

Appendix G

**BCM/QA MONITORING PLAN
REVIEW CHECKLIST
FY 2003**



Section I: Organizational Structure

Component	Included (yes/no)	Comments:
Graphical representation		
Narrative description of all duties for each position on org chart		
Functional Organization		
Number and Type of staff:		
Procurement		
Contract		
Monitors/QA		
Investigators		
Supervision of contracting staff		
Supervision of monitoring staff		
Potential Conflicts Based on:	(Yes/None noted)	
Development of RFP's		
RFP Ratings		
Contract negotiations		
Client referrals		
Provider liaison		

Summary:

Strengths:

Areas of Risk:

Section II: Monitoring Schedule

Component	Included (yes/no)	Comments:
Contract #		
Federal Tax ID		
Review Date(s)		
Staff Responsible for review		
Coordination with other applicable agencies		

Summary:

Strengths:

Areas of Risk:

Section III: Monitoring Activities and Tools

Component	Included (yes/no)	Comments:
A. Program Requirements	General comments:	
Monitoring strategy and process, that includes person(s) responsible for monitoring and frequency of monitoring.		
Provider/Staff qualifications (license, regulatory provisions, viable business).		
Staff Training		
Match between clients served and program services (eligibility and placement appropriateness)		
Assessment requirements		
Treatment requirements in detail		
Documentation requirements		
Staff to client ratios		
Monitoring tools/instruments attached to plan?		

Summary:

Strengths:

Areas of Risk:

Component	Included (yes/no)	Comments:
B. Client Wellness	General comments:	
Does plan identify risks unique for this population?		
Ongoing review		
Description of strategy for monitoring contacts with clients to ensure wellness concerns are routinely reviewed. (Strategy includes who is responsible for monitoring and expected frequency of contact)		*Not required
Annual review		
Description of strategy for review of provider compliance with methods to prevent/report abuse, neglect, or exploitation (i.e. license review)		
Procedure for ensuring ongoing reviews have occurred (documentation review)		
Monitoring tools/instruments attached to plan?		

Summary:

Strengths:

Areas of Risk:

Component	Included (yes/no)	Comments:
C. Outcomes/Objectives based performance measures	General Comments:	

Component	Included (yes/no)	Comments:
Program Objectives		
Description of how program objectives are developed in the contract for review		
Description of monitoring strategy or approach		
Data Source and data collected		
Person responsible		
Frequency of review		
Client Objectives		
Description of monitoring strategy or approach that includes person(s) responsible for monitoring, Frequency of monitoring and review of outcomes of objectives of the case plan.		
Customer satisfaction		
Description of agency activities for measuring customer satisfaction that includes responsibility for the review and the frequency of monitoring		
Monitoring tools/instruments attached to plan?		

Summary:

Strengths:

Areas of Risk:

Component	Included (yes/no)	Comments:
D. Fiscal monitoring plan	General Comments:	
Description of monitoring strategy or approach that includes:		
Person(s) responsible and frequency of monitoring		
Process used to review billings prior to payment		
Verification of service or product delivery		
Monitoring tools/instruments attached to plan?		

Summary:

Strengths:

Areas of Risk:

Component	Included (yes/no)	Comments:
E. Federal Assurances - Standard Terms and Conditions:	General Comments:	
Description of the method of monitoring, who is responsible, and frequency of monitoring (i.e. checklist with annual spot checks of areas on the checklist)		
F. Additional Requirements	General Comments:	
Are additional requirements addressed in the monitoring plan?		
Method of monitoring <u>Medicaid</u> funded programs including: who is responsible for monitoring and frequency of monitoring.		
Federal, State or private grants or other statutory/administrative requirements		
Monitoring tools/instruments attached to plan?		

Summary:

Strengths:

Areas of Risk

Section IV: Corrective Action

Component	Included (yes/no)	Comments:
Indicates method(s) to identify performance deficiencies,		
Outlines steps to correct deficiencies		
Establishes time frames for achieving compliance		
Monitors corrective action and identifies consequences of non-compliance.		
Monitoring tools/instruments attached to plan?		

