

Child and Family Services Policy Manual: Contract Monitoring

Introduction	<p>CFSD contracts for services that support the Division's mission to keep children safe and families strong. Contract compliance is essential to ensure funds spent on services to families and children meet the intent of the Division's contracts.</p>
Team Composition	<p>Contract compliance is housed within the Contracts and Grants Team in the CFSD Central Office. The Contracts and Grants Team consists of: The Contracts and Grants Supervisor, the Contracts and Grants Liaison, the Residential Living Specialist, the Independent Living Specialist, and the Grant Administrator. Typically, contract compliance reviews are conducted with a minimum of two contract monitors.</p> <p>Larger programs/contracts require an increased number of contract monitors to participate to ensure the timely completion of a review. The participating Contracts and Grants Team members identify the number of team members necessary to participate in.</p> <p>Other CFSD personnel may participate in contract compliance reviews for cross-training purposes and to lend expertise in various program areas as needed.</p>
Contracts	<p>Contract types include, but are not limited to: Foster Care services (residential and therapeutic out-of-home care), In-Home services (prevention, intensive home visitation, reunification, supervised visitation), and the Montana Foster Care Independence Program. The Management Team (the CFSD Administrator, Management Analyst, Administrative Officer, Regional Administrators and Bureau Chiefs) and the Contracts and Grants Team prioritize the contracts to be reviewed.</p>
Review Types	<p>Contract compliance review activities may vary from desk audits to full on-site reviews. Protocol is developed and implemented for each contract type that require on-site contract compliance reviews, which is referred to as the Outline for Contract Monitoring.</p> <p>Protocol is in place for 'routine' on-site reviews and 'follow-up' on-site reviews as well as 'issue-specific' on-site reviews.</p>
Definitions	<p>Routine Reviews: Contract compliance reviews are conducted with standard statewide protocol, standard monitoring tools/forms and are documented in a standard report format. The elements reviewed are predetermined by the Division (Management Team, and the Contracts and Grants Team with input from the Field Supervisors) and are applied to all like-programs selected for review during that particular contract period.</p>

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Follow-up Review: Contract compliance review that is conducted within a designed protocol based on the recommendations for follow-up reviews. Monitoring tools/forms are designed specifically for each programs follow-up review and they are based on the specific findings, corrective actions cited on the routine review and the contractors response/action steps for each finding. The review team shall respond in accordance with necessary corrective actions and/or recommendations made in the Final Contract Monitoring Report to address compliance issues. The review team shall also ensure that proper follow-up occurs with consideration of the individual and/or collective issues and established time lines identified in the Final Contract Monitoring Report (e.g., on-site follow-up review, work plan with correspondence exchange, telephone conference calls).

Issue-Specific Reviews: Contract compliance reviews are conducted on the basis of reported problems with a particular program, as assigned by the Regional Administrator and/or Management Team. The elements of the program reviewed are based upon (but not limited to) the complaints received. The protocol may be similar, but may not include all elements in the standard review protocol. The tool/forms utilized are individually tailored to address the problem-areas noted for that particular program. The report may be similar to the standard report format, but may require signatures on the document itself that signify the program's willingness to address/correct serious issues identified. The report may also become an attachment to and/or referenced in a modified contract, acknowledging that the Department may choose not to continue to contract for services if the serious issues are not addressed in accordance to the report and to the Department's satisfaction.

3 Stage Process

The three stages utilized for contract monitoring are:

- Preparation (making inquiries to other DPHHS regulatory personnel, arranging interviews and records reviews)
- Implementation (conducting the review)
- Exit (summarizing findings and requesting a contractor response)

Follow-up contract monitoring activities to further verify compliance is optional, based on the monitoring team's findings from the initial contract compliance review/assessment.

NOTE: The protocol developed for foster care contract compliance reviews (youth group home and shelter care facilities) was approved by the Montana Office of the Legislative Auditor in June 1998

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(during a Performance Audit Follow-up). All established protocol will closely follow that which was developed for foster care contracts, as applicable.

Monitoring Reports Written contract compliance reports are generated by contract monitors following each on-site review. The report format utilized by contract monitors is detailed in the Outline for Contract Monitoring developed for the specific type of contract.

Contract compliance review reports are not considered final until the request for a response is received within the 30-day response period, the 30-day response period lapses (with no response) or an extension request is made by the contractor prior to the expiration of the 30-day response period. Once a report is considered to be final, it will be available for circulation to all interested CFSD personnel.

Foster Care Contracts A synopsis of the final contract compliance review results and the review status are available on CAPS for foster care contracts. Brief synopses of contract compliance review results are located on FASD (facility assessment detail), for programs reviewed after 6/00. Additional details may be obtained by contacting the contract monitors identified on FASD.

