**6.1 GRO OPEN ENROLLMENT APPLICATION, ATTACHMENTS and**

**REQUIRED FORMS**

# INSTRUCTIONS

### Applicant must read all of the Open Enrollment posted on the ESBD or HHS Enrollment Sites before completing this Application.

### The Application must be completed and signed in Section V (Certification) for it to be accepted by DFPS.

### The Application must be complete for it to be accepted by DFPS. DFPS considers a complete answer to be a written response. Responding with “Not Applicable” is only an appropriate response when a question or form does not apply to the Applicant.

### Applicant will provide the information in the body of the Application unless otherwise instructed to include it as an Attachment (See File Folder 2 in Appendix A).

### Applicant will complete the forms listed see Required Forms (See File Folder 3 in Appendix A).

1. Applicant will provide the information listed in Service Level Monitor Attachments (See File Folder 4 in Appendix A).

### Applicant will submit all contract application files and documents to DFPS24HourResidentialApplications@dfps.texas.gov.

### If DFPS has difficulty accessing the Applicants documents, the Applicant will be required to re-submit documents as directed by DFPS.

**SECTION I – APPLICANT INFORMATION**

|  |  |  |  |
| --- | --- | --- | --- |
| Legal Name of Applicant |  | | |
| Office Address |  | | |
| City, State, Zip |  | | |
| Phone |  | Fax |  |
| Contact Person |  | Title |  |
| Contact's E-mail |  | | |
| Vendor ID Number |  | | |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Doing Business As Name (DBA) or Parent Organization Indicate if different from Legal Name above    **Attach** a copy of Assumed Name Certificate  If an Applicant has a Parent Organization, **attach** a copy of the agreement between the Applicant and the Parent Organization | | | | |
| Mailing Address - If different from Office Address above  Applicant:  Parent Organization: | | | | |
| Federal ID Number – If different from Vendor ID:  Applicant:  Parent Organization: | | | Social Security Number - If applying as Individual/Sole Proprietor: | |
| Name of Person Authorized to Sign Contract: | Title: | | | Phone Number:    Email: |
| Name of Person Responsible for Billing: | Title: | | | Phone Number:    Email: |
| **Type of Applicant –** Check appropriate box(es) and attach documentation as indicated | | | | |
| Are you applying to provide services to DFPS? Yes No | | | | |
| Governmental Entity  Do you have taxing authority? Yes No | | | | |
| Private Corporation  For Profit  Non-Profit | | State of Incorporation:  Charter Number:  **Attach** a copy of Certificate of Incorporation | | |
| Limited Liability Company (LLC) | | **Attach** a copy of the Articles of Incorporation | | |
| Partnership  Limited  General  **Attach** a list of names, addresses and Social Security numbers for each partner | | If Partnership – Do you have:  Yes No Partnership Agreement  Yes No Signatory Assignment  If Yes is checked above **attach**, a copy | | |
| Sole Proprietorship  For Profit  Non-Profit | | If Sole Proprietorship  Provide date of birth: | | |
| Are you a certified Texas HUB?  Yes – Attach a copy of HUB certification form.  No – Select all that apply if you fall into one or both of the categories below:  Minority Owned Business Woman Owned Business | | | | |
| **Submit** an HHS CCL License for the Operation and services for which the Applicant is submitting an Application or a letter from CCL stating that an application for such a License is complete and has been accepted. | | | | |

**SECTION II – SERVICE AREA**

A separate Application must be submitted for each License (or letter from CCL stating that an application for such a License is complete and has been accepted) and service type you propose to provide in accordance with the information in this section.

You must submit a separate Application for each of the following services you intend to offer under a resulting contract:

GRO - Emergency Care Services only;

GRO - Child Care Services only;

GRO - Child Care Services and Treatment Services; or

GRO - Operating as a Residential Treatment Center.

Note - DFPS is not procuring for GROs providing Therapeutic Camp Services.

Applicants applying for a GRO operating as a Residential Treatment Center contract providing an Intensive Psychiatric Transition Program (IPTP) should review its Open Enrollment HHS0000159, which is posted on the [ESBD](http://www.txsmartbuy.com/sp/HHS0000159) and [HHS Open Enrollment Site](https://apps.hhs.texas.gov/PCS/HHS0000159/).

**For In-State Applicants:** Select onlyone GRO license type (2.1, 2.2, 2.3 or 2.4 below) and one DFPS Region within the license type.

