

*Department of Child, Youth and Families
(DCYF)*

**CONTRACTOR GUIDE TO CONTRACT MONITORING
Child Welfare Contracts**

What You Need to Know



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Each year the Department of Children, Youth and Families (DCYF) conducts monitoring activities to ensure contractor compliance with contracted terms and conditions and ensure the health and safety of our clients. As a Washington State governmental entity, we are required to conduct annual monitoring activities, make a yearly monitoring plan, track our activities and report on what was accomplished. The DCYF Contracts Office understands that it is essential to monitor our Contractors, help you with contract questions and educate you on contract requirements. This Guide is part of our educational efforts that are taking place regarding DCYF's monitoring program. We want you to be the best Contractors you can be, provide the best services possible and comply with contract requirements. By working together, and being transparent in those efforts, we will accomplish this goal.

Why Me?

You have received a notice from the Department of Children, Youth and Families Contract Unit that someone is going to come to your place of business and conduct a monitoring visit. The question we hear all the time is, "Why me?". This Guide will answer some of your questions, explain how we choose who we will monitor and describe our monitoring process. If, after reviewing this Guide, you still have questions, please contact your Regional Contract Manager.

There are numerous policy and procedures within state law and policy that dictate the requirement to monitor our contracts:

State Administrative and Accounting Manual (SAAM) Chapter 16

16.20.55.a

"Once the contract is fully executed by all parties, agency staff must proactively manage and monitor the contract to ensure the quality and quantity of services are received. Effective management and monitoring of client service contracts are keys to successful contracting results."

16.20.55.b

"While the contractor has responsibility to perform under the terms of the contract, the state agency has responsibility for reasonable and necessary monitoring of the contractor's performance to ensure compliance with the contract provisions."

Your contract also has several places that contain monitoring language and requirements. These can be found in the General Terms and Conditions of DCYF contracts, as well as, in the Program requirements section of your contract. These clauses require that you, as a Contractor, shall provide access to your facilities and records for monitoring for contract compliance:

Contract Language

DCYF General Terms and Conditions 10

Inspection.

“The Contractor shall, at no cost, provide DCYF and the Office of the State Auditor with reasonable access to Contractor’s place of business, Contractor’s records, and DCYF client records, wherever located. These inspection rights are intended to allow DCYF and the Office of the State Auditor to monitor, audit, and evaluate the Contractor’s performance and compliance with applicable laws, regulations, and these Contract terms. These inspection rights shall survive for six (6) years following this Contract’s termination or expiration.”

Program Requirements (Contract)

Auditing and Monitoring

“DCYF may schedule monitoring visits with the Contractor to evaluate performance of the program. The Contractor shall provide at no further cost to DCYF reasonable access to all program-related records and materials, including financial records in support of billings, and records of staff and/or subcontractor time.”

Purpose of contract monitoring:

The DCYF Contracts Unit conducts contract monitoring activities to ensure that all Contractors are in compliance with contract requirements. These actions ensure the following per the State Administrative and Accounting Manual:

The **purpose of monitoring** is to ensure that the contractor is:

- Complying with the terms and conditions of the contract, along with applicable laws and regulations;
- Adhering to the project schedule while making appropriate progress toward the expected results and outcomes;
- Providing the quality of services expected;
- Ensuring the health and safety of clients; and
- Identifying and resolving potential problems while providing constructive, timely feedback.

Effective contract monitoring can assist in identifying and reducing fiscal or program risks early in the process, thus protecting public funds

How contracts are picked for monitoring?

Each year between May and June, Contract Managers begin the planning for the next monitoring year. This process involves the Contract Managers, Regional and Headquarter Program Managers, Fiscal staff and Licensing staff. Risk Assessments are completed on all contracts and planning meetings are held. Each region then develops a monitoring plan for the next year.

As part of the process, the DCYF Contract Office has developed a set of business rules and tools to help guide the monitoring planning process. These rules have been implemented to ensure that all Contractors are treated similarly when it comes to the planning of monitoring activities. The four business rules are:

Risk Assessment rule: The regional/headquarters Contract Managers will monitor **ALL** Contractors who receive a high score on the Annual Risk Assessment tool. These contracts/Contractors will be seen yearly and will include an on-site visit, as well as, desk monitoring as needed.

Monitoring Factor rule: The regional/headquarters Contract Managers will determine monitoring activities related to the risk score based on six (6) factors identified on the Monitoring Worksheet and a risk level based on those Monitoring Factor scores on the Monitoring Matrix.

3-year rule: The regional/headquarters Contract Manager shall ensure that ALL Contractors are seen at a minimum, once every three (3) years.

Comprehensive Review rule: The regional/headquarters Contract Manager in coordination with the Division of Licensed Resources (DLR) staff, conduct a Comprehensive Review on all licensed (Behavioral Rehabilitation Services / Child Placing Agency) Contractors every 18-months following initial license or license renewal and in accordance with DLR policy 5176.

These rules are designed to ensure that all Contractors are seen by a CA Contract Manager at least once in a three-year period. It also ensures that we are seeing our highest risk Contractors.

By implementing these rules, we can objectively design an annual monitoring plan that fits our needs, ensures our stakeholders and clients that we are performing monitoring activities and develop professional relationships with our Contractors.

