RISE Partner Agency Visit Observation – Monitoring Form

Purpose:

To monitor the quality of services provided by RISE Partner agencies as well as their capacity to deliver the contracted program services under the terms of the grant.

Description:

The RISE Partner Agency Visit Observation and Monitoring Form is a tool to assist LSSDR in identifying and monitoring key behaviors and actions considered important to the success of the RISE project. The Monitoring Form helps identify items to look for ahead of time and provides a standardized way to evaluate the work of RISE Partner agencies.

The goal is to identify areas where the RISE Partner agency excels in its work and ways in which the organization might improve its program of disaster case management services.

Guidelines for observer:

Observation should be unobtrusive. The observer must remain courteous, friendly and professional at all times.

Observation sessions can be announced or unannounced.

Observation guides should be shared with those being observed (i.e. RISE Partner agency staff, volunteers, and trainers).

The observer should remain impartial during the observation.

Issues that may have a potentially detrimental effect on the RISE Partner agencies' performance (i.e. severely understaffed, low staff morale, lack of clients, lack of resources, etc.) should be prepared for follow-up and discussion with the RISE Partner agency Director and LSSDR RISE staff with the intent of helping to find an effective solution. During the visit, the observer may wish to compile a list of follow-up questions for use as an "exit interview" with the lead contact/manager after each visit. A separate time will be set aside to discuss the results with the RISE Partner agency's Director. The purpose is to share findings in a constructive manner so as to acknowledge good service delivery and identify areas to further improve performance.

The observer should make full use of the fields on the form for comments. It is recommended that the observer carry an additional notebook in case more space is needed to write comments as additional details are instrumental for a more complete overview of the site visit. The observer should review his/her notes immediately after the site visit for clarity and completeness.

RISE FIELD OBSERVATION GUIDE

Recovery for Ike Survivors Enterprise

Name and Title of LSSDR Observer: ____

Date of visit: ____

Name of the RISE Partner Agency: ____

Address: ____

Office and Location: ____

Name, Title, and phone number of main contact for Observation:

____

____

Name, Title, and phone number of anyone interviewed during Observation:

____

____

____

____

____

Instructions:

Read the statement and determine which answer best suits the situation. If the question is not applicable to the organization, please state why (e.g., office information is not applicable if case workers work out of their home and go out to see clients). Use the space provided for any additional comments or explanations you may have. If needed, feel free to add any additional notes on the back of the form, or on an additional sheet.

Use the rating scale provided.

1 2 3 4 5 NA

Lowest ----------------------------Highest

A Organizational Capacity

1. Location & Accessibility
   Carefully observe the surroundings of the facility.

   a. The office's location is easily identifiable and could be found without difficulty.

      1 2 3 4 5 NA

      Comment:

   b. The office has an outside sign with its name.

      1 2 3 4 5 NA

      Comment:

   c. The office is open for business in at least a combination of "convenient" time slots consisting of a) regular business hours, b) after hours and/or c) on the weekends.

      1 2 3 4 5 NA

      Comment:

   d. The entrance and areas for client work are accessible for people with disabilities, including restrooms and other facilities.

      1 2 3 4 5 NA

      Comment:

   e. There is private space in which staff can meet with clients.

      1 2 3 4 5 NA

      Comment:

2. Outreach
   Ask how the organization promotes its program to the community. Follow up on each process e.g., look in phone book, or on internet. Look at outreach materials. Look for information in the community

   a. The organization follows a well-developed plan for outreach and publicity about the program.

      1 2 3 4 5 NA

      Comment:

b. Information about the program is listed in local telephone and business directories.

1 2 3 4 5 NA

Comment:

c. It is easy and convenient for a potential client to learn about and access the system.

1 2 3 4 5 NA

Comment:

d. Case workers are available at a variety of times and locations convenient for the client.

1 2 3 4 5 NA

Comment:

3. Tailored to the locale
Review the intake process; monitor a few cases, if possible.

a. Intake procedures and case work in general is closely tailored to the local community, and reflects the needs of non-English speakers and/or the disabled, as appropriate.

1 2 3 4 5 NA

Comment:

4. Front Office
Examine the reception area, monitor activity.

a. Receptionist/waiting room staff greets visitors/potential clients and is able to explain the eligibility and intake process for RISE services.

1 2 3 4 5 NA

Comment:

5. Office Equipment
Verify the existence of the above mentioned equipment, rooms and forms in the facility.

a. This facility, during its core operating hours, has the space, equipment (office chairs, desks, computer workstations), and forms required to initialize intake for several clients at a time, and maintain client's confidentiality.

1 2 3 4 5 NA

Comment:

6. Management
   Ask about staff meetings, ask if minutes are taken, and ask to see a copy; collect opinions about staff dynamics.

   a. Agency's management and case workers are in close contact (including via regular staff meetings, etc.), and management is generally within an easy access to staff.

