



Successful Youth • Strong Leaders • Safer Communities

POLICY

SUBJECT: Quality Assurance – Field Audit Team Policy
NUMBER: MGT-618-14
APPLICABLE TO: DJS Staff
EFFECTIVE: December 22, 2014

APPROVED: _____/signature on original/
Sam Abed, Secretary

I. POLICY

The Department of Juvenile Services' (DJS) Quality Assurance Field Audit Team shall conduct comprehensive audits of DJS community services to ensure the programs are being operated in accordance with established Maryland statutes, regulations and DJS policies and procedures.

II. AUTHORITY

- A. MD. CODE ANN., HUM. SERVS. §§ 9-203, -204, 238.1, and -241.
- B. MD. CODE REGS. 16.16.

III. DIRECTIVES/POLICIES RESCINDED

- A. Quality Assurance – Field Audit Team Policy, MGT-618-13.

IV. FAILURE TO COMPLY

Failure to comply with the Department's Policy and Procedures shall be grounds for disciplinary action up to and including termination of employment.

V. STANDARD OPERATING PROCEDURES

Standard operating procedures have been developed and are attached.

VI. REVISION HISTORY

DESCRIPTION OF REVISION	DATE OF REVISION
New policy issued.	9/28/12
Updated Field Audit Manual (SOP).	11/14/13
Updated Field Audit Manual (SOP).	November 2014

DJS POLICY AND STANDARD OPERATING PROCEDURES

Statement of Receipt and Acknowledgment of Review

SUBJECT: Quality Assurance – Field Audit Team Policy
NUMBER: MGT-618-14
APPLICABLE TO: DJS Staff
EFFECTIVE: December 22, 2014

I have received and reviewed a copy (electronic or paper) of the above titled policy.

I understand that failure to sign this acknowledgment form within five working days of receipt of the policy shall be grounds for disciplinary action up to and including termination of employment.

I understand that I will be held accountable for implementing this policy even if I fail to sign this acknowledgment form.

SIGNATURE

PRINTED NAME

DATE

***THE ORIGINAL COPY MUST BE PLACED IN THE EMPLOYEE'S PERSONNEL FILE.
PLEASE RETURN THIS FORM TO THE OFFICE OF HUMAN RESOURCES.***



Office of the Inspector General (OIG)

Quality Assurance (QA)

Field Audit Team

Standard Operating Procedures (SOP)

Manual

December 2014

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VISION AND MISSION STATEMENT

DJS Vision Statement

Successful youth, strong leaders, safer communities.

DJS Mission Statement

By law, the Department of Juvenile Services (DJS or Department) is a child-serving agency responsible for assessing the individual needs of referred youth and providing intake, detention, probation, commitment, and after-care services.

DJS collaborates with youth, families, schools, community partners, law enforcement, and other public agencies to coordinate services and resources to contribute to safer communities.

Quality Assurance Field Audit Team Mission Statement

The Field Audit Team is responsible for auditing case management practices in order to ensure the health, safety and well-being of the youth placed in the community or in a residential placement. Field Auditors will ensure that all mandates are timely and documented. The Field Audit Team supports the Department's goals and objectives for accountability, transparency and excellence.

INTRODUCTION

This document contains the Standard Operating Procedures (SOP) for the DJS Quality Assurance (QA) Unit – Field Audit Team. All QA Field Audit Team personnel shall adhere to the procedures listed in this manual. Each employee shall receive a copy of the SOP, and an additional copy shall be kept for reference with the Master File.

This manual is subject to periodic changes as needed. All staff shall be given appropriate notification of any changes and supplemental pages shall be distributed to each employee as an appendix.

OVERVIEW

The QA Field Audit Team uses an audit process designed to objectively and systematically review youth files to ensure compliance with case management standards according to state and federal law and regulations and DJS Policy, and report the manner in which case management functions are performed, including, but not limited to:

- Planning and assessment,
- Problem identification,
- Outcome identification,
- Monitoring and evaluating the quality of DJS case management practices,
- Facilitation of dialogue between community services staff and senior managers, and
- Identifying systemic issues to improve case management practices and outcomes.

Field Audits are conducted in a manner that reinforces the mission of the Department and assists Case Management Specialists in the performance of their duties.

Each DJS field office shall be audited in accordance with a schedule approved by the Audit Review Board.

DJS field offices are required to submit a Corrective Action Plan (CAP) for any audited measure that receives a rating below 80% and within 30 days.

