

## **Attachment D1: COMPREHENSIVE MONITORING TOOL PROTOCOL**

### **On-Site Review Activities**

1. The Contractor conducts the on-site monitoring review at the provider site or municipality's main place of business. If an individual provider delivering only home and community services, the review may be conducted at a neutral site. All activities on the agenda will be completed. These include: entrance and exit interviews with the EI Official or Manager (municipality), or Agency Director (agency provider) or individual provider; staff interviews; review of children's records; observation of facility; and review of policy/procedure manuals/materials, personnel files, and fiscal documentation.

The Contractor completes the review using monitoring tools and enters monitoring findings into an EI monitoring data system.

2. The Contractor team is responsible for presenting general preliminary determinations of State regulatory deficiencies or areas needing improvement during the exit interview. Information presented during the exit interview should be compiled by the monitoring team before the exit interview. The monitoring team conducts the exit interview with provider/municipal staff, and presents the findings that *may* appear in the monitoring report. The monitoring team also explains next steps in the monitoring process, that a monitoring report will be issued and that a Corrective Action Plan may need to be developed.

### **Post Review Monitoring Protocol**

#### Report Release

Within 30 calendar days of the last day of the monitoring review for each provider/municipality, the Contractor will:

- complete drafts of all provider and municipal monitoring reports which identify regulatory violations and areas that need improvement;
- send draft provider monitoring reports with serious health and safety findings, or other unusual-practice findings to the Early Intervention Program, for review and approval before release.

Within 45 calendar days of the last day of the visit, the Contractor will release provider monitoring reports to the provider. At no time should monitoring reports be issued later than 90 days after the date of the on-site review.

The Contractor will exchange reports with the Department that contain draft report comments, questions, or statements for the Department to address and approve prior to release by the Contractor.

All draft and final reports will be housed in the Contractor's monitoring data application, which must be accessible to designated Early Intervention Program staff.

Upon release of provider monitoring reports, the Contractor will send a copy of the report, with a Department-approved letter, to each municipality in contract with the provider.

Upon release of municipal monitoring reports, the Contractor will send a copy of the report, with a Department-approved letter, to the regional office assigned to the municipality.

If the review determined no findings, the provider/municipality is informed that there are no findings; if they wish, they may provide comments that will become part of the record. In 30 days from the date the

monitoring report was sent to the provider, the report and any comments will be considered final

and may be subject to the Freedom of Information Law. A copy of this letter is sent to each municipality in contract with the provider (for provider reviews) or assigned regional office (for municipal reviews).

If a Corrective Action Plan (CAP) is required as a result of findings identified during the review, the report will contain Department-approved instructions for providers and municipalities to complete and return their CAP and *any* comments to the Contractor.

Copies of any letters exchanged with the provider or municipality are sent to the Department.