Types of monitoring activities:

The Department of Children, Youth and Families performs numerous types of monitoring activities. There are two categories of monitoring: On-site and Desk. These are further broken down into different types of activities as described below:

On-Site Activities: A monitoring activity that is conducted in person by either a team or individually at the Contractors place of business or other location.

- a. On-site visit: A formal Monitoring Activity using the established, standardized monitoring tools for each contract which reviews the following areas; Personnel files, Client files and Program files.
- b. On-site Assistance visit: An on-site visit to review contract, billing, referral process and/or any other areas where there are questions/concerns/complaints that need to be addressed in person.
- c. Assistance visit: An in person meeting with provider at a location outside the provider's normal place of business. This type of monitoring activity is used to capture times when the provider comes to the Contract Managers office or other location to meet.
- d. Remote Assistance: Contact with provider by any means other than in person such as phone, email or mail.
- e. Comprehensive Reviews: A formal, on-site, team review which includes coordinated assistance from the Department of Licensed Resources (DLR).
- f. Other: Any other on-site monitoring that does not fit under one of the definitions above a-e.

Desk Monitoring Activities: A monitoring activity performed and completed by a Contract Manager at their office location. Usually involves a review of paper documents that may include billing, background checks, risk assessments, required documentation from contractor/provider, professional license review and other areas as required.

- a. Risk Assessments: Tool developed and used to assess the level of Risk for individual contracts and Contractors. Completed yearly by Headquarters program managers in team with Regional Contracts managers.
- b. Background Checks: A process to determine if an individual will be granted unsupervised access to children and adults.
- c. Complaints (Survey Monkey): An online reporting and tracking tool for field workers to report contract compliance concerns/issues on individual providers/Contractors.
- d. Billing: Any form of paperwork that involves billing and payments made to providers/Contractor for services performed under a CA Contract.
- e. Contractor Reviews: A review of contractor paperwork at time of contract renewal. Paperwork includes but not limited to Intake forms, professional licenses, business license, resume's, college degrees/transcripts.
- f. New Contractors: A review of new contractors and their paperwork including but not limited to Intake forms, business licenses, professional business license, resume's, college degree's/transcripts.
- g. Insurance: A review of current insurance at time of new contract, contract renewal or other times with a new insurance policy.
- h. Other: Another desk monitoring that does not fit under one of the definitions above a-g.

Monitoring Tools

When performing an On-Site Monitoring Visit, the monitoring team will use a set of standardized monitoring tools. These tools have been developed based on each individual contracted service and cover all the requirements of the contracted service. There are four (4) different sets of tools that are used to complete monitoring activities: 1) Personnel Files, 2) Client Files, 3) Program Files and 4) Data Security.

If you have been informed of an up-coming On-Site Monitoring Visit, the Monitoring Team Lead will send you a copy of the current monitoring tools. You can use these documents to ensure that you are prepared for the visit. These documents may also be used for your understanding of what files, forms and paperwork will be reviewed during the visit. If you do not receive or would like a copy of the monitoring tools, please contact your Regional Contract Manager. Please remember that as language and items are revised or changed within a given contract template, the monitoring tools are updated as well. So, make sure you have a copy of the current monitoring tools prior to your on-site monitoring visit.

What to Expect

On-Site Visit:

You should receive between 4-6 weeks prior to a monitoring event, a formal letter indicating the agreed upon date and time of the visit. You will also receive copies of the monitoring tools that will be used by the visit team during your review. Please ensure that you are prepared for the visit by having your personnel and client files updated and available for the team. The team will randomly pick files for the review process. Also have your program records (policies, procedures, logs) available. If you have any of this information in an electronic format, please have a computer or appropriate device ready for the team to use.

On the day of the visit, the monitoring team will arrive at the scheduled time to your facility/office. The visit will begin with an introductory meeting. The team will meet with the agency director/Contractor and any staff that you would like to have present (usually Program Director(s), fiscal staff, HR staff). The team leader will introduce the team, the areas each team member will be reviewing, the purpose of the review and any relevant issues/concerns. A timeline for the day will also be discussed.

After the meeting, the team will begin their review. Team members will be using the monitoring tools as they look at files and records. Individual team members may have questions as they perform their work, so having someone close by would be helpful.

Once the review has been completed, the team leader will hold an exit briefing with the agency director/contractor and any staff they wish to be present. The team will discuss by area, the major findings of the review. If any serious concerns have been found, then an immediate compliance agreement will be given to you and discussed. All other items will be reported on a compliance agreement that will be completed and sent to you along with a report within 30-days of the visit.

On-Site Assistance Visit/Assistance Visit:

These are visits arranged by the Contract Manager with the Contractor when there are issues/concerns regarding contract requirements (such as billing, referrals, reports). These are used to focus on the issue at hand and are designed as a way to help fix and educate the contractor. This is a method to ensure that small issues do not become serious concerns.

The Contract Manager will contact you and set up a date and time to come to your office. There may or may not be other members such as fiscal staff, program managers along with the contract manager. These visits are typically 1-2 hours in length.

The Contract Manager will also use this type of visit to stop by and check in with you. There may not be any current issues or concerns noted. It is always good practice to stop in and see how things are going, answer your questions and be there to help you with any issues/concerns you may be having. This is also a good way to make sure that you, as a contractor, feel connected to CA and the greater community of providers.