

SUBSTANCE ABUSE AFTERCARE POST AWARD MONITORING REPORT

District:

Contract Nos:

Contractor:

Date of Visit:

Fed Clients in Program:

Period Covered:

Date Report Prepared:

EVALUATION

Excellent **Satisfactory** **Unsatisfactory** **Unacceptable**

Excellent: During the monitoring period the contractor has performed without problems and has operated within the terms and conditions of the contract/agreement. Improvements are not needed. The contract should be continued.

Satisfactory: There are few, if any, problems with the contractor. It is generally operating within the terms and conditions of the contract/agreement. Any improvements would be considered minor. The contract should be continued.

Unsatisfactory: Problems with the performance of this contractor have been identified and are not minor. The contractor must improve performance by the next monitoring visit or within such time as established by the contracting officer or chief probation officer. Failure to improve performance within the established time period may result in termination. Contractors whose performance is rated Unsatisfactory will be reviewed by the Probation Division and Contracts Branch. A formal Notice to Cure may be issued.

Unacceptable: There is/are major problems with the performance of the contractor that cannot be remedied. Continuation of the contract will be allowed only until such time as a new service provider can be obtained. Termination of the contract will be made either for the convenience of the Government or for Default.

Approved

Supervising U.S. Probation Officer

D/KS AP15
(03/94)

SUBSTANCE ABUSE AFTERCARE POST AWARD MONITORING REPORT - cont'd

YES NO N/A

I. FILE MAINTENANCE

- 1. Required Documents
 - a. Release of Authorization Form (11B) _____
 - b. Program Plan _____
 - c. Monthly Treatment Report (MTR) _____
 - 1. Are all sections completed? _____
 - 2. Are program notes comprehensive? _____
 - d. Chronological Notes _____
 - 1. Is length of session included? _____
 - 2. Are they current? _____
 - e. Are urinalysis slips available in file? _____
(original/result copy) _____
- 2. Is file well organized? _____
- 3. Location of File _____
 - a. Are they kept secured and isolated from other files? _____

SUMMARY/FINDINGS

II. URINALYSIS

- 1. Is provider in compliance with chain of custody procedures? (security of specimens, supplies, proper facilities, etc.) _____
- 2. Are program plan requirements met? (phases and/or specific instructions) _____

SUMMARY/FINDINGS

III. QUALITY OF SERVICES

- 1. Does provider respond to referrals promptly? _____
- 2. Are clients receiving the minimum services specified in the program plan? _____
- 3. Are counselors meeting with USPO at least quarterly? _____
- 4. Are counselors involving significant others in treatment process? _____
- 5. Are clients encouraged to attend support group meetings (NA/AA)? _____
- 6. Is there timely reporting of positive urinalysis, stalls, missed sessions, and violation behavior? _____
- 7. Is medication dispensed according to government regulations? _____
- 8. Has there been proper notification of new staff members? _____

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SUBSTANCE ABUSE AFTERCARE POST AWARD MONITORING REPORT - cont'd

SUMMARY/OBSERVATION OF COUNSELING CONTENT

IV. BILLING

- 1. Are the provided services authorized on the program plan? _____
- 2. Do chronological notes correspond to MTR/Invoices? _____
- 3. Are invoices submitted timely, accurately and with original and three copies? _____
- 4. Are supporting documents included (UA log, sign-in log, etc.)? _____
- 5. Is provider being reimbursed for services by any other source? _____

SUMMARY/FINDINGS

V. PHYSICAL PLANT

- 1. Does the provider maintain a facility that meets all applicable Federal, State, and local regulations/building codes? _____
- 2. Does the facility adequately provide for the integrity of the confidential relationship between the client and program staff? _____
- 3. In Residential Programs:
 - a. Code Compliance _____
 - 1. Is contractor complying with all building, sanitation, health, fire, electrical, zoning laws, ordinances and codes? _____
 - 2. Can contractor provide documentation upon request regarding compliance with sub-section 1 (above)? _____
 - b. Sleeping and Bathroom Facilities _____
 - 1. Is contractor providing well lighted and ventilated sleeping quarters with toilet, wash basin and bathing facilities? _____
 - c. Emergency Plans _____
 - 1. Does contractor have written emergency and evacuation plans for fire, natural disaster and severe weather that are communicated to each arriving resident, posted in the facility and reviewed or revised annually? _____

