



# *Promising Practices Series:* Spotlight on Case File Quality Assurance

Prepared by USCCB/MRS  
Diocesan Development and Support



# Purpose of this Webinar

To highlight some of the promising practices in case file quality assurance used by:

- **Catholic Charities of Arlington, VA**
- **Catholic Charities of Houston, TX**



# Learning Objective:

Through presentations from two USCCB/MRS local diocesan resettlement programs, participants will increase their knowledge to ensure a high standard of quality in their office's R&P and MG case files.



# Different Approaches to Case File Quality Assurance

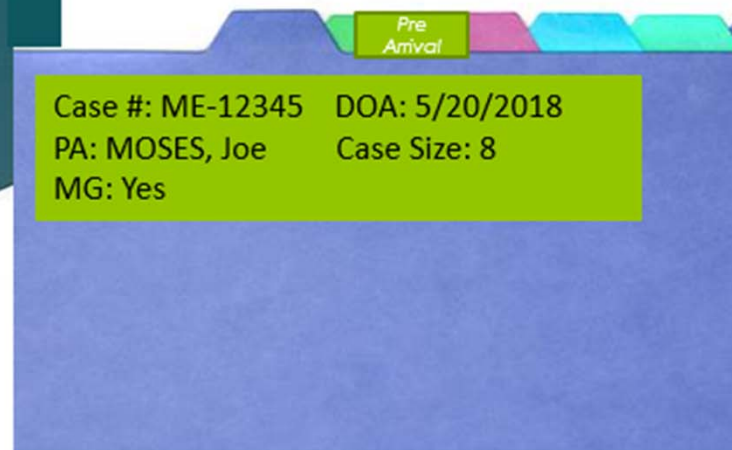
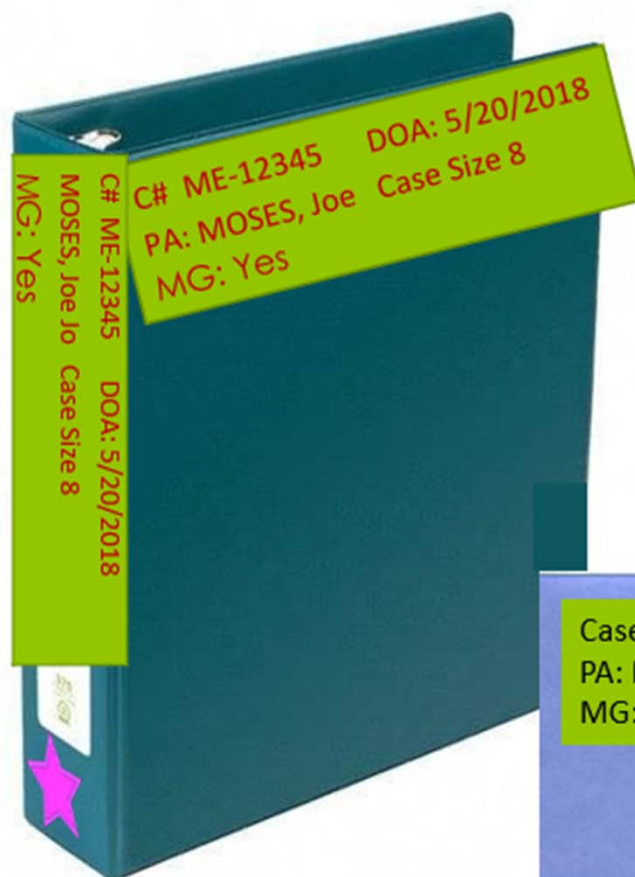
- ❖ program managers/directors perform all quality assurance
- ❖ case managers perform some quality assurance
- ❖ quality assurance staff member on resettlement team performs quality assurance
- ❖ quality assurance director or manager for the entire agency assists resettlement with quality assurance





