Quality Assurance Reviews

Presented: November 1, 2019

Next First Friday Call
Dec 6th at 10 AM

QA Initiates and Reviews

- EBA Contract
- DSP Monitoring and Audits
  - Monthly report template
  - RSC MPT Tool
  - Results categories
- Reminders and Looking ahead
  - Logic model updates
  - SIRs
  - Child Trends
  - Spep
Review of DSP Monthly Reports

- For new Providers
- At extensions
- Randomly
- Connected with QAR Reviews

The RSCs will follow up with the DSP for feedback and changes, as needed.

Monthly Report Template

Located on the EBA Website
EBA Contractual Language RE: Audits

Section M. **Programmatic Oversight.** PRIME CONTRACTOR shall, as a condition of its contract with the Commonwealth, monitor and oversee the delivery of Services. PROVIDER shall cooperate with PRIME CONTRACTOR by providing any requested probation officers) in a timely manner. Timeliness of reports shall be determined in the sole discretion of the PRIME CONTRACTOR.

PRIME CONTRACTOR may conduct periodic unannounced programmatic and administrative monitoring to assess the PROVIDER’s compliance with this Agreement and applicable federal and state laws, rules and the PRIME CONTRACTOR’s policies and procedures. PRIME CONTRACTOR shall permit persons duly authorized by the PRIME CONTRACTOR to inspect any records, papers, documents, electronic documents, facilities, goods and services of the PROVIDER that are relevant to this Agreement, and interview any clients, subcontractors, volunteers, and employees of the PROVIDER under such conditions as the PRIME CONTRACTOR deems appropriate.

Following such inspection, the PRIME CONTRACTOR will deliver to the PROVIDER a list of its findings, including deficiencies regarding the manner in which Services are provided. The PROVIDER shall rectify all noted deficiencies specified by the PRIME CONTRACTOR within the specified period of time set forth in the PRIME CONTRACTOR’s monitoring report. The PROVIDER’s failure to correct these deficiencies within the time specified by the PRIME CONTRACTOR may constitute a breach, and PRIME CONTRACTOR shall be entitled to withhold payment and/or terminate this Agreement. This Section M shall survive the termination of this Agreement.

Goal of the QA Plan Policy

**In collaboration** with Virginia DJJ, the RSC AMI and EBA, **manage and monitor a provider network** of Providers as part of a RSC model that aims to reduce reliance on the deep-end of the juvenile justice system by improving the quality and quantity of services available in the community. As much as possible, DSPs engage families as partners in the process to increase the likelihood of long-term success and sustainability. To ensure high quality services are provided to each referred youth, the RSCs will implement a quality assurance process that will:

- monitor service delivery on a range of performance metrics and key quality indicators;
- ensure that all programs and services use evidence-informed principles;
- ensure that evidence-based programs are delivered with fidelity to model standards;
- provide feedback to DSPs and introduce a QA approach and quality improvement plans;
- introduce and monitor action plans to address any noted areas of meaningful deficiency; and
- promote informative, periodic reporting on key measures to DJJ.
Brief Overview of the Quality Assurance and Monitoring Plan for DSP’s

AMIkids and EBA adopted DJJ’s strategic framework of **Safety, Connection, Purpose, and Fairness** for the Quality Assurance (QA) and Monitoring plan to ensure alignment and to reinforce these principles throughout the regional service coordination model. In addition, the RSCs propose an overlapping framework that focuses first on the youth (safety), then on the quality services that s/he receives (connection, i.e., to the right service within the risk, need, and responsivity (RNR) framework), fairly ensuring the compliance of agencies providing services (fairness), and overall focus on the stakeholders that work together (sensing purpose) to support DJJ’s Transformation Project and achieve the overarching goals of the regional service coordination model.
ENSURING SAFETY OF YOUTH

An overarching goal of the QA process is to ensure the safety and well-being of youth receiving services. To achieve this goal, the RSCs will subcontract only with approved DSPs; will develop policies and systems that ensure compliance with state standards, licensure, model fidelity (when applicable) and best practices and evidence-informed principles; and will conduct scheduled and unscheduled site visits at DSP locations around the Commonwealth. It is important to ensure the physical safety of youth receiving services in the community and within residential placements. Specific procedures include:

- Ensuring background checks are completed to state standard for all staff who interact with DJJ youth
- Developing Serious Incident Reporting protocols and standardized forms.
- Emotional safety through trauma informed care (TIC) practices.

