

## Attachment W - Contract Compliance Checklist

*May not be all-inclusive of contract requirements*

### Start Up Activities

Section	Contractor Activity	Time Frame	Completion Evidence	Evidence Received/Approved By:
3.6.1	Staffing Plan	30 days after Contract Commencement	Acknowledgement of receipt	Contract Manager
3.6.3	Organization Chart	30 days after Contract Commencement	Acknowledgement of receipt	Contract Manager
3.7.1 / 3.7.2	DPSCS' Contract Manager, CMO and DPSCS Dental Consultant to review credentials of key staff prior to Contractor hiring	prior to hiring which shall be within 30 days after Contract Commencement	Personnel placement or rejection	Contract Manager CMO DPSCS Dental Consultant
3.9	Staff Screening Process	prior to hiring which shall be within 30 days after Contract Commencement	Personnel placement or rejection	Contract Manager Appropriate ACOM
3.10.1.1	Develop/Maintain Staff database <ul style="list-style-type: none"> <li>° orientation/training</li> <li>° refresher training</li> <li>° credentialing/license renewals</li> <li>° in-service training</li> </ul>	30 days after Contract Commencement	database verification	Contract Manager
3.10.1.1.3	In-service training calendar schedule	30 days after Contract Commencement	Acknowledgement of receipt	Contract Manager CMO Appropriate ACOM
3.10.1.2	Staff Orientation Plan	60 days after Contract Commencement	Acknowledgement of receipt	Contract Manager
3.15.1.1	Draft Policy & Procedures Manuals	35 days after Contract Commencement	Acknowledgement of receipt	DPSCS Directors/Managers (see 3.7.1)
3.15.2	Web-based Document management system	45 days after Contract Commencement	database verification	Contract Manager
3.16.2.1	Final Plan for the Delivery of Inmate Health Care	90 days after Go Live Date	Acknowledgement of receipt	Contract Manager
3.19.1	Initial work initiation conference	Within 3 days after Contract Commencement	agenda & written minutes	Contract Manager
3.19.2	Contract Kick Off Meetings (required attendance at 3)	between 40 and 50 days after Contract Commencement	Acknowledgement of attendance	Contract Manager

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Section	Contractor Activity	Time Frame	Completion Evidence	Evidence Received/Approved By:
3.21.5.2(1)	Participate physical inventory	20 days prior to current Contract's expiration date	database verification	Contract Manager
3.35.3.1	Participate in initial training of EHR/Next Gen for all users	40 days after Contract Commencement	database verification	Contract Manager
3.35.3.2.1	Participate in initial training for "super users" in each SDA	40 days after Contract Commencement	database verification	Contract Manager
3.43	Problem Escalation Procedure	40 days after Contract Commencement	Acknowledgement of receipt	Contract Manager
3.45(B)	Certificates of Insurance	Within 10 business days of recommended award	Acknowledgement of receipt	Procurement Officer
Attachment C	Contract Affidavit	Within 5 business days of recommended award	Acknowledgement of receipt	Procurement Officer
Attachment D	MBE Forms D-2 & D-3	Within 10 business days of recommended award	Acknowledgement of receipt	Procurement Officer

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### Annual Activities / Requirements

Section	Contractor Activity	Time Frame	Completion Evidence	Evidence Received/Approved By:
3.6.1.1.1	Annual Staffing Plan	10 days after the start of each subsequent contract period	Acknowledgement of receipt	Contract Manager CMO Appropriate ACOM
3.8.2(3)(b)	(Re)Certification of licenses/credentials of appropriate staff	Within one month after the renewal date of credential	Database verification	Contract Manager
3.10.1.2.1	Update Staff Orientation Plan	Within one year after initial plan submission	Acknowledgement of receipt	Contract Manager
3.10.1.2.3	Annual/Refresher Competency Training	30 days before or after anniversary date of initial training	Database verification	Contract Manager
3.10.3.2	Refresher training for Security Orientation/Training	30 days before or after anniversary date of initial training	Database verification	Contract Manager
3.15.5.1	Policy/procedure review and updates	once in every twelve (12) month period	Database verification	Contract Manager CMO
3.21.5.5(2)	Participate in annual equipment inventory	within the last 30 days of each Contract Period	Acknowledgement of receipt	Contract Manager
3.29	Conduct peer review of all Dentists and Oral Surgeons	15 days of anniversary of hire date	Acknowledgement of receipt	CMO DPSCS Dental Consultant
3.43	Problem Escalation Procedure	10 days after the start of each subsequent contract period	Acknowledgement of receipt	Contract Manager
3.45(B)(ii)	Certificate of Insurance	Annually on anniversary date of initial certificate	Acknowledgement of receipt	Procurement Officer to Contract Manager

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### Monthly Activities / Requirements

