

## Section 6: Quality Assurance for Community Providers

### I. GENERAL CONSIDERATIONS

- A. The following quality assurance provisions are designed to provide a mechanism to advance the integrity and effectiveness of the minimum requirements, standards and guidelines for specialized evaluation, treatment, polygraph and/or other sex offender management services.
- B. It is the intent of the SOMB to foster a supportive and collaborative relationship with providers to enhance service delivery while identifying areas that can be improved through materials and program reviews combined with site visits.
- C. In the event adverse findings are noted during the quality assurance/audit process, the SOMB shall develop a course of action to remedy the findings including and up to formal discipline.
- D. All quality assurance/audit reviews shall be conducted utilizing the applicable quality assurance/audit tools approved by the SOMB.
- E. The SOMB has the authority to request a quality assurance/audit review of any person certified by the SOMB at any time, should questions arise regarding ethics and/or appropriate standards of practice.
  - a. The duty to participate in any quality assurance/audit process is a condition of certification and failure to participate is grounds for discipline.
  - b. A request for exceptions pertaining to the quality assurance/audit process shall be made in writing to the SOMB. Requests shall be granted solely at the discretion of the SOMB. Possible reasons for exceptions may include:
    - i. The certificate holder selected to participate in the quality assurance/audit process is currently addressing remedial action requested by the SOMB; or
    - ii. Extenuating circumstances.
- F. The certificate holder will be notified of the findings in any quality assurance process completed in accordance with these standards within 45 days of the

completion of such review. The notice shall minimally include the following elements;

- a. Strengths identified and recorded in the written documentation of the review and included on the quality assurance/audit tool;
- b. Adverse findings identified and recorded in the written documentation of the review and included on the quality assurance/audit tool; and
- c. Any expectations for remediation, which may include, but not be limited to, the following:
  - i. Development of a formal clinical supervision plan with an SOMB-certified Senior/Approved level provider;
  - ii. Specific corrective measures to address any identified deficiencies; and
  - iii. Requirements for submitting additional documentation for review by the SOMB to support quality assurance in accordance with these standards and guidelines.
- G. The results of any quality assurance/audit process completed in accordance with these standards shall be maintained in the SOMB file for the certificate holder.

## **II. QUALITY ASSURANCE PERTAINING TO PSYCHOSEXUAL EVALUATIONS**

- A. The SOMB shall establish a Quality Assurance Committee to assess SOMB-certified psychosexual evaluators' adherence to the standards and guidelines for psychosexual evaluations as set forth in these provisions. This committee shall at a minimum, include a clinical member of the SOMB.
- B. No individual serving on the Quality Assurance Committee shall review their own psychosexual evaluations or the psychosexual evaluations of an individual to whom they are related, who is a business partner, or otherwise has a potential conflict of interest.
- C. Any quality assurance/audit process findings involving an Associate/Supervised Psychosexual Evaluator or a Provisional/Supervised Psychosexual Evaluator shall also be forwarded to the supervising senior-level psychosexual evaluator.

- D. The SOMB shall utilize formal, objective and random selection procedures to carry out quality assurance/audit processes outside of the initial certification process for SOMB-certified psychosexual evaluators.
- E. Ongoing Quality Assurance/Auditing. SOMB will utilize two processes for ongoing quality assurance/auditing.
  - 1. Providers will be required to submit work product for quality assurance/auditing review at the time of renewal of their certification.
    - a. If a provider fails to submit the required documents for quality assurance/auditing review, the providers certification may be denied.
    - b. The documents submitted for quality assurance/auditing review will be provided to the Quality Assurance Committee for review.
  - 2. Current psychosexual evaluations shall be randomly selected annually for quality assurance/audit review on newly convicted offenders. These psychosexual evaluations will be obtained by the SOMB from Idaho Department of Correction records.
    - a. The SOMB coordinator shall obtain copies of the psychosexual evaluations conducted prior to sentencing on newly convicted sex offenders and redact identifying information prior to submission to the Quality Assurance Committee.
    - b. The SOMB coordinator shall notify the SOMB-certified psychosexual evaluators whose psychosexual evaluations have been selected for ongoing quality assurance/audit review within 15 business days of evaluation selection.
- F. On-site/Office Visit Reviews. The SOMB may conduct random on-site/office visit reviews.
  - a. Any on-site/office visit reviews shall be conducted by an SOMB member or an independent assessor selected by the SOMB (hereinafter “reviewer”).
  - b. SOMB-certified psychosexual evaluators selected to participate in the on-site/office visit review process shall be notified in writing of the following:

- i. Their selection for participation in the quality assurance review process, for which agreement to participate is required pursuant to SOMB certification to conduct psychosexual evaluations;
  - ii. The required documentation to be submitted for the quality assurance/audit process as specified herein; and
  - iii. The criteria used for and processes by which the psychosexual evaluations shall be reviewed by the reviewer.
  - iv. Evaluations that were previously submitted to and/or reviewed by the SOMB as part of the individual's initial or renewal application documentation or for any previous quality assurance review/audit by the SOMB shall be excluded from the on-site/office visit quality assurance/audit process.
- c. Verbal notification will be made within 48 hours prior to the on-site/office visit review.
- d. The reviewer conducting an on-site/office visit review shall report the findings in writing to the SOMB within 14 days of completion of such review.
  - i. The reviewer may, at the discretion of the SOMB, be requested to meet with the SOMB to respond to any questions or challenges to the quality assurance/audit review findings.