ENSURING CONNECTION TO QUALITY SERVICES

This section aims to rebuild connections between the youth and her/his environment through enhanced quality of services as delivered through the regional service coordination model. Ultimately, the RSCs aim to achieve consistency across the Commonwealth such that access to and quality of services does not vary according to geography. Specific practices and procedure designed to ensure the quality of services include:

- DSP Onboarding processes including proposal, review, approval, validating contract requirements, certifications, licensures, and insurances, and orientation.
- Collecting feedback from stakeholders on service quality including informal feedback and formal satisfaction surveys
- Review of monthly DSP reports
- Gathering and reviewing data to ensure fidelity of EBMs (FFT, MST, TFCBT, HFW-ICC, ART)
The RSCs will utilize a Monitoring Prioritization Tool (MPT) to identify what providers and what type of quality assurance and compliance review will occur with each DSP. The review process is to ensure DSP agency compliance with state licensure requirements, the RSC contract requirements, reporting guidelines, and competency of staff who deliver services. RSC’s will collaborate with DJJ QA team throughout the review process.

Both AMI and EBA are committed to supporting DJJ’s work to reduce, replace, reform, and sustain the transformation process. While DJJ communicates the goals and vision of the transformation efforts to all partners (e.g., RSCs, DSPs), RSCs assist with improving awareness of DJJ efforts and enhancing the DSPs understanding of the regional service coordination model and ability to work effectively with court-involved youth. This includes tasks such as education, development of logic models, training, information sharing, and performance coaching. Throughout the QA process, RSCs are utilizing the eight principles of effective interventions including the Risk Needs Responsivity (RNR) Principle. Both formal and informal information gathering will be used to review Regional Service Coordination (RSC) Model and effectiveness of the RSC centralized processes. This section creates a review process and feedback loop with DJJ, RSC, and DSPs to enhance the intended purpose of the regional service coordination Model and support DJJ’s transformation.

Specific procedures outlined in this section aim to provide such support include:

- Collecting and reviewing DSP data submissions
- Facilitating information sharing through webinars, coffee & collaborations, community events, emails, newsletters, phone calls, reports, and web postings;
- Assisting DSP’s in the development of service specific and agency specific Logic Models to share with stakeholders and assist with the development of a service matching matrix
- Developing, distributing, and analyzing stakeholder surveys on the effectiveness of RSC Model to support DJJ’s overarching goals to reduce, replace, reform, and enhance transformation
- Reporting on performance measures of outcomes of the RSC model
Monitoring Prioritization Tool (MPT)

- Referral Volume
- Type of Services
- Dollars Spent
- Incidents

QAR
Self-Reviews

- The DSP will submit the completed Self-Review Tool to the RSC by the deadline identified (up to 30 days from receipt).
- The RSC will review the completed Self-Review Tool, highlighting areas of strengths and/or deficiencies or concerns.
- Based on the results of the Self-Review, the RSC may request additional information to be submitted by the DSPs. The additional information or items shall be reviewed by the RSC in a desk review format and may include: insurance coverage, log books, staff background and Child Protective Services (CPS) checks, staff educational credentials, individual clinical licensures, licensure status by overseeing licensing authority, certifications for EBP, and/or staff training certificates, based on the information captured in Self-Review.
- The RSC will provide feedback to the DSP in writing, and as needed, a follow up/debriefing meeting will be held with the DSP to review the results.
Quality Assurance Reviews

- In Collaboration with AMI and DJJ
- Sharing across regional service coordination agencies
- Reduce Redundancy
- Ensure referred youth experience safety, connection, purpose, and fairness of services through subcontracted Providers

Sections of QAR, Mirror the QA Plan

SECTION 1  Strategies and Practices to Ensure Youth Safety
- SIRs, Background Checks, Confidentiality

SECTION 2  Ensuring the Quality of Services
- RNR, Trauma, EBPs, Reports, training, etc.
SECTION 1  SAFETY
• What de-escalation/crisis intervention training does your agency utilize?
• Does the agency have written Client Grievance Policy?
• Does the agency solicit feedback from both staff and individuals receiving services?
• How does the agency's mission statement and/or written policies and procedures include a commitment to providing trauma-informed services and supports?
• How does the physical environment promote a sense of safety, calming, and de-escalation for clients and staff?

SECTION 2
Provide a brief explanation of how your agency HAS addressed the barrier of...

MOTIVATION  TRAUMA  LANGUAGE  TRANSPORTATION
Sections of QAR, Mirror the QA Plan

SECTION 1 Strategies and Practices to Ensure Youth Safety
  • SIRs, Background Checks, Confidentiality

SECTION 2 Ensuring the Quality of Services
  • RNR, Trauma

SECTION 3 Ensuring Compliance of Agencies
  • COI, License, EBM

SECTION 4 Enhancing the Purpose
  • Has the agency modified routine practices to accommodate DJJ youth funded through the RSC Model?
  • Has the agency provided training to direct care staff about the YASI and RNR principles?

Additional Sample Questions

• Does EACH staff member review and sign the VA DJJ CONFIDENTIALITY AGREEMENT?
• Have a written MANDATORY REPORTING Policy?
• List encryption method/software when sending confidential emails:
• How does the agency utilize evidence-based practices and principles?
• Data collection areas within the agency:
• How does your agency track & verify the effectiveness of services?
Enhancing the Purpose  *Sample Questions*

- How does the agency verify service satisfaction for youth/ referrals sources?
- Is there a system of communication in place with other partner agencies working with the individual receiving services for making trauma-informed decisions?*  (SCALE)
- Explain or characterize the communication and liaison that your agency and staff have that creates a collaborative relationship with DJJ staff at the local, regional and Commonwealth levels.
- Has the agency modified routine practices to accommodate DJJ youth funded through the RSC Model?  (SCALE)

**Attachments/ Updated Documents**

- SIR Policy
- Certificate of Insurance (Accord preferred)
- Agency License(s) – service specific
  - Corrective Action Plan (if completed per DBHDS, DSS, DMAS licensure requirements)
- Staff Certifications / Licenses for staff completing
- Annual Reports as applicable
  - Youth/ family or staff survey results
  - Outcome Report-
- Background Affidavit Form (signed)
Background Affidavit

On-Site Review

The RSC will provide identified DSPs written notice of the On-Site Review and the Self-Review Tool required prior to the on-site QAR.

- The RSC, DSP, and QA staff will coordinate a date for the on-site review and identity staff involved.
- The RSC will provide final date and time to all parties.
- The DSP will submit the completed Self-Review Tool to RSC by the date specified in the request (within two weeks from request).
- The RSC will review the completed Self-Review Tool, highlighting areas of strengths and/or deficiencies or concerns prior to the On-Site Review.
- The RSC will send the On-Site Monitoring Checklist one week prior to the On-Site Review.
Preparation for the On-Site Review

- **Review**: Review items needed on the On-Site Review Template
- **Licensing Reviews**: Review the current licensing status and reviews from other state agencies
- **Interview and survey**: Interview or send surveys to other stakeholders (e.g., CSUs, CAP Staff, EBPS)
- **Gather**: Gather a list of services provided and current open services to youth and families and develop a list of youth and staff files
- **Schedule**: Schedule a conference call and visit date. Answer any questions regarding the process prior to the on-site.

