

**Provider Agreement Number 8: Case Management Services**, specific to youth in the Community Housing Assistance Program

State of Connecticut Department of Children and Families  
505 Hudson Street  
Hartford, CT 06106  
(herein after “the Department”)

enters into an agreement with

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

(herein after “the Provider”)

for the provision of **Case Management Services**, specific to youth in the Community Housing Assistance Program under the terms as identified below.

**A. Administrative Terms**

1. Effective Date: This agreement is effective from the date of execution through \_\_\_\_\_.
2. Termination of Agreement: The Department or Provider may terminate this agreement with written notice to the other party at any time.
3. Regulatory Requirements: The Provider agrees to abide by all relevant Department regulations and policies and state and federal laws and regulations including all reporting requirements as specified by C.G.S. §17a-101 through §17a-103 and C.G.S. §46b-120 related to children; C.G.S. §46a-11b related to persons with mental retardation; and C.G.S. §17b-407 related to elderly persons.
4. Ethics: The Provider agrees to ensure that each individual providing services under this agreement operates ethically in accordance with the Provider's ethics policy and state ethics laws and, as appropriate, in compliance with all relevant Codes of Ethics, Professional Standards or Best Practice Guidelines of the profession(s) represented. The provisions of the state ethics statutes and the Code of Ethics, Professional Standards or Best Practice Guidelines of the professions supersede anything to the contrary contained in the policies of the Provider or the Provider's procedures and practices.
5. Utilization: This agreement does not constitute, in any way, a guarantee of utilization of the provider's services.
6. Confidentiality: The Provider will safeguard the use, publication, and disclosure of information on all clients who receive service under this agreement in accordance with all applicable federal and state laws regarding confidentiality and HIPAA. The Provider will seek the guidance of the Department prior to any disclosure of personally identifiable information.
7. Credentialing: The Provider will maintain written documentation confirming that each individual providing services under this agreement has and maintains the requisite credentials. Any change in status regarding any credentialing requirements must be reported in writing, by the Provider to the Department's Credentialing Contracted Agent, within thirty days.
8. Documentation: The Provider agrees to complete and submit all reports and other required documentation to Central Office and/or Area Office staff within the timeframe agreed upon at the start of service.

9. **Payment for Services:** The Department agrees to pay the Provider based on services requested by the Department and delivered by the Provider. All requests for services must be approved by Area Office management. The payment mechanism shall be fee for service. Payment shall be made the month following the month of service and following receipt of the written assessment summary report and billing invoice by Child Welfare Accounting or authorized payer. All requests for payment shall include the client name, LINK ID number, the name of the staff that provided the service, the actual date each service was provided and hours of service provided on each date, the hourly and/or per diem rate (which cannot exceed the Department Discretionary Services Fee Schedule).
10. **Fee Schedule:** All services will be reimbursed according to the rates established by the Department. The Department's approved fee schedule is maintained at 505 Hudson Street, Hartford, CT. The approved fee schedule may be amended as the Department deems appropriate. The Provider will adhere to the rate and all stipulations in the Department's Discretionary Services Fee Schedule.
11. **Recoupment of Payments:** The Department reserves the right to recover any overpayments.
12. **Monitoring and Review:** The Provider agrees to allow access to the Department for purposes of monitoring and review. This access includes but is not limited to client records, fiscal records, staffing records, policy and procedural manuals, facilities, staff, and children in care of the Department. The Department will conduct quality reviews, which may include site-based quality review visits.
13. **Third Party Contracts:** The Provider is wholly responsible for ensuring that all provision of services performed under this agreement by third party contractors complies with all terms of this agreement. The Department reserves the right to bar any individual and/or entity from providing direct client services.
14. **Physical Restraint:** Physical restraint of any child or youth served under this agreement is prohibited.
15. **Safety and Security:** The Provider shall have a plan with clear procedures that present a consistent, coordinated approach for managing and reporting emergencies and urgent circumstances that may arise while providing services to help ensure the safety and security of the child or youth and other parties involved. The Provider will immediately notify the Department Area Office assigned staff during business hours and the Hotline after hours of any emergency or urgent circumstance. The Provider and its employees shall follow mandated reporting requirements for suspected child abuse and neglect. The Provider and its employees shall report critical incidences to the DCF Hotline and Significant events to DCF Risk Management within 12-hours of the incident.
16. **Use of State Resources:** The Provider may not utilize any state resources to market the services and/or program it offers.
17. **Re-credentialing:** The Provider must reapply for continued participation status once every two years from the initial approval date. The Credentialing Contracted Agent will collect up-to-date information on all required credentialing documents.
18. **Credentialing Process:** The full Credentialing process is governed by DCF Policy 31-12-12.3 which can be found under "Policy and Regulations" on the Department website: <http://www.ct.gov/dcf>.

