

DHS STANDARD MONITORING TOOL

Standard Terms and Conditions and Federal Assurances

Contractor Name: _____

Contract Number #: _____ Provider ID (tax number): _____

Agency/Monitor should select several or all of the following areas to actively monitor during Contractor's annual program review. It is suggested that the Agency vary the areas of review each year unless the Contractor has had compliance problems that require ongoing review in a particular area.

Ratings: P = pass F = fail NA = not applicable

Monitoring Issue/Area (Suggested Data Source)	Rating (Pass / Fail / NA)			Contract Reference	Comments: (Note: Any area rated as failing must have a corrective action plan developed.)
1. Unlawful Harassment (personnel/training files; staff interviews)	P	F	NA	Part I, pg. 12; Part VII, pg. 3.	
2. Civil Rights/ Discrimination (personnel/training files; staff/client interviews)	P	F	NA	Part I, pg. 12; Part VII, pgs. 2-3.	
3. Drug Free Work-Place (personnel/training files; staff interviews)	P	F	NA	Part I, pg. 12; Part VII, pg. 3.	
4. Protection and Use of Client Records (client files; personnel/training; staff interviews)	P	F	NA	Part 1, pg. 22.	
5. Code of Conduct (personnel/training files; staff/client interviews)	P	F	NA	Part I, pgs. 12- 13.	
6. Conflicts of Interest (personnel files [yearly statement documentation])	P	F	NA	Part I, pgs. 13- 20.	
7. Indemnity Requirements (insurance policy records)	P	F	NA	Part I, pgs. 6- 11.	
8. No Imposition of Fees (client interviews)	P	F	NA	Part I, pg. 6.	
9. Licensing Standards (proof of current license)	P	F	NA	Part I, pg. 12.	
10. Grievance Procedures for Clients and Applicants (Contractor policies and procedures)	P	F	NA	Part I, pgs. 25- 26.	
11. DHS Protection of Human Subjects approval for all	P	F	NA	Part I, pg. 12; Part VII, pg. 5.	

Monitoring Issue/Area (Suggested Data Source)	Rating (Pass / Fail / NA)			Contract Reference	Comments: (Note: Any area rated as failing must have a corrective action plan developed.)
research involving DHS clients (Contractor self-certification; research records)					
12. Emergency Management and Business Continuity Plan (personnel records; written business continuity plan)	P	F	NA	Part I, pg. 11.	
13. Abuse reporting requirements (Staff interviews; personnel/training files; Contractor policies and procedures)	P	F	NA	Part VII, pg. 5.	
14. Employment Eligibility Verification (personnel records, I-9 forms)	P	F	NA	Part VII, pg. 4.	
15. Compliance with the requirements of the Utah Workers Compensation Act (insurance policy records)	P	F	NA	Part I, pgs. 6, 8.	

CONTRACT MONITOR (Signature)

Date

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