Statement of Consideration (SOC)

PPTL 21-10 SOP 30.6 Continuous Quality Improvement (CQI) and the Case Review Process and corresponding forms. The following comments were received in response to SOP drafts sent for field review. Thanks to those who reviewed and commented. Comments about typographical and grammatical errors are excluded; these errors have been corrected as appropriate

**SOP 30.6 Continuous Quality Improvement (CQI) and the Case Review Process**

1. **Comment:** Will we be reviewing our own cases now or will we still be reviewing each other’s cases? If so, will we be required to contact the other workers to go over their cases in regards to their strengths and areas of improvement?

**Response: Language has been edited to say “will”, indicating that FSOSes will not review cases they are assigned to supervise.**

**To ensure an unbiased review within first-level case reviews, and to align with federal guidance, regions will assign first-level case reviews to a family services office supervisor (FSOS) not assigned to supervise the case.**

**The FSOS assigned to complete the case review should review the Case Review Strengthening and Monitoring Form with the worker and FSOS assigned to the case. Language has been updated under the first-level case review procedure.**

1. **Reviews the Case Review Strengthening and Mentoring Form with the social service worker (SSW) and FSOS assigned to the case, to include a discussion of the strengths, areas needing improvement, and action planning.**
2. **Comment:** And are they changing the review tool?

**Response: Changes will not be made the case review tools at this time. However, consideration is being given to edits for both the first and second-level tools.**

1. **Comment:** According to this, case reviews will be due by the 25th of each month, not the end of the month? Maybe this is how it’s always been but I thought we had till the end of the month. Just want to make sure that I do these correctly and timely?

**Response: It has always been the expectation that case reviews be completed by the 25th to ensure a quality review. For evaluation purposes, the last day of the month was acceptable.**

1. **Comment:** So as a second level reviewer, am I supposed to be using the Case Review Strength & Mentoring Tool? This tool includes everything I complete on the review form but it has the action planning, which is not something I have included on the review form that is sent to you, FSOS, and SSW

**Response: Yes. Second-level case reviewers should use the Case Review Strengthening and Mentoring Form.**

1. **Comment:** On the proposed procedure when it talks about the “case review strengthening and mentoring tool” is that to be completed and reviewed with the worker by the FSOS doing the review or the FSOS of the worker assigned to the case?

**Response: Yes. The Form should be reviewed with all FSOSes. Please see response #1.**

1. **Comment:** From what I can read, we are to be assigned no more than four cases a month. If that is the case, then there is no way for FSOS’s to get higher than a “meets expectations” on their evaluations. Is this accurate?

**Response: Only four cases will be assigned in CQI CARES 2.0. However, as outlined in this SOP, “ for coaching and mentoring and evaluation purposes, additional cases may be reviewed outside of CQI-CARES 2.0”. Regions can adjust scores for the evaluation if reviewers are reviewing more cases than assigned in CQI CARES 2.0.**

1. **Comment:** The new policy draft does not give room for additional cases being reviewed for an above meets score on evals – if this is on eval – they should have a means for supervisors to be able to increase eval score – at times, this is the only control I may have over my eval numbers

**Response: See response to #6.**

1. **Comment:** The name of the third-level case review process needs to be changed. This is confusing to staff who are familiar with the old third-level case review process and these reviews are not linked to first and second level through the sample.

**Response: The third-level case review process has been changed to the Kentucky Child and Family Services Review (KY CFSR).**

1. **Comment:** Instead of saying regions should consider assigning reviews to a different FSOS, It should be a policy requirement.

**Response: Please see response #1.**

1. **Comment:** By allowing the regions to choose whether or not FSOS’s review their own cases, this creates inconsistency across the state with the CARES data.  Either we should, or we shouldn’t be reviewing our own cases.

**Response: Please see response #1.**

1. **Comment:** The strengths and mentoring tool is too generic.

**Response: The Case Review Strengthening and Mentoring Form was developed based on feedback to keep the tool simple. This is a minimum standard and additional information can be added. Consistency of using the form across regions is most important.**

1. **Comment:** You will likely find that other regions, such as ours, have more specific tools in place to capture quality work in an effort to improve CFSR scores.  This proposed tool takes us backwards.  If we require staff to utilize the existing tools, then it leaves room for staff to say that we aren’t following policy. I recommend taking the requirement of using the tool completely out, along with any sections that mention the tool, but adding it as a resource for staff.

**Response: Please see response #11.**

1. **Comment:** The policy indicates the reviewer reviews the tool and the case review with the worker.  IF we are swapping cases, the review needs to happen with the FSOS and the worker.  This needs to be clarified.

**Response: Please see response #1.**

1. **Comment:** Is this necessary? What’s the purpose of the second level reviewer reviewing this?  What are they doing with it?   Reviews the Case Review Strengthening and Mentoring Tool received from the FSOS for the associated case;

**Response: Second-level case reviewers should review the Case Review Strengthening and Mentoring Form to see what strengths and areas needing improvement were identified by the first-level case reviewer, as well as suggested action items. Additionally, the second-level reviewer should utilize the Case Review Strengthening and Mentoring Form to assess the first-level case reviewer and use as a coaching and mentoring tool with the first-level reviewer to improve the quality of case reviews.**

1. **Comment:** Consider adding that the 2nd level review is reviewed with the SSW and the FSOS.  It’s a learning opportunity for all.

