Welcome!

Scope of Work and Performance Measures Training Workshop

Division of Public Health Contracts Unit

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Contracts Manager: Sharon Smith

Team Leaders: Jeneen Preciose
Rhonda Moyer
David Skordinski
Donny Anderson

Administrative Support: Joan Staton

Discussion Topics

- Scope of Work
- Performance Measures
- Measure Elements

Training Objectives

- In this training, DPH Program staff will learn to:
  - Construct a Scope of Work that is properly organized, clearly written, and detailed.
  - Design and implement effective Performance Measures that correspond directly with the Scope of Work.

Writing Style Guide

DHHS Open Window is a highly visible information and management tool. It is viewed and utilized by the department, external governmental customers and the general public.

All users must be familiar with the Open Window Writing Style Guide:
https://openwindow.dhhs.state.nc.us/Documents/WritingStyleGuide2010.doc

Scope of Work Template and Performance Measures worksheet

Updated Forms and Worksheets for use in conjunction with Open Windows may be found on the Contracts Unit Forms Website under the folder titled, "Open Window Worksheets."

http://publichealth.nc.gov/employees/contracts-forms.htm

Scope of Work Template and Performance Measures worksheet

Forms

[+] Expand/Open All Packages | [-] Close/Hide All Packages

- Forms Updates October 2010 (DOC, 86 KB)

+ AGREEMENT ADDENDUM

+ BUDGET REALIGNMENT FORM

+ CASH ADVANCE

+ CHANGE REQUEST

+ CONTRACT

+ CONTRACT AMENDMENT

+ DIRECT PAY REQUEST

+ DIRECTIVES

+ DUAL EMPLOYMENT

+ EXPENDITURE REPORTS - CURRENT AND LATE

+ INTRA-DEPARTMENTAL MEMORANDUM OF AGREEMENT (IMOA)

+ MEMORANDUM OF AGREEMENT (MOA)

+ OPEN WINDOW WORKSHEETS

+ PERSONAL SERVICES CONTRACT

+ PERSONAL SERVICES CONTRACT AMENDMENT

+ REQUEST FOR APPLICATIONS

+ REQUEST FOR APPLICATIONS AGREEMENT ADDENDA

+ REQUEST FOR PROPOSALS

Scope of Work Template and Performance Measures worksheet

- OPEN WINDOW WORKSHEETS

Form Name	Format, Size	Last Modified	Required
Open Window Amendment Justification Worksheet	DOC, 36 KB	12/06/11	No
How to Fill Out the Open Window Budget Form	DOC, 453 KB	12/12/13	No
Open Window Budget Worksheet	XLS, 997 KB	12/12/13	No
Open Window CAF	DOC, 81 KB	02/22/13	Yes
Open Window Contract Entry Guide	PDF, 8 MB	08/23/12	No
Open Window Federal Award Worksheet	DOC, 63 KB	03/02/12	No
Open Window Justification Worksheet	DOC, 102 KB	10/23/12	No
Open Window Measures Worksheet	DOC, 46 KB	09/06/12	No
Open Window Scope of Work	DOC, 36 KB	08/12/13	No
Open Window Writing Style Guide	PDF, 46 KB	07/11/11	No
Three Column Budget	XLS, 31 KB	03/07/12	Yes