      1 2 3 4 5 NA

      Comment:

7. Log sheet:
   Request the person in charge of keeping records to furnish yesterday's log, and the number of consultations offered. (This is not to be confused with the field work conducted by Case workers.)

   a. A daily visitor log sheet is filled out in the reception area, and the records of the previous day can be verified.

      1 2 3 4 5 NA

      Comment:

8. Filing:
   Ask to see Case files, browse through several, check for the completeness overall and that of UMCOR forms, spot-check several files.

   a. There is a strong filing policy implemented at the Agency.

      1 2 3 4 5 NA

      Comment:

   b. Documents and forms pertaining to each case are stored in separate binders, and assigned a tracking number.

      1 2 3 4 5 NA

      Comment:

   c. Case files are well maintained, regularly updated by case workers.

      1 2 3 4 5 NA

      Comment:

   d. Files are stored in a lockable room. Files are generally accessible by their respective case workers and a log of files taken outside contains dates and names and signatures.

      1 2 3 4 5 NA

      Comment:

9. Policies and Procedures:
Ask to see policies and procedures; these must be written. Inquire how Case Managers time is being traced to specific sources of funding, if agency has several.

   a. There are Staff Policies and Procedures outlining the structure of the organization, rules and procedures, hours of operation and establishing other ground rules (including time tracking mechanism).
   1 2 3 4 5 NA

   Comment:

10. Grant Expenses:
Observe the facility for appropriate use of grant dollars.
.
   a. Agency displays a reasonable approach to expenses under the grant: there is no evidence of frivolous or unreasonable expenditures to be observed.

   1 2 3 4 5 NA

   Comment:

11. Volunteers:
For those agencies with volunteers, ask about training and supervision of volunteers.

   a. The Agency established a policy to retain, supervise, and integrate volunteers.

   1 2 3 4 5 NA

   Comment:

12. M&E:
Converse with staff to identify how internal monitoring and evaluation is conducted.

   a. Agency's staff is able to conduct a basic internal program monitoring and evaluation, track inputs, outputs, goals, and assess impact, as well as set their own benchmarks under the grant from RISE.

   1 2 3 4 5 NA

   Comment:

B Visibility, Marketing and Outreach

13. Reputation:
Refer to the local collaborating agents, FEMA/VAL contact, collect opinions.

   a. An Agency has a solid reputation among the local community and within its target population under the grant.

   1 2 3 4 5 NA

   Comment:

14. Media:
Specify type of media, collect samples if applicable. If appropriate, check with key informants or other community-based organizations operating in the geographic area.

   a. There are ads, feature stories, basic information about the organization appearing from time to time in the local media: print, on-line, TV (including local community TV channels), radio, etc.

      1 2 3 4 5 NA

      Comment:

15. Means of Contact:
Verify outside.

   a. There is clear and visible information about the facility posted outside on the building, including its hours of operation and means of contact: telephone number, email, and website (if available).

      1 2 3 4 5 NA

      Comment:

16. Program and its Whereabouts:
Collect "good practice" samples, share with other agencies.

   a. Agency voicemail, website and printed promotional matter (flyers, brochures, fact-sheets, other, if available) convey program services, hours of operation, and its location.

      1 2 3 4 5 NA

      Comment:

   b. Agency has RISE brochures and/or fliers on site.

      1 2 3 4 5 NA

      Comment:

C Case Management
Review files and procedures. Observe intake process. Review recovery plans and case notes.

17. Intake, Eligibility Determination, and Needs Assessments:

   a. Agency conducts standard, regular intake of clients and explains program services and eligibility.

      1 2 3 4 5 NA

      Comment:

b. RISE intake referrals accepted and received from LSSDR are contacted and scheduled for needs assessment as identified in the RISE triage guidelines found in the RISE Project Work Plan.

1 2 3 4 5 NA

Comment:

c. Clients meet eligibility requirements for the RISE program.

1 2 3 4 5 NA

Comment:

d. Once eligibility has been established and the Initial Needs Assessment completed by the Case Manager, a recovery plan is developed within 2 weeks of the assessment as per RISE program guidance.

1 2 3 4 5 NA

Comment:

18. Progress toward recovery goals and objectives is monitored and recorded.
Review recovery plans and case notes.

1 2 3 4 5 NA

Comment:

19. Case Manager monitors client contact and progress toward recovery goals.
See case notes.

1 2 3 4 5 NA

Comment:

20. Progress notes / contact log:

See files for notes and updates. Review frequency of client contact.

a. Reflects continuity of services.

1 2 3 4 5 NA

Comment:

b. Progress notes are dated & initialed and document CAN data entry, client contacts, & file review.

1 2 3 4 5 NA

Comment:

21. Unmet Needs are verified as necessary. *See backup documentation, estimates and receipts.*

    1 2 3 4 5 NA

    Comment:

22. Case Manager makes referrals for clients needing services outside of the scope of his / her expertise. *Discuss with staff. See services and referrals tracking, case notes, and recovery plan*.

