

County of San Diego
Health and Human Services Agency (HHSA)

Section: Contract Administration/Monitoring

SUBJECT: Monitoring Plan

NO: HHSA-G-4.3

PAGE 1 of 4

DATE: October 1, 2013

REFERENCE: HHSA-G-4.2 Monitoring Assessment

SUPERSEDES: HHSA-G-4.3 10/1/11

PURPOSE:

To provide guidelines on what should be included in a monitoring plan.

BACKGROUND:

A monitoring plan is a document containing the activities that will be conducted over a year (or less for shorter contracts) on each unique Statement Of Work (SOW) within a contract to ensure that the contractor is in compliance with contract requirements, services are being delivered at an acceptable level of quality, outcomes and objectives are on-track to be met or have been met, and that the program is having the anticipated impact on the target population.

A monitoring plan outlines the extent of monitoring, the level, the method(s) that will be used to monitor a contract, and how the activity will be documented. The monitoring plan is a comprehensive look at the various monitoring activities that will be conducted and connects the activities to the priority element of the contract requiring the monitoring.

POLICY:

The Region/Division responsible for administering the contract will develop a monitoring plan for each unique SOW in a contract to ensure contracted services are being provided in accordance with contract requirements. Multiple SOWs for the same service may use one monitoring plan. The Plan will include specifics on how the contract will be monitored by the Region/Division, and must include the minimum number of monitoring activities required by the Monitoring Assessment level, the list of deliverables to be monitored/reviewed, when, how and who will be monitoring the contract components.

Monitoring Assessment Factors with a high rating will show a corresponding level of monitoring in the Monitoring Plan. The Monitoring Plan will tie the Monitoring Assessment Factor to the contract elements and the monitoring activity.

In the event any subcontractor is utilized by Contractor for any portion of the project, Contractor retains the prime responsibility for carrying out all the terms of the contract, including the responsibility for performance and insuring the availability and retention of records of subcontractors in accordance with the contract. The Region/Division responsibility is to monitor the Contractor's management controls on the sub-contractor. See policy HHSA-G-4.25 Subcontract Performance Monitoring

The minimum monitoring frequency for a contract, or a project or program within a contract will be as follows:

County of San Diego
Health and Human Services Agency (HHSA)

Section: Contract Administration/Monitoring

SUBJECT: Monitoring Plan

NO: HHSA-G-4.3

PAGE 2 of 4

DATE: October 1, 2013

Category A (High):	At least 12 monitoring activities per contract year. For contracts with client/patient based services that are provided at a specific location, the 12 monitoring activities must include a minimum of four (4) site visits, with subsequent visits, as needed, if identified problems/issues have not been resolved
Category B (Moderate):	At least eight (8) monitoring activities per contract year. For contracts with client/patient based services that are provided at a specific location, the eight (8) monitoring activities must include a minimum of two (2) site visits, with subsequent visits, as needed, if identified problems/issues have not been resolved.
Category C (Low):	At least four (4) monitoring activities per contract year. For contracts with client/patient based services that are provided at a specific location, the four (4) monitoring activities must include a minimum of one (1) site visit, with subsequent visits, as needed, if identified problems/issues have not been resolved.

Regions/Divisions will select the most appropriate monitoring activities based on the services provided. Example: A site visit may not be the most effective tool to ensure an out-of-state software vendor has provided the required database. A desk review to test the components of the software may be a preferred monitoring activity.

Region/Division will evaluate the rankings of the Monitoring Assessment Factors to determine the frequency of each monitoring activity selected to monitor the contract.

PROCEDURE:

A monitoring plan will be completed for each contract, or unique program/statement of work within a contract, if there are multiple, for the contract year, within 20 business-days of contract execution. Contracts with identical statements of work for multiple sites may use one (1) plan. Each year after, the Monitoring Plan will be completed no later than 20-business days into the new contract year.

The monitoring plan will be approved, signed and dated by the Contracting Officer's Representative (COR). Regions/Divisions may add other approvals to the monitoring plan.

1. What types of monitoring activities will be used to monitor this contract?

County of San Diego
Health and Human Services Agency (HHSA)

Section: Contract Administration/Monitoring

SUBJECT: Monitoring Plan

NO: HHSA-G-4.3
PAGE 3 of 4
DATE: October 1, 2013

2. Regions/Divisions will select the most effective and efficient types of monitoring activities for the type of service provided.
3. Region/Division will plan a level of frequency for each monitoring activity that will effectively manage the risk level assigned to the Monitoring Assessment Factors.
4. A brief description of what the activity entails. For example, if "Site Visit" is selected, what contractor site will be visited and what will the content of the review be (i.e., subcontractor service delivery and administrative controls, both, etc.)? If "Desk Review" is selected, what will be reviewed during the desk review (example: Review program license to ensure it is current).
5. Who will be performing the monitoring activity? This may be a specific staff person or a Division, Office, or Department who will complete the activity. Example, A staff person from a non-HHSA Department will complete quality checks of client files. This is a monitoring activity of the contract and should be included in the monitoring plan along with documentation of the outcome.
 - 5.1 The reference for who will complete that activity may be listed by the Department name and include a contact name and number. The contact person may not complete the monitoring activity but could provide information or follow up on the activity if HHSA needed information.
6. Any monitoring activity specifically required by policy at the required frequency (ex. In Depth Invoice Reviews). If the item is a deliverable and is due by pre-determined contract dates, the due dates will be included in the monitoring plan.
7. A brief description of how the monitoring activity will be documented. For example: "Written report," "Signature and notation on document submitted by contractor," or "Review of current performance in on-line database will be noted in a performance log and log will be kept in contract file."
8. COR signature and date of signature. Signed/dated Monitoring Plan is to be uploaded in the ACS Contracts Management Database :CobbleStone.

Regions/Divisions may use any of the Monitoring Plan Sample Templates (Attachments A-D) or may create a template. The resulting monitoring plan must include, at a minimum, the elements listed above.

**County of San Diego
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NO: HHSA-G-4.3
PAGE 4 of 4
DATE: October 1, 2013

QUESTIONS/INFORMATION

Contact Agency Contract Support, (858) 636-3530 or acs.hhsa@sdcounty.ca.gov

ATTACHMENTS:

Attachment A - [Monitoring Plan Sample](#)
Attachment B - [Monitoring Plan Sample](#)
Attachment C - [Monitoring Plan Sample](#)
Attachment D - [Monitoring Plan Sample](#)

SUNSET/REVIEW DATE: October 1, 2015

Approved: _____



Patty Kay Danon, Director
Agency Contract Support