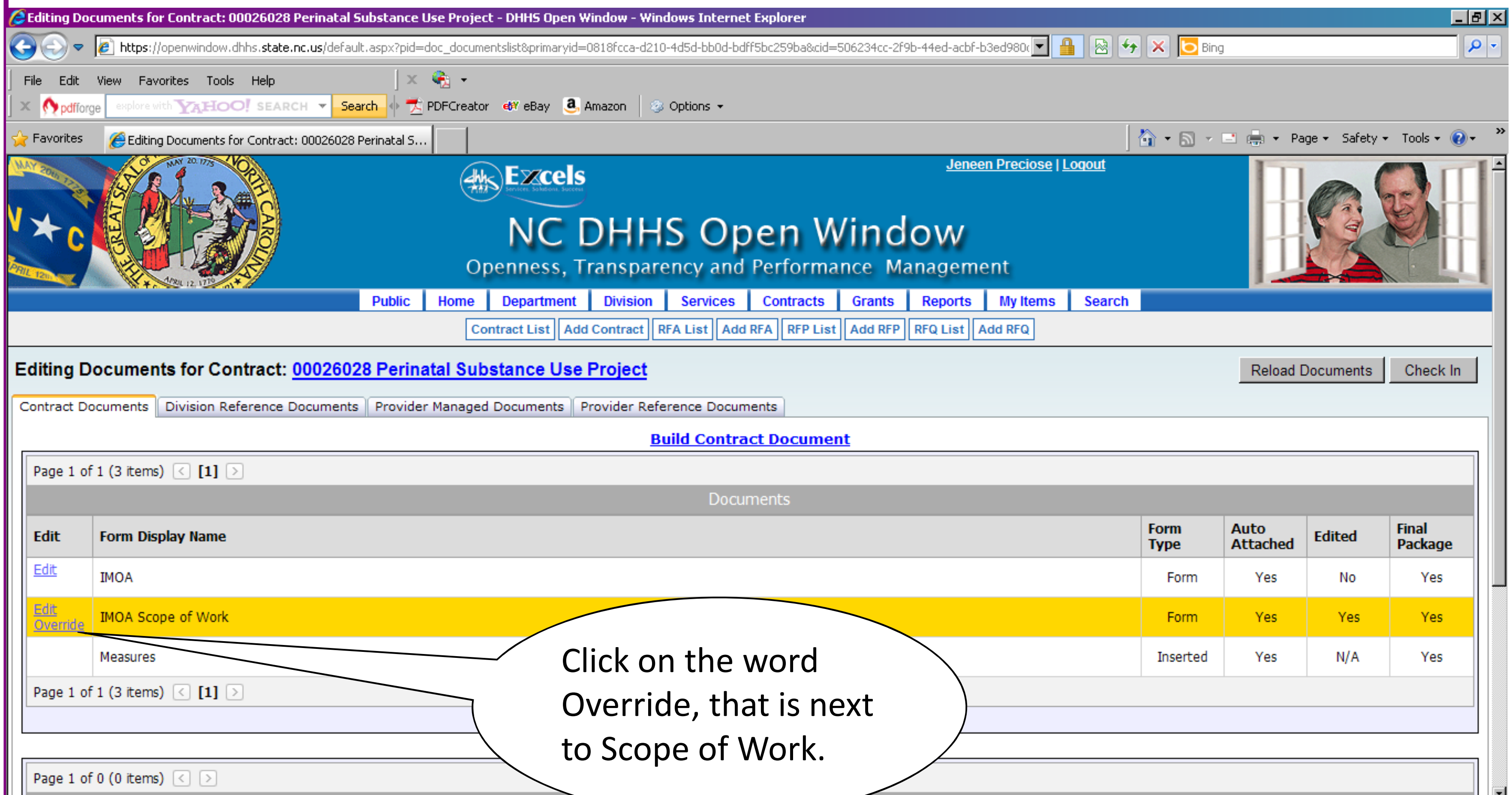
Scope of Work Template
Appendix

This template is used as a general guide in writing a Scope of Work (SOW).

All users must use the “Override” feature in Open Window, which allows the user to upload an SOW template that has been formatted in Word

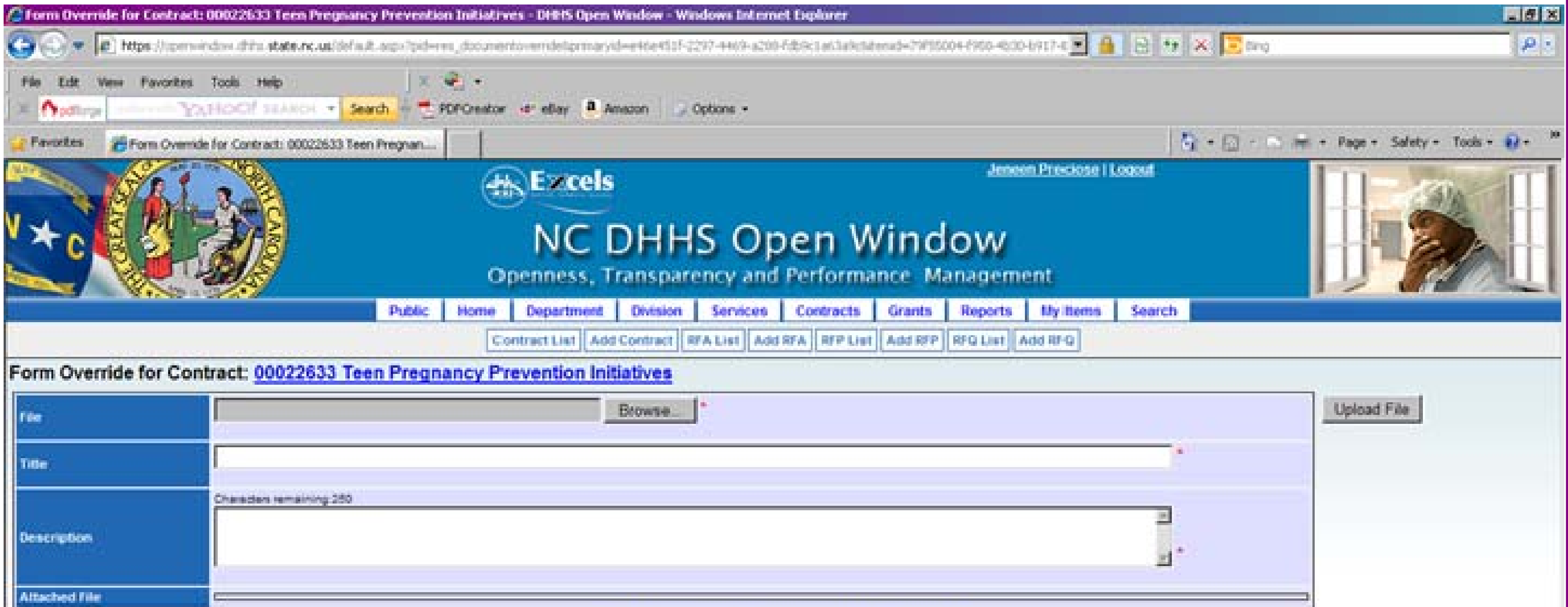
Before uploading, be sure to delete the *gray, italicized* instructional language.

Scope of Work Override
Screenshot



Click on the word Override, that is next to Scope of Work.

Scope of Work Override
Screenshot



Click Browse to find the final, correct Scope of Work file.
When you find the file, click Open.
Enter the Title of the document: 22633 Scope of Work
Enter a Description of the document: (same as title is fine).
Click Upload File.