**For Out-of-State Applicants:** Enter the city and state in “Other”.

1. **Select the DFPS Region below where your administrative headquarter is located:**

|  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Region: | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 |

Other: (City and State)

1. **Select the DFPS Region where you will be providing services. If you are providing services in Region 3a or 8b, select the counties that you will be providing services:**

|  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Region: | 1\* | 2\* | 3\* | 4 | 5 | 6 | 7 | 8\* | 9 | 10 | 11 |

Other: (City and State)

**\*FOR REGIONS 1, 2, 3b, & 8b** - DFPS will not accept new applications for Residential Child Care Services from providers whose entire placement capacity is located solely in a CBC catchment area (See Section 1.6.3 of the Open Enrollment for specific information on CBC catchment areas and if applicable, the counties that are part of a CBC catchment areas).

**FOR REGIONS 3 and 8** - indicate in the tables below which counties you will provide services in.

|  |  |
| --- | --- |
| Region 3 | |
| **Collin** | **Grayson** |
| **Cooke** | **Hunt** |
| **Dallas** | **Kaufman** |
| **Denton** | **Navarro** |
| **Ellis** | **Rockwall** |
| **Fannin** | **Wise** |

|  |  |
| --- | --- |
| Region 8 | |
| **Bexar** |  |

**2.1  GRO Offering Emergency Care Services Only:**

|  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| In State Applicant Region: | 1\* | 2\* | 3\* | 4 | 5 | 6 | 7 | 8\* | 9 | 10 | 11 |

Other: (City and State)

OR

**2.2**  **GRO Offering Child-Care Services Only:**

|  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| In State Applicant Region: | 1\* | 2\* | 3\* | 4 | 5 | 6 | 7 | 8\* | 9 | 10 | 11 |

Other: (City and State)

OR

**2.3  GRO Offering Child-Care Services and Treatment Services:**

|  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| In State Applicant Region: | 1\* | 2\* | 3\* | 4 | 5 | 6 | 7 | 8\* | 9 | 10 | 11 |

Does your Operation intend to provide treatment services to victims of Human Trafficking?  Yes  No

Other: (City and State)

Does your Operation intend to provide treatment services to victims of Human Trafficking?  Yes  No

OR

**2.4  GRO Operating as a Residential Treatment Center:**

|  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| In State Applicant Region: | 1\* | 2\* | 3\* | 4 | 5 | 6 | 7 | 8\* | 9 | 10 | 11 |

Other: (City and State)

If applicable, select the specialized treatment services (*other than treatment services for children with emotional disorders*) you propose to serve through this Application to treat and/or support Children with:

Intellectual Developmental Disabilities (ICFIDD)

Pervasive Developmental Disorders

Primary Medical Needs

**3. Residential Treatment Centers are not GRO or Out-of-State Applicant Providing Equivalent Services Offering multiple programmatic services permitted to provide multiple programmatic services.**

If you are a GRO or Out-of-State Applicant providing equivalent services (other than a RTC) proposing to provide multiple programmatic services within the same Operation:

3.1 The identified multiple programmatic services must be listed on your Operation's residential child-care License;

3.2 You must identify the multiple programmatic services on your In-State CCL License that your Operation intends to provide through this Application, if applicable; and

3.3 You must submit a separate Application for each grouping of multiple programmatic services identified below in subsections 4.1 or 4.2 that you intend to provide. Separate resulting contracts will be executed for each Application.

1. **Select the multiple services your operation is proposing to provide in either subsections 4.1 or 4.2:**

4.1  GRO Offering multiple programmatic services-Emergency Care Services or Out-of-State Applicant providing equivalent services. <https://hhs.texas.gov/doing-business-hhs/provider-portals/protective-services-providers/child-care-licensing/minimum-standards>

If you are applying as a GRO offering multiple programmatic services, select all the following services for this Application.

Emergency Care Services

Assessment Services

Intermittent Alternative Care

OR

4.2  GRO Offering multiple programmatic services - Child Care and/or Treatment Services and/or Transitional Living Services or Out-of-State Applicant providing equivalent services. If you are applying as a GRO offering multiple programmatic services, select all the following services for this Application.

