

DEPARTMENT OF CHILDREN, YOUTH, AND FAMILIES (DCYF)

# **Contract Risk Assessment / Analysis**

Administrative Policy 13.11

REGIONAL CONTRACT	DATE ASSESSMENT
MANAGER	COMPLETED

DATE ASSESSMENT

COMPLETED

HQ PROGRAM MANAGER

Dick Values

July <sup>,</sup>	1, through June 30,	
TYPE OF CONTRACT	SERVICE ASSESSMENT APPLIES TO:	RISK ASSESSMENT TYPE
Choose an item.	☐ All contracts of this type of service ☐ Single contract ☐ Other (specify):	☐ Contract Pre-Screening ☐ Annual Review ☐ 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.

DADT A: Program Lovel Dick Eactors

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.
degree to which clients will be subjected to risk to their health and safety based on either the nature of the service or the volume of the contractor have unsupervised access to children (counseling / therapy, evaluations, transportation, dential supervision, etc.)?  It is the level of unsupervised access to children?  It is the level of unsupervi		
What is the level of unsupervised access to children?	1 Low	
<ul> <li>Low (i.e. evaluations, one to two contacts in a 90-day period)</li> </ul>	3 Medium	
Medium (i.e. counseling / therapy, in-home services)	5 High	
High (i.e. visitation, transportation, residential placement)		
	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?	0 Low	
Low (no interest outside of clients being served)	3 Medium	
Medium (large stakeholder interest)	5 High	
High (high profile or has significant legislative or stakeholder interest)		
	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.

	omponents, or n	umerous servic	e requirements	needing high	5 Vos 0 No	`		
					5 165 0 NO	,		
· · ·	•				0 None			
		-	ИD, PhD		1 Advanced			
<ul> <li>Some classroom, hands-on training and/or high seems.</li> </ul>	chool diploma oı	GED			3 Some			
						Subtotal		0
Section 4. Financial								
	ıch as funding aı	mounts, fundinເ	g requirements,	and federal fur	nding issues.			
What is the budget amount for this entire service?					0 Under \$50,0	000		
					1 \$50,000 - \$	500,000		
					3 \$500,000 - 3	\$2 million		
					5 Over \$2 mil	lion		
How is this contract funded?					1 Single fundi	ng		
Advanced / Specialized skills, certifications and/or education level, e.g., MSW, MD, PhD 3 Some  Subtots 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?  What is the budget amount for this entire service?  O Under \$50,000 1 \$50,000 - \$50,000 3 \$500,000 \$2 million 5 Over \$2 million 5 Over \$2 million 5 Over \$2 million 1 \$1 Single funding 3 Multiple sources 5 Federal / State  Section 5. Date 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?  Low (little or no information is shared)  Medium (sharing personal information, names, addresses, phone, SSN)  High (significant sharing of confidential or Protected Health Information)  To what extent is data shared with external government entities?  Low (little or no information is shared)  **Low (little or no information is s								
					5 Federal / St	ate		
					•	Subtotal		0
Section 5. Date Sharing								
	electronic shari	ng of confidenti	al and/or Prote	cted Health Info	ormation (PHI).			
					3 Medium			
	dresses, phone,	SSN)						
					Ĭ			
		,			1 Low			
_								
,	dresses, phone.	SSN)						
I	-							
3 (13 11 11 11 11 11 11 11 11 11 11 11 11 1		,				Subtotal		0
					Conti			
DART R INCTRUCTIONS					3600	on A Subtotal		0
<ol> <li>There are four (4) categories required by police</li> <li>Identify Program Risk Factors that pertain to</li> </ol>	each listed indi	vidual Contrac	tor and enter	he Risk Value				
PART	B: Contra	ctor Level	Risk Factor	rs - Group	1 through	7		
				•				
	ence of the Cont	ractor in provid	ing the services	s for which the	contract is writt	en.		
·						Contractor 5	Contractor 6	Contractor 7
CONTR	RACTOR NAMES:							
What is the Contractor's experience providing	0 Significant							
these specific services to DCYF clients?	3 Some							
•								
Contractor has some experience (1 - 2 years)								
1	1		1			1	1	
Contractor new (0 - 1 years)								