Scope of Work Template

Renewal Notes:

Don’t re-write from scratch! If you do not have the previous Contract’s executed Scope of Work in MS Word, ask your Team Leader to send it to you.

Year-to-year uniformity (wherever possible) makes for a much more efficient approval process.

That said, the Scope of Work format may have been updated from the prior year. Always be sure to check the Forms website for the latest template.

Performance Measures Worksheet
Appendix

This worksheet includes basic instructions and canned language for writing _**new**_ contract performance measures.

While helpful, it is still important to think through the language of each performance measure to ensure it accurately reflects the Scope of Work.

Renewal Note: Performance Measures will carry over from the prior contract in Open Window. *Do not use this worksheet for renewals.*

Scope of Work

Scope of Work (SOW)

Basic Principles

- Know your audience.

  North Carolina Public Records Law *(N.C.G.S. 132-1)* allows all documents made in connection with a transaction of public business by any agency be made available to the general public upon request. Write with them in mind.

- Always use proper grammar and spelling.
- Provide enough detail to ensure that a reader with no prior experience would understand the contract.
- Wherever possible, avoid technical language and “industry terms.”
- Define all acronyms on first use.
- Quantify and Specify.

Scope of Work (SOW)

The Importance of Detailing and Specifying

- Ambiguity is the enemy of the contract. Nearly every contractual dispute spawns from ambiguous language and failure of both parties to clearly communicate their terms and expectations.
- "Contra Proferentem" (Latin for "Against the Offeror") is a legal doctrine that, where a contract or term is ambiguous, Courts will interpret the language <u>against</u> the party who provided the wording.
- In other words, if DPH Contracts are not clear in what is required of the Contractor, any legal dispute would favor the Contractor, leaving the State liable.

Scope of Work (SOW)

There are 7 sections in a Scope of Work:

- Background
- Purpose
- Counties
- Performance Requirements
- Performance Standards
- Performance Monitoring/Quality Assurance Plan
- Reimbursement

Scope of Work (SOW)

The Scope of Work must address all of the following questions:

- Who (and how many)?

  Population served or impacted; define the number of *unduplicated* participants.

- What?

  What are the activities, tasks, services being conducted, and what deliverables are being produced?

- When?

  On what date are the deliverables due? By what date should the tasks be conducted? Dates should **always** be within the contract period.

- How?

  How is the service provided? What method is being used?

- Where?

  What is the service area? Where are the activities taking place?

Scope of Work (SOW)

Background

- Defines the primary goal or mission of the DPH program and describes the problem to be addressed by the contract.

- Often Contains Comparison Data

  Examples: National statistics compared to North Carolina statistics, Prior year statistics compared to current year statistics.

Scope of Work (SOW)

Background

- Spell out all acronyms first.

  Examples: Centers for Disease Control (CDC), National Institute of Health (NIH), North Carolina Division of Public Health (DPH)

- Citing Websites

  When citing a web link, please ensure the link is active and correct.

Renewal Note: Always check to see if there is new background or comparison data available and update accordingly.

Scope of Work (SOW)

Purpose

- Defines the specific purpose of this contract.

  "The purpose of this contract is to __________."

- Provides an abbreviated explanation of why DPH is forming the agreement with the contractor.

- Rarely requires more than a sentence or two.

- The purpose should be consistent across the CAF, Open Window, and Scope of Work.

- This is <u>not</u> the same as the "Need for Service" section of the Justification Memo.

Scope of Work (SOW)

Counties

- Addresses the question "Where?"

  What is the service area?

- List the counties that will receive the benefit from the funding or services provided by the contract.
- Must correspond with the "Counties" selection screen on Open Window.

Renewal Note: Older versions of the Scope of Work document did not list "Counties" as a separate section. Please ensure renewals have a "Counties" section included.

Scope of Work (SOW)

Performance Requirements

This section outlines the specific duties or requirements that the Contractor must meet in performance of the contract.

Addresses the questions:

- Who (and how many)?

  Population served or impacted; define the number of *unduplicated* participants.

- What?

  What are the activities, tasks, services being conducted, and what deliverables are being produced?

- Where?

  Where are the activities taking place?

- When?

  On what date are the deliverables due? By what date should the tasks be conducted? Dates should **always** be within the contract period.

Scope of Work (SOW)

Performance Requirements

- Quantify Everything

  Assigning numbers aids in measuring performance and eliminates ambiguity.

- Will or Shall?

  "Shall" is language that binds the contractor. Any sentence that creates a mandate for the contractor to fulfill requires a "shall."

  In contrast, "will" applies to actions taken by DPH.

- Assign reasonable due dates

  Deliverables outlined in the Performance Requirements section should not be due after the Contract end date.

  Allow time to review deliverables prior to the last day of the contract. This enables the Contractor to receive feedback and make any necessary corrections to the deliverable before the Contract ends.

Scope of Work (SOW)

Performance Requirements

- Since this section begins with "The Contractor Shall," all Performance Requirements should begin with active verbs.

  E.g.: Provide, Train, Conduct

- Use numbers and letters in outline form. Do not use bullet points.
  - Prevents confusion when referencing items in the SOW.
  - Amending a contract requires referencing a specific section and, where applicable, a subsection. Organizing your requirements by numbers and letters prevents confusion as to which requirements are being amended.

Scope of Work (SOW)

Performance Requirements

- Use subsections when appropriate.

  Rather than a paragraph listing components of a requirement, creating a subsection list makes the contract more clear in purpose and easier to read.

Example:

The contractor shall:

Deliver eight (8) 60-minute sessions on healthy relationships to sixteen (16) unduplicated 8th grade students and fifteen (15) unduplicated 6th grade students at Bethel School by August 1, 2014; and deliver two (2) 2-hour trainings to five (5) unduplicated parents and fifteen (15) unduplicated staff at Bethel School by September 15, 2014 . Train and supervise two (2) ASU peer educators. ASU educations shall facilitate three (3) 60-minute bystander intervention workshops with sixteen (16) unduplicated 8th grade students at Bethel School by October 31, 2014.

Scope of Work (SOW)

Performance Requirements

Example with Subsections

The Contractor shall:

A) *Conduct eight (8) 60-minute sessions on healthy relationships to sixteen (16) unduplicated 8th grade students and fifteen (15) unduplicated 6th grade students at Bethel School by August 1, 2014.*

B) *Deliver two (2) 2-hour trainings to five (5) unduplicated parents and fifteen (15) unduplicated staff at Bethel School by September 15, 2014.*

C) *Train and supervise two (2) ASU Peer Educators. Educators shall then facilitate three (3) 60-minute bystander Intervention workshops with sixteen (16) unduplicated 8th grade students at Bethel School by October 31, 2014.*

Scope of Work (SOW)

Performance Requirements

- Requirements should be reflected by performance measures and correlate with the budget.
- Uniformity is key.

  Always use the same terminology throughout the Scope of Work, Performance Measures, and Budget to avoid confusion.
- Double-check the numbers.

  Ensure the number of deliverables matches those listed in the Measures and in the Budget.
- Review and ensure requirements are in compliance with the funding source and RFA (if procured through an RFA).

Scope of Work (SOW)

Performance Requirements: IT

- Requirements must match and support the IT Checklist found in Open Window.

  If a Contract contains an IT element as defined by the IT Checklist, the contract must be approved by DIRM.

- Requirements that are not technical in nature should avoid terminology that would imply otherwise.

  Terms like "Programming" and "Infrastructure" can have multiple meanings. Be sure to define these terms within the context of the Scope to avoid confusion.

- Databases:

  A Microsoft Excel spreadsheet is **not** a database.

  If a Contractor is charged with creating/updating a database, always clarify whether it is pre-existing or is being built for the contract, who owns the database, and the nature of the database (e.g., if the database is Microsoft Access, state that it's Microsoft Access)

Scope of Work (SOW)

Performance Requirements: Databases & Privacy

- If the contract does contain the development of a data collection system (database), requirements must include:
  - Who will host the database?
  - What are the technical specifications/requirements of the database?
  - Who will own and manage all the data?
  - Be specific about which staff will handle the design, development, testing, maintenance, etc.
- Privacy Requirements

  The following privacy requirement must be included when the contract contains database development:

  The data collection system shall be HIPAA compliant, de-identified, according to the standards of 45 CFR §164.514(a) and (b).

Scope of Work (SOW)
Exercise #1

Performance Requirements

What's wrong with this requirement?

1. *Conduct a class for people to learn how to receive Medicaid*

Scope of Work (SOW)
Exercise #1 (Cont'd)

Performance Requirements

1. Conduct one (1) 3 hour Medicaid Education class at the Wake County Civic Center for 200 unduplicated participants to gain knowledge on Medicaid System Accessibility by July 15th, 2014.

Scope of Work (SOW)

Performance Requirements

Let's slice it up!

Scope of Work (SOW)

Performance Standards

A Performance Standard is a written statement of the conditions that exist when a satisfactory job is performed.

Addresses the questions:

- How?

  How is the service provided? What conditions are present? What method is being used?

- When?

  Give specific timeframes for communication. Dates should be within the contract period.

Scope of Work (SOW)

Performance Standards

- Define the expectations, standards and/or infrastructure required for the Contractor’s execution of deliverables.
- Detail any reporting due, reporting timeframes, methodology, best practices, formatting of deliverables, execution of pre- and post-tests and scoring methodology, etc.
- Since this section begins with “The Contractor Shall,” all Performance Standards should begin with active verbs.
- Should **not** be a restatement of Performance Requirements.

Scope of Work (SOW)

Standards vs. Requirements

- Items outlined under Performance Requirements in the SOW are the "WHAT" of the contract and state what the contractor must do = Deliverables/Outputs.
- Items outlined under Performance Standards in the SOW are the "HOW" of the contract and describe the processes or methods that will be used to accomplish what the contractor must do = Procedures/Qualifications/Guidelines/Reports, etc.
- Standards should correlate with performance requirements, but not restate them.
- <u>Both</u> Performance Requirements <u>and</u> Standards should be specific, detailed, time-bound, measureable and performed within the contract period.

Scope of Work (SOW)

Performance Standards - Examples

- Notify Contract Administrator in writing of all staff changes and need for changes to percentages of the time worked on the project within 30 days of staff change.
- Require the WIC Breastfeeding Peer Counselors to successfully complete the North Carolina Breastfeeding Peer Counselor Training Program within six months of being hired as a Breastfeeding Peer Counselor
- Submit the survey instruments and protocols for prior approval by the Contract Administrator 60 days before implementation.
- Provide a quarterly summary, by the 15th of every third month, of all contract Medicaid and third party payor billing and receipts using the Third Party Payor Billing form provided by the Contract Administrator.

Scope of Work (SOW)

Performance Standards

- Don’t wait until the end of the contract to find out how the contractor is doing, or what’s going on with the program. Use Timeframes to monitor the progress of the Contractor in achieving the deliverables. Regular reports ensure objectives are met.
- Example of a Reporting Timeframe:

The Contractor shall submit quarterly reports to the Program Manager based on the following schedule:

TIME PERIOD	REPORT DUE DATE
June 1, 2014 – August 31, 2014	September 10, 2014
September 1, 2014– November 30, 2014	December 10, 2014
December 1, 2014 – February 28, 2015	March 10, 2015
March 1, 2015 – May 31, 2015	May 31, 2015

Scope of Work (SOW)

Performance Standards

Standard Gift Card language:

Gift cards may be provided to participants as incentives for participation. After purchase, gift cards shall be logged by the serial number and maintained in a locked storage cabinet. Recipients shall sign the log upon receipt of the cards.

Standard Cash Stipend language:

Provide cash stipends to participants for active participation in the program. The Contractor shall keep a log which tracks the recipient's name, date and amount of the stipend received. Recipients shall sign the log upon receipt of any cash stipend.

Scope of Work (SOW)
Exercise #2

Performance Standards

What are some examples of possible performance standards that could be developed from the following performance requirement?

Provide a minimum of 25 weekly Teen Outreach Program (TOP) club meetings for 30 unduplicated participants over a period of a least 9 consecutive months. Meeting schedules can follow natural breaks such as holidays and semester breaks.

Scope of Work (SOW)
Exercise #2 cont'd

Performance Standards Potential standards include:

- Standards regarding the curriculum:

  Ensure that TOP Curriculum or TOP community service learning activities are used weekly for a minimum of 80% of meetings.

- Standards regarding the experience of the trainer/facilitator:

  Ensure that club meetings are delivered only by facilitators who have completed the Teen Outreach Program Facilitator Training.

- Standards regarding reporting:

  Submit monthly written progress reports to Contract Administrator no later than the 10th of each month. Progress reports shall be submitted electronically.

Scope of Work (SOW)

Performance Standards

Let's slice it up!

Scope of Work (SOW)

Performance Monitoring/Quality Assurance Plan

- Defines how performance will be monitored by the Division.

  E.g., review of required reports, site visits, conference calls

- Standard Language:

  The Contract will be monitored according to the following plan:

- Details corrective action plans designed to address performance through technical assistance.

- Defines what happens if performance is below expectation.

Scope of Work (SOW)

Reimbursement

Defines the terms of payment.

- Specify any language necessary, but do not duplicate the payment provision language in the contract cover.
- Addresses submission of Contract Expenditure Reports
- Standard language:

  Contract Expenditure Reports (CERs) must be submitted even when no expenses are incurred in a given month. Failure to submit monthly sequential reports may delay receipt of reimbursement.

Scope of Work (SOW)

True or False

1. Performance Standards can be used as Outputs in Performance Measures.

2. A Microsoft Excel Spreadsheet is a database.

3. Performance requirements should specify unduplicated participants, dates, times, and locations whenever possible.

Scope of Work (SOW)

True or False

4. Meeting, summit, presentation, and conference are terms that can be used interchangeably throughout the contract.

5. The Performance Monitoring / Quality Assurance section tells the Contractor what a good job looks like.

6. Deliverables must be submitted prior to the contract end date.

Take a Break!

Performance Measures

Performance Measures

- Demand
- Input
- Output
- Outcome
- Quality
- Efficiency

Performance Measures

Principles and Guidelines

- Spell out all Acronyms
- Use Spell Check
- Write clearly and use proper grammar
- Report Actuals
- Relate measures back to Scope of Work
- Measures should be S.M.A.R.T.

S.M.A.R.T. Measures

- Specific

  State your goals as simply and concisely as possible.
- Measurable

  Goals should be measurable and quantifiable.
- Achievable

  Given the resources and time period, goals should be realistic.
- Relevant

  How does this measure relate to the contract objective?
- Time-bound

  Timeframes must be defined whenever possible, and should be realistic and achievable.

Demand

- Quantifies the need for service.
- Usually expressed by the number of people in the catchment area who could use the service (i.e. the waiting list for the service).
- It does not mean the contract will fulfill the entire need.
- *Measure Definition: Number of females aged 15-24 in Wayne County who are in need of parenting skills and parental self-sufficiency education.*

  Target Value: 1,820

Renewal Note: Always double-check website links to ensure they are still active and accurate. Verify that Demand is current and based on the most up-to-date information available.

Demand

Examples:

- Number of <u>people</u> in Orange County eligible for Medicaid.
- Number of rural <u>residents</u> in Stanly County whose income is less than 200% of the federal poverty level.
- Number of data management <u>systems</u> required by NC providers/hospitals to register to submit public health data.
- Number of public water <u>systems</u> in NC requiring water testing for organic contaminants in the event of a public health drinking water emergency.

Input

- Defines the amount of resources being used to develop, maintain or deliver a product, activity or service.

- Inputs are comprised of 2 items:
  - Contract not to exceed amount
  - Total Number of Full Time Equivalents

Input

- Total Contract Budget.
  - Expressed as a Dollar Amount

    Written as:

    Contract not to exceed amount.

- Full Time Equivalent (FTE)

  Total amount of FTEs worked on the contract.

    Written as:

    Number of Full Time Equivalent (FTE) positions.

  - 1 full time equivalent (FTE) is defined as 2080 hours annually.
  - Must be pro-rated for length of contract if it is less than 12 months.

How to Calculate FTE

- Convert percentage of time worked into equivalent decimals.

  100% = 1

  50% = 0.5

- The sum of the decimals equals the yearly percent of time worked.

  1 + 0.5 = 1.5 total time worked for all positions

- Contracts less than 1 year:

  To prorate, divide the total time worked by 12, and multiply by the number of months in the contract.

  - Formula: $\left(\frac{\text{Total Time Worked}}{12}\right) \text{ X Months } = \text{Prorated FTE}$

Hourly FTE Calculation

Hourly employees are calculated using a different formula to determine their FTE.

Staff are considered full-time at 2080 hours. Thus, for an hourly associate, 2080 = 1 FTE.

If an hourly employee works less than 2080 hours, use this formula to calculate the FTE:

$$\left(\frac{\text{Total Hours Worked}}{2080} \right) = \text{Hourly Employee FTE}$$

Hourly FTE Example

- Suppose an hourly staff member is contracted to work a total of 320 hours over an 8 month contract.

- Using the total number of hours worked, use the hourly employee formula:

$$\left(\frac{320\text{ hours}}{2080}\right) = 0.15\text{ FTE}$$

- The number of months don't matter with regard to an hourly employee. The FTE is calculated only on the number of hours worked.

- For total contract FTE, add hourly employee FTE to the salaried employee FTE. Example:

  If a total salaried % of time worked is 0.80, and there is a 0.15 hourly % of time worked, the total FTE would be 0.95 FTE.

Output

- Corresponds with Performance Requirements in the Scope of Work.
- Defines the services provided under the contract – What deliverables will be produced by the Contractor to solve the problem?
- Defines how many unduplicated participants will be served, the number of deliverables achieved and/or number of units of a service that is expected to be delivered.
- Usually expressed as “Number of _________.”

Output

Examples include:

- Number of unduplicated primary care practices in North Carolina that implement improvement efforts addressing high blood pressure, high cholesterol and tobacco use.
- Number of unduplicated patients who shall receive genetic evaluation and genetic tests.
- Number of home visits provided to enrolled participants.

Output Example

Requirement: Conduct one (1) 3 hour Medicaid Education class at the Wake County Civic Center for 200 unduplicated participants to gain knowledge on Medicaid System Accessibility by July 30th, 2014

Example Output: Number of unduplicated participants attending one, 3-hour Medicaid Education class.

Target Value: 200

Outcome

- Defines the results achieved from the contract outputs.
- Do NOT restate the Output.
- Focus on the **<u>result</u>** of the output. What is the benefit of the output?
- Includes short-term and interim results.
- Usually expressed as a Percentage or Rate.

Outcome

Examples:

- Percent of students receiving services at the School Health Centers that leads to improved health
- Percent of participants referred to a medical home who shall have increased knowledge on how to access health services
- Percent of reduction in the number of deaths due to Sudden Infant Death Syndrome

Outcome Example

Example Output: Number of unduplicated participants attending one 3 hour Medicaid Education class. Target Value: 200

Example Outcome: Percent of unduplicated participants who demonstrate increased knowledge of the Medicaid system.

Target Value: 80%

Quality

- Defined as how well the service was delivered, based on characteristics important to the recipient of the service.
- Used to determine if the contractor is meeting the expectations of the service recipient.
- Takes the form of:
  - Timeliness
  - Accuracy
  - Meeting regulatory requirements
  - Courtesy
- Staff credentials must include detailed descriptions of required experience.

Quality

Examples:

- Percent of services provided that are culturally and linguistically appropriate to the population
- Percent of staff who shall maintain confidentiality and ensure that all participant files are in a secure, private location.
- Percent of staff who hold at least a Masters degree in Sociology and at least 3 years of experience in public health policy.

Quality Example

- *Requirement: Conduct one (1) 3 hour Medicaid Education class at the Wake County Civic Center for 200 unduplicated participants to gain knowledge on Medicaid System Accessibility by July 30th, 2014.*

- Example: Percent of Medicaid Class Instructors who hold at least a bachelor's degree in human services and two years experience in Medicaid claim management.

Efficiency

- As a general rule, efficiency is calculated as cost per unduplicated participant who receives program services.

  Exception: When appropriate, efficiency can be calculated as the cost per result/deliverable (such as an evaluation or a study wherein recipient of services is incalculable).

- Target value expressed as a dollar amount
- Calculation of target value must be shown in the Collection Process.

Efficiency Example

- *Requirement: Conduct one (1) 3 hour Medicaid Education class at the Wake County Civic Center for 200 unduplicated participants to gain knowledge on Medicaid System Accessibility by July 30th, 2014.*

- *Total Cost is $1000 for 200 unduplicated participants.*

- Efficiency: Cost per unduplicated participant attending Medicaid Education class.

- Target Value: $5.00

Efficiency

- Multiple Efficiencies
  - For contracts with multiple groups of recipients and/or deliverables
  - Must be clearly identifiable in contract budget
- Example:

A $15,000 contract for families to increase their knowledge of wellness. The Contract requires 50 youth to attend wellness education sessions, and 20 parents to attend parental guidance training. Budget provides $8,000 for wellness education sessions, and $7,000 for parental guidance training.

- *Cost per unduplicated youth participant who shall attend 3 wellness education sessions. $8,000/50 youth participants= $106 per youth participant. Target Value: $106*
- *Cost per unduplicated parent participant who shall attend 2 parental guidance trainings. $7,000/20 parent participants = $350 per parent participant. Target Value: $350*

Common Thread

- Performance measures should relate to one another, and relate back to Scope of Work.
- The Demand expresses the need which is fulfilled by the actions in the Outputs which lead to results in the Outcomes.
- The Efficiency breaks down the Input per participant defined in the Output.

Measures in Multiple Contracts

- Performance Measures should be similar in their formatting and should include the same kind of information in the same place for each contract.

- This is especially critical when entering multiple contracts for one Service as they are likely to be run in a report format for comparison.

- Consistency is key.

Measure Review

True or False

1. Outcomes are based on the resulting benefit of the Output.
2. Staff Credentials may be general in order to allow the Contractor greater flexibility in hiring.
3. Efficiency Measures are expressed as percentages.

Measure Review

True or False

4. Outputs are based on Scope of Work Performance Standards.

5. Acronyms must be spelled out each time they are used in the Performance Measures.

6. Generally, efficiency measures should focus on dollar-per-participant.

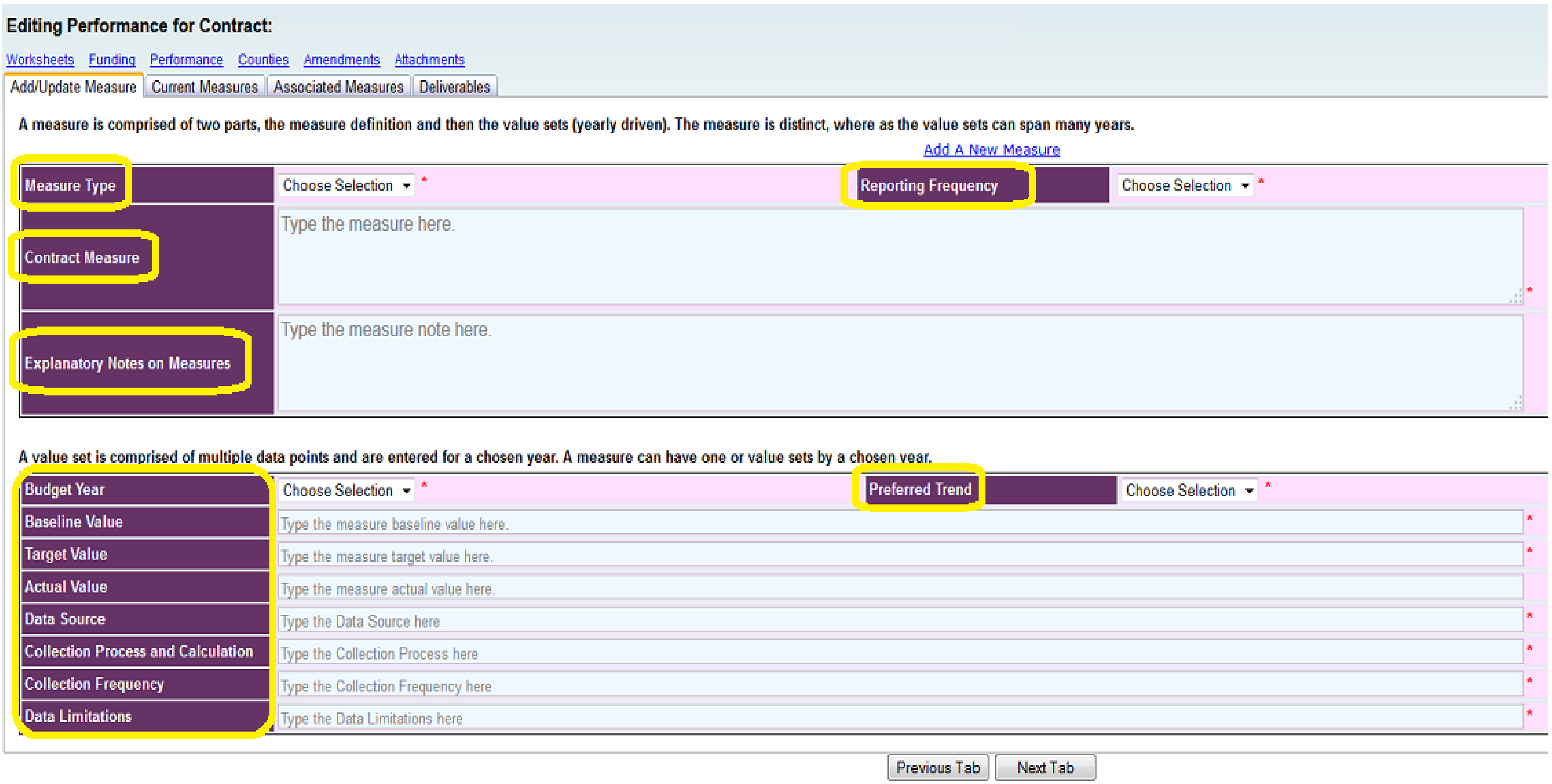
$100,000

CONTRACTS PYRAMID

Measure Elements

Measure Elements

Measure elements are the detailed components of a Performance Measure.



Measure Elements

A Measure is comprised of two parts:

Measure Definition and Value Set(s).

Measure Definition:

- Is distinct and constant over the life of the contract.
- Is the “Parent.”
- Includes: Measure Type, Reporting Frequency, Contract Measure and Explanatory Notes.

When adding a new measure, the Measure Definition portion must be saved before a Value Set can be added.

Measure Definition Elements

Measure Type:

- Demand, input, output, outcome, quality and efficiency. Each type must be present in every contract.