Section	Contractor Activity	Time Frame	Completion Evidence	Evidence Received/Approved By:
3.6.1.2	Ascertainment of 96% Fill Rate for Dental Professionals listed in Attachment N in accordance with its current staffing plan.	calculated by SDA and title based on total number of hours provided per month	Acknowledgement of fulfillment	Contract Manager
3.6.1.3	Ascertainment of 100% Fill Rate for Sick Call listed in Attachment N in accordance with its current staffing plan.	calculated by SDA and title based on total number of hours provided per month	Acknowledgement of fulfillment	Contract Manager
3.23.3.1.1	Schedule of sick call services (for each SDA)	No later than one week prior to the onset of a calendar month	Acknowledgement of receipt	CMO
Attachment X	Reports as summarized in Attachment X	as described in Attachment	Acknowledgement of receipt of report	as described in Attachment X
Attachment Y	Meetings as summarized in Attachment X	as described in Attachment	Acknowledgement of receipt of agenda/minutes	as described in Attachment X

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### As Scheduled (or Irregular/As Needed) Activities / Requirements

Section	Contractor Activity	Time Frame	Completion Evidence	Evidence Received/Approved By:
3.2.7	Development and transition plan for any new facility and/or mission change at any existing facility	at Department's request	Acknowledgement of participation	Contract Manager
3.6.1.1	Revised Staffing Plan	whenever there is a change in staffing	Acknowledgement of receipt	Contract Manager
3.6.1.3	Hiring of per diem personnel for Dental Professionals for vacancies existing for more than 30 days	vacancies existing for more than 30 days	Acknowledgement of fulfillment	Contract Manager
3.6.3	Revised Organization Chart [change in staff organization]	within 10 days of Contract Manager approval of change	Acknowledgement of receipt	Contract Manager
3.6.3.2	Dental Clinical and Administrative issues	at Department's request	Attendance	Contract Manager CMO Dental Consultant
3.10.1.2.3	New Hire Training	within 30 days of hire	Database verification	Contract Manager
3.10.1.4	Refresher training on revisions to directives, manuals, policies, protocols, and procedures	within 30 days of event/change occurrence	Database verification of attendance log	Contract Manager
3.10.2(c)	In-service training sessions	30 days in advance of proposed training date	Acknowledgement of request	Contract Manager CMO
3.10.3.1.2	40 hours Security orientation/training	Before an employee may enter a Department Facility or perform any Contract related work	Database verification	Contract Manager
3.13.2	Notification of disciplinary action against Contractor's staff	within 24 hours of the action	Acknowledgement of notification	Contract Manager CMO
3.27.1	Investigation of grievances / Administrative Remedy Procedures complaints	within 10 days of receipt of request	Acknowledgement of receipt	Department Administrative ARP Coordinator Department Inmate Grievance Office
3.31.1	Participate in a Formal Mortality Review	as occurs	Acknowledgement of receipt	CMO Dental Consultant ACOM

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### As Scheduled (or Irregular/As Needed) Activities / Requirements

Section	Contractor Activity	Time Frame	Completion Evidence	Evidence Received/Approved By:
3.31.2	Participate in all death reviews	as occurs	Acknowledgement of receipt	CMO Dental Consultant ACOM
3.35.3.1	Attendance in initial EHR training for new employees as scheduled by the Medical Contractor	as needed	Database verification	Contract Manager
3.35.3.1	Refresher or remediation EHR training	as needed	Database verification	Contract Manager
3.43	Problem Escalation	10 days after any change in circumstance which changes the Procedure	Acknowledgement of receipt	Contract Manager
3.44.4(1-2)	Substitution of personnel	15 days prior to the intended date of change (Voluntary Staff Replacement)	Acknowledgement of request	Contract Manager
3.44.4(3)	Substitution of personnel	by the 25th day of Contractor's Staff absence	Acknowledgement of receipt	Contract Manager
3.44.4(4)	Substitution of personnel	within 15 days of being directed to replace Staff	Acknowledgement of receipt	Contract Manager
3.45.(C)	Certificate of Insurance	45 days notice prior to lapse, in which case, Contractor must evidence replacement of insurance within 30 days which shall be no less than 15 days of cancellation	Acknowledgement of receipt of Insurance Certificate	Procurement Officer

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### Plans

Section	Contractor Activity	Time Frame	Completion Evidence	Evidence Received/Approved By:
3.10.1.2.1	Competency based Orientation Plan/program for new staff	By the Go Live Date	Acknowledgement of receipt	Contract Manager
3.16.2.1	Final Staffing Plan (3.6.1)	90 days after Go Live Date	Acknowledgement of receipt	Contract Manager
3.16.2.1	Final Organization Chart (3.6.3)	90 days after Go Live Date	Acknowledgement of receipt	Contract Manager

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### Information Continuously Available [On-Demand]

Section	Contractor Activity	Time Frame	Completion Evidence	Evidence Received/Approved By:
3.6.4	Monthly Facility Staffing Schedule via staffing software solution (for every facility, every month)	10 days prior to start of next service month	Database verification	Contract Manager
3.8.2 3.8.3 (3.16.2)	Employee Credentials via document management solution	90 days after Go Live Date	Database verification	Contract Manager
3.10.1.1	Employee(s) training database ° Refresher training attendance/schedule ° Credentialing/license renewals ° In-service training attendance/schedule	30 days after Contract Commencement	Database verification	Contract Manager
3.15.2	Policies and procedures manuals (electronic)	35 days after Contract Commencement	Database verification	Contract Manager
3.22.5.7.2	Internal utilization management monitoring	Continuous	Database verification	Contract Manager CMO
3.23.3.1.1	Electronic schedule of sick call clinics	one week prior to start of each month	Database verification	Contract Manager
3.27	Correspondence relating to complaints and grievances	Continuous	Verification of Excel log	Contract Manager