## **B. Service Definition**

**Case Management Services**, is specific to youth in the Community Housing Assistance Program.

CHAP (Community Housing Assistance Program) Case Management is a community-based program that provides case management, supervision, educational/vocational support, career development support and

life skills development services utilizing the Department-approved life skills program, Ansell-Casey Life Skills, to youth living in a community-housing environment.

In order to emphasize consistency and relationship building, it is expected that the same staff person will provide this service continually throughout the course of care while both the staff person and the youth remain with the program. Any changes in staff must be discussed with and approved by the Department Area Office.

This case management service is intended as a component of a comprehensive case plan. Therefore, the individual providing this service is expected to collaborate with other service providers toward the implementation of the youth's individual case plan.

### C. Credentialing Criteria

<b>CHAP Case Management Services</b>	
<b>1. Qualifications.</b>	<p>Must be at least 21 years of age, and possess, at a minimum, a Bachelors Degree in a Human Services field (social work, sociology, counseling, child welfare, psychology, marriage and family therapy, education, social services, criminal justice, child care management, child development, family studies or other human services degree). Proof of age and education is required.</p> <p>Special Requirement: A valid Connecticut motor vehicle license and the Department Life Skills Educator Certificate.</p> <p>Interns: The use of interns and volunteers in this position is strictly prohibited, but they can be used to perform other duties under the supervision of the case or program manager.</p>
<b>2. General Experience.</b>	<p>Individuals without the preferred Bachelors Degree in a Human Services field, who have at least seven (7) years of experience in the field of Human Services, may be considered on a case-by-case. The Department will review individual's experience, education, training and other qualifications as well as the current resume and Statement of Experience for approval.</p>
<b>3. Ethics.</b>	<p>The Provider will sign the Department's Confidentiality Statement and Ethics Agreement.</p>
<b>4. Insurance.</b>	<p>Current motor vehicle insurance is required.</p>
<b>5. Form.</b>	<p>IRS W-9.</p>
<b>6. Supervision.</b>	<p>The Provider shall have an identified CHAP Program Manager responsible for the supervision of CHAP Case Managers. The CHAP Program Manager must meet all requirements outlined in Number 1 of this subsection and shall have at least one year of supervisory experience. The CHAP Program Manager is required to have a level of experience and training consistent with the population of clients served by the program.</p> <p>The CHAP Program Manager shall be an employee of the Provider, not a subcontractor, intern or volunteer.</p>

The provider must maintained written documentation of the assigned Program Manager employment status as supervisor, current resume, and Statement of Experience form, copy of current motor vehicle license and copy of motor vehicle certificate of insurance.

Each Case Manager will receive, at a minimum, 0.5 hour per week of individual face-to-face supervision by the CHAP Program Manager taking into consideration the intensity of need of the youth involved. Written documentation of supervisory notes including performance feedback and recommendations will be reviewed during on-site quality reviews.

The Provider shall ensure that the assigned CHAP Program Manager maintains a reasonable supervisor-to-staff ratio that is consistent with the needs and issues of staff and the clients served and shall not exceed the number of staff and clients beyond the assigned CHAP Program Manager's ability to supervise oversee and manage effectively.

Supervision costs are included in the case management rate and are not billable separately.

### **7. Background Checks.**

The Provider will maintain written documentation confirming that background checks, including the Department's Child Abuse and Neglect Registry, criminal history, Department of Motor Vehicles driving record, and sex offender registry have been completed for all staff providing direct service as well as all key personnel. Any background checks will be dated not longer than six months prior to the date of this application. The Department's Child Abuse and Neglect Registry background checks must be completed by authorized personnel at the Department's Hotline; criminal background checks must be completed by the State of Connecticut Department of Public Safety. The Provider must submit official results of all background checks to the contracted credentialing agent of the department as part of the credentialing application.

### **8. Training/Staff Development.**

All staff persons providing case management services must complete Ansell-Casey Life Skills Assessment training, and participate in follow-up training whenever there are significant updates or changes to the Ansell-Casey Life Skills Assessment. The Department reserves the right to require any individual providing services to participate in follow-up training.

