



CHILDREN'S ADMINISTRATION

Contract Risk Assessment / Analysis

Administrative Policy 13.11

July 1, through June 30,

HQ PROGRAM MANAGER	DATE ASSESSMENT COMPLETED
REGIONAL CONTRACT MANAGER	DATE ASSESSMENT COMPLETED

TYPE OF CONTRACT Choose an item.	SERVICE ASSESSMENT APPLIES TO: <input type="checkbox"/> All contracts of this type of service <input type="checkbox"/> Single contract <input type="checkbox"/> Other (specify):	RISK ASSESSMENT TYPE <input type="checkbox"/> Contract Pre-Screening <input type="checkbox"/> Annual Review <input type="checkbox"/> Other (specify):
---	--	---

GENERAL INFORMATION

1. There are fields that contain drop down boxes to make things easier.
2. Leave no question unanswered or without a score
3. All subtotals in Parts A, B, and C will automatically sum (Excel version only).

PART A INSTRUCTIONS

1. There are five (5) categories required by policy to be evaluated for potential risk. Each has a number of questions to be answered.
2. Identify Program Risk Factors that pertain to this contracted program / service and enter the Risk Value in the Score column for each question.
3. All questions must be answered and a score entered in the Score column; no blank scores.

PART A: Program Level Risk Factors	Risk Values	Score
Section 1. Client Health and Safety		
The degree to which clients will be subjected to risk to their health and safety based on either the nature of the service or the vulnerability of the clients.		
Does the Contractor have unsupervised access to children (counseling / therapy, evaluations, transportation, residential supervision, etc.)?	5 Yes 0 No	
What is the level of unsupervised access to children? <ul style="list-style-type: none"> • Low (i.e. evaluations, one to two contacts in a 90-day period) • Medium (i.e. counseling / therapy, in-home services) • High (i.e. visitation, transportation, residential placement) 	1 Low 3 Medium 5 High	
Subtotal		0
Section 2. Program / Service History		
The measurement of risk associated with programs or services that are new or high profile.		
Is this service new to Children's Administration (CA)?	5 Yes 0 No	
Is this service high profile or is there significant stakeholder interest? <ul style="list-style-type: none"> • Low (no interest outside of clients being served) • Medium (large stakeholder interest) • High (high profile or has significant legislative or stakeholder interest) 	0 Low 3 Medium 5 High	
Subtotal		0
Section 3. Complexity of Service		
The measurement of risk associated with the contracted service as indicated by such things as the need for specialized skills, complex service requirements, and the need for a high level of detail.		

Is there a complex statement of work with multiple components, or numerous service requirements needing high level of detail and contract program management?	5 Yes 0 No	
Does the service require specialized skill and/or education by the Contractor? <ul style="list-style-type: none"> • Advanced / Specialized skills, certifications and/or education level, e.g., MSW, MD, PhD • Some classroom, hands-on training and/or high school diploma or GED 	0 None 1 Advanced 3 Some	
Subtotal		0
Section 4. Financial		
The measurement of risk associated with funding such as funding amounts, funding requirements, and federal funding issues.		
What is the budget amount for this entire service?	0 Under \$50,000 1 \$50,000 - \$500,000 3 \$500,000 - \$2 million 5 Over \$2 million	
How is this contract funded?	1 Single funding 3 Multiple sources 5 Federal / State	
Subtotal		0
Section 5. Data Sharing		
The measurement of risk associated with paper and electronic sharing of confidential and/or Protected Health Information (PHI).		
To what extent is data shared with external non-government entities? <ul style="list-style-type: none"> • Low (little or no information is shared) • Medium (sharing personal information, names, addresses, phone, SSN) • High (significant sharing of confidential or Protected Health Information) 	1 Low 3 Medium 5 High	
To what extent is data shared with external government entities? <ul style="list-style-type: none"> • Low (little or no information is shared) • Medium (sharing personal information, names, addresses, phone, SSN) • High (significant sharing of confidential or Protected Health Information) 	1 Low 3 Medium 5 High	
Subtotal		0
Section A Subtotal		0
PART B INSTRUCTIONS		
<ol style="list-style-type: none"> 1. There are four (4) categories required by policy to be evaluated for potential risk. Each has a number of questions to be answered. 2. Identify Program Risk Factors that pertain to each listed individual Contractor and enter the Risk Value in the Score column for each question. 3. All questions must be answered and a score entered in the Score column; no blank scores. 		
PART B: Contractor Level Risk Factors - Group 1 through 7		
Section 1. Contractor Experience		
The measurement of risk associated with the experience of the Contractor in providing the services for which the contract is written.		
	Risk Values	Contractor 1 Contractor 2 Contractor 3 Contractor 4 Contractor 5 Contractor 6 Contractor 7
CONTRACTOR NAMES:		
What is the Contractor's experience providing these specific services to CA clients? <ul style="list-style-type: none"> • Contractor has significant experience (3+ years) • Contractor has some experience (1 - 2 years) • Contractor new (0 - 1 years) 	0 Significant 3 Some 5 New	

