

**DEPARTMENT OF HEALTH AND HUMAN SERVICES  
AGING AND DISABILITY SERVICES DIVISION  
POLICY MANUAL**

CHAPTER #	CHAPTER TITLE	POLICY#	POLICY TITLE
23	Office of Community Living (OCL) - Home Based Services	23.5	Quality Assurance & Compliance

23.5.1 INTRODUCTION..... 2

23.5.2 INTERNAL QUALITY ASSURANCE DEFINITIONS ..... 2

23.5.3 CASE MANAGEMENT ROLES AND RESPONSIBILITIES ..... 2

23.5.4 TARGETED REVIEW ASSIGNMENTS ..... 3

    A. Program Reports ..... 3

        1. Level of Care Report..... 3

        2. Care Plan Monitoring Report ..... 3

23.5.5 INTERNAL QUALITY ASSURANCE ACTIVITIES ..... 3

    A. Program Monitoring ..... 3

        1. Targeted SHA/PCP Service Reviews ..... 3

        2. Review Frequency and Percentages ..... 3

23.5.6 REVIEW FINDINGS & CORRECTIVE ACTION ..... 4

    A. Review Findings ..... 4

23.5.7 TREND ANALYSIS & TRAINING ..... 4

    1. Individual Case Manager Level..... 4

    2. Supervisory Meetings ..... 4

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**23.5.1 INTRODUCTION**

The Office of Community Living (OCL) – Home Based Services (HBS) Case Management Unit ensures the equity and quality of service outcomes in accordance with federal regulations, state laws, department and division policies and procedures.

OCL-HBS case management supervisors conduct targeted reviews of the Social Health Assessments (SHA) and Person Centered Service Plans (PCSP) to drive the program improvement process and support the OCL-HBS delivery system. The targeted SHA/PCSP reviews will serve as an internal quality assurance measure conducted by OCL-HBS Case Management Unit, separate from quality assurance measures conducted by the OCL Quality Assurance Unit. The principles of the program are rooted in best practice standards to ensure the health, safety and welfare of recipients is met and their personal choices are fulfilled.

The OCL-HBS programs within the scope of this policy include:

- Home and Community Based Services Waiver for the Frail Elderly (HCBS-FE).
- Home and Community Based Services Waiver for Persons with Physical Disabilities (HCBS-PD).
- Community Options Program for the Elderly (COPE); and
- Personal Assistance Services (PAS) program.

**23.5.2 INTERNAL QUALITY ASSURANCE DEFINITIONS**

Acronym	Term	Definition
PCSP	Person Centered Service Plan	Plan of action derived from the SHA. Includes services and supports required to meet the individuals identified goals and needs to best assist living independently in the community.
SHA	Social Health Assessment	Assessment completed by case manager with the cooperation of recipient and/or designated representative. Includes an intensive person-centered conversation to collaborate on what is needed for PCSP.

**23.5.3 CASE MANAGEMENT ROLES AND RESPONSIBILITIES**

OCL-HBS case management ensures that service needs, health and safety, risk factors, and personal goals are identified on the SHA and incorporated into the PCSP. Case management supervisors are responsible for supporting the case managers through ongoing activities to include targeted SHA/PCSP reviews, trend analysis, case manager coaching, and corrective action as needed.

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AGING AND DISABILITY SERVICES DIVISION  
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CHAPTER #	CHAPTER TITLE	POLICY#	POLICY TITLE
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#### **23.5.4 TARGETED REVIEW ASSIGNMENTS**

The targeted reviews will follow a random sampling using a statistically valid sample size. The designated Management Analyst (MA) responsible to provide the SHA/PCSP targeted review assignments to the OCL-HBS Case Management managers by the 5<sup>th</sup> business day of the month for distribution to the OCL-HBS supervisors. The MA will use the following program reports for the random sampling.

##### **A. PROGRAM REPORTS**

###### **1. Level of Care Report**

The MA will pull the Level of Care Report from the designated electronic system of record for the HCBS-FE and HCBS-PD programs, assigned by program/worker/supervisor.

###### **2. Care Plan Monitoring Report**

The MA will pull the Care Plan Monitoring Report from the designated electronic system of record for the PAS and COPE programs, assigned by program/worker/supervisor.

#### **23.5.5 INTERNAL QUALITY ASSURANCE ACTIVITIES**

##### **A. PROGRAM MONITORING**

The OCL-HBS case management supervisor conducts program monitoring of the state caseload through a variety of quality assurance activities.

###### **3. Targeted SHA/PCSP Reviews**

Targeted SHA/PCSP reviews are conducted using the SHA/PCSP review tool ([Exhibit A](#)) and Targeted SHA/PCSP Review Job Aid ([Exhibit B](#)). SHA/PCSP reviews will be conducted by desk review. It is best practice to outline the results of the review in an email to the case manager and if warranted follow up in-person or virtually during established one-on-one meetings to support immediate and on-going coaching opportunities.

###### **4. Review Frequency and Percentages**

SHA/PCSP reviews of initial assessment and reassessment are completed on the following frequency and established percentages:

- a. **Onboarding:** 100 percent are reviewed during the first six (6) calendar months of onboarding and training of all new case management staff. If at any point during this time a case manager demonstrates an understanding of the elements of the SHA/PCSP, the supervisor, with manager approval, may determine that the case manager can move to a less restrictive level of review.

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CHAPTER #	CHAPTER TITLE	POLICY#	POLICY TITLE
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- b. **Probationary Period (7-11 Months):** 50 percent are reviewed monthly. If at any point during this time a case manager demonstrates an understanding of the elements of the SHA/PCSP, the supervisor, with manager approval, may determine that the case manager can move to a less restrictive level of review.
- c. **Monthly:** No less than 20 percent are reviewed monthly when the average review score is equal to or greater than 80 percent compliant for the case manager. When the review results average less than 80 percent compliant, the targeted reviews will be suspended and no less than 100 percent of SHA/PCSP will be reviewed. Targeted reviews at 20 percent may resume when the average score returns within the threshold.

**23.5.6 REVIEW FINDINGS & CORRECTIVE ACTION**

**A. REVIEW FINDINGS**

Supervisors are required to document all targeted SHA/PCSP review findings using the SHA/PCSP review tool. All findings (e.g., positive feedback on clean SHA/PCSP work with no errors, errors, areas for improvement but no error) must be shared with the case manager within three (3) business days of completing the targeted SHA/PCSP review.

All case managers are responsible for making any necessary corrections to the SHA/PCSP within five (5) business days. All corrections must be documented in the OCL-HBS electronic case management system of record. Upon completion of corrective action, the case manager will notify the supervisor that the PCSP corrections have been completed via email.

**23.5.7 TREND ANALYSIS & TRAINING**

Supervisors are required to document findings using the PCSP review tool and to track errors to identify trends. When trends are identified:

**1. Individual Case Manager Level**

Supervisors will provide coaching for trending errors at the individual case manager level. Coaching will be documented and monitored for process improvements in upcoming reviews.

**2. Supervisory Meetings**

Review and discuss trends quarterly in supervisor meetings to evaluate for team or program level trends for process improvements. In addition, supervisors will communicate and collaborate with the OCL-HBS Trainer, using the information gathered from SHA/PCSP review trend analysis to develop more formal training to support process improvements as indicated.

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POLICY MANUAL**

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**23.5.8 EXHIBITS**

- A. EXHIBIT A, REVIEW TOOL
- B. EXHIBIT B, REVIEW TOOL JOB AID

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