

Monitoring Appendix E

Policy Guideline Monitoring and Enforcement

Questions to Answer:

Who will monitor?

- ◆ State?
 - Establish relationship with state-maybe MOU or cooperative work agreement
 - Obtain copy of current license
 - Have a signed provider agreement with your Tribe
 - Obtain copies of ongoing monitoring reports
 - What other documents will you want from the provider?
 - Will you visit as well?
 - How will you know if licensee is in serious non-compliance?
- ◆ Tribe?
 - Are requirements in place?
 - How will provider be informed of the requirements?
 - How and where will they apply?
 - Who accepts the application?
 - Who does the monitoring visit?
 - Is it announced or unannounced?
 - How often do you monitor?
 - Is there a written report? If so on what form or is it open narrative?
 - If you use self-assessment, do you still make an on-site visit?
 - Do you renew the license or certification?
 - What happens when the provider is out of compliance? (Consequence should depend on risk to children)
 - Non-compliance letter?
 - Plan of correction with a time frame?

- Witness visit?
- Office conference?
- Refer to Tribal Council?
- Restrict the condition of license?
- Cancel contract to do business with the Tribe?
- Deny or revoke their right to operate?
- Do you have an administrative hearing and/or appeals process?

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