In-home Services Contracts Final contract compliance review results and the review status for in-home services contracts are available through written or verbal contact with contract monitors. The designated Contracts and Grants Unit review participants will provide Division personnel with pertinent information resulting from reviews conducted.

NOTE: If DPHHS field or Central Office staff receive a request for a copy of a contract monitoring report produced (in whole or in part) by CFSD Contracts and Grants Team, staff should not release these reports themselves. Instead, refer them to the Contracts and Grants Supervisor, Mick Leary (841-2483) at the Child and Family Services Division, Program Bureau, P.O. Box 8005, Helena, MT 59604.

Child Abuse and Neglect Reports Contracts and Grants Team members working in the capacity as contract monitors may receive information regarding allegations that a child may have been abused and/or neglected or may be in danger of abuse and/or neglect (CA/N) while conducting contract monitoring activities. Contract monitors must report this information to the proper authorities immediately. When CFSD staff act in the role of a contract monitor, he/she shall refrain from participating in a CA/N and/or licensing investigation.

When CA/N reports/referrals are entered into CAPS by Central Intake, and a provider number has been listed within the report, the

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Central Office Grants and Contracts Unit review participants receive an alert that a report has been made and is associated with a particular foster care provider.

Youth Group Home and
Shelter Care Facilities

If monitors are made aware of CA/N allegations involving a child in the care of a youth group home or in a shelter care facility, during the course of contract monitoring activities, monitor(s) must contact Centralized Intake (866-820-5437) to report those allegations. If monitors are conducting a review at the time they are made aware of the CA/N concerns, monitors must also promptly contact the Child Protective Services Supervisor, the Regional Administrator (in which the program is located) AND the Quality Assurance Division (QAD) Community Residential Licensing Supervisor and the QAD Community Residential Licensing Specialist, to make a determination of whether or not the monitoring review should continued (due to pending investigation).

If the CA/N allegations are involving a current employee of the program, contract monitors will cease the review until the investigation is complete OR continue the review as specifically authorized by both the Regional Administrator and the QAD Licensing Supervisor.

Contract compliance reviews may continue when the allegations made indicate that the CA/N concerns are related to children who previously resided in the facility, and/or program staff who were previously employed by the facility, and imminent risk of CA/N is not present.

Contract monitors provide investigators with all pertinent information obtained during the review process, as requested by investigative authorities. Once an investigation begins, it is then the contract monitors' responsibility to forward any pertinent information to the CPS or licensing investigator(s) until the investigation is complete.

Therapeutic Foster Care

Contracts and Grants Team members working in the capacity as contract monitors follow the same protocol listed for CA/N allegations in youth group homes and shelter care facilities, with the exception of the licensing entity to contact. The CFSD Family Resource Specialist Supervisor and the local Family Resource Specialist should be contacted soon after the report is made to Central Intake. The CFSD licensing authorities in addition to the Child Protective Services Supervisor and the Regional Administrator from the region in which the program is located, determine whether the contract monitoring review should continue.

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In-Home Services	In-Home services are not routinely provided in out-of-home care settings. However, if CA/N allegations are made involving a caretaker in a foster care setting, contract monitors will follow the protocol listed in the above-listed policy as applicable. Otherwise, monitors must promptly report the CA/N allegation(s) to Centralized Intake and promptly notify the Regional Administrator and the CPS Supervisor where the program is located to determine whether to cease the monitoring review or to continue as authorized.
Notice to Monitors	CFSD investigating workers are to provide written or verbal notification to the Contracts and Grants Team that includes the CAPS report number and any ongoing concerns, when the investigation is closed. See Section 202-5 for further details on investigations in out-of-home care.
Foster Care Inquiries	When an interested party contacts contract monitors to inquire about becoming a foster care contractor, contract monitors will contact both the assigned DPHHS Quality Assurance Division (QAD) Community Residential Licensing Specialist/Supervisor (youth group home and shelter care facilities) or the assigned CFSD Family Resource Specialist/Supervisor, the CFSD Residential Living Specialist and the CFSD Regional Administrator with the details of each inquiry.
CAPS Provider Contacts	All contract compliance-related contacts exchanged between contract monitors and foster care contractors are documented on PRCD (provider contact detail).
Review Results	A contract compliance review synopsis for each foster care contractor who receives a routine on-site monitoring review shall be entered on FASD no later than 30 days after the report is considered to be final by the Contracts and Grants Team. The Program Bureau Chief approves each facility assessment on CAPS.
References	<p>Mont. Code Ann. §41-3-201 Mont. Code Ann. §41-3-202 Mont. Code Ann. §41-3-205 Mont. Code Ann. §52-2-617 QAD Community Residential Licensing Program Manual: #203 Licensed Provider Complaints, Referrals and Investigations</p>

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