

Children’s Board of Hillsborough County

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| Procedure Name: Provider Improvement Plan | Category: Program Support |
| Effective Date: October 1, 2011 | Revision Date: October 1, 2011; May 28, 2013; September 17, 2015; July 9, 2016; May 26, 2017; January 10, 2018. |

Purpose:

In order to ensure that Children’s Board of Hillsborough County (CBHC) funding is used in the most effective and efficient manner, funded agencies (known as “Providers”) are required to demonstrate how funding is helping children and their families, through contract requirements, program reports and measureable performance outcomes.

CBHC funded agencies that fail to meet the contractual outcomes or deliverables, fiscal requirements (including ASO), or are deemed out of compliance with administrative requirements such as those in the General Terms and Conditions of the contract are identified and resolution strategies are developed through a Provider Improvement Plan (PIP). This procedure outlines levels of non-compliance.

Out of Compliance Notification: An Out of Compliance notification may be sent to the Provider prior to a Provider Improvement Plan being recommended.

- Issued when a CBHC staff member has attempted communication but the Provider is non-responsive.
- Contract Manager will inform Director of Programs, upon consultation with the Executive Director, it may be determined that a Provider requires a written notification with an adjusted deadline date for meeting specific directive(s). The notification will include applicable consequences if the expectation is not met.
- Providers who comply with the Out of Compliance directive will be advised in writing.
- Providers who do not comply with the Out of Compliance notification will be notified in writing of the possible consequences that may be imposed with deadline dates included (as applicable) or may be placed on a Provider Improvement Plan (Level will be determined based on circumstances).

Providers that are placed on a (PIP) will be monitored more regularly by the assigned CBHC Contract Manager or Fiscal Representative in addition to standard monitoring requirements.

LEVEL 1

Contract Issue – Provider has not successfully addressed or completed a contractual obligation or is Out of Compliance with a contract expectation.

1. Contract Issues may include but are not limited to:

- difficulty in achieving service levels or program outcomes;
- services are not being implemented at the level specified in the contract;
- position vacancies (related to the contract) that have not been filled;

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- there is excessive attrition of staff; excessive unexpended funds or other fiscal issues (untimely submissions, inaccuracy, etc.);
- non-compliance with submitting documentation per General Terms and Conditions or deadlines; and
- other contractual or performance concerns.

2. Procedures:

a. **Plan Development** – The CBHC Director of Programs will meet with staff assigned to the contract to discuss the identified concerns. The concerns will be shared with the Provider in a face to face meeting. The Contract Manager will document the information on the Provider Improvement Plan form and indicate the effective date next to “Contract Issue”. Once finalized, the Provider Improvement Plan must be signed by the Provider’s authorized official as listed in Attachment (5) of the Provider Agreement in addition to the CBHC Executive Director and Director of Programs.

b. **Monitoring** – Contract Manager will follow up on action steps with other CBHC assigned staff (if applicable) and with Provider based on dates outlined in the plan.

c. **Documentation** - A signed copy of the Provider Improvement Plan form will be placed in the contract file and appropriate electronic master file located on the CBHC shared drive for the appropriate fiscal year.

d. **Notifications** - The CBHC Director of Programs will notify the CBHC Executive Director, and CBHC Senior staff if a Provider has been placed on a (Level 1) “Contract Issue”.

A Provider Improvement Plan form documenting the required actions and due dates will be transmitted to the Provider’s authorized official within 7 business days of the meeting.

e. **Extension** – If a Provider requests an extension to complete a Provider Improvement Plan Contract Issue, the extension must be pre-approved by the CBHC Director of Programs.

f. Plan Result:

- If the Contract Issue is resolved by the deadline date, the Provider will be notified in writing by the CBHC Director of Programs. A copy of the signed final result copy of the Provider Improvement Plan will be sent to the Provider and placed in the contract file.
- If the Contract Issue is not resolved by the deadline date(s), including any approved extension, the Provider will be placed on a (Level 2) “Performance Improvement Plan”.

LEVEL (2)

Performance Improvement – The Provider did not successfully comply with the contract issue (Level 1), out of compliance notification, or has presented an infraction that requires notifying the Provider Board Chair and CBHC Executive Board.

1. Performance Improvement issues include but are not limited to:

- multiple inaccuracies identified by a data integrity check;
- demonstrated weakness in agency infrastructure to support the level of service;
- excessive attrition of staff; excessive unexpended funds or other fiscal issues (repeated untimely submissions, inaccuracy, etc.);
- non-compliance with use of measurement tools or submitting documentation/data as requested; and
- other contractual or performance concerns.

2. **Procedures:**

a. **Plan Development** –CBHC Contract Manager and CBHC Director of Programs will meet with CBHC staff having regular contact or working knowledge of the agency to discuss the identified performance issue(s).

