

ESCALATION CRITERIA FOR CONTRACT ACTION REVIEW

Issues Resulting In Immediate Escalation

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| <ul style="list-style-type: none"> • Immediate Health and Safety Issues (the member is in immediate jeopardy) • Unexpected member death • Qualified Vendor (QV) concern sent from Executive Leadership Team (ELT) • QV Immediate Termination | <p>Any situation involving the following will be fast tracked:</p> <ul style="list-style-type: none"> • Imminent jeopardy • Life or death • Physical abuse • Neglect • Harm |
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Issues Resulting In Trended Escalation*

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| <ul style="list-style-type: none"> • HCBS Time sheets not being signed by responsible party • Therapy Progress notes not being signed or available • Staffing Issues <ul style="list-style-type: none"> • Training • Ratios • Not showing up (Gaps) • Conduct • QV knowingly responds to vendor calls with insufficient capacity to serve • Refusing to continue to serve member after accepting to serve, Article 21 (may be direct elevation) <ul style="list-style-type: none"> • Not picking up member timely • Not taking the member back after hospitalization / incarceration | <ul style="list-style-type: none"> • Lack of compliance with and/or continuous Corrective Action Plans (CAP) • Monitoring Domain Compliance • Gaps in Service Report not being submitted • Not adhering to Policies and Articles <ul style="list-style-type: none"> • Not submitting or late submission of Incident Reports • Lack of adherence to ISP and/or Behavior Treatment Plans (BTP) • Not meeting member's needs (medical and/or nursing / behavioral / medication needs) • Trends of repeated incidents of Neglect / Abuse / Exploitation that are not immediate health and safety issues <p>*3 or more occurrences within last 12 months in any combination.</p> <p>This is not an all-inclusive list.</p> |
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Contract Action Unit (CAU) Packet of Concern Requirements

Packet must be completed, in full, and submitted to DDContractAction@azdes.gov for CAU review

Required for each Packet of Concern

- Summary
- Chronology / Dates & Times
- Correspondence / Communications
- Technical Assistance Provided to Vendor
- Remediation

Concern Type and Requirements

Member Related Concerns

- Planning/ Care Documents

Agency Related Concerns

- Staffing Schedules
- Training / Qualifications
- Finances

Incidents/ Investigation Related Concerns

- External Investigation Reports
- Internal Incidents/Investigations

Facilities

- Out of Home Services

Non-Contract Action Issues

- Billing discrepancies
- Isolated Incidents (no immediate jeopardy)
- Internal employee relation concerns that don't impact the member
- Vendor requests release from serving a member



CONTRACT REVIEW GUIDELINES AND EXPECTATIONS

1. When any DDD staff is speaking to a Qualified Vendor (QV) about escalating issues to the Contract Action Unit (CAU), use the term “Contract Review.”
2. All issues needing to be reviewed by the contract Action Unit will be escalated from the district Network/Quality Assurance/Monitoring units, where the issue is identified.
3. The Unit escalating the issue for Contract Review is responsible for reaching out to all parties involved to collect all relevant information for the identified issue(s).
4. The Unit escalating the issue will notify the QV’s administrative district (i.e. DPM, QA, Network, etc.)
5. The QV’s administrative district will collaborate with the reporting district regarding any similar issues.
6. The Unit escalating the issue(s) will include a summary of the technical assistance offered to QV along with the Escalation Review Packet.
7. It is expected that technical assistance is relevant to the incident/concern and would have been provided to the QV prior to escalating the issue/concern for Contract Review.
8. Prior to informing a QV of a contract review (via Escalation Letter), the Escalation Review Packet must be compiled and sent to CAU with a copy of the Escalation Letter.
9. Include historical information, only if it is unresolved or not addressed, and is relevant to the current incident(s)/concern(s). Ensure the Escalation Review Checklist is sent with the Escalation Review Packet. (To ensure all appropriate documentation is sent.)
10. Use Microsoft OneDrive to transfer documents to the Contract Action Unit (add the OD URL). Email the link to the OneDrive folder to DDDContractAction@azdes.gov inbox, to inform the CAU the document is available for review.
11. Based on the preliminary findings of the issue(s)/concern(s), the CAU will set up an Inquiry Meeting. The Inquiry Meeting will also have a Pre-Inquiry Meeting.
12. The Pre-Inquiry meeting structure should be as follows: Introductions, Scope of Inquiry Meeting, and time allotted for brief additional information. (Information is Specific, Measurable, and Fact-based.)
13. If an issue was not discussed in the Pre-Inquiry meeting, the issue cannot be discussed in the Inquiry meeting with the QV.
14. The Contract Action Supervisor or Designee shall be the only one speaking during the Inquiry meeting unless directed by the Contract Action Supervisor or Designee.