



07/17/12

Home and Community-Based Services Waivers Shared Resolution Process

Purpose

The purpose of the HCBS Waivers' Quality Assurance System is to ensure the health and well-being of clients through continuous client-focused monitoring and improvement by implementing and sustaining a quality management system. This Shared Resolution process is a remediation option in the Quality Management framework.

The purpose of Shared Resolution is to address an identified need for improvement using a flexible partnership model.

Process

Use

1. This is a proactive model which focuses on the heightened satisfaction of multiple internal or external customers, emphasizing common causes and processes to get even better.
2. It does not replace-
 - ❖ Local administrative/supervisory efforts in advance or in addition to improve quality;
 - ❖ Routine program management issues which are informally resolved between DHHS Central Office and Services Coordination agency staff.
 - ❖ Personnel actions taken locally; nor
 - ❖ Other existing Quality processes such as Local Level or Central Office Complaint reports
3. The process is appropriately used when-
 - ❖ An issue has been identified through an established quality management process, but is not "egregious" as defined appropriate for Quality Improvement Plan
 - ❖ Expectations for performance of a policy or process are clearly stated, but informal resolution with the SC Agency supervisor has not brought about acceptable results.
 - ❖ The issue identified in discovery indicates a pattern within a specific agency, not a single (non-safety) incident. The issue may

relate to compliance with regulation or to a required process identified in administrative memo or training.

Process Steps

A. Initial contact: Via phone call or e-mail, a designated DHHS Central Office Quality Team member communicates with the agency director/DHHS LTC administrator to-

1. Describe the identified issue;
2. Schedule a resolution phone call; and
3. Determine a primary contact person and other participants.

NOTE: When this process is part of On-Site Review Remediation follow-up, the initial contact and communications occur during the Exit Interview.

B. Phone Conference Call: During the scheduled phone call (and, perhaps, follow-up efforts), give-and-take communications occur to discuss the issue, reasons, and reach consensus on future expectations, results to be achieved, how resolution and results will be monitored and measured.

C. Follow-up: The phone conference is expected to result in follow up actions for both the local agency and DHHS Central Office.

1. Central Office staff detail and document the consensus decision in an e-mail to the designated contact person.
2. The contact person implements steps determined by the local agency as necessary to achieve the expected results. This may result in a document similar to a "Quality Improvement Plan", but that would remain an internal, working document. Its contents may be shared with Central Office, but it would not be submitted to Central Office for oversight or approval.

D. Monitoring: Central Office rechecks data in the established time frame and reports results to the contact person.

E. Next Steps: The results drive the next step which may include-

1. Issue is resolved.
2. More time is needed, so agency implementation and DHHS Central Office monitoring continues for an established time period.
3. A Quality Improvement Plan is necessary.