## Establishing and Maintaining a Case File

- ❖ R&P CA and MG Guidelines give very limited info about exactly how to maintain a case file
- ❖ Establish and maintain a case file for each case served by your agency
- ❖ Each case file should be treated as confidential
- ❖ Case files may be in electronic or hard copy format
- ❖ Each case file must contain evidence of required basic needs support and core service delivery





# Case File Documentation Requirements

USCCB/MRS R&P CASE FILE MONITORING TOOL (RF-24)			
RF-24 is used by USCCB/MRS staff to review R&P files during on-site reviews and desk reviews. Local office staff may also use RF-24 to review their R&P files. <b>This is not a required case file document.</b>			
P.A. Name	Date of Arrival	90 <sup>th</sup> Day	
Case #	size	<input type="checkbox"/> U.S. ties <input type="checkbox"/> no U.S. ties	Enrolled in MG: <input type="checkbox"/> YES <input type="checkbox"/> NO
<b>R&amp;P PRE-ARRIVAL</b>		status in file	date
A. Case's biodata (MRIS)			
B. Verification sent to USCCB/MRS (MRIS)			
C. Assurance Form (MRIS)			
D. Travel Notifications (1 <sup>st</sup> and 2 <sup>nd</sup> ) (MRIS)		<input type="checkbox"/> present <input type="checkbox"/> N/A for some SIVs	
E. Case with acute health requirements on bio		<input type="checkbox"/> N/A <input type="checkbox"/> required case note	
F. R&P Housing Safety Checklist (RF-21) before or upon arrival		<input type="checkbox"/> form <input type="checkbox"/> required case note	
G. R&P Supply Checklist (RF-22) before or upon arrival		<input type="checkbox"/> form <input type="checkbox"/> required case note	
<b>R&amp;P POST-ARRIVAL</b>		status in file	date
1. I-94 (or copy of SIV visa) for each case member		<input type="checkbox"/> I-94 <input type="checkbox"/> OR <input type="checkbox"/> visa	
2. DOS-issued Transportation Boarding Letter with sign stamp (N/A for SIVs)		<input type="checkbox"/> boarding letter <input type="checkbox"/> N/A for SIV cases	
3. SS# documentation for each member of case			
4. EAD copies (or LPR copies for SIV) for each case member (USCCB/MRS standard; not in Coop Agmt)		<input type="checkbox"/> copies of EADs <input type="checkbox"/> OR <input type="checkbox"/> copies of LPRs	
5. Travel Loan Checklist completed by affiliate staff and signed by client(s). Also check for Promissory Note.		<input type="checkbox"/> travel loan checklist <input type="checkbox"/> promissory note	
6. Record of all communications between affiliate and welfare (and/or Wilson/Fish) office: approval/denial letters & benefits change/cancel notices		See #23 below for submitted applications <input type="checkbox"/> benefits approval letters <input type="checkbox"/> benefits change/termination notices	
7. Case Note Log (RF-4)		case note log: <input type="checkbox"/> missing <input type="checkbox"/> present each case note entry includes: <input type="checkbox"/> service date <input type="checkbox"/> mode of service <input type="checkbox"/> staff name <input type="checkbox"/> who provided language interpretation when needed <input type="checkbox"/> activity/progress/service note if log contains notes from more than one program: <input type="checkbox"/> program/funder name for each note	comments:
<b>R&amp;P CASE NOTES</b>		status in file	date
8. Airport Reception		<input type="checkbox"/> required case note <input type="checkbox"/> N/A for some SIVs	
9. Housing and Personal Safety orientation within 1 calendar day of arrival		<input type="checkbox"/> required case note	
10. Home visit report: next calendar day after arrival (RF-32)		<input type="checkbox"/> HV form (RF-32) <input type="checkbox"/> required case note	
11. Client Intake (RF-6) within 5 working days of arrival		<input type="checkbox"/> form <input type="checkbox"/> required case note	
12. Service Plan (RF-7) within 10 working days USCCB/MRS standard; 30 days per Coop Agreement		<input type="checkbox"/> missing <input type="checkbox"/> present <input type="checkbox"/> required case note on file <input type="checkbox"/> completed on time <input type="checkbox"/> signed by each adult in case (see USCCB/MRS CMM)	comments:
13. Acute care cases: cases with severe illness/injury or other urgent condition rec'd appropriate/timely medical help		<input type="checkbox"/> N/A <input type="checkbox"/> required case note	
14. Application for Social Security Number within 7 working days of arrival		<input type="checkbox"/> required application <input type="checkbox"/> required case note	
15. Application for cash assistance within 7 working days of arrival (e.g., RCA, TANF, MG)		<input type="checkbox"/> required application <input type="checkbox"/> required case note	
Application for medical assistance within 7 working days of arrival: Medicaid or RMA		<input type="checkbox"/> application required <input type="checkbox"/> required case note	
Application for food stamps within 7 working days of arrival		<input type="checkbox"/> required application <input type="checkbox"/> required case note	
16. Notification of change of address to USCIS/DHS within 10 calendar days (all case members, incl. children)		<input type="checkbox"/> documentation <input type="checkbox"/> required case note	
17. Assistance with enrollment in ESL as appropriate w/in 10 working days (all non-exempt adults)		<input type="checkbox"/> required case note	
18. Assistance w/ enrollment in appropriate Employment Services w/in 10 work days (includes MG)		<input type="checkbox"/> required case note	