Does the Contractor have experience with DSHS and CA contracting rules and procedures? <ul style="list-style-type: none"> • Low (contractor has significant experience with DSHS contracting rules) • Medium (contractor has some experience with DSHS contracting rules) • High (contractor has no experience with DSHS contracting rules) 	0 Low 3 Medium 5 High							
Subtotal		0						
Section 2. Performance History								
The measurement of risk associated with contract compliance.								
	Risk Values	Contractor 1	Contractor 2	Contractor 3	Contractor 4	Contractor 5	Contractor 6	Contractor 7
Have there been any compliance agreement(s) relevant to the CA contract(s) in the past 12-months?	0 None 3 Yes, due to monitoring findings 5 Yes, immediate compliance agreement (child safety)							
Have non-compliance or contract deficiencies identified in a compliance agreement(s) been implemented and satisfactorily resolved in the timeframe given?	0 N/A 0 Yes 3 Partially 5 No							
Are reports consistently completed timely and appropriately?	0 Yes 3 Partially 5 No							
Are there current background clearances on records for all staff who have unsupervised access to CA children?	0 Yes 5 No							
What is the level of turnover of management, staff or program personnel? <ul style="list-style-type: none"> • Low (percent / number of staff as it relates to total staff is less than 1/4) • Medium (percent / number of staff as it relates to total staff is 1/4 to 1/2) • High (percent / number of staff as it relates to total staff is greater than 1/2 and/or management/ supervisory staff) 	0 Low 3 Medium 5 High							
Does the Contractor communicate with CA staff in a timely manner?	0 Yes 3 Somewhat 5 No							

When was the last on-site visit conducted?	1 1 year 3 2 years 5 3 years							
Did CA stop sending referrals to either this agency as a whole in the past 12-months or was an individual staff member suspended from working	0 N/A 3 Individual 5 Agency							
Has the Contractor experienced a data security breach in the past year?	0 Yes 5 No							
Subtotal		0						

Section 3. Multiple Contracts / Funding

The measurement of risk associated with the number of different funding sources, including other contracts with other programs within the department and other entities.

	Risk Values	Contractor 1	Contractor 2	Contractor 3	Contractor 4	Contractor 5	Contractor 6	Contractor 7
How many active CA contracts does the Contractor hold?	0 1 - 2 3 2 - 5 5 6 or more							
To what extent will other State / Federal contracts impact services? • Low (no other contracts) • Medium (multiple contracts within DSHS) • High (multiple contracts with several agencies for similar services)	0 Low 3 Medium 5 High							
What was the previous year funding?	0 Under \$50,000 3 \$51,000 to \$250,000 5 Over \$251,000							
Does the Contractor consistently bill on-time, using the correct billing methods?	0 Yes 3 Somewhat 5 No							
Subtotal		0						

Section 4. Subcontracting

The measurement of risk associated with a contractor subcontracting out key activities and their ability to monitor the subcontractors' performance.

	Risk Values	Contractor 1	Contractor 2	Contractor 3	Contractor 4	Contractor 5	Contractor 6	Contractor 7
To what extent will services be subcontracted? • Low (no subcontractors) • Medium (key activities and/or deliverables will be performed by subcontractors) • High (Contractor is similar to a brokerage doing little or no work other than monitoring subcontractors)	0 Low 3 Medium 5 High							
Is there a current subcontractor Approval Request form on file?	0 Yes 5 No							

How many subcontractors does the Contractor use to perform services?	0 None							
	1 1 - 10							
	3 11 - 20							
	5 21 - 50+							

Subtotal	0						
Section B. Contractors 1 - 7 Subtotal	0						

PART C INSTRUCTIONS
1. NOTES section can be used to record any type of additional information needed.

PART C: Risk Score and Level - Providers 1 through 7

	Contractor 1	Contractor 2	Contractor 3	Contractor 4	Contractor 5	Contractor 6	Contractor 7
CONTRACTOR NAMES:	0	0	0	0	0	0	0
Part A. Program Level Core Risk Factors - Total Score	0	0	0	0	0	0	0
Part B. Contractor Level Risk Factors - Total Score	0	0	0	0	0	0	0
Total Risk Assessment Score (Part A + Part B)	0	0	0	0	0	0	0
Risk Assessment Level 0 - 45 = Low 46 - 90 = Medium 91 and above = High	Low						

NOTES

Additional Contractors

1. There are four (4) categories required by policy to be evaluated for potential risk. Each has a number of questions to be answered.
2. Identify Program Risk Factors that pertain to each listed individual Contractor and enter the Risk Value in the Score column for each question.
3. All questions must be answered and a score entered in the Score column; no blank scores.

