

CHAPTER 9

IHSS QUALITY CONTROL, ASSURANCE & IMPROVEMENT

RESULTS AND RESPONSE PROCEDURES

Completed Desk/Full Field Reviews

All reviews completed each month by the QCA Social Worker will be archived in the designated QCA folder, and then sent electronically to the QCA Supervisor. All reviews for the unit for that month will be sent at the same time (not as completed) to facilitate tracking.

Tracking the Response

The QCA Social Worker will enter the review findings in the HHSA QCA-30 IHSS QCA Review Tracking Log as the reviews are completed. The QCA Supervisor will track the review summaries for timely return. The assigned IHSS Social Worker has 45 days to prepare and return a response, including the completion of any corrective action necessary. A reminder will be sent monthly to the IHSS Social Work Supervisor by the QCA Supervisor or lead worker listing any reviews that are past the 45-day response period with copies to:

- The Program Support Manager
- The IHSS Program Manager
- The IHSS Operations Manager

QCA Supervisor Responsibility

The QCA Supervisor or lead worker is responsible for reviewing the completed reviews for accuracy and consistency. Once reviewed, the QCA Supervisor or lead worker will convert the documents into a Portable Document Format (PDF) and email them directly to the IHSS Social Work Supervisor, with copy to the QCA Social Worker.

IHSS Social Worker Responsibility

The IHSS Social Worker is responsible for reviewing the IHSS QCA-01 IHSS QCA Case Review Summary and IHSS QCA-09 IHSS QCA Denied Case Review Summary and making any necessary corrections or updates. The IHSS Social Worker is responsible for the following actions:

- Printing a complete copy of the case review summary for the case file
- Reviewing each item on the summary and making corrections to the case as needed
- If corrective action is required:
 - Signing the case review summary on the indicated line
 - Completing a *Case Note* entry in CMIPS II, as appropriate
 - Submitting the signed case review summary, along with the case file, to the IHSS Social Work Supervisor for review and sign-off
- Submitting the entire copy of the case review summary for scanning into IHSS WebTop

IHSS Social Work Supervisor Responsibility

The IHSS Social Work Supervisor is responsible for ensuring that the case review summaries are completed and returned within the 45-day period. The IHSS Social Work Supervisor will forward the individual reviews to the IHSS Social Worker electronically or provide him/her with a printed copy. The IHSS Social Work Supervisor will provide instructions to the IHSS Social Worker on when to return the completed summary to the IHSS Social Work Supervisor, along

with the case file for review. The IHSS Social Work Supervisor is responsible for the following actions:

- Reviewing the case review summaries, the corrections and the response by the IHSS Social Worker
- If corrective action is required:
 - Signing the case review summary on the indicated line
 - Completing a *Case Note* entry in CMIPS II, as appropriate
 - Submitting any written disagreements using form IHSS QCA-11 *IHSS QCA Response from District/Reply from QCA* (Attachments 9-I), if appropriate
 - Scanning and returning, by email, a completed copy of the first page of the *IHSS QCA Case Review Summary* or the entire *IHSS QCA Denied Case Review Summary* to the QCA Supervisor, with a copy to the QCA Social Worker

Completed Targeted Case Reviews

The QCA Social Worker will enter the findings of targeted case reviews in the IHSS QCA-05 *IHSS QCA Targeted Case Review Log*. The completed IHSS QCA-06 *IHSS QCA Targeted Case Review Summary* will be scanned and submitted to the QCA Supervisor, along with the completed *Targeted Case Review Log*, within five days of completion and/or by the end of the review month.

Targeted review summaries requiring corrective action will be emailed by the QCA Supervisor to the IHSS Social Work Supervisor, with a copy to the QCA Social Worker. The IHSS Social Work Supervisor is responsible for ensuring that corrective action is completed for all targeted reviews.