Child-Care Services

Treatment Services for Children with:

Emotional Disorders

Intellectual developmental disabilities (ICFIDD)

Pervasive Developmental Disorders

Primary Medical Needs

Transitional Living Services

* 1. **Requested Service Level Information**

**Select the Authorized Service Level(s) your Operation is requesting to serve.**

|  |
| --- |
| Requested Service Levels (check all that apply):  Basic  Moderate  Specialized  Intense  Intense Plus  N/A- Applicant Intends to GRO-ECS only  **Refer to 2.3 of this Open Enrollment for Service Level Monitor and see Appendix A - File Folder 4 if applicable to your Operation.** |

**SECTION III – INSURANCE**

Review Section 1.5.4 of this Open Enrollment, II (G) of Section 6.2.1, and I (H) of Section 6.2.2 and indicate in the table below if requirements are met

|  |
| --- |
| Commercial General Liability or equivalent insurance: Yes No |
| Professional Liability Insurance or equivalent insurance if Operation intends to employ staff to provide professional services: Yes No |
| Commercial Crime Insurance or equivalent insurance with 3rd Party endorsement & Employee Dishonesty endorsement: Yes No |
| Business Automobile Liability (Owned & Hired Endorsements and Non-owned Auto): Yes No |
| **If "No"** is checked for any insurance named above, Contractor must submit insurance coverage documentation with the signed contract. DFPS will not execute a Contract if this documentation is not provided or is found to not meet the insurance requirements.  **If “Yes”** is checked for any insurance named above, Contractor must submit insurance coverage documentation prior to contract execution. |

**SECTION IV APPLICANT’S ORGANIZATION**

1. **Describe your organizational history with contracting, including:**
2. Performance under government contracts and other private party contracts in Texas or any other state for the last five years.
3. Your past experience working with residential child-care services for the last five years.

1. **Have you had a contract for residential child-care services that was non-renewed by DFPS or any other private party or governmental entity within the last five years?**

Yes  No

If yes, please answer the following:

* 1. Provide the name of the Operation, date of the non-renewal, the contract number, and list the factors that contributed to DFPS or any other private party or governmental entity taking that action; and

* 1. Describe in detail the actions taken by your Operation to remedy each factor that contributed to that non-renewal.

1. **Have you had a contract for residential child-care services terminated by DFPS or any other private party or governmental entity within the last five years?**

Yes  No

**If yes, please answer the following:**

1. Provide the date of the termination and the contract number, and list the factors cited that contributed to DFPS or any other private party or governmental entity taking that action.

1. Describe in detail the actions taken by your Operation to remedy each factor that contributed to that termination.

1. **Have you applied for a contract to provide residential child-care services, and not been awarded a contract by DFPS or any other private party or governmental entity within the last five years?**

Yes  No

**If yes, please answer the following:**

1. List the factors that contributed to DFPS or any other private party or governmental entity taking that action; and

1. Describe in detail the actions taken by your Operation to remedy each factor that contributed to that denial.

1. **Provide a list of all current contracts with DFPS or any other private or governmental entity (federal, state or county). List must at a minimum include if applicable:**
2. Type of Contract (Private, federal, state or county);
3. Contract number;
4. Contact person at the contract entity;
5. Contact phone number;
6. Type of service;
7. Dollar value of the contract; and
8. Begin and end date of the contract.

1. **For the contracts listed in question #5 above, briefly describe your compliance with program requirements, and any corrective actions put into place by the contracting agency. Include copies of contract monitoring reports and letters from the contracting entity to the Applicant during the last five years.**

1. Identify the referral sources that make up Applicant’s child population by estimating the percentage (%) for each placement source (for example):

|  |  |
| --- | --- |
| **Referral Source** | **Percentage** |
| DFPS |  |
| Texas Juvenile Justice Department |  |
| Texas Youth Commission |  |
| Out of State |  |
| Other – (List Individually) |  |
| Total | 100% |

Add additional rows to table, if needed, to list “Other” referral sources individually. Total should equal 100%.

1. **Does your Operation place geographical limitations on accepting admissions?**

Yes  No

If yes, specify the following:

Specific Region/City

1. **If you propose to provide services to any population of Children listed in Section 2.2.7 of the Open Enrollment;**
2. Identify the population(s) you propose to serve; and

1. Submit your program description(s) providing detailed information regarding treatment modalities and treatment services extended to this population(s) of Children.