PART B: Contractor Level Risk Factors - Group 8 through 14

Section 1. Contractor Experience

The measurement of risk associated with the experience of the Contractor in providing the services for which the contract is written.

	Risk Values	Contractor 8	Contractor 9	Contractor 10	Contractor 11	Contractor 12	Contractor 13	Contractor 14
CONTRACTOR NAMES:								
What is the Contractor's experience providing these specific services to CA clients? <ul style="list-style-type: none"> • Contractor has significant experience (3+ years) • Contractor has some experience (1 - 2 years) • Contractor new (0 - 1 years) 	0 Significant 3 Some 5 New							
Does the Contractor have experience with DSHS and CA contracting rules and procedures? <ul style="list-style-type: none"> • Low (contractor has significant experience with DSHS contracting rules) • Medium (contractor has some experience with DSHS contracting rules) • High (contractor has no experience with DSHS contracting rules) 	0 Low 3 Medium 5 High							
Subtotal		0	0	0	0	0	0	0

Section 2. Performance History

The measurement of risk associated with contract compliance.

	Risk Values	Contractor 8	Contractor 9	Contractor 10	Contractor 11	Contractor 12	Contractor 13	Contractor 14
Have there been any compliance agreement(s) relevant to the CA contract(s) in the past 12-months?	0 None 3 Yes, due to monitoring findings 5 Yes, immediate compliance agreement (child safety)							

Have non-compliance or contract deficiencies identified in a compliance agreement(s) been implemented and satisfactorily resolved in the timeframe given?	0 N/A 0 Yes 3 Partially 5 No							
Are reports consistently completed timely and appropriately?	0 Yes 3 Partially 5 No							
Are there current background clearances on records for all staff who have unsupervised access to CA children?	0 Yes 5 No							
What is the level of turnover of management, staff or program personnel? • Low (percent / number of staff as it relates to total staff is less than 1/4) • Medium (percent / number of staff as it relates to total staff is 1/4 to 1/2) • Medium (percent / number of staff as it relates to total staff is greater than 1/2 and/or management/ supervisory staff)	0 Low 3 Medium 5 High							
Does the Contractor communicate with CA staff in a timely manner?	0 Yes 3 Somewhat 5 No							
When was the last on-site visit conducted?	1 1 year 3 2 years 5 3 years							
Did CA stop sending referrals to either this agency as a whole in the past 12-months or was an individual staff member suspended from working with CA clients?	0 N/A 3 Individual 5 Agency							
Has the Contractor experienced a data security breach in the past year?	0 Yes 5 No							
Subtotal		0	0	0	0	0	0	0
Section 3. Multiple Contracts / Funding								
The measurement of risk associated with the number of different funding sources, including other contracts with other programs within the department and other entities.								
	Risk Values	Contractor 8	Contractor 9	Contractor 10	Contractor 11	Contractor 12	Contractor 13	Contractor 14
How many active CA contracts does the Contractor hold?	0 1 - 2 3 2 - 5 5 6 or more							

To what extent will other State / Federal contracts impact services? <ul style="list-style-type: none"> • Low (no other contracts) • Medium (multiple contracts within DSHS) • High (multiple contracts with several agencies for similar services) 	0 Low 3 Medium 5 High							
What was the previous year funding?	0 Under \$50,000 3 \$51,000 to \$250,000 5 Over \$251,000							
Does the Contractor consistently bill on-time, using the correct billing methods?	0 Yes 3 Somewhat 5 No							
Subtotal		0						

Section 4. Subcontracting

The measurement of risk associated with a contractor subcontracting out key activities and their ability to monitor the subcontractors' performance.