A follow up audit shall be conducted for any DJS field office that receives below 80% for overall office rating; the follow up audit may take place within six months of the date of the last audit findings.

Technical support may be provided to the DJS field office upon request.

The Field Audit Team is responsible for conducting Quality Assurance Field Audits of the 32 DJS field offices annually (based on staffing) throughout the State. However, the Field Audit Team may be called upon to audit individual offices more frequently at the request of the DJS executive staff.

The offices that may be audited annually include the following:

- Annapolis
- Arbutus
- Baltimore City Central (BCJJC)
- Baltimore City Reisterstown
- Baltimore City Southern
- Bel Air
- Cambridge
- Centreville
- Chestertown
- Cumberland
- Denton
- Eastern Baltimore County
- Easton
- Elkton
- Ellicott City
- Frederick
- Garrison
- Glen Burnie
- Hagerstown
- La Plata
- Largo
- Leonardtown
- Montgomery County Juvenile Assessment Center
- Oakland
- Prince Frederick
- Princess Anne
- Salisbury
- Silver Spring
- Snow Hill
- Hunt Valley
- Upper Marlboro
- Westminster

DEFINITIONS

1. *Audit* means the examination or observation of an item, process, or operation to determine its compliance with applicable standards or law.
2. *Audit Review Board* means an executive management team that reviews annual audit reports, corrective action plans, and other quality assurance matters.
3. *Compliant* means an observation or result that meets or exceeds the established standard.
4. *Corrective Action Plan (CAP)* means a detailed remedy to correct deficiencies within a prescribed period of time.
5. *Non-compliant* means an observation or result that fails to meet a standard.
6. *Standards* mean guidelines to evaluate compliance with established laws, regulations, policies and practices.
7. *Secretary* means the Secretary of the Maryland Department of Juvenile Services.
8. *Quality Assurance Specialist* means the DJS employee who is assigned to carry out the duties, responsibilities and activities related to auditing community services programs.
9. *Business day* means a day other than Saturday, Sunday, or a legal holiday.

1.0 QA FIELD AUDIT GUIDELINES

The Field Audit process consists of the following steps:

- 1.1.** Preparing for an audit which includes, but is not limited to: reviewing law, regulations, policies and directives, obtaining and reviewing relevant information from databases, scheduling on-site audits, assembling audit team members, and disseminating audit related information to the appropriate personnel.
- 1.2** Scheduling an audit to take place within the area office that provides adequate space and privacy.
- 1.3** Conducting an Entrance Conference to describe the audit process, procedures and audit documents to the Regional Director, or designee.
- 1.4** Conducting field audits to collect data, perform analysis, review records and examine the services delivered to DJS youth.
- 1.5** Conducting an exit conference to report the preliminary findings of the audit to the Regional Director or designee.
- 1.6** Providing a QA Field Audit report to the Director of QA, DJS Executive Director of Community Services, Deputy Secretary of Operations and the Chief of Staff. The detailed report shall identify each measure or applicable law, regulation or policy that requires corrective action.
- 1.7** Require the development of a CAP for any measure or applicable law, regulation, or policy that is rated non-compliant based on the information obtained during the audit. The Regional Director or designee shall use the CAP to construct working plans that describe strategies to ensure that the field office will become compliant and maintain compliance.
- 1.8** Conducting a CAP follow-up audit to assess the field office's resolution of problems and the implementation of strategies identified in the CAP.
- 1.9** Providing technical assistance upon request. This may include training, consultation and other strategies provided to field staff as they refine operational and programmatic practices to fully meet measures, policies or applicable laws and regulations.

