

# NWF Health Network Policy & Procedure

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**Series:** Performance and Quality Improvement

**Policy Name:** Special Quality Assurance Reviews

**Policy Number:** 811

**Origination Date:** 10/1/2013

**Revised:** Board Meeting of 10/26/2023

**Referenced:** NWFHN OP 1500-1502, Client Inquiries, 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)

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## 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 *NWFHN OP 1500-1502, Client Inquiries, Grievances and Complaints*);
- ii. Concerns identified by NWFHN's Management Team;
- iii. Situations or practice with a potential for drawing media attention.
- iv. As a result of a request received by DCF.

##### b. Reviews are conducted for all:

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

#### 2. Case- and Situation-Specific Review Process

- a. Requests for case- or situation-specific quality assurance reviews related to child welfare should be directed to the Director of Quality & Professional Development or the Quality Improvement Manager, as appropriate. Requests related to behavioral health should be directed to the Managing Entity Program 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).

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- 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, the relevant Director or Manager or designee to facilitate the review process.
  - d. The COO will determine notification recipients for situation-specific reviews and review parameters.
  - e. The relevant Director or Manager is responsible for assigning and briefing the staff assigned for the review regarding the nature, timeline and specific instructions related to the review within 24 hours, when the incident/situation(s) of serious occurrence, accident and grievance involves the threat of actual harm, serious injury or death of the incident being reported. Those incidents reported, that are not of those above mentioned level of seriousness, are reviewed and assigned in a timely manner.
  - 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 relevant Director or Manager.
  - 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 relevant Director or Manager 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 relevant Director or Manager.
  - b. The relevant Director or Manager 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.
  - 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 *NWFHN OP 1500-1502, Client Inquiries, 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 NWFHN's Management Team.
    - f. Situations or practice with a potential for drawing media attention.
  - 2. Continuous Quality Improvement Planning and Activities

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- 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 *NWFHN OP 800-801, Continuous Performance and Quality Improvement*.