	Risk Values	Contractor 8	Contractor 9	Contractor 10	Contractor 11	Contractor 12	Contractor 13	Contractor 14
To what extent will services be subcontracted? <ul style="list-style-type: none"> • Low (no subcontracting) • Medium (key activities and/or deliverables will be performed by subcontractors) • High (Contractor is similar to a brokerage doing little or no work other than monitoring subcontractors) 	0 Low 3 Medium 5 High							
Is there a current subcontractor Approval Request form on file?	0 Yes 5 No							
How many subcontractors does the Contractor use to perform services?	0 None 1 1 - 10 3 11 - 20 5 21 - 50+							
Subtotal		0	0	0	0	0	0	0
Section B. Contractors 8 - 14 Subtotal		0	0	0	0	0	0	0

PART C INSTRUCTIONS

1. NOTES section can be used to record any type of additional information needed.

PART C: Risk Score and Level - Providers 8 through 14

	Contractor 8	Contractor 9	Contractor 10	Contractor 11	Contractor 12	Contractor 13	Contractor 14
CONTRACTOR NAMES:	0	0	0	0	0	0	0
Part A. Program Level Core Risk Factors - Total Score	0	0	0	0	0	0	0
Part B. Contractor Level Risk Factors - Total Score	0	0	0	0	0	0	0
Total Risk Assessment Score (Part A + Part B)	0	0	0	0	0	0	0
Risk Assessment Level 0 - 45 = Low 46 - 90 = Medium 91 and above = High	Low	Low	Low	Low	Low	Low	Low

NOTES

Additional Contractors

1. There are four (4) categories required by policy to be evaluated for potential risk. Each has a number of questions to be answered.
2. Identify Program Risk Factors that pertain to each listed individual Contractor and enter the Risk Value in the Score column for each question.
3. All questions must be answered and a score entered in the Score column; no blank scores.

PART B: Contractor Level Risk Factors - Group 15 through 21

Section 1. Contractor Experience

The measurement of risk associated with the experience of the Contractor in providing the services for which the contract is written.

	Risk Values	Contractor 15	Contractor 16	Contractor 17	Contractor 18	Contractor 19	Contractor 20	Contractor 21
CONTRACTOR NAMES:								
What is the Contractor's experience providing these specific services to CA clients? • Contractor has significant experience (3+ years) • Contractor has some experience (1 - 2 years) • Contractor new (0 - 1 years)	0 Significant 3 Some 5 New							
Does the Contractor have experience with DSHS and CA contracting rules and procedures? • Low (contractor has significant experience with DSHS contracting rules) • Medium (contractor has some experience with DSHS contracting rules) • High (contractor has no experience with DSHS contracting rules)	0 Low 3 Medium 5 High							
Subtotal		0						

Section 2. Performance History

The measurement of risk associated with contract compliance issues.

	Risk Values	Contractor 15	Contractor 16	Contractor 17	Contractor 18	Contractor 19	Contractor 20	Contractor 21
Have there been any compliance agreement(s) relevant to the CA contract(s) in the past 12-months?	0 None 3 Yes, due to monitoring findings 5 Yes, immediate compliance agreement (child safety)							

Have non-compliance or contract deficiencies identified in a compliance agreement(s) been implemented and satisfactorily resolved in the timeframe given?	0 N/A 0 Yes 3 Partially 5 No							
Are reports consistently completed timely and appropriately?	0 Yes 3 Partially 5 No							
Are there current background clearances on records for all staff who have unsupervised access to CA children?	0 Yes 5 No							
What is the level of turnover of management, staff or program personnel? • Low (percent / number of staff as it relates to total staff is less than 1/4) • Medium (percent / number of staff as it relates to total staff is 1/4 to 1/2) • Medium (percent / number of staff as it relates to total staff is greater than 1/2 and/or management/ supervisory staff)	0 Low 3 Medium 5 High							
Does the Contractor communicate with CA staff in a timely manner?	0 Yes 3 Somewhat 5 No							
When was the last on-site visit conducted?	0 1 year 3 2 years 5 3 years							
Did CA stop sending referrals to either this agency as a whole in the past 12-months or was an individual staff member suspended from working with CA clients?	0 N/A 3 Individual 5 Agency							
Has the Contractor experienced a data security breach in the past year?	0 Yes 5 No							
Subtotal		0						
Section 3. Multiple Contracts / Funding								
The measurement of risk associated with the number of different funding sources, including other contracts with other programs within the department and other entities.								
	Risk Values	Contractor 15	Contractor 16	Contractor 17	Contractor 18	Contractor 19	Contractor 20	Contractor 21
How many active CA contracts does the Contractor hold?	0 1 - 2 3 2 - 5 5 6 or more							

To what extent will other State / Federal contracts impact services? <ul style="list-style-type: none"> • Low (no other contracts) • Medium (multiple contracts within DSHS) • High (multiple contracts with several agencies for similar services) 	0 Low 3 Medium 5 High							
What was the previous year funding?	0 Under \$50,000 3 \$51,000 to \$250,000 5 Over \$251,000							
Does the Contractor consistently bill on-time, using the correct billing methods?	0 Yes 3 Somewhat 5 No							
Subtotal		0						

Section 4. Subcontracting

The measurement of risk associated with a contractor subcontracting out key activities and their ability to monitor the subcontractors' performance.