The Provider is required to participate in and have orientation and in-service training for all staff providing services to youth that includes but is not limited to the following: program philosophy, policies, practices and procedures; HIPAA; confidentiality; and mandated reporting. The Provider shall only utilize trainers certified by the Department to conduct mandated reporter training.

The training needs of all staff will be assessed routinely. Staff will receive training appropriate to their positions and responsibilities to enhance their work and relationships with youth thereby promoting positive youth development. Training topics may include post-secondary education issues, addictions, cultural sensitivity/diversity, working with youth that have experienced trauma, money management, teen parenting, and child and adolescent development.

Training will be verified by the review of written documentation of trainings, including but not limited to, training assessments and plans, training curricula, attendance sheets and evaluation forms, during on-site-based quality reviews.

The Provider is expected to attend or have representation at the monthly CHAP Provider Meetings.

### **9. Staff/Client Ratio.**

1:1 unsupervised time with youth is a component of this service. In all circumstances, the Provider shall ensure that the Case Manager maintains proper supervision, oversight and management to assure the youth's safety and well-being.

The Case Manager will provide services as outlined below in subsection D.1 "Services Provided," to a maximum caseload of six (6) participants at any one time. The number of participants may be increased to seven (7) only under the following conditions:

- when another youth on a Case Manager's caseload will discharge within sixty (60) days; and
- the Case Manager has the capacity to provide effectively all of the services outlined below in subsection D.1, "Services Provided" to each of the seven (7) participants until discharge occurs.

### **10. Quality Assurance/Improvement.**

The Provider will have a quality assurance/improvement system to monitor and enhance its business practices, organizational structure, oversight and supervision, staff and system performance, and service delivery and provision.

If payments to the Provider exceed \$300,000 in any calendar or fiscal year, the Provider shall provide for an annual financial audit acceptable to the Department for any expenditure of state-awarded funds made by the Provider. Such audit shall include management letters and audit recommendations. The Provider shall comply with federal and state single audit standards as applicable. This provision does not apply to individuals.

The Provider shall administer tools and measurements to assess current and guide future outcomes and performance, included but not limited to, the CHAP Client Satisfaction Survey every six-months to all participants in the program. Administration of tools and measurements and incorporation of data to improve outcomes and performance will be verified during on-site-based quality reviews.

The Department may complete a review of the program and/or services utilizing a variety of sources to obtain a broad, comprehensive, and objective perspective of the Provider's fidelity to requirements, operation, and effectiveness. This review will assist the Provider in determining areas of strength, areas that may need support and modification, to enhance outcomes for children and youth. Program Improvement Plans or conditions designed to improve performance may be developed based on the results of the review. The Provider must maintain documentation of the implementation of the Program Improvement Plan or fulfillment of the conditions designed to improve performance. The Department will review the improvement plan and any relevant documentation during on-site quality reviews.

## **D. Service Profile**

### **1. Services Provided**

The Case Manager will provide an array of services that will include, but not be limited to, the following:

a. Providing an average of five hours of dedicated service per week, per youth. Two hours shall consist of collateral contacts and at least three hours will be face-to-face contact. The Provider will also establish an emergency response protocol for youth to have access to emergency and crisis assistance 24 hours per day, seven days per week.

b. At a minimum, identification, development and support of permanent family relationships and a network of community providers; assistance in developing a monthly budget and monitoring monthly expenditures, and compliance with savings plan; providing ongoing in-person contact and supportive

intervention; and crisis intervention, *i.e.*, support in crisis situations and development of a preventive crisis plan.

c. Assessment and Evaluation will be completed within 30 days of placement for each client in the Ansell-Casey domains of: communication, daily living, work/study skills, home life, self-care, social relationships, housing/money management, career planning and work life. Life skills shall be assessed through the utilization of the Ansell-Casey Life Skills Assessment tools including supplements as needed.

d. Provision of ongoing education and training to improve life skills will be documented on the Department Action/Discharge Plan/Individual Life Skills Progress Report for each youth.

e. Monitoring and providing feedback to the Department social worker regarding the youth's participation in an approved educational, vocational or career development program. The Provider will provide support and advocacy regarding each youth's academic and vocational activities, as well as refer career-tracked youth to employment skill development training programs.

f. Active participation in the Department Case Planning Conferences and Administrative Case Reviews for all youth.

g. Development and implementation of a CHAP Contract and Action/Discharge Plan for each youth is required. The Plan shall be developed in conjunction with the Department social worker and the youth and must be reviewed and updated quarterly or sooner if necessary.