With support from the U.S. Department of State - Bureau of Population, Refugees and Migration

MRS/RF-24 - 08/2018

USCCB/MRS MG CASE FILE MONITORING TOOL		
DATE OF ARRIVAL ELIGIBILITY:		DATE ENROLLED IN MG:
PA NAME:	CASEFILE #:	# IN MG CASE:
<b>MATCH GRANT SERVICES</b>	Present	Meets Requirement/Other Comments
1. Case File Marked as Match Grant		
2. MG Section Distinct from R&P Section		
3. Notification of Pending Enrollment to local MG agencies (non-refugee clients only)		
4. Intake Information to include eligibility documentation		
5. Client Assessment Information		
6. Enrollment Agreement		Translated or Interpreted ___ Signed ___ Dated ___
7. Decision not to seek employment for individuals meeting Guideline definition of employable		
8. Client Rights and Responsibilities Statement		Signed ___ Dated ___ Translated or Interpreted ___
9. Self-Sufficiency Plan (A/R/S/FF-7 or more comprehensive plan)		Signed ___ Dated ___ Translated or Interpreted ___
10. Enrollment Budget. Pre-employment client family budget.		Signed ___ Dated ___
11. Self-Sufficiency Budget. Post-employment client family budget.		Signed ___ Dated ___
12. Detailed information in Case Note Log or Notation of activity in Case Note Log with reference to details in either a service for referral form or service form regarding:		
A. Date of Enrollment		
B. Services based upon needs and goals in self-sufficiency plan, including ESL/ELT enrollment and progress		
C. Employment services, i.e. job development, job counseling and job placement		
D. Regular contact with and reports on progress of members of the case		
E. Provision of Childcare and After School Care, if needed		
F. Documentation of full provision of housing and essential utilities		(Lease and vouchers)
G. Provision of adequate food and food subsidies (SNAP, food stamps)		
H. Provision of transportation (i.e. bus pass, ride share, etc.)		
I. Enrollment in Low-Income Home Energy Program (LIHEAP) if available & appropriate		
J. Employment Follow-Up Within 2 Weeks A) With Employer (if the position was found through the program)		
B) With Client		
K. Employment follow-up through 180 days after arrival eligibility		

MRS/MG-CFMT  
(Revised 09/16)



# USCCB/MRS Case Mgmt. Manual

USCCB/MRS Refugee Resettlement  
**Case Management Manual**

**The Application of Social Work Principles, Ethics, and the  
Case Management Approach in Service Delivery to Refugees**