1. **Check the appropriate box, if your Operation intends to serve any of the listed groups of Children.**

|  |  |  |
| --- | --- | --- |
| N/A | Children 16 to 17 years of age | Young Adults 18 to 22 years of age |

**TARGETED CHARACTERISTICS**

1. **In accordance with the service levels you are proposing to serve, check the characteristics and behaviors of Children specified for each category in the table below.**

|  | **Does Applicant currently serve Children with this Characteristic?** | **If DFPS needed to place a Child with this characteristic, would the Child be accepted?** | **If answer in second column is ‘No’, and the Child later exhibited this characteristic, would the Child be discharged?** |
| --- | --- | --- | --- |
| **Characteristic** |
| Actively Exhibiting Psychotic Behavior | Yes No | Yes No | Yes No |
| ADD / ADHD | Yes No | Yes No | Yes No |
| Anxiety Disorder | Yes No | Yes No | Yes No |
| Assaultive Behaviors or Homicidal | Yes No | Yes No | Yes No |
| Criminal acts – an act that violates the law | Yes No | Yes No | Yes No |
| Cruelty to Animals | Yes No | Yes No | Yes No |
| Danger to Self | Yes No | Yes No | Yes No |
| Danger to Others | Yes No | Yes No | Yes No |
| Depression | Yes No | Yes No | Yes No |
| Developmental Disorders | Yes No | Yes No | Yes No |
| DSM-IV Axis I & II Diagnosis | Yes No | Yes No | Yes No |
| Eating Disorder | Yes No | Yes No | Yes No |
| Emotional Abuse | Yes No | Yes No | Yes No |
| Emotional Disorders | Yes No | Yes No | Yes No |
| Enuresis/Encopresis | Yes No | Yes No | Yes No |
| Fire Setting | Yes No | Yes No | Yes No |
| Fire Setting History | Yes No | Yes No | Yes No |
| Gang Activity / Affiliation | Yes No | Yes No | Yes No |
| Gender Identity Issues/ Sexual Orientation | Yes No | Yes No | Yes No |
| Victims of Human Trafficking  **(Applicable to GROs Providing Treatment Services only)** | Yes No | Yes No | Yes No |
| Impulse Control Disorder | Yes No | Yes No | Yes No |
| Learning Disorder | Yes No | Yes No | Yes No |
| Maladaptive Behaviors | Yes No | Yes No | Yes No |
| Medically Fragile | Yes No | Yes No | Yes No |
| Intellectual Developmental Disabilities (ICFIDD) | Yes No | Yes No | Yes No |
| Oppositional Defiant | Yes No | Yes No | Yes No |
| Pervasive Developmental Disorder | Yes No | Yes No | Yes No |
| Physically Abused | Yes No | Yes No | Yes No |
| Physically Neglected | Yes No | Yes No | Yes No |
| Pregnant | Yes No | Yes No | Yes No |
| Primary Medical Needs | Yes No | Yes No | Yes No |
| Probation/Parole/TYC/JPC | Yes No | Yes No | Yes No |
| Requires Hospitalization | Yes No | Yes No | Yes No |
| Runaway History | Yes No | Yes No | Yes No |
| Sexual Abuse History | Yes No | Yes No | Yes No |
| Sexually Inappropriate / Sexualized Behaviors | Yes No | Yes No | Yes No |
| Sexual Perpetrator History | Yes No | Yes No | Yes No |
| Special Needs\* | Yes No | Yes No | Yes No |
| Substance Abuse / Use | Yes No | Yes No | Yes No |
| Substance Abuse or Dependence with the need for medical detoxification | Yes No | Yes No | Yes No |
| Suicidal | Yes No | Yes No | Yes No |
| Suicidal Gestures | Yes No | Yes No | Yes No |
| Suicidal Ideation | Yes No | Yes No | Yes No |
| Verbal Aggression – threaten, bully or other coercing, including threats of physical harm | Yes No | Yes No | Yes No |
| Other: (Specify) | Yes No | Yes No | Yes No |

\*Special Needs - means a Child with medical, mental, emotional, behavioral or educational needs that could require extra on-going attention.

**BEHAVIORAL HEALTH SERVICES:**

1. **Identify the name(s) of the individual(s) providing behavioral health services and state the relationship that this person has with your Organization by indicating if they are a subcontractor, employee or neither of these. All therapists are required to be STAR Health providers.**

1. **Identify where Children’s current and archived records will be maintained and backed-up.**

**ORGANIZATIONAL STRUCTURE OF PROFESSIONAL, KEY MANAGEMENT, AND DIRECT CARE STAFF**

1. **Attach a copy of your Operation's Board of Directors including:**
2. Full names;
3. Titles;
4. Addresses;
5. Email addresses; and
6. Phone numbers.
7. **Attach a copy of your Operation's Person(s) in a Key Position including:**
8. Full names;
9. Titles, if applicable;
10. Addresses;
11. Email addresses; and
12. Phone numbers.