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### Payment Responsibilities

Section	Contractor Activity	Time Frame	Completion Evidence	Evidence Received / Approved By:
3.1.1 3.22	All primary dental services, staff, equipment and supplies (other than onsite medications)	As of January 1, 2014, or later date as contained in a Notice to Proceed issued by the Procurement Officer (the "Go Live Date")	Receipt of copy of Notice to Proceed issued by the Procurement Officer	Contract Manager
3.5.2	Assistance so DPSCS can bill for Federal inmates	notification via email every time a federal Inmate has any Off-site hospitalization	Receipt of email	Contract Manager
3.21.1	All operating equipment, furniture, office supplies, patient supplies, durable medical equipment <u>except</u> : ° 3.21.3 - All equipment and supplies purchased under contract become State property ° IT- related equipment, such as computers, printers and scanners	notification of direction for repair or maintenance of equipment	Receipt of repair or maintenance completion documentation	Contract Manager
3.21.2	50% of cost of single piece equipment over \$10,000	upon written approval of purchase from Contract Manager	Submission of Contract Manager to Contractor	Contract Manager

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### Intake Requirements

Section	Contractor Activity	Time Frame	Completion Evidence	Evidence Received/Approved By:
3.24.2	Manage all new admissions per Medical Evaluations Manual - Chapter 11	within 24 hours of Inmate entering any DPSCS facility	database verification	CMO

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### Quarterly Requirements / Activities

Section	Contractor Activity	Time Frame	Completion Evidence	Evidence Received/Approved By:
Attachment X	Reports as summarized in Attachment X	as indicated on Attachment	Acknowledgement of Receipt	as indicated on Attachment
Attachment X	Meetings as summarized in Attachment X	as indicated on Attachment	Acknowledgement of Agenda	as indicated on Attachment

### Transition / Closeout Activities

Section	Contractor Activity	Time Frame	Completion Evidence	Evidence Received/Approved By:
3.46.1	Cooperate with successor contractor to effect a seamless transfer of Inmate Dental Services	before contract end		Contract Manager
3.46.1.1	Provide reasonable access to the successor contractor to the Contractor's non-supervisory staff and mid and lower level supervisory staff.	between 30 and 60 days of the Contract end date		Contract Manager
3.46.1.2	Participate in the Contract ending physical inventory as described in § 3.21.5.5(4).	within 20 days of the end of the Contract		Contract Manager
3.46.1.3	Transfer the Sick Call Clinic Attendance data base described in § 3.23.2 to the successor contractor as of the end of final day of the Contract.	as of the end of the final day of the Contract		Contract Manager
3.46.1.4	provide appropriate representation at work initiation meetings between the Department and the successor contractor to help ensure a smooth transition of services.	as requested by the Department Contract Manager		

3.46.1.5	Ensure all required records, reports, data, etc. are current and properly documented in the appropriate data base or file by the successor contractor	as of start of successor contract		Contract Manager
3.46.2	All close-out activities are timely and properly performed	before contract end		Contract Manager
3.46.2.1	All invoices from off-site specialists, hospitals, etc are paid, and that the final Contract invoice is submitted to the Department	within 31 days of the end of the Contract term		Contract Manager
3.46.3	Turn over all supplies, equipment, manuals, etc. owned by the Department	as of the end of the Contract		Contract Manager
3.46.4	Turn over all source codes to software specifically developed for use under the Contract to the Department Contract Manager or placed with an appropriate escrow agent	as of the end of the Contract		Contract Manager

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### Daily Requirements/Activities

Section	Contractor Activity	Time Frame	Completion Evidence	Evidence Received/Approved By:
3.6.1.2	Provide staffing to maintain a minimum 96% Fill Rate for each of the clinical positions listed in Attachment N in accordance with its current staffing plan and any other positions identified in the Contractor's staffing plan	daily	Based on RFP calculation	Contract Manager
3.6.1.3	Hire per diem personnel for vacancies;	over 30 days		Contract Manager
3.6.1.3	Fill vacancy or absence of any other Staff vacancy(ies) or an unscheduled absence on a permanent or temporary basis	over 24 hours		Contract Manager
3.18	On-call Dentist coverage 24 hours per day, seven days per week	Dentist to respond by telephone to institution-based calls within fifteen minutes of call for service and shall provide direction to the caller; or if the situation warrants direct assessment, shall report to institution within one hour after notification	Database verification	Contract Manager
3.23.1	Operate sick call clinics	no less than five days a week (Monday through Friday, including holidays), until completed	Verification of schedule	SDA ACOM Contract Manager CMO Dental Consultant
3.25	Medication orders, distribution and storing as detailed in Section 3.25	daily	Database verification	Contract Manager