Does the Contractor have experience with DSHS and DCYF contracting rules and procedures?  • Low (contractor has significant experience with DSHS contracting rules)  • Medium (contractor has some experience with	0 Low 3 Medium 5 High							
DSHS contracting rules)								
<ul> <li>High (contractor has no experience with DSHS contracting rules)</li> </ul>								
	Subtotal	0	0	0	0	0	0	0
Section 2. Performance History  The measurement of risk associated with contract c	ompliance.	Contractor 1	Contractor 2	Contractor 3	Contractor 4	Contractor 5	Contractor 6	Contractor 7
Have there been any compliance agreement(s) relevant to the DCYF contract(s) in the past 12-months?	0 None 3 Yes, due to monitoring findings							

Have there been any compliance agreement(s) relevant to the DCYF contract(s) in the past 12-months?	<ul> <li>None</li> <li>Yes, due to monitoring findings</li> <li>Yes, immediate compliance agreement (child safety)</li> </ul>				
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				
<ul> <li>What is the level of turnover of management, staff or program personnel?</li> <li>Low (percent / number of staff as it relates to total staff is less than 1/4)</li> <li>Medium (percent / number of staff as it relates to total staff is 1/4 to 1/2)</li> <li>Medium (percent / number of staff as it relates to total staff is 1/4 to 1/2)</li> </ul>	0 Low 3 Medium 5 High				
<ul> <li>Medium (percent / number of staff as it relates to total staff is greater than 1/2 and/or management/ supervisory staff)</li> </ul>					
Does the Contractor communicate with CA staff in a timely manner?	<ul><li>0 Yes</li><li>3 Somewhat</li><li>5 No</li></ul>				

141 4 4 4 4 4 10	T		г	1				
When was the last on-site visit conducted?	1 1 year	,						
	3 2 years	,						
	5 3 years							
Did DCYF stop sending referrals to either this	0 N/A	,						
agency as a whole in the past 12-months or was	3 Individual	,						
an individual staff member suspended from	5 Agency							
Mର୍ଟ୍ୟମଣ Contractor experienced a data security	0 Yes	!						
breach in the past year?	5 No							
	Subtotal	0	0	0	0	0	0	0
Section 3. Multiple Contracts / Funding								
The measurement of risk associated with the number								
	Risk Values	Contractor 1	Contractor 2	Contractor 3	Contractor 4	Contractor 5	Contractor 6	Contractor 7
How many active DCYF contracts does the	0 1 - 2	,						
Contractor hold?	3 2 - 5	,						
	5 6 or more							
To what extent will other State / Federal contracts	0 Low							
impact services?	3 Medium	,						
Low (no other contracts)	5 High	,						
Medium (multiple contracts within DSHS)		,						
High (multiple contracts with several agencies		!						
for similar services)		,						
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	0 Yes							
the correct billing methods?	3 Somewhat	,						
	5 No	!						
		0	0	Δ.	0	0	0	0
Section 4. Subcontracting	Subtotal	0	0	0	0	0	0	0
<u> </u>					46			
The measurement of risk associated with a contractor		Contractor 1						Contractor 7
T		Contractor 1	Contractor 2	Contractor 3	Contractor 4	Contractor 5	Contractor 6	Contractor 1
To what extent will services be subcontracted?	0 Low	,						
Low (no subcontractorss)	3 Medium							
Medium (key activities and/or deliverables will be	5 High							
performed by subcontractors)	1							
High (Contractor is similar to a brokerage doing	1							
little or no work other than monitoring	1							
subcontractors)	1							
Is there a current subcontractor Approval Request	0. )/	<del> </del>	<del> </del>					
form on file?	0 Yes							
norm on me:	5 No							