See definition of Person in a Key Position in the Requirements at <http://www.dfps.state.tx.us/Doing_Business/Purchased_Client_Services/Residential_Child_Care_Contracts/documents/24_Hour_RCC_Requirements.pdf>.

1. **Attach a copy of your Operation's professional organizational chart that clearly depicts lines of authority.**
2. **Attach a copy of your Operation's professional staffing plan, which must contain:**
3. Minimum qualifications for the position; and
4. The primary roles of that position.

**Professional and Key Management Staff**

1. What is the level of experience (in months or years) with fiscal and/or programmatic components of federal or state programs? If some positions are not applicable, indicate as such.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Position | Name | Experience | Position | Name | Experience |
| President/CEO |  |  | Comptroller/CFO |  |  |
| Executive Director |  |  | Program Director |  |  |
| Administrator |  |  | Treatment / Clinical Director |  |  |
| Chief Operating Officer |  |  | LCCA or LCPAA |  |  |

1. **Attach current resumes** **and Professional Licenses** for the President/CEO, Executive Director, Administrator, Chief Operating Officer, Comptroller/CFO, Program Director, Clinical Director, and Licensed Child-Care Administrator for the Operation for which you are submitting an Application.
   1. Attach copies of licenses of any professional licensed employee of the organization, including licensed professional therapists.
2. What is the annual turnover rate for professional and key management Staff within the last 12 months?

**19. An Applicant must submit Form 9077RCC Internal Control Structure Questionnaire and all applicable attachments (File Folder 3 in Appendix A) to confirm accounting systems and procedures are in place that support fiscal responsibility.**

**SECTION V – CERTIFICATION**

|  |  |
| --- | --- |
| I certify that the information provided in this Application is to the best of my knowledge, complete and accurate, that the named legal entity has authorized me, as its representative, to submit this Application, and that the legal entity complies with all requirements of this Open Enrollment. | |
| Signature of Authorized Representative | Date |
| Name of Authorized Representative (Printed) | Title of Authorized Representative (Printed) |

**APPENDIX A - APPLICATION, ATTACHMENTS, REQUIRED FORMS and SERVICE LEVEL MONITOR ATTACHEMENTS**

**FILE FOLDER 1: Application**

|  |  |  |  |
| --- | --- | --- | --- |
| **Document**  **Location** | **ELECTRONIC FILE NAME** | **Document** | **Is Document Required Yes/No** |
| Package 2 Form B | 01-Application | Application for Enrollment | Yes |
| Applicant Provides | 01.A-DBA | Assumed Name Certificate | Yes, if applicable. |
| Applicant Provides | 01.B-Incorporation | Certificate of Incorporation | Yes, if applicable. |
| Applicant Provides | 01.C-LLC | LLC Articles of Formation | Yes, if applicable. |
| Applicant Provides | 01.D-Partnership | Partnership Agreement | Yes, if applicable. |
| Applicant Provides | 01.E-Insurance | Insurance Document | Yes, if currently insured. Insurance is not required at the time of application. |

**FILE FOLDER 2: Attachments**

|  |  |  |  |
| --- | --- | --- | --- |
| **Document Location** | **ELECTRONIC FILE NAME** | **Document** | **Is Document Required Yes/No** |
| Applicant Provides | 01-License | HHS CCL License or acceptance letter | Yes |
| Applicant Provides | 02.A-Board | Board of Directors | Yes, if applicable. |
| Applicant Provides | 02.B-Key Position | Person in Key Position | Yes |
| Applicant Provides | 02.C-Org Chart | Professional Organizational Chart | Yes |
| Applicant Provides | 02.D-Staffing Plan | Professional Staffing Plan | Yes |
| Applicant Provides | 02.E-Resume/ Professional Licenses | Resumes and Professional Licenses for Key Management Staff  (Label applicable additional resumes, accordingly, e.g. 02.F.G, 02.G, etc.) | Yes |
| Applicant Provides | 02.F-Resume/ Professional Licenses | Yes, if applicable. |
| Applicant Provides | 02.G-Resume/ Professional Licenses | Yes, if applicable. |