### III. QUALITY ASSURANCE PERTAINING TO SEX OFFENDER-SPECIFIC TREATMENT

- A. The SOMB shall establish a Quality Assurance Committee to assess SOMB-certified sex offender treatment providers' adherence to the standards and guidelines for sex offender treatment as set forth in these provisions. This committee shall at minimum, include a clinical member of the SOMB.
- B. No individual serving on the SOMB Quality Assurance Committee shall review their own treatment program records/individual client records, or records documented by an individual to whom they are related, who is a business partner, or otherwise has a potential conflict of interest.
- C. Ongoing Quality Assurance/Auditing
  - a. Providers will be required to submit work product for quality assurance/auditing review at the time of renewal of their certification.
    - i. If a provider fails to submit the required documents for quality assurance/auditing review, the providers certification may be denied.
    - ii. The required documents submitted for quality assurance/auditing review will be provided to the Quality Assurance Committee for review.
- D. The SOMB may conduct random on-site/office visit reviews.
  - a. Any on-site/office visit reviews shall be conducted by an SOMB member or an independent assessor selected by the SOMB (hereinafter "reviewer").
- E. SOMB-certified sex offender treatment providers selected to participate in the on-site/office visit quality assurance/audit review process shall be notified in writing of the following:
  - a. Their selection for participation in the quality assurance/audit review process, for which agreement to participate is required pursuant to SOMB certification to provide sex offender treatment;

- b. The required treatment program records/individual client record documentation to be submitted for the quality assurance/audit review process; and
  - c. The criteria used for and processes by which the treatment program/service delivery documentation shall be reviewed by reviewer.
  - d. The treatment program records/individual client record documentation previously submitted to and/or reviewed by the SOMB as part of the individual's initial or renewal application documentation or for any previous quality assurance review/audit by the SOMB shall be excluded from the on-site/office visit quality assurance/audit process.
- F. Verbal notification will be made within 48 hours prior to the on-site/office visit review.
- G. The reviewer shall report the findings in writing to the SOMB within 14 days of completion of such review.
- a. The reviewer may, at the discretion of the SOMB, be requested to meet with the SOMB to respond to any questions or challenges to the quality assurance/audit review findings.

**IV. QUALITY ASSURANCE PERTAINING TO POST CONVICTION SEXUAL OFFENDER POLYGRAPH EXAMINER**

- A. The SOMB shall establish a Quality Assurance Committee to assess SOMB-certified sex offender polygraph examiner adherence to the standards and guidelines for PCSOT polygraph exams as set forth in these provisions. This committee shall at minimum, include a clinical member of the SOMB.
- B. No individual serving on the SOMB Quality Assurance Committee shall review their own polygraph exams, or records documented by an individual to whom they are related, who is a business partner, or otherwise has a potential conflict of interest.
- C. Ongoing Quality Assurance/Auditing
  - a. Providers will be required to submit work product for quality assurance/auditing review at the time of renewal of their certification.

- i. If a provider fails to submit the required documents for quality assurance/auditing review, the providers certification may be denied.
    - ii. The required documents submitted for quality assurance/auditing review will be provided to the Quality Assurance Committee for review.
- D. The SOMB may conduct random on-site/office visit reviews.
  - a. Any on-site/office visit reviews shall be conducted by an SOMB member or an independent assessor selected by the SOMB (hereinafter "reviewer").
- E. SOMB certified PCSOT polygraph examiners selected to participate in the on-site/office visit quality assurance/audit review process shall be notified in writing of the following:
  - a. Their selection for participation in the quality assurance/audit review process, for which agreement to participate is required pursuant to SOMB certification to provide PCSOT polygraph exams;
  - b. The required polygraph/individual client record documentation to be submitted for the quality assurance/audit review process; and
  - c. The criteria used for and processes by which the polygraph delivery documentation shall be reviewed by reviewer.
  - d. The polygraph records/individual client record documentation previously submitted to and/or reviewed by the SOMB as part of the individual's initial or renewal application documentation or for any previous quality assurance review/audit by the SOMB shall be excluded from the on-site/office visit quality assurance/audit process.
- F. Verbal notification will be made within 48 hours prior to the on-site/office visit review.
- G. The reviewer shall report the findings in writing to the SOMB within 14 days of completion of such review.
  - a. The reviewer may, at the discretion of the SOMB, be requested to meet with the SOMB to respond to any questions or challenges to the quality assurance/audit review findings.

