

Big Bend Community Based Care Policy & Procedure

Series: Performance and Quality Improvement

Policy Name: Special Quality Assurance Reviews

Policy Number: 811

Origination Date: 10/1/2013

Revised: Board Meeting of 12/13/2018

Referenced: BBCBC OP 1500-1502, Client Grievances and Complaints

Referenced Documents:

800-811 x 1, Report Template for Special Reviews

800-811 x 2, Report Template for Special Reviews (ME-SAMH)

Policy

Special quality assurance reviews are completed to address specific quality assurance concerns and may be requested by Executive leadership, Directors and members of the Network Management Team. Special reviews may be case- or situation-specific or programmatic in nature.

Procedure

A. Case- and Situation-Specific Quality Assurance Reviews.

1. Circumstances Precipitating a Case- or Situation-Specific Quality Assurance Review.

a. Reviews may be initiated as the result of:

- i. Practice-related complaints or concerns identified through the Agency's complaints process (see *BBCBC OP 1500-1502, Client Grievances and Complaints*);
- ii. Concerns identified by Big Bend's Management Team;
- iii. Situations or practice with a potential for drawing media attention.

b. Reviews are conducted for all:

- i. Formal Grievances (see *BBCBC OP 1500-1502, Client Grievances and Complaints*);
- ii. Client deaths allegedly due to an accident or an act of abuse or neglect in an open or recently closed case;
- iii. Severe client injury allegedly due to an accident or an act of abuse or neglect in an open or recently closed case.

2. Case- and Situation-Specific Review Process.

Big Bend Community Based Care Policy & Procedure

- a. Requests for case- or situation-specific quality assurance reviews should be directed to the Quality Management (QM) Director.
- b. Requests should include the key information relating to the complaint or concern, such as case name, supervising unit and worker, the nature of the complaint and complainant contact information (if relevant).
- c. The service provider/sub-contractor assigned supervision of a case under review may be notified of the special review by the COO, Operations Manager, QM Director or designee to facilitate the review process.
- d. The CEO or CFO will determine notification recipients for situation-specific reviews and review parameters.
- e. The QM Director is responsible for assigning and briefing the staff assigned for the review regarding the nature, timeline and specific instructions related to the review.
- f. Case-specific special reviews include a review of case documentation available via the applicable information management/data system, the physical case or client record, supporting/reference documents and interviews of Network staff, associated providers and/or the complainant, as appropriate, and focuses on:
 - i. Case practice related to the issue or concern precipitating the special review'
 - ii. Factors, contributors and/or barriers to case practice that potentially contributed to the concern'
 - iii. Immediately addressing any current safety concerns identified during the course of the review with the assigned child welfare Case Manager and Case Manager Supervisor or substance abuse and mental health provider staff and supervisor, as appropriate, and notifying the QM Director.
- g. Additional or follow-up information may be requested of Network staff/providers to assure a thorough understanding of the issue or concern.
- h. The assigned reviewer is responsible for debriefing the QM Director throughout the course of the review.

3. Reporting Results of Case-Specific Reviews.

- a. The assigned reviewer is responsible for drafting a report documenting the outcome of the review and any follow-up or Requests for Action necessary for submission to the QM Director.
- b. The QM Director is responsible for:
 - i. Reviewing the draft report and working with the reviewer to edit and finalize the report.
 - ii. Providing the report to the requestor, with copies to the COO, CEO, Operations Managers and/or Directors (as appropriate) for follow-up with the service provider/sub-contractor.

Big Bend Community Based Care Policy & Procedure

- c. The results of the review are reported to the complainant (if applicable), including any follow-up actions taken or underway to address the concern, typically by the COO, Operations Managers or Network Coordinators, as appropriate.

B. Programmatic Special Quality Assurance Reviews.

1. Circumstances that may precipitate a Programmatic Special Quality Assurance Review.

- a. Repeated practice-related complaints or concerns identified through the Agency's complaints process (see *BBCBC OP 1500-1502, Client Grievances and Complaints*).
- b. Concerns identified during Agency quality service or contract monitoring reviews.
- c. Concerns identified as a result of management or performance data review.
- d. Concerns identified during State/Department monitoring reviews.
- e. Concerns identified by Big Bend's Management Team.
- f. Situations or practice with a potential for drawing media attention.

2. Special Programmatic Review Process.

- a. Requests for special programmatic reviews should be directed to the Quality Management (QM) Director.
- b. Requests should include the key information relating to the concern or monitoring finding.
- c. The Quality Assurance Analyst or Quality Assurance Data Specialist is responsible for establishing a sample for the review, for reviewing the sample with the assigned reviewer(s) and QM Director, and for making any needed revisions.
- d. The reviewer(s) assigned are responsible for reviewing and updating existing QA tools or developing new tools to complete the review.
- e. Notification regarding the Special Review, the sample and the QA tool(s) to be used are provided to the relevant service providers/sub-contractors by the COO, Operations Manager, QM Director or designee.
- f. Special programmatic reviews may include:
 - i. Review of case by documentation available via the applicable information management/data system, the physical case or client record, supporting/reference document; and
 - ii. Interviews of Network staff, associated providers and/or the complainant, as appropriate.
- g. Special programmatic reviews focus on:

Big Bend Community Based Care Policy & Procedure

- i. Case practice related to the issue or concern precipitating the special review;
 - ii. Factors, contributors and/or barriers to case practice that potentially contributed to the concern;
 - iii. Immediately addressing any current safety concerns identified during the course of the review with the assigned child welfare Case Manager and Case Manager Supervisor or substance abuse and mental health provider staff and supervisor, as appropriate, and notifying the QM Director.
- h. Additional or follow-up information may be requested of Network staff/providers to assure a thorough understanding of the issue or concern.

3. Reporting Results of Special Programmatic Reviews.

- a. The Quality Assurance Analyst, Quality Assurance Data Specialist and QM Director are responsible for:
 - i. Aggregating and analyzing the data resulting from special programmatic reviews.
 - ii. Preparing a report and/or data summary documenting the outcome of the review and recommendations for follow-up or Requests for Action, if applicable.
- b. The QM Director is responsible for providing the report to the requestor, with copies to the COO, CEO, Operations Managers and/or Directors (as appropriate) for performance improvement planning and follow-up with service providers/sub-contractors.

4. Continuous Quality Improvement Planning and Activities.

- a. CQI activities may be developed as a result of special reviews in collaboration with relevant staff, service providers, sub-contractors and partners.
- b. CQI activities related to special reviews are implemented as appropriate as described in *BBCBC OP 800-801, Continuous Quality Improvement*.