**FILE FOLDER 3: Required Forms**

|  |  |  |  |
| --- | --- | --- | --- |
| **Document**  **Location** | **ELECTRONIC FILE NAME** | **Document** | **Is Document Required Yes/No** |
| Package 6 Form I | 01-[Form 2031](https://www.dfps.state.tx.us/Doing_Business/forms.asp) | Signature Authority Designation | Yes |
| Package 7 Form J | 02-[Form 2970c](https://www.dfps.state.tx.us/Doing_Business/forms.asp) | Disclosure and Consent to Release of Information Regarding Criminal or Abuse/Neglect History For Applicants, Employees or Volunteers of DFPS Contractors and Subcontractors | Yes |
| Package 7 Form J | 02.A-2970c | Executive Director | Yes, if applicable. |
| Package 7 Form J | 02.B-2970c | Chief Executive Officer | Yes, if applicable. |
| Package 7 Form J | 02.C-2970c | Comptroller | Yes, if applicable. |
| Package 7 Form J | 02.D-2970c | Chief Financial Officer | Yes, if applicable. |
| Package 8 Form K | 03. [Form 2971c](https://www.dfps.state.tx.us/Doing_Business/forms.asp) | Request for Criminal History and DFPS History Check | Yes |
| Package 8 Form K | 03.A-2971c | Executive Director | Yes, if applicable. |
| Package 8 Form K | 03.B-2971c | Chief Executive Officer | Yes, if applicable. |
| Package 8 Form K | 03.C-2971c | Comptroller | Yes, if applicable. |
| Package 8 Form K | 03.D-2971c | Chief Financial Officer | Yes, if applicable. |
| Package 9 Form L | 04-[Form AP-152](https://www.dfps.state.tx.us/Doing_Business/forms.asp) | Application for Texas Identification Number | Yes |
| Package 10 Form M | 06-[Form 9007RCC](https://www.dfps.state.tx.us/Doing_Business/forms.asp) | Internal Control Structure Questionnaire (ICSQ) for Residential Child Care | Yes |
| Applicant Provides | 06.A-Attachment I-2 | If yes, submit most current financial statement; or  If no, submit current financial position | Yes |
| Applicant Provides | 06.B-Attachment I-2C | If yes, submit most recent tax return | Yes, if applicable. |
| Applicant Provides | 06.C-Attachment I-3 | If yes, submit current Audit and  Management letter (Only applicable to operations that have conducted annual audits) | Yes, if applicable. |
| Applicant Provides | 06.D-Attachment I-7A | If yes, submit copy of IRS Audit Report; and Related IRS correspondence | Yes, if applicable. |
| Applicant Provides | 06.E-Attachment I-7D | Description of IRS discrepancies or liens impacting operation’s financial position | Yes, if applicable. |
| Applicant Provides | 06.F-Attachment I-8 | If yes, submit a description of discrepancies and/or unresolved issues with the State Auditor’s Office (SAO) | Yes, if applicable. |
| Applicant Provides | 06.G-Attachment I-9 | If yes, submit procedures describing your process for safeguarding and securing confidential information | Yes, if applicable. |
| Package 11 Form N | 07-[Form 9025a.doc](https://www.dfps.state.tx.us/Doing_Business/forms.asp) | Related Party (Building & Transportation - Leases/Rental Worksheet) | Yes |

**FILE FOLDER 4: Service Level Monitor Attachments**

The following information needs to be organized in File Folder 4 as provided below.

1. A valid HHS License or CCL acceptance letter.
2. Complete setof program policies and procedures, model and philosophy. Submitted policies and procedures must include:
   1. Substance abuse policy that indicates the Applicant will ensure substance abuse services will be provided for the Child, if needed. Substance abuse services can include referrals to outpatient/inpatient programs in the community, or substance abuse services provided through the Applicant's Operation; and
   2. 24-Hour Continuous Supervision policy that indicates the Applicant will ensure compliance with Section 1115 of the 24-Hour Requirements relating to GROs who are serving seven or more children. The policy must include a floor plan of the facility.
   3. [HHS Form 2960-Attachment C](https://www.hhs.texas.gov/sites/default/files/documents/laws-regulations/forms/2960/2960-AttachmentC.pdf) – General Residential Operations – Additional Operation Plan completed for all Applicant operations licensed on or after December 1, 2019. This plan documents the operational, community engagement, and educational plan.
3. Description of all program components to include behavioral and therapeutic interventions.
4. Children’s rules, rewards, consequences and/or orientation manual/handbook.
5. Example of daily schedules for school year, summer and weekends.
6. Example of recreation schedule.
7. Description of recreational program including its therapeutic value.
8. Written description of the relationship with the school system or a written agreement between the Applicant and the school district.

