

## EXHIBIT N: LEAD ENTITY REQUIRED

The Lead Entity must ensure compliance with reporting requirements outlined in the Lead Entity Contract and HHSC Residential Child-Care Minimum Standards. The Lead Entity must accurately complete Cost Reports, Time Studies, Contract Monitoring Surveys, Performance Measurement Reports, Court Reports and any other reports required and requested by the Texas Department of Family and Protective Services (DFPS) within time frames specified by DFPS. The Lead Entity must submit annual cost reports as required by [TAC Rule §355.105](#).

Additionally, throughout the life of the contract unless otherwise noted; the Lead Entity must submit the following, in the format and reporting schedule specified by DFPS:

**Quarterly Submission Dates:** Due dates of all quarterly reports to be submitted to the Contract Administration Manager (CAM) are:

1. Q1 (September, October, November): Due December 15<sup>th</sup>
2. Q2 (December, January, February): Due March 15<sup>th</sup>
3. Q3 (March, April, May): Due June 15<sup>th</sup>
4. Q4 (June, July, August): Due September 15<sup>th</sup>

**(A) Foster Care Litigation Oversight Reports:** DFPS is involved in a federal lawsuit, which has resulted in several court orders. DFPS has been ordered to implement a system of assessment and heightened monitoring (HM) for Contractors providing residential treatment services, general residential childcare services, and foster care for children in DFPS conservatorship.

In compliance with the court order the Lead Entity is required to submit the following reports to DFPS on a quarterly basis.

- 1. Complaints Report (Template provided by DFPS RO20):** The Lead Entity must identify, track, and address complaints lodged against facilities including a description of how the Lead Entity resolved the Complaint.
- 2. Lead Entity Monitoring Findings Report (Template provided by DFPS RO20):** The Lead Entity must identify, track, and address concerns resulting from monitoring at facilities with contract violations or policy violations.
- 3. Contract Violations (Template provided by DFPS):**  
The Lead Entity must identify, track, and address concerns resulting from contract noncompliance violations identified outside of monitoring facilities.

**(B) Foster Care Litigation Human Resource Report RO2.1:** The Lead Entity must comply with the DFPS Generally Applicable Internal Caseload Standards which implements a guideline of fourteen (14) - seventeen (17) children per

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conservatorship worker (CVS). This is not a “caseload cap” or an “enforced caseload range”. A new CVS caseworker will be assigned no more than six (6) children during the first month of becoming case assignable and no more than twelve (12) children during the second month after becoming case assignable. During the third month after being determined eligible for case assignments, the caseworker may receive a full caseload. In compliance with the court order the Lead Entity is required to submit the following reports to DFPS no later than the due date required for each report.

- 1. Monthly Case Load Report (Template provided by DFPS R001.1 & R002.4):** Complete Human Resource information for the monthly case load report. Due to DFPS no later than four (4) business days after receiving the report template from DFPS.
- 2. Monthly Hiring, Training, and Graduated Caseload Report (Template provided by DFPS R04 & R032):** Template reports will be provided by DFPS and updated as needed. A monthly hiring, training and graduated caseload report due no later than the 15th day of the month which identifies the previous months. The report must include the Data Dictionary. Should a staff person’s job title change, the Lead Entity must verify and update the “case assignable” information used to report the graduated caseloads.

**(C) Financial Reports:** Due no later than thirty (30) days after the end of the quarter or as agreed to by DFPS and the Lead Entity.

- 1.** A quarterly accrual financial reports/statement for the contracted entity and Parent Organization that include:
  - a) Balance sheet;
  - b) Statement of income and expense;
  - c) Statement of changes in financial position; and
  - d) Capital expenditures.
- 2.** Annual Certified Audit that meets the requirements of 45 CFR 75 Subpart F for each above entity.
- 3.** Applicable Federal Income Tax Return (Form 990 or 1120).
- 4.** A quarterly report by month and fiscal year of provider payment containing aggregate totals of:
  - a) Days of care by service level based on actual experience
  - b) Days of exceptional care utilization if the program and placement has been approved by DFPS; and
  - c) Total amounts paid to Lead Entity network service providers by service level.

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5. A quarterly capacity building progress report in the timeframes and reporting structure determined by DFPS but at a minimum will include:
  - a) Progress, and status on implementation; and
  - b) Expenditure Data.
- (D) Texas Health Steps:** Ensure children in paid foster care receive a TX Health Steps medical checkup within thirty (30) days from removal, and children in paid foster care receive all follow-up medical exams, and Early and Periodic Screening and Diagnostic and Treatment (EPSDT) exams. Compliance must be tracked of the Lead Entity's provider as applicable. Texas Health Steps remedies imposed that include:
  - a) Name of the facility;
  - b) Number of occurrences;
  - c) Date of each occurrence; and
  - d) Remedies imposed and amounts.
- (E) Quarterly Report Youth Obtained Driver's License or State Identification Card.** Readiness for adult life for youth, state-issued identification is critical to key adult activities, such as obtaining permanent housing, steady employment, and other milestones. A list of youth PIDs for youth aged sixteen (16) or older who obtained a driver's license or state identification card during the quarter.
- (F) Monthly Short-Term Emergency Placement Report (Template provided by DFPS):** Filling in start and end dates for TEP/STEP Placements for Lead Entity children from a list of placements during the reporting period as these placements cannot currently be identified in IMPACT as a TEP/STEP Placement. Due to DFPS no later than four (4) business days after receiving the report template from DFPS.
- (G) Turnover Plan in the Event of Early Contract Termination:** The Lead Entity must develop a transfer plan to ensure the continuity of services for children and families in the catchment area in the event of an early termination of the contract with DFPS. The Lead Entity shall submit an updated turnover plan each year and six months before the end of the contract period, including any extensions. The Lead Entity will provide additional information or modifications to the transfer plan as requested by DFPS. If no updates have been made, the Lead Entity's executive signatory may submit written documentation to Contract Administration Manager (CAM) noting no changes were made to the Turnover Plan.