



## 2014-2015 Contract Oversight Report of Core Scope Monitoring Results

State of Florida  
Department of  
Children and Families

Diane Dusenbury, MBA, MEd  
Chief of Contract Oversight

Mid Florida Contract Oversight Unit  
Report 1415-2637-S  
January 14, 2015

### Community Based Care of Central Florida, Inc. Contract GJ501 serving Seminole County

The Department of Children and Families (DCF) Contract Oversight Unit (COU) monitored Community Based Care of Central Florida, Inc. for compliance with some contractual requirements. The scope was limited to topics identified as core topics, to be monitored for all contracts, and to any topics identified as core by relevant programs. Contract managers were also invited to add topics to the monitoring scope. Topics were limited or removed from scope if the monitoring would duplicate the information from other independent review entities already in the contract manager's file.

The preliminary results were discussed at the exit conference on December 18, 2014.

This report is produced using a snapshot perspective of contract compliance at a point in time. For complete information on the provider's compliance with contract terms and conditions, please contact the contract manager.

The purpose of this report is to provide information to the contract manager and to programs about provider noncompliance with the contract, as required by section 402.7305, Florida Statutes (F.S.) and by Children and Families Operating Procedure (CFOP) 75-8.

In addition to Contract GJ501, Community Based Care of Central Florida holds Contract GJL57. These contracts were monitored as part of a single monitoring engagement. Separate reports are being produced for each contract. A few administrative topics were monitored for both contracts jointly at the provider level, and will be included in both reports.

Contract GJ501, Attachment I, A.2.a. states:

*The provider shall deliver foster care and related services pursuant to s. 409.1671, F.S., and prevention services, pursuant to s. 20.19, F.S., while ensuring each child's safety, well being, and permanency.*

## **2014-2015 DCF Contract Oversight Report of Core Scope Monitoring Results**

The following abbreviations are used in this report.

CBC CF = Community Based Care of Central Florida

CFR = Code of Federal Regulations

F.A.C. = Florida Administrative Code

FSFN = Florida Safe Families Network

HIPAA = Health Insurance Portability and Accountability Act

ICPC = Interstate Compact on the Placement of Children

JRSSR = Judicial Review Social Study Report

PASS = Plan to Achieve Self-Support

SSI = Supplemental Social Security

TANF = Temporary Assistance to Needy Families

# 2014-2015 DCF Contract Oversight Report of Core Scope Monitoring Results

## Findings

### Psychotropic Medication

Contract Reference(s): Contract GJ501, Attachment I, 1.5.1.1.

Monitoring Method: Review of documentation for 10 children who were prescribed psychotropic medications for activities related to psychotropic medication administration due or took place March through August 2014, and interviews with staff.

Measurement Results: 2 of 10 children reviewed had all key requirements met. 20%

Area of Noncompliance	Required by...
1 of 3 children who entered out-of-home care already taking psychotropic medication had an evaluation by a physician completed 6 days late.	65C-35.006(6), F.A.C. CFOP 175-40, 3-9.f.
2 of 2 case records reviewed for children prescribed psychotropic medication who moved from one out-of-home placement to another out-of-home placement did not have documentation that the resource record and information about the medication was provided to the new caregiver or that a medication inventory was completed.	65C-35.007(6), F.A.C. CFOP 175-40, 3-10. e.(2)
<p>Of case record documentation reviewed for 10 children:</p> <ul style="list-style-type: none"> <li>• 1 did not have a mental health assessment of the child completed prior to referral for a psychiatric evaluation or an evaluation to obtain psychotropic medication.</li> <li>• 1 did not have documentation that the case manager implemented the medication plan developed by the prescribing physician.</li> <li>• 5 did not have documentation of monthly review of the medication record by the case manager.</li> </ul> <p><b><i>This finding statement continues on the next page.</i></b></p>	<p>65C-35.007, F.A.C. 65C-35.011, F.A.C. CFOP 175-40, 3-14.t. and u. and 3-19.b.(3) CBC CF Operating Procedure, 301, 3.</p>

**2014-2015 DCF Contract Oversight  
Report of Core Scope Monitoring Results**

**Psychotropic Medication (Continued)**

Area of Noncompliance	Required by...
<p><i>This finding statement continues from the prior page.</i></p> <p>Of case record documentation reviewed for 10 children (Continued):</p> <ul style="list-style-type: none"> <li>• 5 did not have documentation that the case manager obtained and updated health information about the child and the effects of the medication therapy during the monthly visit with the caregiver.</li> <li>• 5 did not have documentation entered in FSFN within 3 business days.<sup>1</sup></li> </ul>	
<p>Of the review of medication tabs in FSFN for 10 children:</p> <ul style="list-style-type: none"> <li>• 1 did not include prescription quantity.</li> <li>• 9 did not include precautions and warnings.</li> <li>• 6 did not include additional instructions for the medication.</li> <li>• 3 emergency administrations did not have an explanation and deadline for securing post-administration authorization.</li> <li>• 1 did not include the Axis I, II, III, IV, and V diagnoses of the child at the time of the review.</li> </ul>	CFOP 175-40, 3-19.

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<sup>1</sup> 2 were 5 business days late.  
1 was 6 business days late.  
1 was 7 business days late.  
1 was 9 business days late.

## 2014-2015 DCF Contract Oversight Report of Core Scope Monitoring Results

### Safety Plans for Sexual Abuse Victims and Sexually Reactive Children

Contract Reference(s): Contract GJ501, Attachment I, 1.5.1.1.

Monitoring Method: Review of documentation for 9 of 16 children identified as victims of sexual abuse and/or sexually reactive/aggressive and had at least one placement change for 13 placement changes between March and August 2014, and review of policy.

Measurement Results: 7 of 13 placements reviewed had all requirements met. 54%

Area of Noncompliance	Required by...
<p>Of 13 safety plans reviewed:</p> <ul style="list-style-type: none"> <li>• 3 were not completed at time of placement.<sup>2</sup></li> <li>• 3 safety plans reviewed for victims of sexual abuse did not indicate that the child was initially placed in a private bedroom unless clinically contraindicated.</li> <li>• 3 safety plans reviewed for sexually reactive/aggressive children did not indicate that the child was the youngest child in the home, nor was it indicated the child was placed in either a private room or a facility with adequate video monitoring.</li> </ul>	<p>65C-28.004(10)(b)., F.A.C. 65C-28.004(11)(a)5., F.A.C. 65C-28.004(10)(a)3.a., F.A.C. 65C-28.004(11)(a), F.A.C.</p>
<p>The policy of the Lead Agency did not fully meet the requirements of Florida Statutes and Florida Administrative Code.</p>	<p>Contract GJ501, Attachment I, 1.1.5.1.</p>

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<sup>2</sup> 2 were 1 day late.  
1 was 7 days late.

## 2014-2015 DCF Contract Oversight Report of Core Scope Monitoring Results

### Missing Children

Contract Reference(s): Contract GJ501, Attachment I, 1.5.2.10.

Monitoring Method: Review of 6 of 7 episodes where a child was missing 7 days or longer from March through August 2014.

Measurement Results: 1 of 6 missing child episodes reviewed had all key requirements met. 17%

Area of Noncompliance	Required by...
<p>Of 6 episodes reviewed:</p> <ul style="list-style-type: none"> <li>• 5 did not have documentation that the belongings of the child were inspected to determine what was missing.</li> <li>• 1 did not have documentation the caregiver or case manager checked places the child was known to frequent.</li> <li>• 1 did not have documentation of information for all persons contacted.</li> <li>• 7 weekly efforts to locate were not entered into FSFN within 24 hours.<sup>3</sup></li> <li>• 5 incident reports were entered in IRAS late.<sup>4</sup></li> </ul>	<p>65C-30.019, F.A.C. CBC CF Operating Procedure, 500</p>
<p>1 of 4 children recovered was neither photographed immediately upon return nor was there documentation to indicate that the appearance of the child had no significant change since the prior photograph.</p>	<p>65C-30.004(1)(a)3., F.A.C.</p>

<sup>3</sup> 2 were entered 23 hours late.  
1 was entered 1 day late.  
1 was entered 2 days late.  
1 was entered 4 days late.  
1 was entered 5 days late.  
1 was entered 8 days late.

<sup>4</sup> 1 was entered 13 hours late.  
1 was entered 18 hours late.  
1 was entered 21 hours late.  
1 was entered 2 days late.

## 2014-2015 DCF Contract Oversight Report of Core Scope Monitoring Results

### Case Management Responsibilities for Client Trust

Contract Reference(s): Contract GJ501, Attachment I, 1.5.1.9.10.

Monitoring Method: Method: Review of 14 of 25 children receiving SSI with active client trust accounts for March to July 2014, for related case management responsibilities during this time frame.

Measurement Results: 8 of 14 children reviewed had all requirements met. 57%

Area of Noncompliance	Required by...
<p>Of 14 client trust records reviewed:</p> <ul style="list-style-type: none"> <li>• 2 notarized <i>Designation of Client Money and Property</i> forms (CF FSP 5222), did not include the date the notary notarized the form.</li> <li>• 1 notarized <i>Designation of Client Money and Property</i> form (CF FSP 5222), was incomplete.</li> <li>• 3 JRSSRs did not have the most recent quarterly accounting report attached.</li> <li>• 1 JRSSR completed for a child during the review period did not have a copy of the <i>Notice of Fee Assessment and Rights of Foster Child</i> form, CF 0285D, attached.</li> <li>• 3 did not have documentation that the case manager reviewed the trust fund balance with the child.</li> <li>• 1 expenditure plan did not address whether the child had a PASS account.</li> </ul>	<p>117.05(4)(d), F.S. 65C-17.005(1), F.A.C. 65C-17.006(1), F.A.C. CFOP 175-59</p>

## 2014-2015 DCF Contract Oversight Report of Core Scope Monitoring Results

### Post Placement Visits

Contract Reference(s): Contract GJ501, Attachment I, 1.5.1.

Monitoring Method: Method: Review of documentation for 20 of 62 children reunified with the caregiver from whom they were removed during March through August 2014.

Area of Noncompliance	Required by...
9 of 9 children under the age of 6 who were reunified did not have documentation of weekly face-to-face visits by the services worker for the first 3 months after reunification.	CBC CF Operating Procedure, 423



# 2014-2015 DCF Contract Oversight Report of Core Scope Monitoring Results

## Exit Interviews

Contract Reference(s): Contract GJ501, Attachment I, 1.1.5.1.

Monitoring Method: Method: Review of 14 of 63 exit interviews for children, age 5 through 18, who left a licensed placement after 30 days during March through July 2014, review of policy, and interview with provider.

Area of Noncompliance	Required by...
2 of 14 exit interviews reviewed were conducted later than 5 days after the child exited the placement. <sup>5</sup>	65C-28.017(1), F.A.C.
2 of 14 exit interviews had no observations of the child during the interview documented. <sup>6</sup>	65C-28.017(2), F.A.C.

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<sup>5</sup> 1 was a day late.  
1 was 46 days late.