2.0 PRE-AUDITING PROCESS

- 2.1 Director of Quality Assurance. The Director of QA shall:**
 - 2.1.1** Notify the Executive Director of Community Services in writing of a scheduled audit and Entrance Conference time at least five (5) business days prior to the audit and provide the names of the cases to be audited from the assigned area office.
- 2.2 The Audit Team Leader (ATL) shall:**
 - 2.2.1** Request a list of youth records to be audited from the Office of Research and Evaluation prior to the scheduled DJS field office audit. The Office of Research and Evaluation shall randomly select the number of youth records approved by the Executive Team. The Office of Research and Evaluation shall randomly select a maximum of (50) Intake cases from area offices.
 - 2.2.2** Disseminate the list of youth records to be audited to the Field Audit Team.
- 2.3 The Audit Team Leader shall:**
 - 2.3.1** Prior to each site visit, develop a yearly Field Audit Schedule. This schedule shall outline the months that each DJS area office will be audited. Specific dates for the office visits will be determined at the beginning of each month. This schedule shall be subject to change as necessary.
 - 2.3.2** Review the schedule monthly, make any necessary changes, and notify the Director of Quality Assurance of any such changes. At the Secretary's request, the schedule shall be modified to audit area offices as requested.
 - 2.3.3** Establish the arrival time at the DJS field office one business day prior to the visit.
- 2.4 The Audit Team Leader and Quality Assurance Specialists shall:**
 - 2.4.1** Review the following screens on ASSIST: database placement/detention, supervisory case reviews, legal actions, case notes, physical attributes, alerts, education, medical and client relations (See Appendices 2, 5-11, 13-14).
 - 2.4.2** Review the contact database to determine completion of case notes and MCASP Needs Assessments.

3.0

ON-SITE ACTIVITIES

3.1 The Audit Team shall:

- 3.1.1 Arrive at the area office during announced site visits within the specified time indicated in the notification.
- 3.1.2 Present official State of Maryland identification upon arrival.
- 3.1.3 Conduct the audit in an area that provides adequate space and privacy. To the extent possible, the area office should centralize the documentation in a structured fashion to facilitate the timely completion of the audit process.
- 3.1.4 Conduct an Entrance Conference with management to clearly explain the purpose, objectives, and specific agenda for the audit.
- 3.1.5 Meet with the Regional Director or designee, on a daily basis during the audit, to keep him/her informed of the status of the audit process.
- 3.1.6 During the course of the audit, be responsible for providing measures interpretation and clarify requirements for compliance to the field personnel as needed.
- 3.1.7 Maintain copies of supporting documentation, worksheets and notes used to substantiate findings.
- 3.1.8 Meet as necessary to share any significant information obtained during the audit process. *(Note: If any team member detects or is notified of a life-threatening or health or safety-endangering practice or condition, the Audit Team Leader shall be notified and he/she shall contact the Director of Quality Assurance of the finding.)*
- 3.1.9 Meet to discuss their preliminary findings in preparation for the exit conference. *(Note: The Audit Team will make a note of their preliminary findings.)*
- 3.1.10 At the conclusion of the audit, conduct an Exit Conference with the Regional Director or their designee to discuss the preliminary results of the audit. *(Note: The Audit Team Leader shall summarize the findings, present general observations and remarks, and comment on overall audit. Those present shall be afforded the opportunity to ask questions, request clarification and inquire about the audit findings.)*

4.0 POST-AUDIT ACTIVITIES

4.1 Post-audit Activities

- 4.1.1 Within (5) business days of the conclusion of the on-site audit, audit team members will provide the Audit Team Leader with a completed copy of the audit spreadsheet containing the findings of their audited measures.
- 4.1.2 The Audit Team Leader is responsible for drafting a report based on the team's findings using the Auditing Report/CAP template (Appendix 1). Each member of the team who participated in the audit will review the draft report for accuracy and offer any additional information relative to the findings of the audit. This is to be accomplished within (2) business days and/or as expeditiously as possible.
- 4.1.3 After the team members have collaborated on the draft report, the Audit Team Leader will present the draft to the Director of Quality Assurance for review and approval.
- 4.1.4 Upon the approval of the Director of Quality Assurance Unit, the report shall be finalized and include a CAP Request, if applicable, that lists the measures found to be noncompliant based on state and federal laws and regulations and DJS policies/directives(s). The Corrective Action Plan shall include a completion due date.
- 4.1.5 The Director of Quality Assurance Unit shall forward the Audit Report with CAP request, if applicable, to the appropriate Regional Director and send a copy to the Executive Director of Community Services and Deputy Secretary of Operations.
- 4.1.6 The Regional Director shall have 30 business days following receipt of the CAP request to develop the CAP and return it to the Executive Director of Community Services who will review and forward it to the Director of Quality Assurance.

5.0 FOLLOW-UP AUDIT ACTIVITIES

5.0 Follow-up Audit Activities

- 5.1** If an audit is requested by executive staff to confirm completion of a Corrective Action Plan, the Director of Quality Assurance or Audit Team Leader shall arrange for a mutually agreed upon date and time for the CAP follow up audit.
- 5.2** A primary goal of the Field Audit Team is to facilitate total compliance with the measures, DJS policies/directives and applicable laws, every effort will be made to assist DJS area offices with ensuring compliance.