	Risk Values	Contractor 15	Contractor 16	Contractor 17	Contractor 18	Contractor 19	Contractor 20	Contractor 21
To what extent will services be subcontracted? <ul style="list-style-type: none"> • Low (no subcontractors) • Medium (key activities and/or deliverables will be performed by subcontractors) • High (Contractor is similar to a brokerage doing little or no work other than monitoring subcontractors) 	0 Low 3 Medium 5 High							
Is there a current subcontractor Approval Request on file?	0 Yes 5 No							
How many subcontractors does the Contractor use to perform services?	0 None 1 1 - 10 3 11 - 20 5 21 - 50+							
Subtotal		0						
Section B. Contractors 15 - 21 Subtotal		0						

PART C INSTRUCTIONS

1. NOTES section can be used to record any type of additional information needed.

PART C: Risk Score and Level - Providers 15 through 21

	Contractor 15	Contractor 16	Contractor 17	Contractor 18	Contractor 19	Contractor 20	Contractor 21
CONTRACTOR NAMES:	0	0	0	0	0	0	0
Part A. Program Level Core Risk Factors - Total Score	0	0	0	0	0	0	0
Part B. Contractor Level Risk Factors - Total Score	0	0	0	0	0	0	0
Total Risk Assessment Score (Part A + Part B)	0	0	0	0	0	0	0
Risk Assessment Level 0 - 45 = Low 46 - 90 = Medium 91 and above = High	Low						

NOTES

Monitoring Plan Worksheet and Matrix

July 1, 0 through June 30, 0

REGIONAL CONTRACT MANAGER	DATE ASSESSMENT COMPLETED
=I5	1/0/1900

The Monitoring Plan Worksheet has been designed to determine the level of monitoring activities required during the monitoring cycle for all contractors. This tool will objectively determine who will be monitored and the type of activities to be conducted. CA has determined that there are six (6) factors, broken into two categories that reflect a need for increased monitoring activities; separate from the risk assessment tool. Historically, these six (6) factors have lead to contract terminations and compliance issues with contract terms and conditions. By using the scores of these six (6) factors from the risk assessment tool, CA can objectively determine an appropriate level of monitoring and a set of activities that are appropriate for manager oversight.

Monitoring Factors:

Likelihood of compliance issues / concerns

- Factor 1: High profile / stakeholder interest
- Factor 2: On-site monitoring visits
- Factor 3: Funding

History of compliance issues / concerns

- Factor 4: Compliance Agreements
- Factor 5: Stop referrals
- Factor 6: Subcontracting

Monitoring Matrix

History of compliance issues / concerns	Likelihood of compliance issues / concerns		
	Seldom Score between 0 - 5	Occasional Score between 6 - 10	Likely Score between 11 - 15
Minor Score between 0 - 5	LOW	LOW	MEDIUM
Moderate Score between 6 - 10	LOW	MEDIUM	HIGH
Major Score between 11 - 15	MEDIUM	HIGH	HIGH

Monitoring Factor Worksheet

Contractor	Factor 1	Factor 2	Factor 3	Likelihood	Factor 4	Factor 5	Factor 6	History	Matrix Level
0	0	0	0	0	0	0	0	0	Low
0	0	0	0	0	0	0	0	0	Low
0	0	0	0	0	0	0	0	0	Low
0	0	0	0	0	0	0	0	0	Low
0	0	0	0	0	0	0	0	0	Low
0	0	0	0	0	0	0	0	0	Low
0	0	0	0	0	0	0	0	0	Low
0	0	0	0	0	0	0	0	0	Low
0	0	0	0	0	0	0	0	0	Low
0	0	0	0	0	0	0	0	0	Low
0	0	0	0	0	0	0	0	0	Low
0	0	0	0	0	0	0	0	0	Low
0	0	0	0	0	0	0	0	0	Low
0	0	0	0	0	0	0	0	0	Low
0	0	0	0	0	0	0	0	0	Low

0	0	0	0	0	0	0	0	0	Low
0	0	0	0	0	0	0	0	0	Low
0	0	0	0	0	0	0	0	0	Low
0	0	0	0	0	0	0	0	0	Low
0	0	0	0	0	0	0	0	0	Low
0	0	0	0	0	0	0	0	0	Low
0	0	0	0	0	0	0	0	0	Low
0	0	0	0	0	0	0	0	0	Low
0	0	0	0	0	0	0	0	0	Low
0	0	0	0	0	0	0	0	0	Low