<sup>6</sup> Both were conducted by telephone, preventing any visual observation of the child.

## 2014-2015 DCF Contract Oversight Report of Core Scope Monitoring Results

### Preparing 17-Year-Olds for Independent Living

Contract Reference(s): Contract GJ501, Attachment I, 1.8.2.

Monitoring Method: Review of case files for 11 of 17 children, age 17, for services provided March through August 2014.

Area of Noncompliance	Required by...
<p>Of 3 children, age 17, due to have a special JRSSR:</p> <ul style="list-style-type: none"> <li>• 1 was completed 5 days late.</li> <li>• 1 did not have verification the child had either a current Medicaid card or information regarding how to apply for coverage upon reaching age 18, nor that the child received a verified copy of her birth certificate.</li> <li>• 2 did not have documentation that the child had a valid driver's license or a Florida identification card.</li> <li>• 2 did not have verification the child had been provided information on SSI benefits or accounting information related to trust funds.</li> <li>• 3 did not have verification of whether the child had an open bank account, identification necessary to open an account, and information relating to essential banking skills.</li> <li>• 2 did not have verification that the child was given information on public assistance and how to apply.</li> <li>• 2 did not have verification that the child had a clear understanding of where he or she will live when 18 years old, how living expenses will be paid, and what educational program or school he or she will be enrolled in.</li> <li>• 3 did not have verification that the Court had been given an updated case plan that included specific information on independent living skills acquired since the 13th birthday or since the date of entrance into foster care if later.</li> </ul>	<p>39.701(3)(a) and (3)(b), F.S.</p>

**2014-2015 DCF Contract Oversight  
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**Preparing 17-Year-Olds for Independent Living (Continued)**

Area of Noncompliance	Required by...
<p>Of 9 children due to have a transition plan:</p> <ul style="list-style-type: none"> <li>• 1 was not completed at all.</li> <li>• 1 was not filed with the court.</li> <li>• 1 was completed 13 days late.</li> </ul>	<p>65C-28.009(9)(a), F.A.C. 39.6035(1), F.S.</p>
<p>Of 7 children, 17½-years-old and due to have a special hearing within the calendar month beginning 6 months prior to the 18th birthday:</p> <ul style="list-style-type: none"> <li>• 1 hearing was not conducted at all.</li> <li>• 1 hearing was conducted 77 days late.</li> </ul>	<p>39.013(8), F.S.</p>

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**Post Secondary Education Support and Services**

Contract Reference(s): Contract GJ501, Attachment I, 1.8.2.

Monitoring Method: Review of case records for 10 of 27 young adults receiving post secondary education support services March to August 2014.

<b>Area of Noncompliance</b>	<b>Required by...</b>
None of the 10 forms reviewed for the release of educational records granted the Department access.	409.1451(2)(a), F.S.

## 2014-2015 DCF Contract Oversight Report of Core Scope Monitoring Results

### Extended Foster Care

Contract Reference(s): Contract GJ501, Attachment I, 1.8.2.

Monitoring Method: Review of case records for all 8 young adults who were in extended foster care March to August 2014.

Area of Noncompliance	Required by...
1 of 8 case records reviewed did not include verification that the living environment of the young adult met the requirements of the program.	39.6251(4), F.S.
2 of 8 case records reviewed of young adults did not have documentation of monthly contacts. <sup>7</sup>	39.6251(7), F.S.

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<sup>7</sup> 2 were not contacted April, July, and August 2014.

## 2014-2015 DCF Contract Oversight Report of Core Scope Monitoring Results

### Relative and Non-Relative Home Studies

Contract Reference(s): Contract GJ501, Attachment I, 1.5.1.

Monitoring Method: Review of home studies for 12 of 35 children for relative or non-relative placements from March to August 2014.

Area of Noncompliance	Required by...
One home study for a sibling group of 3 children did not include documentation of a visit to the home and an interview with the proposed adult caregivers.	39.521(2)(r)1., F.S. 65C-28.012(2)(a), F.A.C.

## 2014-2015 DCF Contract Oversight Report of Core Scope Monitoring Results

### Temporary Assistance for Needy Families

Contract Reference(s): Contract GJ501, Attachment I, 1.5.1.8.

Monitoring Method: Review of 10 children due for TANF eligibility redetermination, from a total population of 39 such children.

Area of Noncompliance	Required by...
6 of 10 records due for eligibility redetermination were not reviewed at intervals of 12 months. <sup>8</sup>	CFOP 175-93, 2-2.g.

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<sup>8</sup> 1 was 1 day late.  
2 were 5 days late.  
1 was 6 days late.  
1 was 11 days late.  
1 was 18 days late.

## 2014-2015 DCF Contract Oversight Report of Core Scope Monitoring Results

### Adoption Information in FSN

Contract Reference(s): Contract GJ501, Attachment I, 1.7.1.3.

Monitoring Method: Review of all 10 children whose parents had parental rights terminated March through August 2014.

Area of Noncompliance	Required by...
Of FSN records for 10 children reviewed: <ul style="list-style-type: none"><li>• 6 referrals were not entered timely in the adoption registry section of FSN.<sup>9</sup></li><li>• 2 referrals did not have a picture submitted.</li></ul>	409.167(2)(a), F.S.

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<sup>9</sup> 2-were 25 days late.  
1 was 27 days late.  
1 was 77 days late.  
1 was 140 days late.  
1 was 141 days late.



## 2014-2015 DCF Contract Oversight Report of Core Scope Monitoring Results

### Subcontracts

Contract Reference(s): Contract GJ501, Standard Contract, 8.a. through 8.g. and Attachment I, 1.9.3.

Monitoring Method: Review of 10 of 21 subcontracts and supporting documentation, risk assessment matrix for monitoring determination, monitoring plan, policies, and paid invoices for March through August 2014, and interviews with provider.

Area of Noncompliance	Required by...
The contract monitoring policy of the Lead Agency did not include the statutory requirements that limit administrative monitoring of accredited child welfare providers to once every three years.	402.7306, F.S.
2 of 10 subcontractor files did not include a copy of the current insurance certificate naming the Department as a certificate holder.	Contract GJ501, Attachment I, 5.8.1.2.

# 2014-2015 DCF Contract Oversight Report of Core Scope Monitoring Results

## HIPAA Privacy Practices

Contract Reference(s): Contract GJ501, Attachment VI

Monitoring Method: Review of policies and procedures, review of 10 client files for receipt of the Notice of Privacy and the authorization to disclose information form, and interview with provider staff.

Area of Noncompliance	Required by...
The provider policies do not include HIPAA breach notification requirements.	45 CFR 164.530(i)(1)
The authorization to disclose information form did not include the following: <ul style="list-style-type: none"><li>• An explanation of representative's authority to act.</li><li>• A statement of whether treatment, payment, enrollment, or eligibility for benefits is or is not contingent upon authorization.</li><li>• A statement regarding potential for information disclosed via the authorization to be potentially subject to re-disclosure by the recipient and no longer protected by the federal code.</li></ul>	45 CFR 164.508(c)(1)(vi) 45 CFR 164.508(c)(2)(ii) 45 CFR 164.508(c)(2)(iii)

## 2014-2015 DCF Contract Oversight Report of Core Scope Monitoring Results

### Children's Mental Health Wraparound Funds

Contract Reference(s): Contract GJ501, Attachment I, 1.8.3.2.

Monitoring Method: Review of 23 of 63 children receiving children's mental health services paid with 100800 funds during March through August 2014.

Area of Noncompliance	Required by...
<p>Of the review of documentation for 23 children:</p> <ul style="list-style-type: none"><li>• 1 was ineligible due to age.</li><li>• 3 had services authorized and paid for that were reimbursable by Medicaid.</li><li>• 2 had insufficient documentation to determine whether the services were reimbursable by Medicaid since there was no treatment plan or case plan available for the dates the services were paid.</li><li>• 1 did not have documentation of the date of the mental health behavioral or emotional diagnosis or the credentials of the evaluator.</li></ul>	<p>Contract GJ501, Attachment I, 1.8.3.2.a.</p> <p>Therapeutic Services for Children (100800 Funds) Eligibility and Allowable Expenditure Documentation Requirements, , dated 2/2014</p>

## 2014-2015 DCF Contract Oversight Report of Core Scope Monitoring Results

### Interstate Compact on the Placement of Children

Contract Reference(s): Contract GJ501, Attachment I, 1.7.2.6.

Monitoring Method: Review and analysis of the DCF ICPC tracking system report for March through July 2014.

Area of Noncompliance	Required by...
11 of 18 home studies requested by another state were not completed timely. <sup>10</sup>	PL 109-239, Section 4.

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<sup>10</sup> 1 was 3 days late.  
1 was 5 days late.  
1 was 9 days late.  
1 was 10 days late.  
1 was 16 days late.  
1 was 24 days late.  
1 was 33 days late.  
1 was 50 days late.  
1 was 52 days late.  
1 was 78 days late.  
1 was 101 days late.

## 2014-2015 DCF Contract Oversight Report of Core Scope Monitoring Results

### No Findings Identified

Findings were not identified in the following areas of scope.

Topic or Area of Review	Method and Scope
Child health check-ups	Review of 10 of 45 children under age 2 for periodic screening, diagnosis, and treatment during March to August 2014.  Measurement Results: All 10 children reviewed had all requirements met. 100%
Overcapacity waivers	Review of all 7 overcapacity waivers where the licensed capacity of the home exceeded 5 total children or more than 2 children under the age of 2, from March through August 2014.  Measurement Results: All 7 instances of overcapacity reviewed had all key requirements met. 100%
Child welfare certifications	Review of records for 10 of 38 relevant staff for status of child welfare professional certification  Measurement Results: All 10 employees reviewed had all certification requirements met. 100%
Road to independence	Review of documentation for the only young adult, between the age of 18 through 23, receiving road to independence services limited to activities that were due or took place March through August 2014.
Adoption subsidy	Review of adoption subsidy documentation for all 10 children whose adoption was finalized March through August 2014.
Title IV-E	Review of IV-E eligibility documentation for 25 of 63 children entering licensed care from March through August 2014.
Tangible property requirements	Observation of 10 items of non-expendable property.

## 2014-2015 DCF Contract Oversight Report of Core Scope Monitoring Results

### No Findings Identified for Contracts GJL57 and GJ501

Findings were not identified in the following areas of scope.

Topic or Area of Review	Method and Scope
Abuse reporting	Review of provider policy.
Memoranda of understanding / working agreements	Review of all 16 memoranda of understanding / working agreements and interview with provider.
Employment eligibility verification	Review of I-9 forms for 16 of 26 employees hired in calendar year 2014, review of E-Verify requirements, and observation of posted notices.

### Core Topics Excluded from Scope

Certain topics were excluded from the scope of review. Details are provided here.