Disagreements

If the district IHSS Social Worker disagrees with the finding, the finding can be challenged. The reason for the disagreement must be explained and include the supporting State or County procedure manual references. A timely response is still necessary informing QCA of the disagreement, but no corrective action is required until the challenge is resolved. Before a formal challenge is initiated, the IHSS Social Work Supervisor can confer with the QCA Social Worker regarding the disagreement. If the issue is resolved at this point, and there is no longer a finding, the IHSS Social Work Supervisor will write the resolution on the IHSS QCA-01 *IHSS QCA Case Review Summary* and return it to Quality Control.

If the issue is not resolved, the IHSS Social Work Supervisor will initiate a formal challenge using form IHSS QCA-11 *IHSS QCA Response from District/Reply from QCA*. The QCA Social Worker is responsible for responding to the IHSS Social Work Supervisor within ten days when an *IHSS QCA Response from District/Reply from QCA* form is received. If the issue cannot be resolved by the QCA Social Worker, the proper managerial chain of command will be followed to determine a resolution. When further policy clarification is required, extend the period to research the issue when necessary. If QCA has adequately shown that IHSS Policy and Procedure supports the item in question, the Social Worker will need to make the correction immediately upon return of the *IHSS QCA Response from District/Reply from QCA* form.

Immediate Action/Dropped Case Notices

If the QCA worker is unable to complete a review in a timely manner or information needs to be relayed immediately to the district office, the QCA Social Worker will notify the IHSS Social Worker, with a copy to the QCA Supervisor, via an IHSS QCA-13 IHSS QCA Immediate Action/Dropped Case Notice (Attachments 9-I).

Immediate Action

Immediate Action issues include a critical incident, IHSS ineligibility or suspected fraud. A critical incident is when a recipient's health and/or safety are at risk because of service delivery or the current assessment. Program ineligibility exists when a basis for eligibility does not appear to be present. Suspected fraud is when evidence of fraudulent activity has been discovered or provided to the QCA worker.

The IHSS Social Worker is required to take immediate action on the case as instructed. Confirmation that the action was taken must be received within thirty days.

Dropped Case

Cases are "dropped" from review for the following reasons:

- The recipient moved out of the County or State
- The recipient is unwilling to give information to complete a home call
- The QCA worker is unable to locate the recipient/whereabouts unknown
- The recipient is temporarily not in the home
- The recipient is deceased

The IHSS Social Worker is required to close a case immediately (subject to the 10-day NOA requirement) when notified by the QCA Social Worker. A response from the assigned IHSS Social Worker to QCA is required within 30 days. When/if the recipient agrees to cooperate with QCA, the IHSS Social Worker needs to contact the QCA Social Worker. The IHSS Social Worker will not reopen the case until notification is received from the QCA Social Worker that the recipient has cooperated with QCA. If the QCA process is not completed, the QCA Social Worker will receive credit for a desk review when the review of the case file is completed.

Review Results***QCA Review Tracking Log***

The IHSS QCA-30 IHSS QCA Review Tracking Log tracks the results of both the IHSS QCA Case Review Summary and IHSS QCA Denied Case Review Summary.

- The log covers the fiscal year month by month, starting July 1st
- Each QCA Social Worker will keep his/her own individual log
- The QCA Supervisor, or lead worker, will be responsible for maintaining the combined tracking log for the unit

QCA Social Workers will email their completed log for the previous month to the QCA Supervisor by the 5th of the current month to ensure timely completion of the *Quality Assurance State Report*.

This log should include the following type of case reviews: desk reviews, full field reviews, denied case reviews, focused case reviews, case review requests, provider overpayment review requests, and any other specialized desk reviews completed by the QCA Social Worker and/or the unit. Overpayment referrals made by the QCA Social Worker need to include the amount of the overpayment submitted.

Archiving the QCA Case Review Summaries Electronically

The QCA Supervisor, or lead worker, will enter the return date of the case review responses from the IHSS Social Work Supervisor on the *IHSS QCA Review Tracking Log* and archive the signed summaries electronically in the designated QCA folder.

Quality Assurance State Report

The Program Support Manager is responsible for reporting the results of the IHSS QCA reviews to CDSS each quarter, using the SOC 824 – Quality Assurance State Report (Attachments 9-I). The report is due by the 15th of the month that follows the end of each quarter.