ORC:
OAC: 5101:2-5-04; 5101:2-5-5;
5101:2-5-06; 5101:2-5-07
COA:
Board:
Other: ___________________

Review Date: 9/15
Review Responsibility: Child Risk Review Committee & FSNA Director

FCCS PROCEDURE

NO.: 7L

SUBJECT: Hold and Hold Removal of a Contract Provider

Approved by: Executive Council
Effective Date: 10-1-09
Date(s) of Revision: Sep 13, 2012
Responsible for Implementation: Placement and Family Support Services Division, Provider Management Department, and the Finance and Administration Division

See the Financial Management Handbook policy on Financial Holds**.**

A Contract Provider includes all Individual and Master Contracts for services of placement (Foster Care, Emergency Shelter Care, Group Home, Residential, Transitional and Independent Living) and Family Support (i.e. In-Home Services, Respite, etc.).

The FCCS Provider Management and Service Committee oversees and maintains the status of Contract Providers who are on the following status levels:

a) Agencies On Hold,
b) Limited Use/Corrective Action Plan,
c) New Agency Start Up.

Hold status of Contract Providers can be imposed for the following reasons:

a) Child Safety Issues,
b) Program Issues,
c) Financial, Licensing or Contract Issues (initiated and implemented by the Director of Finance and Administration Division).

Procedures:

1) A Contract Provider will be reviewed for Hold Status if any of the following identified factors are alleged, reported or evidenced:
   a) Injury requiring medical attention or maltreatment of child(ren)/youth(s),
   b) Supervision concerns,
   c) Concerns of inadequate qualifications of staff/caregiver(s),
   d) Lack of or inappropriate treatment programming,
   e) Improper or inappropriate use of discipline or restraints,
   f) Unsafe or uninhabitable living arrangements,
   g) Substantiated disposition of abuse/neglect from FCCS Intake Investigation,
   h) Death of a child/youth,
   i) Misuse of funds or insufficient funds to provide adequate care and services,
   j) Violation of contract,
   k) Suspended or terminated license/certification by the state licensing or certifying authority,
   l) Other identified issues as appropriate.
2) Any of the above factors can be identified by:
   a) Internal sources (i.e. Regional Service Team, Regional Associate Director/Director, Intake Institutional Investigation Unit, Contracts Department, Finance Department, Provider Management, etc.), or
   b) External sources (i.e. Client, Client's Family, Provider Agency, State Licensing Agency, Certifying Authority, etc.).
3) Appropriate concerns, allegations and provider issues should be reported to the Provider Manager assigned. Suspected abuse and/or neglect allegations should be reported to the Screening Hotline at the Intake Department. The review conducted by the Provider Management Department will not interfere or supercede an investigation conducted by the Intake Department.
4) The Provider Manager will assess what steps should be taken to gather further information about the identified factors which may include but is not limited to:
   a) Obtain and review all relevant documentation and reports from the Provider (i.e. Incident Reports, ISPs-Individual Service Plans, Provider Monthly Reports, etc.),
   b) Perform a Provider Audit (i.e. Case Records, Facility Observation, Staff/Child/Youth interviews, etc.),
   c) Review FCCS Case Record information (i.e. Individual Child Care Agreement, SACWIS Activity Logs, Case Plan, Recent Assessments/Evaluations, etc.),

d) Contact the referral source,

e) Contact the FCCS Service Team(s),

f) Contact other Stakeholders (i.e. Juvenile Court, State Licensing Agency, etc.),

g) Interview the Child(ren)/Youth(s),

h) Review of the Provider Contract,

i) Review of internal FCCS Audit Reports,

j) Review of Evaluation Reports from Performance Improvement, Information Services and Evaluation Division,

k) Review of statistical trends of OCI Reports and/or Rule Violations.

5) The Provider Manager will complete a report of the findings and inform the Director of Family Services Network Administration (FSNA).

6) Upon review of the report, the Director of FSNA will determine if a Hold Status is needed and confer with the Director of Finance to determine if there are any outstanding financial, licensing or contract issues that would warrant a Hold Status for the same Contract Provider. When applicable, both Directors will coordinate communication and notification of the Hold Status to the Contract Provider.

