



# QMP License Inspection

## Comparison of former and current inspection process

February 2014

<b>Former Process</b>	<b>Current Process</b>
<p><u>Quality Management Program Review:</u></p> <p>Review of the incorporation of the required components into the agency's Quality Management Program only when egregious or systematic non-compliance issues are suspected or discovered during the routine inspection process.</p>	<p><u>Quality Management Program Review:</u></p> <p>Review of the incorporation of the required components into the agency's Quality Management Program.</p>
<p><u>Pre-survey Preparation:</u></p> <p>From the date of the most recent inspection, the agency's compliance and complaint history and occurrences reports were reviewed.</p>	<p><u>Pre-survey Preparation:</u></p> <p>Same</p>
<p><u>Staff Interviews:</u></p> <p>Initial interviews were conducted with administrative staff about the agency's processes including staffing, scheduling and consumer record processing.</p> <p>Additional interviews with multiple staff (administrative and direct care) were conducted throughout the inspection based on potential compliance concerns.</p>	<p><u>Staff Interviews:</u></p> <p>Initial interviews are conducted with administrative staff regarding the agency's Quality Management Program.</p> <p>Additional interviews with multiple staff (administrative and direct care) are conducted based on potential concerns with the components of the agency's Quality Management Program.</p>
<p><u>Consumer Home Visits:</u></p> <p>The number of visits was based on the size of agency and could increase based on identified concerns.</p> <p>Average 3 to 5 (3%)</p>	<p><u>Consumer Home Visits:</u></p> <p>A minimum of 3, with potential increase based on identified concerns.</p>



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<p><u>Consumer Record Review:</u></p> <p>A sample of consumers were selected for record review. The number of records reviewed was dependent upon the size of the agency and identified concerns.</p> <p>The quality of care, internal/external coordination, adherence to the plan of care, supervision and the accuracy and completeness of the consumer record was evaluated.</p> <p>Evidence to show the required Consumer Written Rights form and Disclosure Notice form was also evaluated.</p> <p>Average 10 consumer record reviews</p>	<p><u>Consumer Record Review:</u></p> <p>Other than a brief review for visited consumers, consumer record reviews are not conducted unless found necessary for broader review of the components of the agency's Quality Management Program.</p> <p>Evidence to show the required Consumer Written Rights form and Disclosure Notice form is evaluated.</p>
<p><u>Personnel Record Review:</u></p> <p>Administrative, supervisory, and direct care personnel records were reviewed. The sample could have been expanded based on concerns identified during a home visit and/or as part of the consumer record review.</p> <p>The personnel records were evaluated for completeness, inclusive of orientation, training, competency, job description, counseling and performance evaluations, credentials, DORA and background checks.</p> <p>Average 10 – 15 personnel record reviews</p>	<p><u>Personnel Record Review:</u></p> <p>Same</p>



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<p><u>Administrative Record Review:</u></p> <p>Complaint and Incident log, agency policies and procedures, content of staff training and orientation were reviewed.</p> <p>The review was expanded to include a review of the agency's processes and requirements pertaining to Governing Body, Professional Advisory Group and agency Administrator/Manager, based on concerns pertaining to the agency's systems and processes.</p>	<p><u>Administrative Record Review:</u></p> <p>Policies and procedures pertaining to issuance of the Written Consumer Rights and Disclosure Notices, background check reconciliation and the Quality Management Plan.</p> <p>Additional policies and procedures may be reviewed based on concerns with the agency's Quality Management Plan and related processes.</p>
<p><u>Inspection Exit and Deficiency List:</u></p> <p>A summary of findings were verbally presented to the agency at the conclusion of the inspection. A formal report (deficiency list) was then prepared and electronically issued to the agency at a later date.</p>	<p><u>Inspection Exit and Deficiency List:</u></p> <p>A summary of findings are verbally presented to the agency at the conclusion of the inspection. When possible, a formal report (deficiency list) is prepared and issued to the agency at the time of exit.</p> <p>A brief formal report is maintained by the State agency.</p>
<p><u>Plan of Correction and Revisit:</u></p> <p>The agency was required to submit an acceptable electronic Plan of Correction.</p> <p>A revisit was conducted to determine the agency's implementation of the Plan of Correction and to evaluate the agency's compliance with program rules.</p> <p>The revisit could be conducted via desk audit or another on-site visit, depending on the original deficiency list concerns.</p>	<p><u>Plan of Correction and Revisit:</u></p> <p>When possible, the agency will be deemed to be in compliance with all regulations within 30 days of inspection exit.</p>