Topic or Area of Review	Additional Information
Foster home licensing and re-licensing, background screening, and staffing requirements	Central Region licensing unit conducted a quality assurance review on foster home licensing and re-licensing and an annual monitoring, formalized in a report from April 2014.
Information security, confidentiality, incident reporting, mandatory reporting to the Inspector General, and Whistleblower's Act	<p>These topics were monitored by Contract Oversight in fiscal year 2013-2014.</p> <p>Monitoring of certain administrative requirements is limited to once every three years by 402.7306, F.S., as the provider is accredited by the Council on Accreditation.</p>

This contract oversight monitoring was conducted in accordance with CFOP 75-8. It was led by Cheryl Walls. The team members were Sandra Pruette, Carlos Nieves, Eunice Mobley, Jose Mercado, Britt Swain, and Roxann Nelson.

Please contact Sandra Pruette, Mid Florida COU Manager, at (407) 317-7312, with any inquiries regarding this monitoring.



## 2014-2015 Contract Oversight Report of Core Scope Monitoring Results

State of Florida  
Department of  
Children and Families

Diane Dusenbury, MBA, MEd  
Chief of Contract Oversight

Mid Florida Contract Oversight Unit  
Report 1415-2637-00  
January 14, 2015

### Community Based Care of Central Florida, Inc. Contract GJL57 serving Orange and Osceola Counties

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*The provider shall deliver foster care and related services pursuant to s. 409.1671, F.S., and prevention services, pursuant to s. 20.19, F.S., while ensuring each child's safety, well being, and permanency.*

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SSI = Supplemental Social Security

TANF = Temporary Assistance to Needy Families



# 2014-2015 DCF Contract Oversight Report of Core Scope Monitoring Results

## Findings

### Psychotropic Medication

Contract Reference(s): Contract GJL57, Attachment I, B.1.a.19)

Monitoring Method: Review of documentation for 13 children, who were prescribed psychotropic medications, for activities related to psychotropic medication administration that were due or took place March through August 2014, and interviews with staff.

Measurement Results: 3 of 13 children reviewed had all key requirements met. 23%

Area of Noncompliance	Required by...
3 of 4 case records reviewed for children prescribed psychotropic medication who moved from one out-of-home placement to another out-of-home placement did not have documentation that the resource record and information about the medication was provided to the new caregiver or that a medication inventory was completed.	65C-35.007(6), F.A.C. CFOP 175-40, 3-10. e.(2)
<p>Of case record documentation reviewed for 13 children:</p> <ul style="list-style-type: none"> <li>• 1 documented that the child was administered medication by the provider without express and informed consent or court order.</li> <li>• 2 did not have documentation of submission of the medical report for the child to CLS within 3 days of receipt of the report from the physician.</li> <li>• 3 did not have documentation that the caregiver recorded the administration of the medication.</li> <li>• 8 did not have documentation of monthly review of the medication record by the case manager.</li> <li>• 6 did not have documentation entered in FSFN within 3 business days.<sup>1</sup></li> </ul>	65C-35.007, F.A.C. 65C-35.008, F.A.C. 65C-35.009, F.A.C. 65C-35.011, F.A.C. CFOP 175-40, 3-19.b.(3)

<sup>1</sup> 1 was 3 business days late.  
1 was 12 business days late.  
1 was 13 business days late.  
2 were 16 business days late.  
1 was 21 business days late.

**2014-2015 DCF Contract Oversight  
Report of Core Scope Monitoring Results**

**Psychotropic Medication (Continued)**

<b>Area of Noncompliance</b>	<b>Required by...</b>
<p>Of the review of medication tabs in FSFN for 13 children:</p> <ul style="list-style-type: none"><li>• 2 did not include prescription quantity.</li><li>• 3 did not include precautions and warnings.</li><li>• 1 did not include additional instructions for the medication.</li><li>• 1 did not include a correct date of court order authorization.</li><li>• 1 emergency administration did not have an explanation and deadline for securing post-administration authorization.</li></ul>	<p>CFOP-175-40, 3-19.</p>

## 2014-2015 DCF Contract Oversight Report of Core Scope Monitoring Results

### Safety Plans for Sexual Abuse Victims and Sexually Reactive Children

Contract Reference(s): Contract GJL57, Attachment I, B.1.a.6)

Monitoring Method: Review of documentation for 18 of 59 children identified as victims of sexual abuse and/or sexually reactive/aggressive and who had at least one placement change between March and August 2014, for all 29 placement changes made during this time frame.

Measurement Results: 5 of 29 placements reviewed had all requirements met. 17%

Area of Noncompliance	Required by...
<p>Of 29 safety plans selected to be reviewed:</p> <ul style="list-style-type: none"> <li>• 1 was not completed at all.</li> <li>• 13 were not completed at time of placement.<sup>2</sup></li> <li>• 8 safety plans reviewed for victims of sexual abuse did not indicate that the child was initially placed in a private bedroom unless clinically contraindicated.</li> <li>• 9 safety plans reviewed for sexually reactive/aggressive children did not indicate that the child was the youngest child in the home, nor was it indicated the child was placed in either a private room or a facility with adequate video monitoring.</li> </ul>	<p>65C-28.004(10) and (11), F.A.C.</p>
<p>The policy of the Lead Agency did not fully meet the requirements of Florida Statutes and Florida Administrative Code.</p>	<p>Contract GJL57, Attachment I, B.1.a.6)</p>

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<sup>2</sup> 1 was 1 day late.  
 1 was 2 days late.  
 1 was 3 days late.  
 1 was 5 days late.  
 1 was 6 days late.  
 2 were 8 days late.  
 1 was 10 days late.  
 2 were 14 days late.  
 1 was 19 days late.  
 1 was 33 days late.  
 1 was 57 days late.

## 2014-2015 DCF Contract Oversight Report of Core Scope Monitoring Results

### Missing Children

Contract Reference(s): Contract GJL57, Attachment I, B.1.a.6)

Monitoring Method: Review of 15 of 29 episodes where a child was missing 7 days or longer from March to August 2014.

Measurement Results: 2 of 15 missing child episodes reviewed had all key requirements met. 13%

Area of Noncompliance	Required by...
<p>Of 15 episodes reviewed:</p> <ul style="list-style-type: none"> <li>• 1 was reported to law enforcement 1 day late.</li> <li>• 5 did not contain documentation the caregiver or caseworker inspected the belongings of the child to determine what was missing.</li> <li>• 1 did not have documentation the caregiver or case manager initially contacted people who may have information regarding the whereabouts of the child.</li> <li>• 4 did not have complete contact information for all persons contacted.</li> <li>• 28 weekly efforts were entered into FSN late.<sup>3</sup></li> <li>• 5 were not entered into IRAS at all.</li> <li>• 2 were entered into IRAS late.<sup>4</sup></li> </ul>	<p>65C-30.019, F.A.C. CBC CF Operating Procedure, 500</p>

<sup>3</sup> 2 were entered 10 hours late.  
1 was entered 11 hours late.  
1 was entered 13 hours late.  
2 were entered 15 hours late.  
5 were entered 18 hours late.  
1 was entered 19 hours late.  
6 were entered 1 day late.  
8 were entered 2 days late.  
2 were entered 3 days late.

<sup>4</sup> 1 was 4 days late.  
1 was 31 days late.

**2014-2015 DCF Contract Oversight  
Report of Core Scope Monitoring Results**

**Missing Children (Continued)**

<b>Area of Noncompliance</b>	<b>Required by...</b>
5 of 10 JRSSRs completed during the review period were missing specific efforts to locate.	65C-30.013(2)(c), F.A.C. CBC CF Operating Procedure 500
4 of 10 children recovered was neither photographed immediately upon return nor was there documentation to indicate that the appearance of the child had no significant change since the prior photograph.	65C-30.004(1)(a)3., F.A.C.

# 2014-2015 DCF Contract Oversight Report of Core Scope Monitoring Results

## Overcapacity Waivers

Contract Reference(s): Contract GJL57, Attachment I, B.1.a.6)

Monitoring Method: Review of all 7 overcapacity waiver assessments where the licensed capacity of the home exceeded 5 total children or more than 2 children under the age of 2, from March through August 2014.

Measurement Results: 4 of 7 instances of overcapacity reviewed had all key requirements met. 57%

Area of Noncompliance	Required by...
<p>Of the 7 waiver assessments reviewed:</p> <ul style="list-style-type: none"><li>• 1 was not approved in writing by the CBC CEO or designee the next business day. It was approved one day late.</li><li>• 1 foster home was not visited by a licensing counselor at all during the 14 day period when the home exceeded licensed overcapacity.</li><li>• 2 foster homes were not visited by a licensing counselor within 7 days of the overcapacity placement.<sup>5</sup></li></ul>	65C-13.032(3), F.A.C.

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<sup>5</sup> 1 was 7 days late.  
1 was 8 days late.

## 2014-2015 DCF Contract Oversight Report of Core Scope Monitoring Results

### Child Health Check-Ups

Contract Reference(s): Contract GJL57, Attachment I, B.1.e.4)

Monitoring Method: Review of 25 of 242 children under age 2 for periodic screening, diagnosis, and treatment during March to August 2014.

Measurement Results: 20 of 25 children reviewed had all requirements met. 80%

Area of Noncompliance	Required by...
<p>Of documentation reviewed for 25 children under 2 years of age:</p> <ul style="list-style-type: none"><li>• 1 child was not screened at the ages of 1 month and 2 months.</li><li>• 1 child was not screened at the age of 2 months.</li><li>• 1 child was not screened at the age of 6 months.</li><li>• 2 children were not screened at the age of 15 months.</li></ul>	65C -30.001(17), F.A.C.

## 2014-2015 DCF Contract Oversight Report of Core Scope Monitoring Results

### Case Management Responsibilities for Client Trust

Contract Reference(s): Contract GJL57, Attachment I, B.6.a.9) and 10)

Monitoring Method: Review of 14 of 25 children receiving SSI with active client trust accounts for March to July 2014, for related case management responsibilities during this time frame.

Measurement Results: 9 of 14 children reviewed had all requirements met. 64%

Area of Noncompliance	Required by...
<p>Of 14 client trust records reviewed:</p> <ul style="list-style-type: none"> <li>• 3 notarized <i>Designation of Client Money and Property</i> forms, CF FSP 5222, did not include the date the notary notarized the form.</li> <li>• 1 JRSSR did not have the most recent quarterly accounting record attached.</li> <li>• 2 JRSSRs completed during the review period did not have a copy of the <i>Notice of Fee Assessment and Rights of Foster Child</i> form, CF 0285D, attached.</li> <li>• 1 record did not have documentation of the case manager's review of the trust fund balance with the child.</li> </ul>	<p>117.05(4)(d), F.S. 65C-17.005(1), F.A.C. CFOP 175-59</p>



# 2014-2015 DCF Contract Oversight Report of Core Scope Monitoring Results

## Post Placement Visits

Contract Reference(s): Contract GJL57, Attachment I, B.1.a.6)

Monitoring Method: Review of case records for 36 of 194 children reunified with the caregiver from whom they were removed during March to August 2014.

Area of Noncompliance	Required by...
5 of 18 children under the age of 6 who were reunified did not have documentation of weekly face-to-face visits by the services worker for the first 3 months after reunification.	CBC CF Operating Procedure, 423

## 2014-2015 DCF Contract Oversight Report of Core Scope Monitoring Results

### Exit Interviews

Contract Reference(s): Contract GJL57, Attachment I, B.1.a.6)

Monitoring Method: Review of 15 of 33 exit interviews for children, age 5 through 18, who exited a licensed placement from March through August 2014.

Area of Noncompliance	Required by...
3 of 15 exit interviews reviewed were conducted later than 5 days after the child left the placement. <sup>6</sup>	65C-28.017(1)(a), F.A.C..
6 of 15 exit interviews had no observations of the child during the interview documented.	65C-28.017(2), F.A.C.
1 of 15 exit interviews included information provided by the child regarding inappropriate treatment, but there was no documentation of follow up with the assigned licensing unit.	65C-17.017(1)(c), F.A.C.

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<sup>6</sup> 1 was 11 days late.  
1 was 83 days late.  
1 was 98 days late.

## 2014-2015 DCF Contract Oversight Report of Core Scope Monitoring Results

### Preparing 17-Year-Olds for Independent Living

Contract Reference(s): Contract GJL57, Attachment I, B.1.a.5)

Monitoring Method: Review of case records for 15 of 39 children, age 17, for services provided March through August 2014.

Area of Noncompliance	Required by...
1 of 14 case records reviewed of children due for a JRSSR during the review period did not include documentation that it had been completed.	2013-21, Laws of Florida <i>Quality Parenting for Children in Foster Care Act</i>
<p>Of 8 children, age 17, due to have a special JRSSR:</p> <ul style="list-style-type: none"> <li>• 5 did not have verification the child had a current Medicaid card or information regarding how to apply for coverage upon reaching age 18.</li> <li>• 1 did not have documentation that the child received a verified copy of his birth certificate.</li> <li>• 2 did not verify that the child had a valid driver's license or a Florida identification card.</li> <li>• 4 did not have verification the child had been provided information on SSI benefits or accounting information related to trust funds.</li> <li>• 5 did not have verification that the child had an open bank account, identification necessary to open an account, and information relating to essential banking skills.</li> <li>• 5 did not verify that the child information on public assistance and how to apply.</li> <li>• 6 did not have verification that the child had a clear understanding of where he or she will be living upon reaching 18 years of age, how living expenses will be paid, and enrollment in which educational program or school.</li> </ul> <p><b><i>This finding statement continues on the next page.</i></b></p>	39.701(3)(a) and (3)(b), F.S.

**2014-2015 DCF Contract Oversight  
Report of Core Scope Monitoring Results**

**Preparing 17-Year-Olds for Independent Living (Continued)**

Area of Noncompliance	Required by...
<p><i>This finding statement continues from the prior page.</i></p> <p>Of 8 children, age 17, due to have a special JRSSR (Continued):</p> <ul style="list-style-type: none"> <li>• 2 did not have verification that the Court had been provided an updated case plan including specific information on independent living skills acquired since the 13th birthday or since the date entering foster care if later.</li> </ul>	
<p>Of 14 children due to have a transition plan:</p> <ul style="list-style-type: none"> <li>• 2 were not completed at all.</li> <li>• 8 were not completed timely.<sup>7</sup></li> </ul>	<p>65C-28.009(9)(a), F.A.C. 39.6035(1), F.S.</p>
<p>Of 14 children due to have a special hearing at age 17½:</p> <ul style="list-style-type: none"> <li>• 8 hearings were not completed at all.</li> <li>• 2 hearings were completed late.<sup>8</sup></li> </ul>	<p>39.013(8), F.S.</p>

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<sup>7</sup> 1 was 3 days late.  
1 was 26 days late.  
1 was 41 days late.  
1 was 43 days late.  
1 was 63 days late.  
1 was 94 days late.  
1 was 115 days late.  
1 was 140 days late.

<sup>8</sup> 1 was 7 days late.  
1 was 15 days late.  
Community Based Care of Central Florida, Inc.  
Contract GJL57 serving Orange and Osceola Counties  
Report 1415-2637-OO

# 2014-2015 DCF Contract Oversight Report of Core Scope Monitoring Results

## Post Secondary Education Support and Services

Contract Reference(s): Contract GJL57, Attachment I, B.1.a.5)

Monitoring Method: Review of case records for 20 of 60 young adults receiving post secondary education support and services March to August 2014.

Area of Noncompliance	Required by...
<p>Of 20 case records reviewed:</p> <ul style="list-style-type: none"><li>• None of the releases of educational records granted the Department access to the information.</li><li>• 2 did not include a determination on how payments to the young adults will be distributed.</li></ul>	<p>409.1451(2)(a) and (2)(c)1., F.S.</p>

## 2014-2015 DCF Contract Oversight Report of Core Scope Monitoring Results

### Extended Foster Care

Contract Reference(s): Contract GJL57, Attachment I, B.1.a.5)

Monitoring Method: Review of case records for 17 of 45 young adults who were in extended foster care March to August 2014.

Area of Noncompliance	Required by...
Of the 17 case records reviewed: <ul style="list-style-type: none"><li>• 7 did not have the permanency goal of <i>Transition from Licensed Care to Independent Living</i> established.</li><li>• 1 did not have documentation that the living environment of the young adult met the requirements of the program.</li><li>• 2 did not have documentation that transition plans were done at all.</li><li>• 2 did not have documentation that JR hearings were held every 6 months.</li></ul>	39.6251(3), (4), and (8), F.S. 39.6035, F.S. 39.701(4), F.S.

## 2014-2015 DCF Contract Oversight Report of Core Scope Monitoring Results

### Road to Independence

Contract Reference(s): Contract GJL57, Attachment I, B.1.a.5)

Monitoring Method: Review of documentation for 22 young adults, from the age of 18 through 23, receiving road to independence services, limited to activities that were due or took place March through August 2014.

Area of Noncompliance	Required by...
5 of 13 case records for young adults due for annual renewal did not contain documentation that the RTI award was evaluated and renewed annually during the 90-day period prior to the birthday of the young adult.	409.1451(5)(b)6.i., F.S. 65C-31.004(2), F.A.C.
15 of 22 case records reviewed did not document that the frequency of contacts had been determined through consultation between the young adult and the independent living services worker.	65C-31.002(2)(e), F.A.C.

**2014-2015 DCF Contract Oversight  
Report of Core Scope Monitoring Results**

**Subsidized Independent Living**

Contract Reference(s): Contract GJL57, Attachment I, B.1.a.5)

Monitoring Method: Review of documentation for the only child receiving subsidized independent living services, limited to activities that were due or took place March through August 2014.

Area of Noncompliance	Required by...
The special JR required within the calendar month beginning 6 months prior to the 18th birthday of the child was 125 days late.	39.013(8), F.S.



## 2014-2015 DCF Contract Oversight Report of Core Scope Monitoring Results

### Relative and Non-Relative Home Studies

Contract Reference(s): Contract GJL57, Attachment I, B.1.a.6)

Monitoring Method: Review of home studies for 21 of 127 children for relative or non-relative placements from March through August 2014.

Area of Noncompliance	Required by...
2 home studies did not include documentation of a FDLE or FBI fingerprint check for the caregivers.	39.0138(1), F.S. 65C-28.011(1) and (4)., F.A.C.
2 home studies did not include documentation of a FDLE or FBI fingerprint checks for all household members.	39.0138(1), F.S. 65C-28.011(1) and (4), F.A.C.
1 home study did not include documentation of a delinquency records check through the Department of Juvenile Justice for a household member age 12 to 26.	39.0138(1), F.S. 65C-28.011(1) and (4), F.A.C.

**2014-2015 DCF Contract Oversight  
Report of Core Scope Monitoring Results**

**Temporary Assistance for Needy Families**

Contract Reference(s): Contract GJ501, Attachment I, B.1.a.17)

Monitoring Method: Review of 26 children due for TANF eligibility redetermination, from a total population of 186 such children.

Area of Noncompliance	Required by...
11 of 26 records due for eligibility redetermination were not reviewed at intervals of 12 months. <sup>9</sup>	CFOP 175-93, 2-2.g.

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<sup>9</sup> 1 was 4 days late.  
2 were 6 days late.  
3 were 7 days late.  
1 was 8 days late.  
1 was 10 days late.  
1 was 12 days late.  
1 was 14 days late.  
1 was 24 days late.

## 2014-2015 DCF Contract Oversight Report of Core Scope Monitoring Results

### Adoption Information in FSN

Contract Reference(s): Contract GJL57, Attachment I, B.1.d.3)

Monitoring Method: Review of 16 of a total of 31 children whose parents had parental rights terminated March through August 2014.

Area of Noncompliance	Required by...
Of FSN records for 16 children reviewed: <ul style="list-style-type: none"><li>• 3 referrals were not completed at all.</li><li>• 2 referrals were not entered timely in the adoption registry section of FSN.<sup>10</sup></li><li>• 1 referral did not have a picture submitted.</li></ul>	409.167(2)(a), F.S.

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<sup>10</sup> 2 were 31 days late.

## 2014-2015 DCF Contract Oversight Report of Core Scope Monitoring Results

### Subcontracts

Contract Reference(s): Contract GJL57, Attachment I, B.2.d.

Monitoring Method: Review of 10 of 37 subcontracts and supporting documentation, risk assessment matrix for monitoring determination, monitoring plan, policies, and paid invoices for March through August 2014, and interviews with provider.

Area of Noncompliance	Required by...
The contract monitoring policy of the Lead Agency did not include the statutory requirements that limit administrative monitoring of accredited child welfare providers to once every three years.	402.7306, F.S.
1 of 20 invoices reviewed was paid 1 day late.	Contract GJL57, Standard Contract, I.I.3.

## 2014-2015 DCF Contract Oversight Report of Core Scope Monitoring Results

### HIPAA Privacy Practices

Contract Reference(s): Contract GJL57, Standard Contract I, C.2.a.

Monitoring Method: Review of policies and procedures, review of 22 young adult records for receipt of the Notice of Privacy and the authorization to disclose information form, and interview with provider staff.

Area of Noncompliance	Required by...
The provider policies do not include HIPAA breach notification requirements.	45 CFR 164.530(i)(1)
3 of 22 authorizations to disclose information forms reviewed were not completely filled out.	45 CFR 164.508(c)
<p>The authorization to disclose information form did not include the following:</p> <ul style="list-style-type: none"> <li>• An explanation of representative’s authority to act.</li> <li>• A statement of whether treatment, payment, enrollment, or eligibility for benefits is or is not contingent upon authorization.</li> <li>• A statement regarding potential for information disclosed via the authorization to be potentially subject to re-disclosure by the recipient and no longer protected by the federal code.</li> </ul>	<p>45 CFR 164.508(c)(1)(vi) 45 CFR 164.508(c)(2)(ii) 45 CFR 164.508(c)(2)(iii)</p>
5 of 22 records of young adults reviewed did not have acknowledgment that the Notice of Privacy was provided to the individual no later than the date of first service delivery, or in an emergency treatment situation, as soon as reasonably possible.	45 CFR 164.520(c)(2)(i)(A) and (i)(B)

**2014-2015 DCF Contract Oversight  
Report of Core Scope Monitoring Results**

**Children’s Mental Health Wraparound Funds**

Contract Reference(s): Contract GJL57, Attachment I, D.13.

Monitoring Method: Review of 43 of 215 children receiving children’s mental health services paid with 100800 funds during March through August 2014.

<b>Area of Noncompliance</b>	<b>Required by...</b>
3 of 43 cases reviewed did not have documentation and verification that the service provided for the child was not Medicaid reimbursable.	Contract GJL57, Attachment I, D.13.  Guidance Document for use of Therapeutic Services for Children (100800 Funds), Eligibility and Allowable Expenditures, Documentation Requirements, June 10, 2010

## 2014-2015 DCF Contract Oversight Report of Core Scope Monitoring Results

### Interstate Compact on the Placement of Children

Contract Reference(s): Contract GJL57, Attachment I, B.1.a.6)

Monitoring Method: Review and analysis of the DCF ICPC tracking system report for March through July 2014.

Area of Noncompliance	Required by...
35 of 43 home studies requested by another state were not completed timely. <sup>11</sup>	PL 109-239, Section 4.

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<sup>11</sup> 2 were 1 day late.  
1 was 3 days late.  
1 was 7 days late.  
1 was 9 days late.  
1 was 11 days late.  
2 were 12 days late.  
2 were 16 days late.  
1 was 17 days late.  
1 was 19 days late.  
1 was 23 days late.  
1 was 24 days late.  
1 was 30 days late.  
1 was 38 days late.  
1 was 39 days late.  
1 was 47 days late.  
1 was 49 days late.  
1 was 51 days late.  
1 was 58 days late.  
1 was 64 days late.  
1 was 65 days late.  
1 was 69 days late.  
1 was 70 days late.  
1 was 74 days late.  
1 was 85 days late.  
2 were 87 days late.  
1 was 89 days late.  
2 were 114 days late.  
1 was 128 days late.  
1 was 140 days late.  
1 was 150 days late.

## 2014-2015 DCF Contract Oversight Report of Core Scope Monitoring Results

### No Findings Identified

Findings were not identified in the following areas of scope.

Topic or Area of Review	Method and Scope
Child welfare certifications	Review of 21 of 199 employee records for status of child welfare professional certification.  Measurement Results: All 21 employees reviewed had all certification requirements met. 100%
Aftercare	Review of 17 of 36 aftercare applications submitted March through August 2014.
Adoption subsidy	Review of adoption subsidy documentation for 10 of a total of 108 children whose adoption was finalized March through August 2014.
Title IV-E	Review of IV-E eligibility documentation for 24 of 112 children entering licensed care March through August 2014.
Tangible property requirements	Observation of 10 items of non-expendable property.

### No Findings Identified for Contracts GJL57 and GJ501

Findings were not identified in the following areas of scope.

Topic or Area of Review	Method and Scope
Abuse reporting	Review of provider policy.
Memoranda of understanding / working agreements	Review of all 16 memoranda of understanding / working agreements and interview with provider.
Employment eligibility verification	Review of I-9 forms for 16 of 26 employees hired in calendar year 2014, review of E-Verify requirements, and observation of posted notices.



# 2014-2015 DCF Contract Oversight Report of Core Scope Monitoring Results

## Core Topics Excluded from Scope

Certain topics were excluded from the scope of review. Details are provided here.

Topic or Area of Review	Additional Information
Foster home licensing and re-licensing, background screening, and staffing requirements	Central Region licensing unit conducted a quality assurance review on foster home licensing and re-licensing and an annual monitoring, formalized in a report from April 2014.
Information security, confidentiality, incident reporting, mandatory reporting to the Inspector General, and the Whistleblower's Act	These topics were monitored by Contract Oversight in fiscal year 2013-2014. Monitoring of certain administrative requirements is limited to once every three years by 402.7306, F.S., as the provider is accredited by the Council on Accreditation.

This contract oversight monitoring was conducted in accordance with CFOP 75-8. It was led by Cheryl Walls. The team members were Sandra Pruette, Carlos Nieves, Eunice Mobley, Jose Mercado, Britt Swain, and Roxann Nelson.

Please contact Sandra Pruette, Mid Florida COU Manager, at (407) 317-7312 with any inquiries regarding this monitoring.



## 2015-2016 Contract Oversight Key Monitoring Results

State of Florida  
Department of  
Children and Families

Diane Dusenbury, MBA, MEd  
Chief of Contract Oversight

Mid Florida Contract Oversight Unit  
Report 1516-2705-S  
March 16, 2016

### Community Based Care of Central Florida Contract GJ501 serving Seminole County

The Department of Children and Families (DCF) Contract Oversight Unit (COU) monitored Community Based Care of Central Florida, Inc., Seminole County, for compliance with some contractual requirements. The scope was limited to topics identified as core topics, to be monitored for all contracts, and to any topics identified as core by relevant programs. Contract managers were also invited to add topics to the monitoring scope. Topics were limited or removed from scope if the monitoring would duplicate the information from other independent review entities already in the contract manager's file.

The COU evaluated compliance by reviewing information and documentation in the FSFN system and in other automated systems or paper files. Interviews with provider employees were performed. The provider and contract manager were given copies of all tools that identified issues or findings during or after the on-site monitoring. The provider had opportunities to produce any documents or information that would clear findings. The initial exit conference was conducted on February 17, 2016.

This report provides some key information gathered from the monitoring. Additional details about the monitoring results may be requested from Contract Oversight in the form of the exit log. For complete information on the provider's compliance with contract terms and conditions, please contact the contract manager.

The purpose of this report is to provide information to the contract manager and to programs about provider noncompliance with the contract, as required by section 402.7305, Florida Statutes (F.S.) and by Children and Families Operating Procedure (CFOP) 75-8.

Contract GJ501, Attachment I, 1. states:

*The Lead Agency shall deliver a comprehensive array of foster care and related services to eligible children and families as those services are defined in section 409.1671(I)(a), Florida Statutes (F.5.), in the geographic area described in Section 1.1., while ensuring each child's safety, well-being and permanency.*

**2015-2016 DCF Contract Oversight  
Key Monitoring Results**

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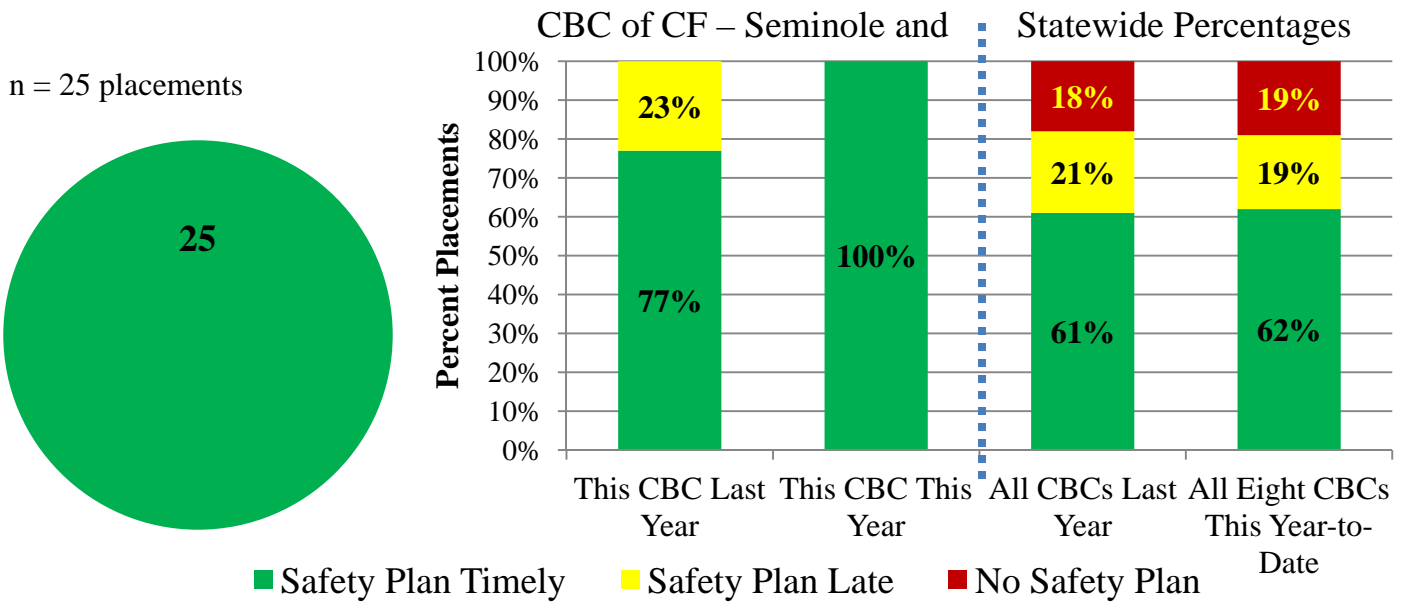
2015-2016 Contract Oversight  
Report of Key Monitoring Results

# Safety Plans for Sexual Abuse Victims and Sexually Reactive Children

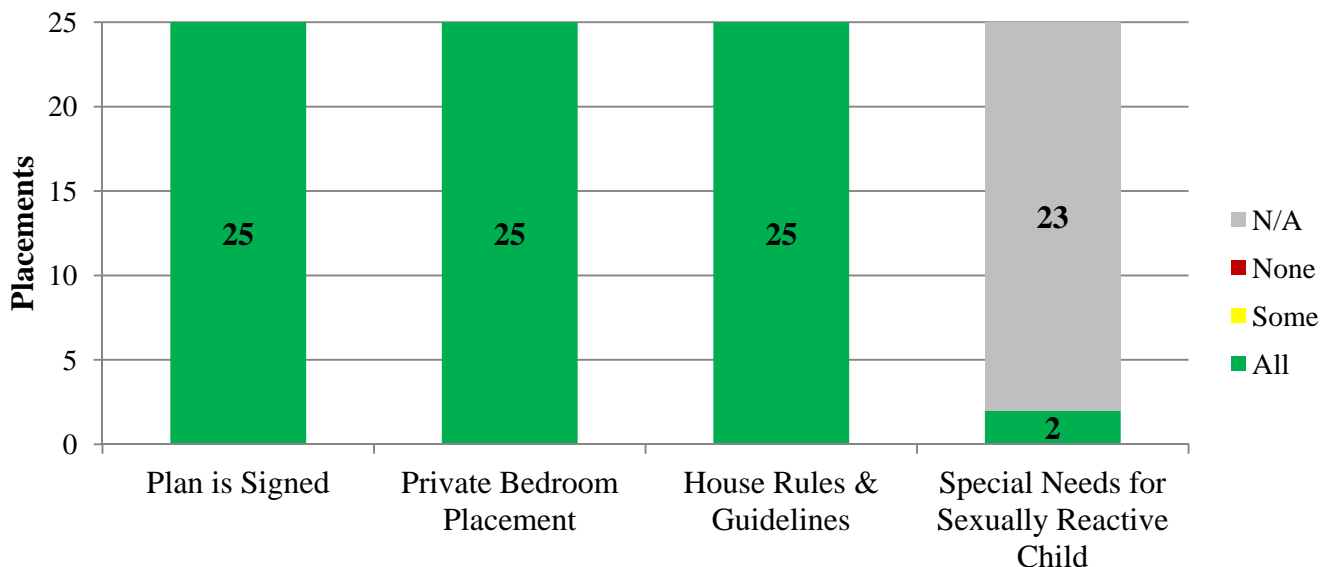
Review of 11 of 16 children identified as sexual abuse victims and or sexually reactive/aggressive and had at least one placement change between March and August 2015 for 25 placement changes made during this timeframe. See Rule 65C-28.004(10) and (11), F.A.C.

## Safety Plan Compliance is at 100% For CBC of Central Florida – Seminole County

### Safety Plan Performance and Comparisons



### 25 Safety Plans that were Done Addressed All Needs



# 2015-2016 Contract Oversight Report of Key Monitoring Results

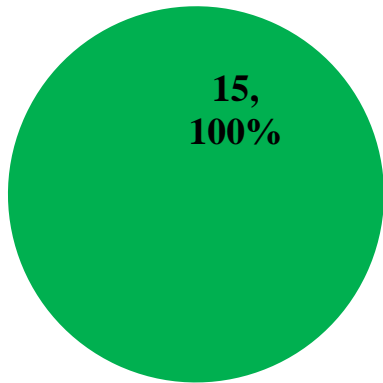
## Psychotropic Medication

Review of 10 children, age 12 and younger, who were prescribed and/or being administered psychotropic medications. 5 children were being administered one medication, the others at least two each. The scope included activities that were due or took place from April through August 2015. Documents were reviewed and interviews with the provider were conducted.

Requirements are found in section 39.407, F.S., Rule 65C-35, F.A.C., and CFOP 175-40.

### **Psychotropic Medication Compliance is nearly 100% For CBC of Central Florida – Seminole County**

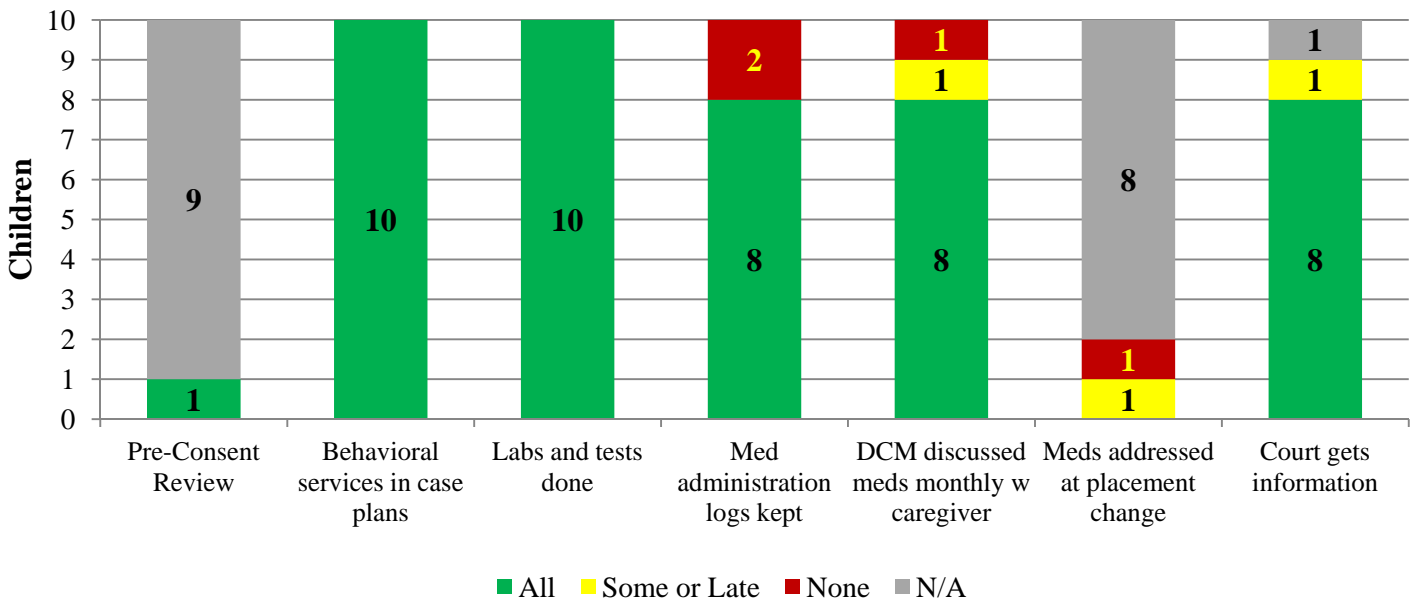
Consent or Court Authorizations  
for 15 Prescriptions Reviewed



One child came into care during the review period and was already taking two psychotropic medications. The child had the initial evaluation by the physician 2 days late.

■ Consent or Court Order Was Timely

### Ongoing Medication Management



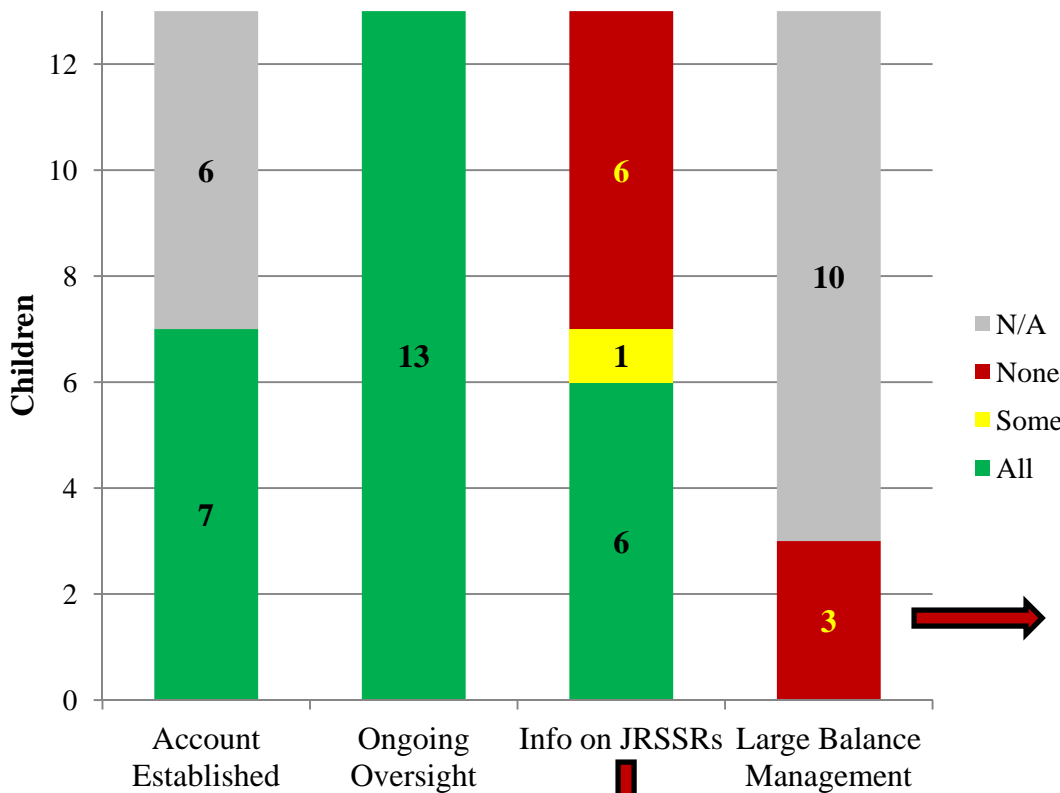
# 2015-2016 Contract Oversight Report of Key Monitoring Results

## Case Management of Client Trust Funds

Review of 13 of 23 children receiving SSI with active and closed client trust accounts March through August 2015, for related case management responsibilities during this timeframe.

Requirements are found in CFOP 175-59 and Rule 65C-17, F.A.C.

### Case Management Responsibilities



2 children receiving SSI had account balances that exceeded \$2,000 during the review period. One of these children had a quarterly ending balance in excess of \$1500 but no expenditure plan was put in place at the time.

One child reviewed had a quarterly ending balance over \$1500 but not yet over \$2000, and this child did not have an expenditure plan as required.

All children had quarterly reviews of expenditure data.

None of the children had expenditures over \$500.

Six children did not have either the CF 0285D or the most current quarterly accounting record attached to the JRSSR.

One child had the CF 0285D attached to the JRSSR, but the quarterly accounting record was not attached.

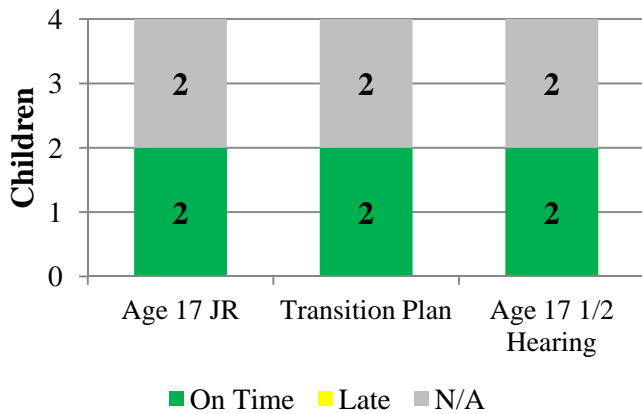
Six children had all required information attached.

# 2015-2016 Contract Oversight Report of Key Monitoring Results

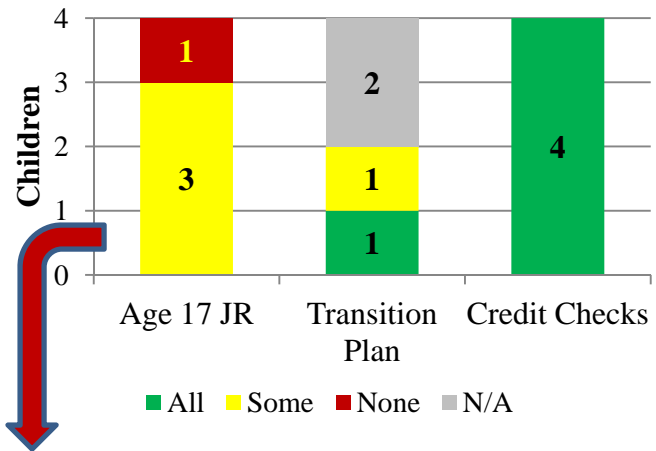
## Preparing 17-Year-Olds for Independent Living

Review of documentation for all 4 children who were age 17 during March through August 2015. Requirements apply differently, depending on age of each child during the review period. See section 39.701(3)(a), F.S. for the Age 17 JR requirements. See section 39.6035, F.S. for transition plans. See 39.013(8) for the special hearing at age 17 and ½.

**Completion of Required Activities  
for 17-Year-Olds**



**Requirements Met**



At the judicial review for children ages 17, the court is to be informed that the child has received a variety of documents and information. For the four children reviewed:

- One child’s JRSSR document was not provided to the COU for review.
- The other three children had multiple instances of conflicting information in the JRSSR and the Transition Plan about whether or not documents and information had been provided to the child, and other instances of information not being provided at all.

Missing information included documentation of the dates the child is under court jurisdiction, that the child is in compliance with financial aid requirements, that the child had educational records, health and mental health records, and understood the process for accessing his or her case file.

## **2015-2016 DCF Contract Oversight Key Monitoring Results**

### **Other Topics with Findings**

- Missing Children
- Relative and Non-Relative Home Studies
- Postsecondary Education Services and Supports
- Extended Foster Care
- Children's Mental Health Wraparound Funds
- Interstate Compact for the Placement of Children
- Subcontracts
- HIPAA Privacy
- Incident Reporting
- Employment Eligibility Verification

### **Topics with No Findings Identified**

- Safety Plans for Sexual Abuse Victims and Sexually Reactive Children (Graphs on page 3)
- Child Health Check-Ups
- Overcapacity Waivers
- Child Welfare Certifications
- Road to Independence
- Aftercare
- Post Placement Visitation
- Adoption Subsidy
- Title IV-E
- TANF Eligibility
- Adoption Information in FSFN
- Abuse Reporting

Information security, confidentiality, Whistleblower's Act, and mandatory reporting to the DCF Inspector General were excluded from the scope due to the provider's accreditation status. Under section 402.7306, F.S., these topics are monitored once every three years.

Foster home licensing was excluded from review based on a report of oversight issued by DCF Licensing.

This contract oversight monitoring was conducted in accordance with CFOP 75-8. The on-site project was led by Cheryl Walls. The team members were Sandra Pruette, Jose Mercado, Carlos Nieves, Brandon Atkins, Naomi Wilson, and Britt Swain. Post-site quality assurance was provided by COU Manager Sandra Pruette.

Please contact Diane Dusenbury, Chief of Contract Oversight, with questions about this report at (850) 717-4758.





2015-2016

# DCF Contract Oversight Exit Log

Provider Name: Community Based Care of Central Florida (Orange and Osceola)

Contract Number: GJL57

COU Team Leader On-Site: Cheryl Walls

On-Site Start Date: October 5, 2015

Exit Log Preparation Date: January 22, 2016

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This log provides a summary of any findings from the on-site monitoring performed by the Department of Children and Families (DCF) Contract Oversight Unit (COU).

The log may also contain information about concerns that Contract Oversight brings to the attention of the provider and the contract manager, but that may not necessarily be included in the final report.

This exit log and the eventual report do not limit the contract manager's authority to seek corrective action in any way.

Contract GJL57, Attachment I, 1. states:

*The Lead Agency shall deliver a comprehensive array of foster care and related services to eligible children and families as those services are defined in section 409.1671(I)(a), Florida Statutes (F.5.), in the geographic area described in Section 1.1., while ensuring each child's safety, well-being and permanency.*

### Abbreviations:

CFOP = Children and Families Operating Procedure

CFR = Code of Federal Regulations

F.A.C. = Florida Administrative Code

FSFN = Florida Safe Families Network

HIPAA = Health Insurance Portability and Accountability Act

ICPC = Interstate Compact on the Placement of Children

IRAS = Incident Reporting and Analysis System

JRSSR = Judicial Review Social Study Report

SSI = Supplemental Security Income

TANF = Temporary Assistance to Needy Families

# 2015-2016 DCF Contract Oversight Exit Log

## Safety Plans for Sexual Abuse Victims and Sexually Reactive Children

Contract Reference(s): Contract GJL57, Attachment I, 1.5.1.

Monitoring Method: Review of 22 of 33 children identified as sexual abuse victims and/or reactive/aggressive and who had at least one placement change March through August 2015, for all 50 placement changes made during this period.

Area of Noncompliance	Required by...
<p>Of the 50 child placements reviewed:</p> <ul style="list-style-type: none"><li>• 1 safety plan was not completed at all.</li><li>• 1 safety plan was not signed by the caregiver or case manager.</li><li>• 4 safety plans were not completed at the time of the placement of the child.<sup>1</sup></li><li>• 1 child was not the youngest child in the placement and there was no video monitoring in the facility.</li></ul>	<p>65C-28.004(10)(b), F.A.C. 65C-28.004(11)(a)2., F.A.C.</p>

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<sup>1</sup> 1 was 1 day late.  
1 was 3 days late.  
1 was 10 days late.  
1 was 11 days late.

# 2015-2016 DCF Contract Oversight Exit Log

## Psychotropic Medication

Contract Reference(s): Contract GJL57, Attachment I, 1.5.1.1.

Monitoring Method: Review of documentation for 16 children, who were prescribed psychotropic medications, for activities related to psychotropic medication administration that were due or occurred April through August 2015, and interviews with staff.

Area of Noncompliance	Required by...
1 of 5 children who entered out-of-home care already taking psychotropic medication had an evaluation by a physician completed 70 days late and there was no documentation of a new parental informed consent.	65C-35.006(6), F.A.C. CFOP 175-40, 3-9.f.
1 of 16 children reviewed did not have a behavioral health assessment completed.	65C-35.002(2), F.A.C. CFOP 175-40, 2-5.h.
2 of 5 case records reviewed for children prescribed psychotropic medication and who moved from one out-of-home placement to another out-of-home placement did not have documentation that the resource record and information about the medication was provided to the new caregiver or that a medication inventory was completed.	65C-35.007(6), F.A.C. CFOP 175-40, 3-10. e.(2)
1 of 3 case records reviewed for children under the age of 11, prescribed 2 or more psychotropic medications, had the required pre-consent review 146 days late.	CBC CF Psychotropic Medication Guidebook March 2013, Section D.
<p>Of case record documentation reviewed for 16 children:</p> <ul style="list-style-type: none"> <li>• 5 did not have documentation that the caregiver recorded the medication administration.</li> <li>• 1 did not have the monthly review of the medication record by the case manager entered in FSFN for prescribed medication at all.</li> <li>• 5 records did not have documentation entered in FSFN within 3 business days.<sup>2</sup></li> </ul>	65C-35.011(7), F.A.C. 65C-35.007(5), F.A.C. CFOP 175-40, 3-19.b.(3).

<sup>2</sup> 1 record had notes entered 4 business days late.  
 1 record had 2 notes entered 12 business days late.  
 1 record had 2 notes entered 14 business days late.  
 1 record had notes entered 34 business days late.  
 1 record had 2 notes entered 37 business days late.

# 2015-2016 DCF Contract Oversight Exit Log

## Psychotropic Medication

Contract Reference(s): Contract GJL57, Attachment I, 1.5.1.1.

Monitoring Method: Review of documentation for 16 children, who were prescribed psychotropic medications, for activities related to psychotropic medication administration that were due or occurred April through August 2015, and interviews with staff.

Area of Noncompliance	Required by...
<p>Of the review of medication information tabs in FSFN for 16 children:</p> <ul style="list-style-type: none"><li>• 1 did not include the prescription quantity, precautions and warnings, and additional instructions for use of the medication.</li><li>• 1 did not include the correct date of the med report.</li><li>• 1 did not parental consent.</li><li>• 1 did not include the correct date of court order authorization for consent.</li><li>• 1 did not include a correct date of the prescription.</li><li>• 1 did not include the date of the most recent CBHA.</li></ul>	<p>65C-35.007(5), F.A.C. CFOP 175-40, 3-19</p>

# 2015-2016 DCF Contract Oversight Exit Log

## Missing Child Requirements

Contract Reference(s): Contract GJL57, Attachment I, 1.5.2.10.

Monitoring Method: Review of 18 of 41 episodes where a child was missing 7 days or longer from March through August 2015.

Area of Noncompliance	Required by...
<p>Of the review of documentation for 18 missing child episodes:</p> <ul style="list-style-type: none"> <li>• 2 did not indicate that the caregiver or the case worker inspected the belongings of the child.</li> <li>• 2 did not indicate that the caregiver or the case worker checked places frequented by the child.</li> <li>• 1 did not indicate that the parents or legal custodian of the child was notified of the status of the missing child.</li> <li>• 5 did not have an incident report in IRAS.</li> <li>• 1 episode was missing 1 weekly attempt by the case worker to locate the child during the first 3 months the child was missing.</li> <li>• 8 weekly efforts associated 7 episodes were entered into FSFN late.<sup>3</sup></li> </ul>	<p>65C-30.019(1), and (2), F.A.C.                      CBC CF OP 500                      CBC CF OP 800-805                      CFOP 215-6</p>
<p>3 of the 7 records reviewed for children who had a JRSSR completed during the time they were missing did not have statements of specific efforts and results related to locating the child.</p>	<p>65C-30.013 (2), F.A.C.</p>
<p>Of 7 missing child episodes where the child returned:</p> <ul style="list-style-type: none"> <li>• 1 did not have a photo taken or documentation of</li> </ul>	<p>65C-30.004(1)(a)3., F.A.C.                      65C-30.019(7), F.A.C.</p>

<sup>3</sup> 1 effort was entered 23 hours late.  
 1 effort was entered 1 day late.  
 3 effort were entered 2 days late.  
 1 effort were entered 4 days late.  
 1 effort were entered 6 days late.  
 1 effort were entered 34 days late.

# 2015-2016 DCF Contract Oversight Exit Log

## Missing Child Requirements

Contract Reference(s): Contract GJL57, Attachment I, 1.5.2.10.

Monitoring Method: Review of 18 of 41 episodes where a child was missing 7 days or longer from March through August 2015.

Area of Noncompliance	Required by...
no significant change in the appearance of the child since the prior photograph. <ul style="list-style-type: none"><li>• 1 child was not interviewed at all.</li></ul>	

# 2015-2016 DCF Contract Oversight Exit Log

## Overcapacity Waivers

Contract Reference(s): Contract GJL57, Attachment I., 1.7.2.2.

Monitoring Method: Review of 11 of 16 overcapacity waiver assessments where the licensed capacity of the home exceeded 5 total children or more than 2 children under the age of 2, from March through August 2015.

Area of Noncompliance	Required by...
3 child placements were not recorded in FSFN by the supervising agency within 48 hours of placement.	65C-13.032(4)(e), F.A.C.
1 child required to have a visit from the licensing counselor within 7 days of placement had the visit 2 days late.	65C-13.032(3)(b)2.c., F.A.C.

# 2015-2016 DCF Contract Oversight Exit Log

## Child Health Check-Ups

Contract Reference(s): Contract GJL57, Attachment I.1.7.2.4.

Monitoring Method: Review of 20 of 303 children under age 2 for periodic screening, diagnosis, and treatment March through August 2015.