7) When not applicable and the Hold Status does not include financial, licensing or contract issues, the Director of FSNA will write and send a letter to the Contract Provider outlining the reported findings and issues of concern. The letter will identify what level of Hold is being imposed, such as:

a) Hold on new referrals,

b) Hold on referrals for a specific population or contract area,

c) Limit on the number of referrals,

d) Hold on new referrals and termination of all services (i.e. children removed from placement, services terminated, etc.).

8) The letter to the Contract Provider will include the request for a Corrective Action Plan from the Contract Provider with a deadline for submission. The letter will include that further review will occur to assess satisfactory completion of the corrective action tasks.

9) The Executive Director, Deputy Director and the Director of FSNA will inform all necessary Division Directors, Department Directors and Region Directors, including Care Management, regarding the status of a Hold for a Contract Provider. Priority notification will be given to the Director of Placement Support and Family Resources

to ensure immediate compliance regarding referrals. Notification will be given in the form of an updated chart called the “Notification of Change in Provider Status”.

10) The Director of FSNA will ensure review of the Hold Status by the Placement Management Services Committee for oversight. If indicated, the Provider Manager will attend the Placement Management and Services Committee to report findings.

Hold Removal Procedure:

1) The receiving Contract Provider will respond to the FCCS letter of request by submitting a Corrective Action Plan. This Corrective Action Plan will be reviewed by the Director of FSNA, the Provider Manager, any involved Stakeholders (i.e. Juvenile Court, State Licensing Agency, etc.) and, when applicable, the Director of Finance and Administration Division. The Director of FSNA will provide a copy of the Corrective Action Plan to the Supervisor of the Contracts Department of the Finance and Administration Division for the record of the Contract Provider.
2) Meetings between FCCS, the Contract Provider and other Stakeholders will be held as needed to discuss and review progress on the Corrective Action Plan. The Provider Manager will make on-site visits to the Contract Provider as deemed appropriate to ensure sufficient completion of corrective action tasks. When the Hold Status includes financial, licensing or contract issues, the Finance and Administration Director and/or Designee (i.e. Accounting Manager, Contract Evaluator-Negotiator) will obtain necessary documentation.
3) When the Contract Provider has sufficiently met the requirements of the Corrective Action Plan, the Provider Manager will notify the Director of FSNA. When the Hold Status includes financial, licensing or contract issues, the Accounting Manager and/or Contract Evaluator-Negotiator Supervisor and/or Designee will notify the Director of Finance and Administration Division.
4) The Director of FSNA and, if applicable, the Director of Finance and Administration Division will review the report and determine if the Hold on a Contract Provider is lifted or if outstanding corrective action needs to be achieved.
5) The Director of FSNA and, when applicable, the Director of Finance and Administration Division will write a letter to the Contract Provider. The letter will specify a date that the Hold is lifted, or it will outline outstanding corrective action needed before further review.

6) The Director of FSNA will update the Placement Management Services Committee regarding the Hold Status of the Contract Provider. If deemed necessary, the Provider Manager and the Director of Finance and Administration and/or Designee (i.e. Accounting Manager and/or Contract Evaluator-Negotiator Supervisor and/or Designee) will attend the Placement Management Services Committee to report action achieved or needed on the Corrective Action Plan.
7) If the Hold is lifted, the Director of FSNA will inform all necessary Division Directors, Department Directors and Region Directors, including Care Management. Priority notification will be given to the Director of Placement Support and Family Resources to approve new referrals to the Contract Provider. Notification will be given in the form of an updated chart called the “Notification of Change in Provider Status”.
8) If the Hold is not lifted and further corrective action is required, the above steps #1-6 will be repeated as needed.
9) If the Contract Provider fails to meet expected standards of the Corrective Action Plan after multiple reviews, the Director of FSNA and, when applicable, the Director of Finance and Administration Division will determine if the contract with the Provider should be terminated.