



GOVERNMENT OF THE DISTRICT OF COLUMBIA  
**DEPARTMENT ON DISABILITY SERVICES**  
 REHABILITATION SERVICES ADMINISTRATION

STANDARD OPERATING PROTOCOL	
Subject: Quality Review and Supervisory Case Review for Vocational Rehabilitation Counselors	SOP Number: 2015-RSA-QR-SOP-001
Responsible Program or Office: RSA – Client Services and Quality Assurance and Compliance Units	Effective Date: August 26, 2015
	Number of Pages: 3, plus attachments
Cross References and Related Policies and Procedures, and Related Documents:  DCRSA Policy Manual, 29 DCMR § 100 <i>et seq.</i> , 34 CFR § 361 <i>et seq.</i>	

**I. PURPOSE**

This Standard Operating Protocol (“SOP”) provides guidance for Quality Assurance and Compliance and VR Supervisory Staff in conducting quality and compliance reviews of records in order to ensure consistency of the quality of services provided by VR counselors and identify need for additional training or policy and procedure changes.

**II. RESPONSIBLE STAFF**

Responsible staff for this SOP includes Quality Assurance Internal Monitors, the Training Specialist and the Program Analyst within the Quality Assurance and Monitoring Unit; the supervisor of the QA Unit; all VR Supervisory Staff, both first and second line supervisors, as well as all VR Specialists and Rehabilitation Assistants.

**III. PROCESS**

This SOP establishes a process for consistent case review between the quality assurance unit and client services units to ensure that the quality and service units are working together and addressing all quality issues consistently and in a coordinated manner to improve the quality of service provision to the persons served by RSA. In the procedures below, the process is laid out whereby regular case reviews will be conducted by both the QA unit reviewers and client services unit supervisors. The information gathered from these reviews will be used to identify the need for policy or procedure changes, or the need for training, in circumstances where consistent issues are identified across all units in the division, and may be used to inform the need for individual training or support for individual counselors or supervisors, where issues are isolated to one unit or an individual.





#### **IV. PROCEDURES**

Staff will use the following tools when completing Quality and Compliance reviews. These tools are strongly encouraged to be used by counselors as a guide to understanding how quality and compliance are measured.

Compliance Review Guide – This document provides guidance on completing the Quality Review Form. It should be used for reference and guidance by supervisors and QA staff when reviewing cases.

Quality Review Form - This form is to be completed by QA staff and supervisors for each case reviewed. The narrative, quality questions need to be completed only by the VR Supervisors, not the QA staff.

#### **V. CASE REVIEWS**

##### **A. Random Selection of Cases**

On the first business day of each month, the RAs will obtain a random sample from System 7 of at least two cases from each counselor. One case will be reviewed by the supervisor and one case will be reviewed by the QA monitors. In the event there is only an electronic file, the RA will advise the supervisor and monitor of the names of the cases to be reviewed. When the reviews identify case compliance or quality issues for a counselor (i.e., at least one case each month is missing required documentation over a three month period), the supervisor will increase the number of cases he or she reviews each month for that counselor to five. In that case, the RA will increase the number of cases pulled and provide the additional four cases to the supervisor.

##### **B. Case Reviews by Supervisors**

By the tenth business day of each month the supervisor will complete all case reviews for his or her unit. He or she will provide a copy of the Compliance Review form to both his or her supervisor and the supervisor for the Quality Assurance and Compliance Unit.

##### **C. Case Reviews by Grade 14 VR Supervisor**

After receiving all Compliance Review forms from the VR Supervisors, the grade 14 VR Supervisors will randomly select one case from each supervisor's unit and conduct an independent review of this case. He or she will then compare his or her findings with the findings of the first line supervisor. To the extent there are differences in the findings, these will be discussed in regularly scheduled weekly individual supervisory sessions. Based on these discussions there may be changes made to the VR Supervisor's Case Review Forms. The forms generated by the Grade 14 VR Supervisor are for Quality Control and supervisory purposes with each individual Unit Supervisor only. These forms are maintained in the file the Grade 14 VR Supervisor maintains for each VR Unit Supervisor. These forms need not be shared with the VR Counselor.



#### **D. Case Reviews by QA Monitors**

QA Monitors shall complete a Compliance Review Form for each case they are required to monitor, following the guidance provided in the attached Compliance Review Form Guide. These forms should then be copied, with the original being provided to the VR Supervisor and copies provided to the Supervisor of QA. The QA monitor should schedule a time with the VR supervisor each month to discuss all issues identified in the case reviews.

#### **E. Follow Up by VR Supervisors**

After receiving the Compliance Review Forms from the QA Monitor, the VR Unit Supervisor will provide copies of all Compliance Forms completed by both the QA Monitor and the VR Supervisor, as well as the Quality Review Form completed by the VR Supervisor to each VR counselor. The counselor will review the forms and comment on any issues identified by the Reviewer. The counselor should return these forms to their supervisor within ten business days. Once the supervisor receives these forms, he or she should discuss the reviews and any corrective action needed in their next weekly supervisory session. As indicated in Section A, above, when reviews identify a problem area for a counselor, i.e., at least two cases each month, over a three month period, demonstrate areas where the VR Counselor does not provide necessary documentation in a case file, the VR Supervisor will increase the number of cases reviewed. If after three months of increased review, the performance improves, the reviews will be reduced to the original amount. If, however, there continue to be issues of compliance or quality, the supervisor will place the counselor on monitoring, requiring supervisory approval on all VR Counselor actions, to ensure quality services are provided and appropriately documented. If there continue to be issues with compliance and quality performance after three months on monitoring, the VR Supervisor will consider other actions, including possible corrective action or use of a Performance Improvement Plan, to help the VR counselor improve performance in areas of identified weakness.

#### **F. Reporting**

The QA supervisor will compile all of the information included in all case review forms. She will compile this information in a format that allows management staff to identify issues by unit and administration wide. On a quarterly basis, the findings from these reports will be discussed at a Managers' meeting, which includes the QA supervisor, the Grade 14 VR Supervisors, all VR Unit Supervisors and the Deputy Director. The management team will discuss issues that arise in all units and develop a plan to address these issues and improve performance in the identified areas. Individual unit data will also be shared. VR supervisors with high performing units will be asked to share suggestions for how other units can experience the same success. Specific plans for improvement in individual units will be developed in supervisory sessions between the Grade 14 VR Supervisor and the Unit Supervisor, not in these management team meetings.