h. Providing each youth with education in the area of health care and personal health advocacy, as well as supporting the behavioral health needs of each youth by assisting with referrals to local community-based behavioral health services and providing feedback to the Department social worker.

i. In conjunction with youth who do not have a residence at the time of referral, locating and securing an apartment appropriate to the needs of the youth. (Prior approval from the Regional Director for up to ten additional hours is required to perform this service.)

j. In conjunction with youth and their respective Department social workers, identify the youth's household furnishing needs. Items identified as "needed," with the exception of a mattress, shall be secured through resale shops, donations, etc. The items will be in "good condition" as determined by the youth, the Provider and the Department social worker. The Provider's staff is responsible for the task of locating and supporting the youth in securing such items. Youth will receive a one-time Department CHAP Start Up voucher to assist with household items that are not secured through the aforementioned methods.

The Provider will participate in all meetings for each youth for matters pertaining to referrals, placement and discharge. A formal Case Review, including the current need for placement, will be conducted quarterly using the Department Action/Discharge Plan. The review shall involve the youth, the Department social worker and CHAP Case Manager. An annual review will also be conducted and documented on the Department CHAP Action/ Discharge Plan.

## **2. Target Population**

Youth who are committed to the Department as abused, neglected and/or uncared for at the time of placement into the program or at youth's eighteenth (18th) birthday and who have signed a DCF-779 form, "Notice of Age of Majority," indicating their desire to continue to receive services from the Department beyond their eighteenth (18th) birthdays. Additionally, youth shall have completed the Department-approved Life Skills Education Program and have attained their high school diploma or

Graduate Equivalency Diploma (GED). The Provider must be prepared to provide services to a variety of youth.

### **3. Admission Parameters**

All youth admitted to CHAP are required to enter into a CHAP Contract as per Department Policy 42-5-3, "Community Housing Assistance Program (CHAP)" and are also required to adhere to the provisions as outlined in the Department Policy 42-20-20, "Post High School Education" policy. Referrals may be made for youth who do not have a residence.

### **4. Access to Services**

The Provider may only accept referrals approved by the Department CHAP Liaison. The Provider must be prepared to provide services at times other than during normal business hours. The Provider will contact the youth's social worker to schedule an initial meeting for the purposes of developing a CHAP Action/Discharge Plan within two weeks of the date of receipt of the referral.

### **5. Duration of Service**

The duration of CHAP Case Management Services is twelve months. The length of stay may be extended for up to two 90-day periods, following the initial twelve-month term, for a maximum total of 18 months of CHAP Case Management Services.

Any Action/Discharge Plan meeting for a youth who is not achieving the identified individual outcomes and who is identified as requiring an extension of CHAP Services beyond twelve months must include the youth, CHAP Case Manager, the Department social worker, social work supervisor and the Program Supervisor or designee.

Additional Case Management: The Department social worker may request additional Case Management Services using the DCF-2163A, "Request for Additional Case Management Service." This request requires the review and approval of the CHAP Liaison. The Provider agrees that without this approval, payment will not be made. The Provider will not deliver additional Case Management Services outside of the start and end dates on the DCF- 2163A. Payment for additional Case Management Services will not be made retroactively for services provided outside of the protocol described in this subsection. Billing for approved additional services shall be sent directly to the Department social worker for payment processing. This billing information should also be included on the Invoice (CYS 450) sent to Child Welfare Accounting each month.

### **6. Data and Reporting**

The Provider will submit unduplicated, client-level data to the Department no later than the 10<sup>th</sup> of each month, following the provision of services. Additionally, the Provider will submit the following information, for each youth receiving CHAP services, to the Department social worker:

- Monthly Case Manager Progress Reports
- Quarterly DCF Action/Discharge Planning Form
- Annual DCF Action/Discharge Planning Form
- Written discharge summary/report at the end of the service, whether planned or precipitous, within thirty days of the discharge date

In addition, the Provider will submit Monthly Program Logs to the Department CHAP liaison at Central Office.

**E. Acceptance of Agreement**

The Provider accepts and will comply with all the terms, provisions, and conditions set forth in this agreement, including but not limited to the services provided, duration of service, and data and reporting. The Provider understands that not abiding with any term, provision, or condition set forth may result in the Department taking corrective action including termination of agreement.

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Name of Provider

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Department of Children and Families

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Authorized Signature

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Authorized Agency Official Signature

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Print Name and Title

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