SUBSTANCE ABUSE AFTERCARE POST AWARD MONITORING REPORT - cont'd

- 2. Does the contractor conduct quarterly evacuation drills and train its facility personnel in emergency and evacuation plans? _____
- d. Safety Precautions
 - 1. Does the contractor provide at least two means of exit at each floor level? _____
 - 2. Are smoke detectors located on each floor? _____
 - 3. Are exit signs electrically lighted with backup battery powered emergency lighting? _____
 - 4. Are portable fire extinguishers throughout the facility appropriately rated, classed and located at least every 75 feet? _____
 - 5. Can contractor provide documentation that fire inspections and testing of fire equipment are conducted at least semiannually by equipment representative? _____
- e. General Food Service Standards
 - 1. Is contractor keeping food free from spoilage and/or other contamination? _____
 - 2. Not store food containers under exposed and unprotected sewer or water lines? _____
 - 3. Not permit persons to work in any other capacity in food service if they are infected with a communicable disease, have boils, infected wounds or acute respiratory infections? _____
 - 4. Require employees to thoroughly clean their hands and exposed portions of their arms with soap and water before and during work? _____
 - 5. Keep garbage and refuse in durable, easily cleanable, insect and rodent-proof containers? _____
- f. Emergency Medical Service
 - 1. Is contractor maintaining basic first aid supplies and training at least one staff member on each shift in emergency first aid? _____
 - 2. Ensuring by written agreement that emergency 24 hour medical service is available with a licensed general hospital, private physician or clinic? _____

SUBSTANCE ABUSE AFTERCARE POST AWARD MONITORING REPORT - cont'd

SUMMARY/FINDINGS

...maintains all the required licenses and certifications to provide substance abuse services consistent with the BPA. A tour of the facility during the solicitation process confirmed compliance with fire, health, sanitation, medical emergency and safety requirements necessary for licensing by state and local authorities. Confirmation of continued licensing was likewise provided by the vendor during this monitoring period.

VI. OTHER SERVICES

- 1. Are services being provided at no cost? _____
- 2. Are services provided other than urine collection or counseling? _____
If so, identify (emergency contact, vocational, medication, etc.) _____

- Project Code 1201 - Administrative Fee for Transportation Expenses
- Project Code 1202 - Client Transportation Expenses
- Project Code 1501 - Administrative Fee
- Project Code 2001 - Short Term Residential Treatment
- Project Code 2011 - Intake Assessment
- Project Code 8050 - Non-medical Detox and Inpatient Treatment
- Project Code 5011 - Mental Health Intake Assessment and Report
- Project Code 6010 - Individual Mental Health Counseling

VII. INTERVIEWS

- 1. **Client**
 - a. Are sessions of required length? _____
 - b. Does client describe appropriate UA collection procedures? _____
 - c. Is the relationship with the therapist appropriate _____
 - d. Are there any complaints? _____
 - e. Is the program beneficial? _____

There were no federal offenders available for an interview on the date of the monitoring visit.

- 2. USPO/PSO
 - a. Is there a timely response to referrals? _____
 - b. Is USPO initiating program plan and amended plan? _____
 - c. Are program plans followed? _____
 - d. Is there a good working relationship with therapist? _____
 - e. Are you meeting at least quarterly with provider? _____
 - f. Are missed sessions, positive urinalysis, stalls, and violation behavior reported timely? _____

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Staff have reported a positive working relationship with this vendor.

3. Provider (Director and/or Primary Counselor)

- a. Are you receiving advance notice of referrals? _____
- b. Is 11B and program plan received timely? _____
- c. Are USPOs responding timely to telephone calls/
correspondence? _____
- d. Are you meeting at least quarterly w/USPO? _____
- e. Are you notifying USPO timely of positive urinalysis
results, stalls, missed sessions and violation behavior? _____
- f. Are chain of custody procedures followed?
(Walk through with provider) _____
- g. Are USPOs responsive to concerns and recommendations? _____

Notes on any staff interviewed.

VIII. SUMMARY/RECOMMENDATIONS

Respectfully submitted,

Senior U.S. Probation Officer

cc: Vendor
File

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