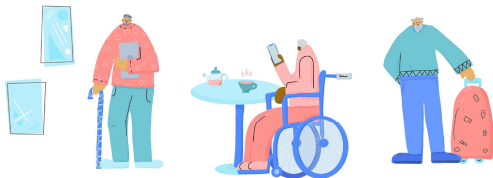




- Safeguarding of documents
- Reportable hours
- Uniformity of Practice

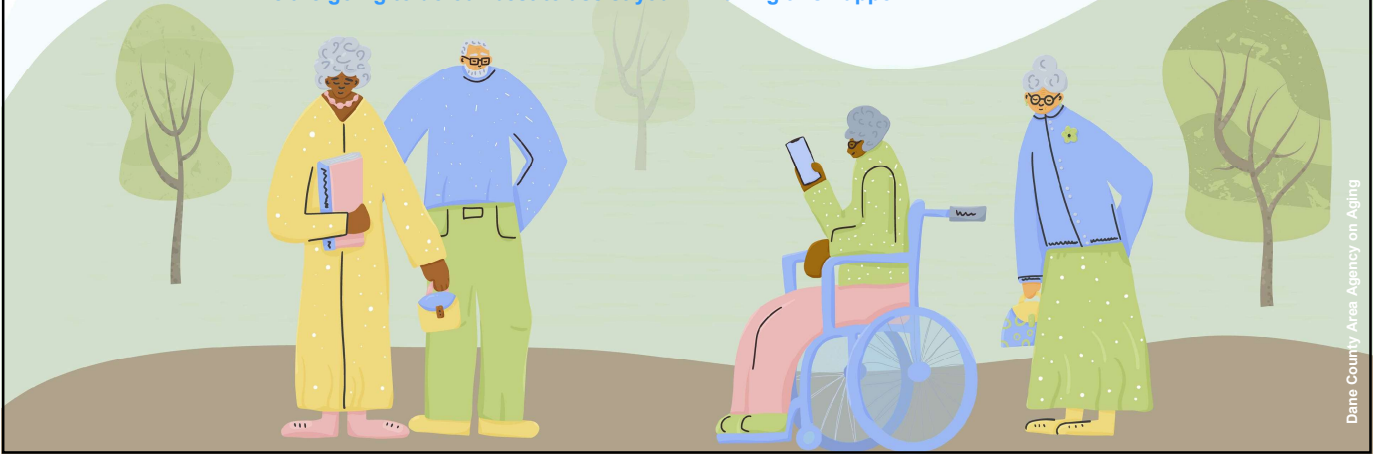
## Participation Agreement / Clients Rights / Grievances

- Many human service agencies create a participation agreement and have clients sign it at the start of services - this is a recommendation.
- Consider producing a clients' rights and responsibilities charter that deals with the clients' rights and responsibilities as well as those of the agency/ senior center.
- Consider creating a grievance policy and procedures and share it with all clients (happy to share examples if needed)



# Conclusions

- In general the CMs are doing a very good job of providing the clients with quality services. Documentation does not always reflect this.
- Updated and streamlined documentation systems could improve this issue.
- Focal Points should consider using electronic records for some if not all of the documentation – most Focal Points are doing this to some extent.
- We are going to do our best to assist you in making this happen



## Q & A

Designed by

Xinyue Zhang

University of Wisconsin Madison Masters in Social Work Student

Claire Purkis

Aging Program Specialist

Dane County Area Agency on Aging