How many subcontractors does the Contractor use	0 None							
to perform services?	1 1 - 10							
	3 11 - 20							
	5 21 - 50+							
	Subtotal	0	0	0	0	0	0	0
Section B. Contractors	s 1 - 7 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	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	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 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
CONTR	ACTOR NAMES:							
What is the Contractor's experience providing these specific services to CA clients?	<ul><li>0 Significant</li><li>3 Some</li></ul>							
<ul> <li>Contractor has significant experience (3+ years)</li> <li>Contractor has some experience (1 - 2 years)</li> <li>Contractor new (0 - 1 years)</li> </ul>	5 New							
Does the Contractor have experience with DCYF 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							
Ocation O. Borforman as History	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 DCYF contract(s) in the past 12-months?	0 None 3 Yes, due to monitoring							
	findings 5 Yes,							
	immediate compliance							
	agreement (child safety							

Section 3. Multiple Contracts / Funding	Subtotal	0	0	0	0	0	0	0
reach in the past veer?	0 Yes 5 No							
ndividual staff member suspended from working vith CA clients?	3 Individual 5 Agency							
Did CA stop sending referrals to either this agency	5 3 years 0 N/A							
	3 2 years							
When was the last on-site visit conducted?	1 1 year							
	5 No							
Does the Contractor communicate with CA staff in a timely manner?	0 Yes 3 Somewhat							
supervisory staff)								
Medium (percent / number of staff as it relates to total staff is greater than 1/2 and/or management/								
Medium (percent / number of staff as it relates to total staff is 1/4 to 1/2)								
Low (percent / number of staff as it relates to total staff is less than 1/4)	5 High							
What is the level of turnover of management, staff or program personnel?	0 Low 3 Medium							
coords for all staff who have unauparvised access	0 Yes 5 No							
appropriately?	0 Yes 3 Partially 5 No							
imeframe given?	3 Partially 5 No							
dentified in a compliance agreement(s) been	0 N/A 0 Yes							

	Risk Values	Contractor 8	Contractor 9	Contractor 10	Contractor 11	Contractor 12	Contractor 13	Contractor 14
How many active DCYF contracts does the	0 1-2							
Contractor hold?	3 2 - 5							
	5 6 or more							

To what extent will other State / Federal contracts impact services?	0 Low							
	<ul><li>3 Medium</li><li>5 High</li></ul>							
	3 Tilgit							
Medium (multiple contracts within DSHS)								
High (multiple contracts with several agencies								
for similar services)								
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							
the correct billing methods?	3 Somewhat							
	5 No							
	Subtotal	0	0	0	0	0	0	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?	0 Low					·-		
Low (no subcontracting)	3 Medium							
Medium (key activities and/or deliverables will be	5 High							
performed by subcontractors)								
High (Contractor is similar to a brokerage doing								
little or no work other than monitoring								
subcontractors)								
Is there a current subcontractor Approval Request form on file?	0 Yes							
	5 No							
How many subcontractors does the Contractor use	0 None							
to perform services?	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 9	Contractor 9	Contractor	Contractor	Contractor	Contractor	Contractor
	Contractor 6	Contractor 9	10	11	12	13	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
CONTR	ACTOR NAMES:							
What is the Contractor's experience providing	0 Significant							
these specific services to CA clients?	3 Some							
Contractor has significant experience (3+ years)	5 New							
Contractor has some experience (1 - 2 years)								
Contractor new (0 - 1 years)								
Does the Contractor have experience with DSHS	0 Low							
and CA contracting rules and procedures?	3 Medium							
<ul> <li>Low (contractor has significant experience with</li> </ul>	5 High							
DSHS contracting rules)								
<ul> <li>Medium (contractor has some experience with</li> </ul>								
DSHS contracting rules)								
<ul> <li>High (contractor has no experience with</li> </ul>								
DSHS contracting rules)								
	Subtotal	0	0	0	0	0	0	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)	0 None							
relevant to the CA contract(s) in the past 12-	3 Yes, due to							
months?	monitoring							
	findings							
	5 Yes,							
	immediate							
	compliance							
	agreement							