DEPARTMENT OF MIGRATION AND REFUGEE SERVICES  
United States Conference of Catholic Bishops





# Tips for Organizing the Case File

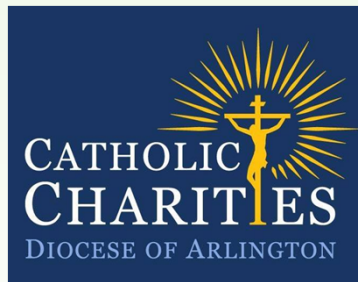
1. Case file is spacious enough to hold all required documents
2. Legible case file tag on each file w/ case number, DOA, P.A.'s name, and case size
3. If MG: this is clearly marked on file exterior
4. If case contains attached minor, this is clearly marked on file exterior
5. File is divided into appropriate sections/tabs
6. Each section has a cover page with a heading and list of documents in that section
7. Each case note includes service date, mode of service, staff name, who provided language interpretation when needed – and the note itself
8. If case note log contains notes from more than one program, indicate the program/funder name
9. If file contains documents for more than one program, they are separated
10. All files are uniformly organized – each document is found in same location in all files



# First Presenter:

Laurel Collins

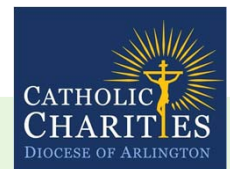
Associate Director for Self-Sufficiency





# Case File Reviews

- Establish specific timeframes for file reviews, e.g. 30-days, 80-days, prior to submission of R&P Period Report.
- Prior to R&P period report submission, cross check report with case file for consistency and accuracy.
- Create cover sheets containing check lists of case file supporting documentation.





# Quality Assurance Training

- Provide detailed training for staff, volunteers, and interns on case file organization and supporting documentation.
- Establish a uniform order for all contents of case files allowing for increased efficiency with case file audits and ease for finding required case documentation.



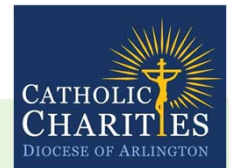
# Resources for Training and Guidelines

USCCB MyMembership webinars:

- *Best Practices – Case Recording*
- *R&P Case File Documentation*
- *R&P Strategies for Effective Case Notes*
- *Common R&P Findings*

Higher Online Learning Institute

- *6 W's of Good Case Notes*





# How to access Higher's Online Learning Institute



Only use Internet Explorer when accessing these e-trainings.


Here's the URL:



<https://learning.higheradvantage.org/#/login>

On Login screen, click Sign Up

The Higher Login screen. At the top is the Higher logo. Below it, the word "Login" is centered. A message says "Welcome. Please log in below to access your courses." There are two input fields: "Username" and "Password". Below these is a checkbox labeled "Keep me signed in" and a link "Forgot Password?". There are two buttons: an orange "Login (Existing Users)" button and a blue "Sign Up (New Users)" button. A red arrow points to the "Sign Up (New Users)" button. The word "OR" is centered between the two buttons.

On Sign Up screen: type **USCCB** next to  icon, then click Sign Up (New Users)

The Higher Sign Up screen. At the top is the word "Sign Up". A message says "Please enter the enrollment key name, then click 'Sign Up'." There is a key icon next to an input field containing the text "USCCB". Below the input field are two buttons: an orange "Sign Up (New Users)" button and a blue "Cancel" button.



# Second Presenter:

Vjosa Tashi

Quality Control Coordinator



# Case File Quality Assurance

- QUALITY & COMPLIANCE REVIEWS:
  1. Qualitative Review:
    - Reviewed by QC committee
    - Quarterly
    - Based on COA standards
  2. Documentation Review:
    - Reviewed by RR's Quality Control Coordinator
    - Quarterly
    - Based on COA standards



# Qualitative Review

## Catholic Charities of the Archdiocese of Galveston-Houston Quality & Compliance Qualitative Case Record Review Audit Form