Information needed includes an outline of the Applicant's responsibilities including procedures for resolving conflicts occurring during school activities.

1. Written plan to provide direct, continuous observation of a Child who may be at risk for harming self or others and to provide awake night staff if indicated based on the needs of the Child.
2. Professional staffing plan to include responsibility for developing diagnostic assessments and treatment plans.
3. Training schedule for direct care staff to complete annual training requirements.
4. Contracts, agreements or plans for professionals providing medical, dental and therapy services.
5. Contracts, agreements or plans for professionals to provide psychotropic medication training and medication monitoring and on-call/emergency services.
6. Example of a Child’s Record to include a sample of:
7. 72-Hour Treatment Plan;
8. Diagnostic Assessment;
9. Treatment plan or plan of service;
10. Individual, group and/or family therapy notes;
11. Progress reports; school reports;
12. Medication monitoring reports;
13. Serious incidents reports;
14. Case management notes; and
15. Daily logs or documentation by direct care staff.

|  |  |  |  |
| --- | --- | --- | --- |
| **Document Location** | **ELECTRONIC FILE NAME** | **Document** | **Is Document Required Yes/No** |
| Applicant Provides | 01-License | HHSC License or acceptance letter | Yes |
| Applicant Provides | 02-Model and Philosophy | Program Model and Philosophy | Yes |
| Applicant Provides | 02.A-Policies and Procedures | Complete Set of Program Policies and Procedures | Yes |
| Applicant Provides | 02.B-Substance Abuse | Substance Abuse Policy and Procedure | Yes |
| Applicant Provides | 02.C-24-Hour Continuous Supervision | 24-Hour Continuous Supervision Policy and Procedure | Yes |
| Applicant Provides | 02.D-HHS Form 2960 Attachment C | General Residential Operations – Additional Operation Plan | Yes |
| Applicant Provides | 03-Program Components | Description of All Program Components Including Behavioral and Therapeutic Interventions | Yes |
| Applicant Provides | 04-Children’s Orientation | Children’s   1. Rules, Rewards, Consequences and/or 2. Orientation Manual/Handbook | Yes |
| Applicant Provides | 05-Daily Schedules | Example of Daily Schedules for   1. School Year, 2. Summer and 3. Weekends | Yes |
| Applicant Provides | 06-Recreation Schedule | Example of Recreation Schedule | Yes |
| Applicant Provides | 07-Therapeutic Value | Description of Recreational Program, including its therapeutic value | Yes |
| Applicant Provides | 08-School Relationship | Written description of the relationship with the school system | Yes |
| Applicant Provides | 09-Observation | Plan to Provide   1. Direct, Continuous Observation of a Child Who May Be at Risk for Harming Self or Others, and 2. Awake Night Staff Based on the Child’s Needs | Yes |
| Applicant Provides | 10-Professional Staffing Plan | Professional Staffing Plan to Include   1. Responsibility for Developing Diagnostic Assessments and 2. Treatment Plans | Yes |
| Applicant Provides | 11-Training Schedule | Training Schedule for direct care staff to Complete Annual Training Requirements | Yes |
| Applicant Provides | 12-Medical, Dental and Therapy Services | Contracts, Agreements or Plans for Professionals Providing   1. Medical, 2. Dental and 3. Therapy Services | Yes |
| Applicant Provides | 13-Psychotropic Medication | Contracts, Agreements, or Plans for Professionals to Provide   1. Psychotropic Medication Training and 2. Medication Monitoring, and 3. On-Call/Emergency Services | Yes |
| Applicant Provides | 14-Child’s Record | Sample of   1. 72-Hour Treatment Plan, 2. Diagnostic Assessment, 3. Treatment Plan or Plan of Service; 4. Individual, Group and/or family Therapy notes; 5. Progress Reports; 6. School reports; 7. Medication Monitoring reports; 8. Serious Incidents reports, 9. Case Management Notes, daily logs or Documentation by direct care staff | Yes |