CBHC staff will then meet with the Provider program and/or fiscal staff and any authorized official to discuss pertinent facts, issue(s), actions and deadlines to draft a Provider Improvement Plan form. Once finalized, the Provider Improvement Plan must be signed by the Provider authorized official and Board Chair as listed in Attachment (5) of the Provider Agreement and the CBHC Executive Director or designee.

b. **Monitoring** – Progress under the Provider Improvement Plan will be monitored at specified intervals with updates to assess progress being made in accordance with the deadlines specified.

c. **Documentation** - A signed copy of the Provider Improvement Plan form will be placed in the contract file and appropriate electronic master file located on the CBHC shared drive for the appropriate fiscal year.

d. **Notification** – The CBHC Director of Programs will notify the CBHC Executive Director, CBHC Senior staff, CBHC Executive Board and the Provider's Board Chair if a Provider has been placed on a (Level 2) Performance Improvement.

A Provider Improvement Plan form documenting the required actions, due dates and any potential sanctions will be transmitted to the Provider's authorized official with a copy to the Providers Board Chair within (7) business days of the meeting.

e. **Extension** – If the Provider requests an extension, it must be pre-approved by the CBHC Executive Director or designee, and changes must be documented on the Provider Improvement Plan Form. If the Provider Improvement Plan deadlines are approved and extended, performance will be re-evaluated by the amended date.

f. Plan Result:

- When the Provider Improvement Plan is successfully completed, the CBHC Executive Board, Provider and Provider Board Chair will be notified in writing by the CBHC Director of Programs. A signed result copy of the Provider Improvement Plan will be sent to the Provider and placed in the contract file.
- If the Provider Improvement Plan is not resolved by the deadline date(s), including any approved extension, the Provider will be placed on a (Level 3) "Program of Concern".

LEVEL 3

Program of Concern - The Provider did not successfully comply with one or all of the action items in the (Level 1) or (Level 2) Provider Improvement Plan, demonstrates new contract violations, and/or has presented an infraction that requires notifying the Provider Board Chair and CBHC Executive Board.

1. Programs of Concern issues include but are not limited to:

- Failure to address concerns previously identified;
- Failure to achieve desired service levels or outcomes performance; and
- Misuse of CBHC funds or repeated lack of fiscal accountability.

2. Procedures:

a. **Plan Development** – The CBHC Executive Director or designee and the Provider's authorized official and Board Chair will meet to discuss the contract deficiencies requiring corrective actions and deadlines for completing the required action(s). In addition, CBHC will advise the Provider of any, sanctions to be imposed if the Provider does not satisfactory comply with the Provider Improvement Plan by the specified date(s).

b. **Monitoring** - CBHC will draft a Provider Improvement Plan form. Once finalized, the Provider Improvement Plan must be signed by the Provider authorized official and Board Chair as listed in Attachment (5) of the Provider Agreement and the CBHC Executive Director or designee.

c. **Documentation** – A signed copy of the Provider Improvement Plan form will be placed in the contract file and appropriate electronic master file located on the CBHC shared drive for the appropriate fiscal year.

d. **Notifications** – The CBHC Director of Programs will notify the CBHC Senior Staff, the CBHC Executive Board and the Provider's Board Chair if a Provider has been placed on a (Level 3) Program of Concern.

A Provider Improvement Plan form documenting the required actions, due dates and any potential sanctions will be transmitted to the Provider's authorized official with a copy to the Providers Board Chair within (3) business days of the meeting.

e. **Extensions** – Not applicable on a (Level 3) Provider Improvement Plan

f. Plan Result:

- When the Provider Improvement Plan is successfully completed, the CBHC Executive Board, Provider and Provider Board Chair will be notified in writing by the CBHC Director of Programs. A signed final result copy of the Provider Improvement Plan will be sent to the Provider and placed in the contract file.
- If the Provider Improvement Plan is not resolved by the deadline date(s), the appropriate sanctions will be approved by the Executive Director and the most senior CBHC Board officer available.

Sanctions may include but are not limited to:

- Withholding of payments;
- contract termination; or
- suspension of the CBHC Provider Contract in whole or in part. Refer to Attachment (3), General Terms and Conditions, Section (16). Performance.

g. Notification of Sanctions:

- Notification will be in writing via certified letter to the Provider's authorized official and to the Provider's Board Chair by the CBHC Executive Director.
- Withholding of reimbursement will be reported to the senior available CBHC Board Officer.
- Reimbursement may resume after the Provider has met such conditions as the Executive Director and the CBHC senior available Board Officer have approved.
- Notice of resuming payment action will be reported at the next Board meeting.
- If the sanctions involve terminating the contract, actions must be taken in accordance with Attachment (3), General Terms and Conditions, Section (16). Termination in addition to completing the Contract Closure Checklist.