    1 2 3 4 5 NA

    Comment:

23. Recruitment:
    Verify the number of paid staff through a staff roster.

    a. An appropriate number of Case Managers and Supervisors has been recruited, trained and deployed in order to meet the programmatic objectives as prescribed by the grant.

       1 2 3 4 5 NA

       Comment:

24. Walk-ins:
    Ask to observe a typical walk-in treatment, if possible.

    a. Case Managers promptly provide assistance to walk-in clients in adherence to RISE norms and protocols.

       1 2 3 4 5 NA

       Comment:

25. Client Satisfaction:
    Review client satisfaction surveys on site and review submission process to LSSDR.

    a. The Agency asks each client if they will agree to complete a client satisfaction survey at case closure.

       1 2 3 4 5 NA

       Comment:

    b. Agency forwards completed client satisfaction surveys to LSSDR on a regular basis.

       1 2 3 4 5 NA

       Comment:

26. Cultural Composition:
    a. Case managers, supervisors and executives, whether paid or volunteer, reflect the ethnicity, languages and cultures of the communities being served.

       1 2 3 4 5 NA

       Comment:

27. RISE Resources:
    a. Case Managers display knowledge of the RISE toll free intake system and the various ways in which clients can access RISE.

       1 2 3 4 5 NA

       Comment:

28. Local Resources:
    Review case notes and ask staff about local community services and available resources.

    a. Case managers have a clear understanding of how they fit into the local community-based service delivery system and have confidence that a connection can be made between a client's disaster-related needs and available resources.

       1 2 3 4 5 NA

       Comment:

29. UNT/LTRC:
    If possible observe meeting of UNT/LTRC. If not, ask Case Management Support. Review UNT/LTRC submissions and results.

    a. Case managers demonstrate adequate knowledge of area Unmet Needs Table or Long Term Recovery Committee and protocol for referring clients.

       1 2 3 4 5 NA

       Comment:

30. Confidentiality:
    Review records of signed CAN confidentiality releases signed by case managers.

    a. Case Managers have signed a confidentiality release, as required by a clear written policy regarding confidentiality established by the Agency and RISE.

       1 2 3 4 5 NA

       Comment:

31. Training:
    a. All case managers and supervisors have attended the 4 day basic RISE DCM and CAN training.

       1 2 3 4 5 NA

       Comment:

    b. Identify and describe any additional internal training the Agency provides to its staff.

       1 2 3 4 5 NA

       Comment:

32. Ethical Boundaries:
    Ask to see the guidelines if written. Ask to see copies signed by staff.

    a. The agency has developed an ethical guideline for case management defining, at a minimum, (1) how conflict of interest is determined and managed; (2) definitions of appropriate boundaries among staff and between case managers and clients; (3) expectations of respect for all persons (staff and clients) for all persons, especially those of differing life-styles and life-choices; and (4) use of non-sexist language, honesty, common courtesy in all interactions.

    b. If ethical guidelines are provided in writing, identify how it is communicated to the staff if copies are on file.

       1 2 3 4 5 NA

       Comment:

33. Number of Cases:
    Check files and respective proposal

    a. The number of open cases/transfers corresponds with the Agency's capacity to serve clients and with the targets established per the grant.

       1 2 3 4 5 NA

       Comment:

    b. Case loads for case managers are within the guidelines of not more than 35 open cases per case manager per RISE guidelines

       1 2 3 4 5 NA

       Comment:

D CAN

34. CAN Use:
Talk to key Agency staff, review CAN reports generated for the Directors and case managers, interview CAN Specialists, compare paper files with CAN file..

    a. An appropriate number of Agency's staff (and its sub-grantees, if available) are familiar with the CAN network and use it on a regular basis.

    1 2 3 4 5 NA

    Comment:

    b. Case managers interact with the CAN specialists on a regular basis.

    1 2 3 4 5 NA

    Comment:

    c. CAN Specialists enter cases into CAN within a reasonable time frame.
    (1 = 1-2 days; 2 = 3-4 days; 3 = 5-6 days; 4 = 7-8 days; 5 = 9 or more)

    1 2 3 4 5 NA

    Comment:

35. CAN records are updated on a weekly basis agency wide.

    1 2 3 4 5 NA

    Comment:

36. The Agency's staff is knowledgeable of key indicators tracked in CAN and reported.

    1 2 3 4 5 NA

    Comment:

37. The Agency's staff is knowledgeable of the corresponding fields the forms and CAN.

    1 2 3 4 5 NA

    Comment:

38. CAN Reports: Agency staff is familiar with CAN enough to generate its own CAN reports.

1 2 3 4 5 NA

Comment:

E. IT/MIS

Ask to see the infrastructure.

39. Agency has implemented an IT infrastructure (email, word-processing, internet, agency's website) appropriate to its size, enabling its case workers with a reasonable level of modern office machinery and automation.

1 2 3 4 5 NA

Comment:

40. The Agency's IT infrastructure allows it to efficiently and effectively implement the RISE program, including CAN data entry, the generation of monthly/quarterly reports, and managing client caseloads.

1 2 3 4 5 NA

Comment: