

# DOC Vendor Contract Monitoring Plan

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Date: \_\_\_\_\_ Requisition# \_\_\_\_\_

P.O.# \_\_\_\_\_ Contract Period: \_\_\_\_\_ to \_\_\_\_\_

Contractor: \_\_\_\_\_

DOC Program: \_\_\_\_\_

Contract Monitor: \_\_\_\_\_

Pursuant to 74 § 85.4E(1)c and 85.41B, DOC is required to develop a written monitoring plan that identifies specific personnel of DOC to carryout activities to monitor the performance and compliance of nonprofessional and professional service contractors. The individual identified by DOC to carryout this function shall be called the Contract Monitor. The Contract Monitor must use information from the contract/ITB to develop the Contract Monitoring Plan. The Contract Monitoring Plan identifies the planned, ongoing, and periodic activities that the Contract Monitor will carryout during the contract period to ensure the contractor's adherence to the scope of work and compliance with the terms and conditions set forth in the contract. Those activities listed below that are defaulted with an "X" are mandatory activities that are required for all service contracts. The Contract Monitor shall use information from the Contract to determine and select additional monitoring activities that apply. During the contract period it shall be the responsibility of the Contract Monitor to ensure that all activities defined by the Contract Monitoring Plan are completed. While carrying out the Contract Monitoring Plan activities, the Contract Monitor should document all progress, communications and monitoring activity. All documentation obtained/generated during execution of the Contract Monitoring Plan must be forwarded to the Contracts and Acquisitions Unit for placement in the agency contract file of record.

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Upon completion of the Contract Monitoring Plan the Contract Monitor must sign and date the plan below and forward to Contracts and Acquisitions with the contract/ITB/RFP.

\_\_\_\_\_  
Contract Monitor

\_\_\_\_\_  
Date

## **SECTION 1. Activities which are required for all professional and non-professional services contracts.**

REQUIRED  
ACTIVITY



### **1.1 Invoice Review and Approval**

The Contract Monitor will conduct a review of each invoice submitted by the Contractor. The overall purpose of the invoice review is to ensure the receipt of the contractually required services and pricing and monitor the quality and quantity of the services.

Frequency: with the receipt of each Contract invoice

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### **1.2 Review and Adjustment of Encumbrance Balances**

The Contract Monitor will conduct a periodic review the Contractor's expenditures. This process will allow the Contract Monitor to determine the validity of the contract encumbrance balance and may help identify if there is a need for a contract modification.

Frequency: periodically, no less than quarterly

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## **SECTION 2. Activities which are required for all professional services contracts.**

REQUIRED  
ACTIVITY



### **2.1 Performance Evaluation**

The Contractor Monitor will complete a performance evaluation form, as required by the Central Purchasing Act, to document the Contractor's satisfactory or unsatisfactory performance during the contract period. If the Contract Monitor determines the Contractor's performance to be unsatisfactory, the Contract Monitor will also complete a Department of Central Services Vendor Complaint Form and provide details of the performance issues and all attempts to resolve these issues with the Contractor.

Frequency: once, after end of the contract period

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**SECTION 3. Activities which are not required for all service contracts, but may be marked as required by the contract monitor for a particular contract.**

REQUIRED  
ACTIVITY

**3.1 Review and Approval of Required Reports and Deliverables**

The Contract Monitor will work with the Contractor to ensure that contractually required reports/deliverables are submitted to DOC within the required time period. The reports/deliverables must contain all of the information that is required by the contract language.

Frequency: as defined by the contract (list contractually required reports/deliverables below)

Description of Report/Deliverable Required	Due Date

**3.2 Site Visits**

In the event the contractor's activities and/or deliverables are complex, large dollar amount or involve client activities a site visit may be performed during the contract period. The Site Visit will provide a review of various components of a contractor's performance to measure their progress towards successful completion of the scope of work and monitor compliance with the contract requirements.

Frequency: as necessary



### **3.3 State Librarian and Archivist Report**

The final product/deliverable of the contract is a report. In accordance with state requirements, the Contractor Monitor will file a copy of the final report to the State Librarian and Archivist.

Frequency: upon completion of the deliverable (report)

*Reference: O.S. Title 74, § 85.41*

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### **3.4 Periodic Contact with Contractor**

The Contractor Monitor will serve as the primary point of contact between the DOC and the Contractor. The Contract Monitor will have routine periodic contact with the Contractor, throughout the contract period, by way of phone, email, face to face meetings, and/or written correspondence. This periodic contact will provide an opportunity to review the progress of the Contractor.

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### **3.5 Technical Assistance**

The Contractor Monitor is the programmatic expert with regards to the programmatic elements of the contract. Throughout the contract period the Contract Monitor shall be proactive in looking for indicators that the Contractor may need technical assistance.

Frequency: throughout the contract period, as determined by the Contract Monitor

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### 3.6 Additional Monitoring Activities

The Contractor Monitor will determine if additional monitoring activities are needed or required by the contract.

One of the following additional activities will be completed during the contract period.

\_\_\_\_\_ client surveys

\_\_\_\_\_ informal contract staff surveys

\_\_\_\_\_ other, specify the activity and frequency in the box below: