UNIFORM MONITORING PROCESS
FOR RESIDENTIAL CHILD CARE PROGRAMS
AS DEFINED IN COMAR 14.31.05-07

Notification To State Agencies

Planned Announced Visits

- Licensing agencies shall provide their planned schedule of site visits three months in advance and will communicate any changes as soon as possible but no less than 5 business days prior to the scheduled site visit to the State placement agencies and the Governor's Office for Children (GOC)
- If a placement agency and or state partner is planning on accompanying the licensing agency, they will contact the person responsible for the visit, a minimum of ten business days prior to the scheduled visit to notify of the intent to attend the site visit

Planned Unannounced Visits

- Licensing agencies shall provide notification to the state placement agencies and the GOC of the planned unannounced site visit at least of five business days prior to the visit
- If a placement agency and or state partner is planning on accompanying the licensing agency, they will contact the person responsible for the visit, prior to the scheduled visit to notify of the intent to attend the site visit

Emergency Visits

- When feasible, the Licensing Agency will provide the placing agencies and the GOC with 24 hour notice of an emergency site visit
- If a placement agency and or state partner is planning on accompanying the licensing agency, they will contact the person responsible for the visit, as soon as possible to notify them of the intent to attend the emergency site visit

Notification To Providers

Planned Announced Visits

- The person responsible for the site visit shall provide the licensee with written notification at least three business days prior to the site visit
- The written notification shall include the following:
    - Date, time, and location of the visit;
    - Composition of the review team;
    - COMAR reference(s) pertaining to the visit;
    - Monitoring tools that will be used during the visit; and
    - Required staff for entrance and exit conferences
    - All Materials the licensee will be required to provide to the review team, which should include but not be limited to the following:

- Youth records (Base file)
- Personnel files
- Log Books or contact notes
- Staff/Resident Census or Roster
- Youth's Somatic and Behavioral Health records
- Policies and Procedures
- Confidential access to youth
- Room for team to convene
- Room for confidential youth and staff interviews

Protocol For Site Visit

Site Visit Arrival

- The state agency review team shall arrive at least 15 minutes prior to the start of the site visit
- The person responsible for the site visit (planned, unannounced, and emergency) shall facilitate an entrance conference with the Program Administrator and program staff (as appropriate).
- The entrance conference at a minimum shall include
  - Introductions; and
  - An Overview of the agenda for the visit
    - Documents to be reviewed during the visit and
    - any additional activities that may be required
- The person responsible for the site visit will be responsible for specifying a time frame for all documents to be made available to the reviewers (Maximum of 30 minutes after the entrance conference)

Monitoring Process: The Interagency Licensing Committee is in the process of reviewing best practices for the recommended percentage/ ratio for file reviews and interviews

- The Percentage of documents to be reviewed will be specified prior to the site visit and will be determined based on license/contract capacity as well as current utilization
- The number of staff interviews will be specified prior to the site visit they will include to the site visit they will include at least the following:
  - one direct care staff;
  - one administrative/supervisory staff; and
  - one specialty staff (i.e. dietician, nurse, therapist)

- The percentage of resident interviews will be specified prior to the site visit and will be determined based on license/contract capacity as well as current utilization
- If during the review, a document is missing, the person responsible for the site visit shall inform the licensee of the missing document(s) in an effort to provide the licensee with the opportunity to provide the missing information prior to the conclusion of the site visit.

Exit Conference

- The person responsible for the site visit will meet with the review team prior to exit conference to gather and discuss their preliminary findings
- The person responsible for the site visit will facilitate the exit conference which shall include but not be limited to the following:
  - Preliminary overview of the findings;
  - Overview of next steps for the review team and licensee; and
  - Opportunity for discussion with the licensee and review team.

Written Report

- Within 30 days of the visit, the person responsible for the site visit will send the final report to the licensee and a copy to the placing agencies, members of the review team, and the GOC.

Corrective Actions

- For findings identified as emergencies (issues relates to the life, health, and safety o residents) the licensee shall respond immediately as determined by the person responsible for the site visit
- Findings unrelated to issues of life, health and safety, the licensee shall respond in writing within 10 business days of receipt of the notification of the findings.
- Other areas 30 days provider to respond in writing

Additional Recommendations/Next Steps

- Monitoring Tools that are used during site visits should be posted on each State Agencies website for the licensee to review
- Develop a self-assessment tool based on the monitoring tools for the licensee to use
- Develop a uniform reporting framework