



Policy: Contract File Management

ChildNet Number: CN 015.003

Original Approved Date: December 3, 2004

Policy Revised Date(s): December 7, 2009, May 20, 2010, July 9, 2014

Policy Sunset Date:

COA Standard(s): ASE 3.03

Statement of Policy:

ChildNet maintains contract files according to established procedures and with due regard for standards of best practice. The contract management file is the official file of record for ChildNet's subcontracted child welfare services.

Board Chair's Signature:

Date:

07-29-14



Procedure: Contract File Management

ChildNet Number: CN 015.003

Original Approved Date: December 3, 2004

Procedure Revised Date(s): December 7, 2009, May 20, 2010, November 2012, September 11, 2013, July 9, 2014, February 21, 2018

Procedure Sunset Date:

COA Standard(s): ASE 3.03

Definitions (If any):

Statement of Procedure:

It is essential to the management of contractual services that there is a uniform record keeping system for all correspondence relating to contracted services and the procurement of such services. This includes documentation procedures for documenting and filing information as well as maintaining and reviewing contract files. In order to meet these goals, ChildNet has adopted the following procedures.

A. Contract File

1. Every contract is supported by a contract file containing documentation supporting all phases of contract activity. All pertinent information relating to the contract is maintained in the contract file regardless of the method of procurement.
2. Each agency subcontracted by ChildNet has its own file consisting of four general agency folders and an additional three program folders for each individual subcontract. The following items list the various contract file sections and describe where applicable documentation is kept.
 - a. Agency Budget/Fiscal Folder
 1. Agency budgets
 2. Actual expenditure reports
 3. Quarterly financial statements
 4. Independent auditor reports
 5. W-9
 - b. Agency Miscellaneous Reports/Forms and Documentation Folder
 1. General correspondence
 2. Miscellaneous reports and forms
 3. Documentation of insurance requirements
 4. Civil Rights Compliance Questionnaire
 5. General program descriptions and applicable licenses



- c. Agency Site Visit/Documentation/Monitoring Reports & Follow-up Folder
 1. Monitoring reports and correspondence
 2. Documented follow-up to the monitoring report's Performance Improvement Plan (PIP)
 3. Site visit documentation logs
 4. Documentation/Communication logs
 - d. Agency Licensing and Provider Concerns/PIP/Staffing Folder
 1. Licensing concerns and outcomes
 2. Provider concerns and outcomes
 3. Abuse staffing notes and outcomes
 4. Staffing notes from meetings held with subcontracted provider
 - e. Program folder for subcontract documents for each agency's subcontracted program
 1. Original signed copy of the Standard Contract
 2. An Attachment I which minimally describes the type of service being provided, outcome measures and method of payment
 3. Additional Attachments and Exhibits
 4. Signed Certification Regarding Lobbying Form
 5. Signed Certification Regarding Debarment
 6. Affidavit of Subcontractor Standards form
 7. Network Provider Credentialing and Application form
Provider Conflict of Interest Acknowledgement and Disclosure form
 - f. Program folder for invoices containing copies of all invoices and supporting documentation for each agency's subcontracted program.
 - g. Program folder for outcome measures containing quarterly outcome reports for each agency's subcontracted program.
3. Contract files are maintained for a minimum of six years following termination of a contract. If an audit has been initiated and audit findings have not been resolved at the end of six years, the records must be retained until resolution of the audit.
 4. Contract files are audited minimally twice a year by the Director of Contracts or designee to ensure necessary documentation is being properly maintained.

B. Procurement File

1. The procurement file contains all documentation and information regarding the provider selection process for new services which ChildNet competitively procures.
2. The following items are kept in the procurement file when applicable:



- a. Copies of newspaper advertisement
- b. Copies of electronic advertisement and vendor distribution list
- c. Copy of the solicitation document
- d. Copies of the solicitation responses received
- e. List of all names of individuals taking part in the evaluation process
- f. A signed Conflict of Interest Questionnaire form from each evaluator and also from all ChildNet personnel holding a Director level position or higher
- g. Copies of rating tools, notes or rankings for each individual taking part in the evaluation process
- h. Notes or minutes of any related workshops/conferences
- i. Copies of Notice to all respondents of ChildNet's Intent to Award

President's Signature: _____

Date: _____

02-27-18