Summary:

Strengths:

Areas of Risk:

Section V: Reporting Requirements

Component	Included (yes/no)	Comments:
Process of Reporting Results		
Who receives reports		
BCM/OFO procedure for receiving reports		
Use of BCM Monitoring Summary Report		

Summary:

Strengths:

Areas of Risk:

**BCM/QA HB 102 MONITORING PLAN
REVIEW CHECKLIST
FY 2003**



HOUSE BILL 102 MONITORING PLAN REQUIREMENTS

MH and SA HB 102 specific monitoring	General Comments:	
Description of monitoring strategy that includes person(s) responsible and frequency of monitoring.		
§ 62A-12-102 MH § 62A-8-103 SA 1. Monitor and evaluate programs provided by local authorities with public funds.		
2. Examine expenditures of local, state, and federal funds.		
3. Monitor the expenditure of public funds by both the local authorities <i>and</i> their private contract providers.		
4a. Contract with local authorities to provide a comprehensive continuum of services in accordance with board and division policy, contract provisions, and the local plan.		
4b. Review and approve each local authority's plan to assure: 1) a statewide comprehensive continuum of services and 2) appropriate expenditure of public funds.		
5. Review and make recommendations regarding each local authority's contract with its provider of services to assure compliance with state and federal law and policy.		
6. Withhold funds for contract noncompliance; failure to comply with division directives re: use		

<p>of public funds; misuse of public funds; failure of a local authority's contract with a provider to comply with state and federal law or policy.</p>		
<p>7. Monitor and assure compliance with board and division policy and contract requirements.</p>		
<p>§§ 17A-3-602 and 17A-3-603.5 MH §§ 17A-3-701 and 17A-3-703 SA</p> <p>8. Determine whether the local authority is complying with its oversight and management responsibilities as described in the above sections prior to reissuing or renewing a contract. Those responsibilities include: a) complying and requiring compliance by its contract provider with all directives issued by the DHS and DOH regarding the use and expenditure of state and federal funds received from those departments for the purpose of providing services; b) complying and requiring compliance by its contract provider with all applicable state and federal statutes, policies, audit requirements, contract requirements, and any directives resulting from those audits and contract requirements; c) complying with the requirements and procedures of Title 11, Chapter 13, Interlocal Cooperation Act, Title 51, Chapter 2, Audits . . . , Title 17A, Chapter 1, Part 4 Unifor Fiscal Procedures for Special Districts Act; d) requiring that all entities</p>		

<p>receiving any public funds from a local authority agree in writing that 1) the division may examine the entity's financial records, 2) the county auditor may examine and audit the entity's financial records, and 3) the entity will comply with the provisions of Subsection (3)(b); e) ensuring that the public funds it receives are used in accordance with federal and state law, the rules and policies of the DHS and DOH and the provisions of any contract between the local authority and the DHS, the DOH, or a private provider. . . . (The above is not a comprehensive list, see statutory citations for more detail.)</p>		
<p>9. Annually review with each local authority the authority's statutory and contract responsibilities regarding: a) the use of public funds, b) oversight responsibilities re: public funds, and c) governance of programs and services.</p>		
<p>§ 62A-12-105(3) MH § 62A-8-109(3) SA</p> <p>10. Include in its contracts with local authorities that the division may withhold funds otherwise allocated to the authority to cover the costs of audits, attorney's fees, and other expenses associated with reviewing the expenditure of public funds by a local authority or its contract provider if there is an audit finding or judicial determination public funds were misused by either the local authority or its contract provider.</p>		

<p>§ 62A-12-289(2) & (3) MH § 62A-8-</p> <p>11. Conduct an annual program audit and review of each local authority <u>and</u> its contract provider and provide a written report to the legislature that addresses a) the annual audit and review; b) the financial expenditures of each local authority and its contract provider; the status of each local authority's and its contract provider's compliance with its plan, state statutes, and contract provisions; c) whether established audit guidelines provide the division sufficient criteria and assurances of appropriate expenditures of public funds; d) whether public funds allocated to local authorities are consistent with services rendered and outcomes reported by it or its contract provider; and e) whether each local authority is exercising sufficient oversight and control over the public funds allocated to it for services.</p>		
<p>§ 62A-12-289.1 MH § 62A-8-110.5 SA</p> <p>12. Include in it's contracts with local authorities those provisions outlined in the above-cited sections. These provisions have to do with the independent audit requirement and what must and/or may be covered in that audit.</p>		

Summary:

Strengths:

Areas of Risk: