DAUPHIN COUNTY MH/A/DP PROGRAM
POLICY AND PROCEDURE

Department:  
____ MH  
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____ EI  
____ Admin  
____ Crisis

Policy No. 20-01

Effective Date January 7, 2020

Revision Date

Approved

Title: Closing the Loop with Monitoring and AE Escalation Issue Follow Up

Policy: The Dauphin County Department of Mental Health/Autism/Developmental Programs will follow up with providers to obtain Plan of Corrections from issues in which the providers failed to submit to CMU’s Supports Coordination Program within 20 days.

Definitions:

Administrative Entity (AE) - The Dauphin County Department of Mental Health/Autism/Developmental Programs, which enters into and maintains a signed agreement with the Department Of Human Services to perform administrative functions delegated by the Department, as the Department’s designee, and in compliance with the Department’s approved Consolidated, Community Living, and Person/Family Directed Supports (P/FDS) Waivers, and with written policies and procedures and departmental decisions.

AE Lead - Refers to the staff member who has oversight of the individual described in the issue, which is based on the individual’s funding stream and living arrangement.

CMU Supports Coordination Quality Management Coordinator - Also referred to as QMC, is responsible for monitoring overall quality consistent with the Case Management Unit Supports Coordination Organization’s Quality Management Plan. The Supports Coordination Quality Management Coordinator is responsible for tracking and assuring quality as part of the Closing the Loop with monitoring process.

Issue - A citation to the provider from the supports coordinator, in which non-compliance was discovered during a monitoring with the individual.

Individual - A person who participates in the Supports Coordination service through CMU through the Intellectual and Developmental Disabilities Program.

Provider - An agency rendering service to individuals.
Monitoring - The Supports Coordinators’ oversight and review for compliance of the implementation of the Individual Support Plan. The monitoring also ensures that the services provided meet the needs of the individuals, which includes confirming the individuals have access to services, are exercising free choice of provider, and services are performed at the duration and frequency specified in the Individual Support Plan.

Plan of Correction - A time sensitive plan for the provider to correct the issue with a completion date.

Procedure:

1. When the provider has failed to submit to CMU’s QMC the Plan of Correction by the 19th day, the CMU QMC will promptly send notification via email to every program staff of Dauphin County MH/A/DP AE.

2. The Dauphin County MH/A/DP AE program staff member who has oversight of the individual (LEAD) who was affected by the issue, is responsible for the follow up. If the lead is not available, any AE staff member available will follow up.

3. Once the AE Lead is notified by the CMU QMC that a plan of corrections has not been submitted, the AE Lead will verify that the email confirms that the Health and Safety of the individual was ensured prior to escalation to the AE. The CMU QMC should state this in the email notification. If it is not stated, the AE lead will notify the CMU QMC, CMU Supervisor, CMU Deputy Developmental Services Director, and the Developmental Services Director, via email to assure that the Health and Safety of the individual was ensured.

4. The AE Lead will complete the “Dauphin County MH/A/DP Closing the Loop with monitoring AE Escalation Issue Follow Up” form and submit via email to the provider’s point of contact informing them that the AE was notified that a required plan of correction is late, and that the provider has five days to submit to the AE the Plan of Corrections.

5. If the Plan of Correction is not submitted within five days, the AE lead will notify the Dauphin County Deputy Administrator of A/DP, in which case escalation follow up will occur by the Deputy using contact through the provider’s chain of commands until the Plan of Correction is received by the AE.

6. Once the Plan of Correction is obtained by the AE, the AE will complete the remaining sections of the Dauphin County MH/A/DP Closing the Loop with Monitoring AE Escalation Issue Follow Up” form (Attachment #1), sign and date it.

7. The form and the Plan of Correction will be forwarded via email to the CMU QMC. The CMU QMC will then forward the Plan of Correction to the assigned Supports Coordinator and SC Supervisor.
Dauphin County MH/A/DP Closing the Loop with Monitorings
AE Escalation Issue Follow Up

Name of Individual and MCI:

Provider Contact Information:
  Name:
  Phone Number:
  E-mail Address:

Monitoring Tool Question and Number:

Description of Issue:
(What resulted in a Plan of Correction needed)
Policy # 20-01 Attachment #1

Date(s) AE was Notified:

AE Actions Taken

(Obtain Plan of Corrections from Provider)

Date AE Completed Action Steps:

Date AE Received Provider's
Plan of Corrections:

AE Lead Signature ___________________________ Date ___________________________