Program: \_\_\_\_\_ Client Name/ #: \_\_\_\_\_  
Case Manager: \_\_\_\_\_ Date of Review: \_\_\_\_\_  
Reviewer: \_\_\_\_\_ Date of Admission: \_\_\_\_\_  
Qualitative Case Record Review Rating Indicators File Status: ☐ Open ☐ Closed

Scale:  
4 = Full Compliance  
3 = Partial Compliance  
2 = Partial Non-Compliance  
1 = Non-Compliant  
0 = Not Applicable

Section I. Assessment		Date of Intake: _____
		Date of Initial Assessment: _____
Is there an adequate assessment of client needs?		
4	Information provided addresses all of the following elements: <ul style="list-style-type: none"> <li>The initial assessment is completed within 30 days of initial face-to-face contact, or within designated program guidelines.</li> <li>The assessment is comprehensive in nature, yet limited to information pertinent to meeting service request and objectives.</li> <li>The assessment is circled at concerns identified during intake.</li> <li>The assessment identifies the client's primary needs for support and/or services.</li> <li>The assessment is culturally responsive.</li> <li>Reassessments are conducted annually, or as needed in response to traumatic life events that significantly impact service delivery.</li> </ul>	
3	1 - 2 elements are not fully developed, or 1 necessary element is missing.	
2	3 or more elements are not fully developed, or 2 or more elements are missing.	
1	There is no assessment found in the case file.	
N/A	Not Applicable	
Comments		

Section II. Service Plan		Date of Initial Service Plan: _____
Is the Plan of Service logically connected to the assessment?		
4	Information provided addresses all of the following elements: <ul style="list-style-type: none"> <li>The Service Plan is completed within 10 days of the assessment, or within designated program guidelines.</li> <li>The Service Plan is based on the assessment. If not, a reasonable explanation is provided.</li> </ul>	

K:\RECORDS INFORMATION\Case File Review - Management\Review\Qualitative Review\Forms\Qualitative Case Record Review Rating Indicators 3/25/17.docx 1/24/2017 TUE vas

# Documentation Review

Program: \_\_\_\_\_ Client: \_\_\_\_\_  
 Case Manager: \_\_\_\_\_ Date of Review: \_\_\_\_\_  
 Reviewer: \_\_\_\_\_

## Documentation Review Rating Indicators Scale:

- 4 = Full Compliance
- 3 = Partial Compliance
- 2 = Partial Non-Compliance
- 1 = Non-Compliant
- 0 = Not Applicable

Section I. Client Information/Intake	
Is there adequate information necessary to provide services?	
4	All of the following information is provided: <ul style="list-style-type: none"> <li>Demographic information for all members of the case</li> <li>Contact information</li> <li>Case is enrolled in ETO (Client Information Sheet)</li> <li>Reason for requesting services/referral</li> </ul>
3	1 -- 2 elements are not fully developed, or 1 necessary element is missing
2	3 or more elements are not fully developed, or 2 or more elements are missing
1	There is no client information found in the case file
N/A	Not Applicable
Comments	

Section II. Client Rights	
Is there adequate documentation that client has been informed of his/her rights?	
4	All of the following documentation is available in the case record: <ul style="list-style-type: none"> <li>Client has received a written summary of his/her rights and responsibilities</li> <li>Client has given written consent to communicate specific confidential information</li> <li>Disclosure Documentation completed when confidential information released to external entity</li> <li>Client signature on Informed Consent to Service document</li> </ul>
3	1 -- 2 elements are not fully developed, or 1 element entirely missing
2	3 or more elements are not fully developed, or 2 or more elements are missing
1	Case record does not meet any of the identified criteria
N/A	Not Applicable
Comments	

# Case File Quality Assurance

- INTERNAL REVIEW:
  - Supervisor review:
    - At case consultation or when closing the file
  - Peer review:
    - Monthly/Quarterly
    - Reviewed by Case managers and Supervisors are present
    - USCCB monitoring tool
    - Marked for changes needed and returned to Case manager