On-Site Review

- Program Policy and Procedure
- Youth and Personnel files
- Staff Development, Supervision or licensure oversight
- Grievance Procedure for Clients and Employees
- Training Logs including any EBP Training
- Incident Reports and Logs
### EBA Case File Review - Sample

<table>
<thead>
<tr>
<th>Category</th>
<th>Yes or No</th>
<th>Details/ Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Case Manager designation</td>
<td>0 YES</td>
<td>0 NO</td>
</tr>
<tr>
<td>Guardian consent to release information</td>
<td>0 YES</td>
<td>0 NO</td>
</tr>
<tr>
<td>Completed YASI</td>
<td>0 YES</td>
<td>0 NO</td>
</tr>
<tr>
<td>Social History from CSU</td>
<td>0 YES</td>
<td>0 NO</td>
</tr>
<tr>
<td>Referral/authorization date:</td>
<td>0 YES</td>
<td>0 NO</td>
</tr>
<tr>
<td>Initial family contact date:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Intake/first face to face contact date:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Initial assessment date:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Service plan date:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>CSU recommendations and YASI risk factors included in Service Plan</td>
<td>0 YES</td>
<td>0 NO</td>
</tr>
<tr>
<td><em>Parent/Guardian participation in service plan</em></td>
<td>0 YES</td>
<td>0 NO</td>
</tr>
<tr>
<td>Safety Plan, if needed</td>
<td>0 YES</td>
<td>0 NO</td>
</tr>
<tr>
<td>Desired outcomes &amp; M</td>
<td>0 YES</td>
<td>0 NO</td>
</tr>
<tr>
<td>Mitigating circumstances or Responsivity concern</td>
<td>0 YES</td>
<td>0 NO</td>
</tr>
</tbody>
</table>

Notes with timeframe

How has the agency

### [DSP] Specific Survey Sample

1. Do you use the [DSP] through other funding sources? Check all that apply:
   - Medicaid
   - Insurance
   - CSA
   - VICCCA
   - Other: ____

2. What Services did you utilize [DSP] for?

3. How would you rank the following on a scale of 1 to 5
   - Responsiveness with Referral Receipt
   - Service goals address YASI risk and needs
   - Quality and Timely Monthly Reports
   - Consistency of Sessions
   - Accessibility of Services (service area)
   - Promptness with Service Initiation
   - Engagement with youth and family
   - Ongoing Communication
   - Accuracy of Billing

4. Any areas of strength you would like to recognize for this provider?

5. Any areas of Improvement you would like to see for this Provider?
Ongoing Projects and Looking Ahead

Logic Models
- Logic Models will serve to support the CSU/CAP Staff to make recommendations for placements/services.
- Thank you to the RTC who submitted Logic Models!
- Community Based models saved on the website

Serious Incident Report Form
- Incident Notifications and reports are required.
- Direct Care SIR Forms are on the Website.
- Community Based SIR Form coming soon.

Stay Connected
- Update the Provider Directory
- Register for the Newsletter
- Monitor the EBA Website for updates
Child Trends was funded by the Office of Juvenile Justice and Delinquency Prevention (OJJDP) to conduct an in-depth process evaluation of the Virginia Department of Juvenile Justice’s (DJJ) Regional Service Coordination (RSC) Model. The goal of this project is to provide meaningful feedback and recommendations to VA DJJ as well as to other juvenile justice systems interested in implementing similar reform efforts. We have three primary objectives:

- **Conduct a process evaluation of the RSC Model to understand the extent to which it is being implemented as intended.**
- **Provide an initial assessment of the extent to which implementation of RSC Model is associated with youth outcomes.**
- **Translate and disseminate findings to targeted audiences.**

**Looking Ahead SPEP**

**Standardized Program Evaluation Protocol**

[http://www.episcenter.psu.edu/juvenile/spep](http://www.episcenter.psu.edu/juvenile/spep)
Questions?