Area of Noncompliance	Required by...
<p>Of documentation reviewed for 20 children under 2 years of age:</p> <ul style="list-style-type: none"><li>• 1 child did not receive a checkup at the age of 9 months.</li><li>• 2 children did not have a checkup at the age of 15 months.</li></ul>	<p>65C -30.001(17), F.A.C.</p>



# 2015-2016 DCF Contract Oversight Exit Log

## Case Management Responsibilities for Client Trust Funds

Contract Reference(s): Contract GJL57, Attachment I, 1.5.1.9.10.

Monitoring Method: Review of documentation for 16 children receiving SSI and had active and closed client trust accounts from March through August 2015, for related case management responsibilities during this timeframe.

Area of Noncompliance	Required by...
<p>Of the review of documentation for 16 for children:</p> <ul style="list-style-type: none"><li>• 5 had monthly trust account balances that exceeded \$2000.</li><li>• 2 judicial reviews for children during the review period did not have trust fund information and the quarterly accounting record attached to the JRSSR.</li><li>• 7 accounts for children with an expenditure that exceeded \$500. did not have documentation in the case file that the case manager notified the child's parents, guardian ad litem, and attorney of the purchase.</li><li>• 1 judicial review conducted for a child during the review period did not have a copy of the <i>Notice of Fee Assessment and Rights of Foster Child</i>, form CF 0285D, attached to the JRSSR.</li></ul>	<p>CFOP 175-59, 8.a. CFOP 175-59, 8.g. 65C-17.006 (1), F.A.C. 65C-17.003 (1), F.A.C. CFOP 175-59, 9.d. 65C-17.005(1), F.A.C.</p>

# 2015-2016 DCF Contract Oversight Exit Log

## Preparing 17 Year Olds for Independent Living

Contract Reference(s): Contract GJL57, Attachment I, 1.8.2.

Monitoring Method: Review of case records for all 15 children, age 17, for services provided March through August 2015.

Area of Noncompliance	Required by...
<p>Of documentation for 15 children reviewed:</p> <ul style="list-style-type: none"> <li>• 2 had a judicial review held 19 days late.</li> <li>• 3 JRSSRs did not include goals and objectives for participation in extracurricular, enrichment, and social activities.</li> <li>• 1 JRSSR did not include information on the child's progress toward meeting the objectives of participation in extracurricular, enrichment, and social activities.</li> <li>• 1 did not have verification the youth had a valid driver's license or Florida identification card and a letter providing the dates they were under the jurisdiction of the court.</li> <li>• 1 case record did not have verification the youth had:               <ul style="list-style-type: none"> <li>• A valid driver's license or Florida identification card.</li> <li>• An open bank account or identification necessary to open an account and to acquire banking and budgeting skills.</li> <li>• Met financial aid requirements.</li> <li>• Received her educational, health, and mental health records,</li> <li>• Received information regarding the process to access her case file.</li> </ul> </li> </ul>	39.701(3)(a), F.S.
1 of 10 transition plans completed during the review period was completed 146 days late.	39.6035(1), F.S.
1 of 15 case records reviewed had no documentation to indicate that the youth received a copy of any credit report during the past year.	Social Security Act Title IV-E Section 475(5)(1)

# 2015-2016 DCF Contract Oversight Exit Log

## Post Education Secondary Services and Support

Contract Reference(s): Contract GJL57, Attachment I, 1.8.2.

Monitoring Method: Review of records for 23 of 98 young adults receiving services March through August 2015.

Area of Noncompliance	Required by...
<p>Of 23 records of young adults reviewed:</p> <ul style="list-style-type: none"><li>• 9 did not have an agreement granting the Department access to school records.</li><li>• 2 did not have an agreement granting both Department and the Lead Agency access to school records.</li></ul>	409.1451(2)(a), F.S.

# 2015-2016 DCF Contract Oversight Exit Log

## Adoption Information in FSFN

Contract Reference(s): Contract GJL57, Attachment I, 1.7.1.3.

Monitoring Method: Review of 12 of 20 children whose parents had parental rights terminated September 2014 through August 2015.

Area of Noncompliance	Required by...
Of records reviewed for 12 children, <ul style="list-style-type: none"><li>• 2 referrals were entered 86 days late in the adoption registry section of FSFN.</li><li>• 1 referral did not include a photo or a description of the child.</li></ul>	409.167(2)(a), F.S.

# 2015-2016 DCF Contract Oversight Exit Log

## HIPAA Client Privacy Requirements

Contract Reference(s): Contract GJL57, Attachment VI

Monitoring Method: Review of policies and procedures, review of 12 client records including 6 forms for authorization to release confidential information, review of the Notice of Privacy and its distribution, and interview with the Privacy Officer.

Area of Noncompliance	Required by...
The policies of the Lead Agency do not include HIPAA breach notification requirements	45 CFR 164.530(i)(1)
4 of 6 forms reviewed for authorization to disclose confidential information did not indicate the purpose of the requested information.	45 CFR 164.508(c)(1)(iv)
None of the 6 forms for the authorization to disclose confidential client information included: <ul style="list-style-type: none"><li data-bbox="285 927 943 1034">• A statement of whether treatment, payment, enrollment, or eligibility for benefits is or is not contingent upon authorization.</li><li data-bbox="285 1059 943 1200">• A statement regarding potential for information disclosed via the authorization to be potentially subject to re-disclosure by the recipient and no longer protected by the federal code.</li></ul>	45 CFR 164.508(c)(2)(ii) 45 CFR 164.508(c)(2)(iii)

# 2015-2016 DCF Contract Oversight Exit Log

## Employment Eligibility Verification

**This issue relates to Contract GJ501 and Contract GJL57**

Contract Reference(s): Contract GJL57, Standard Contract, 35.a.vi. and GJ501, Standard Contract, 35.a.vi.

Monitoring Method: Review of all 21 records of employees hired since September 2014 for accurate and timely completion of I-9 forms, E-Verification requirements, and observation of posted notices.

Area of Noncompliance	Required by...
3 of 21 I-9 forms reviewed were not signed by the employee on or prior to the date of hire. All 3 were signed 1 day late.	8CFR 274a.2(b)(1)(i)(A)

# 2015-2016 DCF Contract Oversight Exit Log

## Subcontracting Requirements

This issue relates to Contract GJ501 and Contract GJL57

Contract Reference(s): Contract GJL57, Standard Contract, 8.a.-g. and Attachment I,1.9.3. and Contract GJ501, Standard Contract, Attachment I, 1.9.3.

Monitoring Method: Review of 15 of 54 subcontracts for required language and associated supporting documentation, review of policies for contracting and contract monitoring, review of 29 invoices and timeliness of payment, and interviews with staff.

Area of Noncompliance	Required by...
<p>Of 29 invoices reviewed and submitted to the Lead Agency in June, July, and August:</p> <ul style="list-style-type: none"><li>• 11 invoices were not paid in 30 calendar days of receiving the invoice.</li><li>• 2 did not have the appropriate signature of the subcontractor representative and date.</li></ul>	<p>Contract GJL57 and Contract GJ501, Standard Contract, 8.g. and 19.</p>

# 2015-2016 DCF Contract Oversight Exit Log

## Working Agreements

**This issue relates to Contract GJ501 and Contract GJL57**

Contract Reference(s): Contract GJ501 and Contract GJL57, Attachment I, 1.5.2.2.-1.5.2.5.

Monitoring Method: Review of 10 working agreements or memorandum of understanding established to facilitate the system of care in the areas served by the Lead Agency..

### Area of Concern

An agreement with a federally qualified health care center had not been executed and there was no alternative that met all requirements approved by the Department.



# 2015-2016 DCF Contract Oversight Exit Log

## Incident Reporting

Contract Reference(s): Contract GJL57, Standard Contract, 12.

Monitoring Method: Review of the Lead Agency incident reporting policy and procedure, review of 14 incidents reports for March through August 2015, and interview with staff.

Area of Noncompliance	Required by...
Of 14 incidents reviewed: <ul style="list-style-type: none"><li>• 3 were not entered into IRAS within 1 business day.<sup>4</sup></li><li>• 2 did not meet the Lead Agency's reporting time requirements.<sup>5</sup></li><li>• 11 did not have documentation the guardian, representative or relatives of the client were notified of the incident.</li></ul>	CFOP 215-6, 6.a.(4) and 6.b.(2) CBC CF OP 800-805
The policy of the Lead Agency did not address the notification of the incident to the guardian, representative or relatives of the client.	CFOP 215-6, 6.a.(3)

<sup>4</sup> 2 were reported 1 day late.

1 was reported 2 days late.

<sup>5</sup> 1 was reported 2 days late.

1 was reported 6 days late.

# 2015-2016 DCF Contract Oversight Exit Log

## Interstate Compact for the Placement of Children

Contract Reference(s): Contract GJL57, Attachment I, 1.7.2.6.

Monitoring Method: Review and analysis of the DCF ICPC tracking system report for May through October 2014.

Area of Noncompliance	Required by...
16 of 52 home studies requested by another state were not completed timely. <sup>6</sup>	PL 109-239, Section 4.

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<sup>6</sup> 1 study requested in March is still pending.

- 1 was 1 days late.
- 1 was 2 days late.
- 1 was 5 days late.
- 1 was 6 days late.
- 1 was 13 days late.
- 1 was 20 days late.
- 2 were 24 days late.
- 1 was 25 days late.
- 1 was 48 days late.
- 1 was 56 days late.
- 1 was 71 days late.
- 1 was 86 days late.
- 1 was 115 days late.
- 1 was 130 days late.
- 1 was 147 days late.

# 2015-2016 DCF Contract Oversight Exit Log

## No Findings Identified

Findings were not identified in the following areas of scope.

Topic or Area of Review	Method and Scope
Abuse reporting	Review of abuse reporting policy, personnel records and subcontract language.
Adoption subsidy	Review of documentation for 10 of 82 children with a finalized adoption March through August 2015.
Aftercare	Review of case records for 10 of 27 young adults who received aftercare funding March through August 2015.
Children's mental health wraparound funds	Review of documentation associated with 20 children who received mental health services funded by 100800 funds during March through August 2015.
Child welfare certifications	Review of 14 of 146 staff for status of professional certification.
Extended foster care	Review of case records for 18 of 46 young adults in extended foster care, limited to those activities that took place or were due from March through August 2015.
Road to independence	Review of documentation for 14 of 24 young adults, ages 18 through 23, receiving road to independence services from March through August 2015.
TANF eligibility	Review of 20 of 206 children due for TANF eligibility redetermination during March through August 2015.
Title IV-E	Review of eligibility documentation for 11 of 72 children entering licensed care from March through August 2015.

# 2015-2016 DCF Contract Oversight Exit Log

## Exit Log Signature Page

Exit Date:

This monitoring was conducted in the manner specified by CFOP 75-8.

 2/12/2016  
Contract Oversight Unit Manager Signature / Date

By signing below, you indicate you received a copy of this document.

Provider Representative(s):

\_\_\_\_\_  
Signature / Date

\_\_\_\_\_  
Signature / Date

By signing below, you indicate you received a copy of this document.

DCF Contract Manager:

\_\_\_\_\_  
Signature / Date