	(child safety)							
Have non-compliance or contract deficiencies	0 N/A							
identified in a compliance agreement(s) been implemented and satisfactorily resolved in the	0 Yes							
timeframe given?	3 Partially							
annersanne green	5 No							
Are reports consistently completed timely and	0 Yes							
appropriately?	3 Partially							
	5 No							
	0 Yes							
records for all staff who have unsupervised access to DCYF children?	5 No							
What is the level of turnover of management,	0 Low							
staff or program personnel?	3 Medium							
<ul> <li>Low (percent / number of staff as it relates to</li> </ul>	5 High							
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)								
Does the Contractor communicate with CA staff in a	0 Yes							
timely manner?	3 Somewhat							
	5 No							
When was the last on-site visit conducted?	0 1 year							
	3 2 years							
	5 3 years							
Did DCYF stop sending referrals to either this	0 N/A			_	_			
agency as a whole in the past 12-months or was	3 Individual							
an individual staff member suspended from working with DCYF clients?	5 Agency							
	0 Yes							
hannah in tha maat waar?	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 15	Contractor 16	Contractor 17	Contractor 18	Contractor 19	Contractor 20	Contractor 21
How many active DCYF contracts does the	0 1-2							
Contractor hold?	3 2 - 5							

	5 6 or more							
To what extent will other State / Federal contracts	0 Low							
impact services?	3 Medium							
Low (no other contracts)	5 High							
Medium (multiple contracts within DSHS)								
High (multiple contracts with several agencies								
for similar services)								
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	0 Yes							
the correct billing methods?	3 Somewhat							
	5 No							
	Subtotal	0	0	0	0	0	0	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?	0 Low							
Low (no subcontractors)	3 Medium							
Medium (key activities and/or deliverables will be	5 High							
performed by subcontractors)								
High (Contractor is similar to a brokerage doing								
little or no work other than monitoring								
subcontractors)								
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	0	0	0	0	0	0

Section B. Contractors 15 - 21 Subtotal	0	0	0	0	0	0	0
PART C INSTRUCTIONS							
1. NOTES section can be used to record any type of additional i	information ne	eded.					
PART C: Risk S	Score and I	Level - Pro	viders 15 t	hrough 21			
	Contractor	Contractor	Contractor	Contractor	Contractor	Contractor	Contractor
	15	16	17	18	19	20	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	Low	Low	Low	Low	Low	Low
NOTES		•					



# Monitoring Plan Worksheet and Matrix

July 1, 0 through June 30, 0

	DATE ASSESSMENT COMPLETED
=15	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. DCYF 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, DCYF 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

#### History of compliance issues / concerns

Factor 4: Compliance Agreements

Factor 5: Stop referrals

Factor 3: Funding			Factor 6:	Subcontracting	9				
			Monito	oring Matrix	K				
	Likelihood of compliance issues / concerns								
History of compliance issues / concerns	Seldom Score between 0 - 5 LOW			Occasional Score between 6 - 10 LOW			Likely Score between 11 - 15 MEDIUM		
Minor Score between 0 - 5									
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	Low
)	0	0	0	0	0	0	0	0	Low
)	0	0	0	0	0	0	0	0	Low
)	0	0	0	0	0	0	0	0	Low
	0	0	0	0	0	0	0	0	Low
)	0	0	0	0	0	0	0	0	Low
)	0	0	0	0	0	0	0	0	Low
)	0	0	0	0	0	0	0	0	Low
)	0	0	0	0	0	0	0	0	Low
) )	0	0	0	0	0	0	0	0	Low
)	0	0	0	0	0	0	0	0	Low
)	0	0	0	0	0	0	0	0	Low
)	0	0	0	0	0	0	0	0	Low
)	0	0	0	0	0	0	0	0	Low
)	0	0	0	0	0	0	0	0	Low
	0	0	0	0	0	0	0	0	Low
	0	0	0	0	0	0	0	0	Low
	0	0	0	0	0	0	0	0	Low
	0	0	0	0	0	0	0	0	Low
	0	0	0	0	0	0	0	0	Low