**Response: Language added to procedure #5 under the second-level case reviews.**

1. **Provides feedback to the SSW and FSOS around strengths and areas of improvement identified within the case.**
2. **Comment:** It says they are loaded by the 12th in some sections; other it says by the 6th.  This needs clarified.

**Response: There will be no changes at this time and cases will continue to be loaded by the 6th of the month. However, we will continue to explore additional options for reviewers to have additional time to complete reviews.**

1. **Comment:** Should policy outline when the CARES cases are loaded into twist?

**Response: Please see response #16.**

1. **Comment:** the actual Tool to have a signature/date area on it for the Worker and FSOS.

**Response: A check box has been added to indicate that the Case Review Strengthening and Mentoring Form was reviewed with the assigned SSW and the assigned FSOS.**

1. **Comment:** FSOS’s are concerned about the requirement to complete the 1st level reviews by the 25th of the month. They feel that it is almost impossible to do this when the peer reviews are not assigned until around the 15th of the month sometimes.  .  It says that the FSOS is to complete the strengthening and monitoring tool, and discuss it with the worker yet the review is being completed by another Supervisor.  FSOS’s are wondering what kind of feedback will be provided by the FSOS completing the review so they will know what to include in their Strengthening and Mentoring Tool. This tool is an extra step to be completed in addition to the regular peer review they complete (which is not the same review they are developing the tool on). FSOS’s feel this is setting them up for failure (to have the review done by the 25th, then completing the Tool for a case they are not reviewing and then the requirement to send the Tool to the SRAA/CQI Sp/SSS prior to the 2nd level review).

**Response: Please see response #16.**

1. **Comment:** Specialists like the Strengthening and Mentoring Tool. They like that it requires an action plan to be completed by the worker and FSOS on things to fix or address in the case prior to their review. This ensures the FSOS is actually discussing the case with worker. Specialists question how are the FSOS’s supposed to develop this tool using someone else’s review?  Specialists feel that FSOS’s would need to complete their own reviews for this to work appropriately.

**Response: The case reviewer has until the 25th to complete case reviews and send the Case Review Strengthening and Mentoring Form to the assigned SSW and the assigned FSOS.**

1. **Comment:** This form is supposed to be sent to Specialists so they can look at it when they review the case and see if corrections have been made. Specialists are concerned about the timeliness of the tool being completed.  FSOS’s are supposed to have their reviews completed by 25th in the system. Specialists think the policy needs to include a date for the tool to be completed as well so they can be sent to SRAA/SRCA/CQI SP and then on to the person that is assigned the 2nd level peer review on that case in  timely manner.  SSS’s are supposed to be assigned the 2nd level review in the first week of the month, and according to this policy SSS’s have to have them completed by 25th of the month now.  Therefore, things have to be assigned timely for this is to work properly. Reviews are generally never assigned within the 1st week of the month.

**Response: The case reviewer has until the 25th to complete case reviews and send the Case Review Strengthening and Mentoring Form to the assigned SSW and the assigned FSOS. Second-level reviewers will be responsible for obtaining the Case Review Strengthening and Mentoring Form**

1. **Comment:** SSS’s don’t think that there will be enough time for the worker to complete the action plan and complete necessary documentation in the case before the 2nd level review to allow SSS’s to monitor if the plan has been followed to close the loop. SSS’s think it would make more sense if the FSOS completed reviews on their own cases, complete the tool with worker, send the tool to the CQI Specialist, SRAA, and SRCA by a certain date each month- who in turn sends the tool to the assigned SSS.   Upon completion of 2nd level review, the SSS sends the review to the FSOS, SRAA and SRCA and at that point,  the FSOS should modify the tool based on second review and worker’s progress and submit back to the SRCA/SRAA.  This makes the FSOS have to review the plan a month later with the worker to see what they have completed and update the plan and since both are sent to SRAA the SRAA can monitor - this would assist with closing the loop.  That way if the case is pulled for a 3rd level review, there is progress and a plan before that review.

**Response: The assigned case reviewer will complete the case reviews and the Case Review Strengthening and Mentoring Form by the 25th of the month.**

1. **Comment:** SSS’s think there needs to be a line in the policy added that says after the FSOS gets the 2nd level review they will meet with the SSW and modify the action plan or review to see if tasks have been completed.

**Response: Please see response #15.**

1. **Comment:** Specialists are wondering if the online tool is changing in any way as it does not mention that in the policy.

**Response: Please see response #2.**

1. **Comment:** FSOS’s and SSS’s are concerned about having to have the reviews completed by the 25th when cases are generally not assigned until the 2nd week or after. They feel that cases need to be assigned by the 1st or 5th at the latest in order to meet the 25th deadline.

**Response: Please see response #16.**