Reporting Frequency:

- The frequency in which you intend to report on the performance results of measure. The choices are monthly, quarterly, semi annually and annually.

Explanatory Notes:

- This section should be used to document any clarifying points or unique circumstances about any part of the performance measure or process.
- It does NOT print in the Performance Measures Chart.

Measure Elements

Contract Measure:

- It is the definition of the measure itself. It explains what it is that will be measured / quantified.
- When writing the **measure**, think about the target value for that particular measure. What is it you are trying to quantify? Is it a number or percentage? What is the target, exactly? Is it reasonable and achievable?
- Quantification:

  Demand: Number (In rare circumstances: Percentage)

  Input: Number (FTE) and Amount (Award total)

  Output: Number

  Outcome: Percentage

  Quality: Percentage

  Efficiency: Amount

Measure Elements

Example:

If the contractor is going to hold an education session for 150 unduplicated healthcare professionals about the importance of folic acid during pregnancy, the measure definition for an output measure should be written as:

Number of unduplicated healthcare professionals who shall be provided a prenatal folic acid education session.

Measure Elements

Value Set(s):

- Is the "Child."
- A value set is comprised of multiple data points for a chosen budget/fiscal year. A measure can have one or more value sets by year.
- Since the vast majority of DPH contracts are 12 months or less, the selection of Budget Year as your funding configuration will likely translate to just one value set.
- However, if you chose Fiscal Year as your funding configuration because your contract is longer than 12 months, you must enter value sets for each fiscal year.
- Includes: Budget/Fiscal Year, Preferred Trend, Baseline Value, Target Value, Actual Value, Data Source, Collection Process and Calculation, Collection Frequency and Data Limitations.

Value Set Elements

State Budget Year or Fiscal Year Dropdown

- The year in which you are managing the performance.
- Ties back to the Funding Configuration selected.

Budget Year

- Contracts 12 months or less.
- Always Budget Year 1.
- Choose “1” in the dropdown menu.
- Value Sets will only be entered once.

Fiscal Year

- Contracts longer than 12 months.
- Fiscal Year correlates to the State Fiscal Year i.e., FY 16, 17, etc.
- Choose the appropriate year for the value set being entered.
- Value Sets must be entered for every year.

Value Set Elements

Preferred Trend:

- Indicates the desired performance direction.
- The selection choices are increase, decrease or maintain the same.
- Identifies whether actual performance that is higher or lower than targeted performance is desirable (e.g., a disease rate lower than targeted is desirable).
- Maintaining or sustaining a level of performance may also be desired.

Measure Elements

Baseline Value:

- The level of performance at the beginning of the measurement or planning process.
- The baseline data indicates the starting point necessary to develop appropriate performance targets for the measure.
- The initial level of performance at which a service or function is operating upon which future performance will be measured.

Measure Elements

Baseline Value:

- Baseline now prints in the Performance Measures Chart.
- The baseline indicates the starting point necessary to develop appropriate performance targets for the measure.
- Baseline should never be "0" even for a new contract.

Renewal Note: Baselines should not change from year to year. When renewing a contract, baseline should remain the same unless evaluation methodology has changed.

In the case where the baseline does need to change, please enter a note in the Explanatory notes section detailing the reason for the change. The Explanatory Notes section does not print in the Performance Measures Chart.

Measure Elements

Target Value:

The target is the desired, measurable and incremental level of performance tied to the measure that should be reached within a specified period of time which we refer to as the reporting frequency.

Most of our measures are reported on annually.

Measure Elements

Target Value:

- The desired level of attainment of the identified performance measure. Quantifies the performance and reflects progress towards goals and targets.

- Established from baseline data. Expressed as a numerical value. Targets should not be established without baseline data.

- **Target should align with the corresponding Performance Requirement in the Scope of Work.**

Measure Elements

Actual Value:

- The achieved, quantifiable results of the activity that the measure is addressing for the specified reporting frequency.
- This is not entered at time of contract entry, but filled in later as part of contract close out.

Symbols in Baseline, Target, Actual Values:

- When entering the values for Baseline, Target, and Actuals, enter only the number with the appropriate symbol (e.g., $ or %) when applicable.

Example:

Using the same example of healthcare professionals receiving folic acid trainings, the Target Value should be entered as: 150

Measure Elements

Data Source:

- A Data Source is a valid entity from which the values are obtained.
- Examples include: databases, case management systems, surveys, questionnaires or other data-gathering mechanisms.
  - **Be sure that these sources are listed in the Scope of Work.** They can be listed as Requirements or as Standards, depending upon the contract.
- Must be specific. Are they written reports? Are they progress reports or technical reports? If a particular report or database is named in the Scope of Work, the same, complete name must be included in the Data Source field.

Renewal Note: Switching data sources for the same measure over time can lead to inconsistencies and misinterpretations and should be avoided. Maintain the same data source from year to year, if possible.

Measure Elements

Data Source Examples:

- Government data and statistics (e.g., 2010 US Census Data)
- Professional Organizations (e.g., March of Dimes Global Report on Birth Defects, 2006)
- Agency Database (e.g., NC Teen Pregnancy Prevention Initiatives Adolescent Pregnancy Prevention Database)
- Individual Case Records/Case Management Systems (e.g., Individual Patient Charts, Surveillance Epidemiology and End Reports (SEER) Data)
- Budget Documents, Performance Reports (e.g., Contract Expenditure Reports, Quarterly Progress Reports)
- Billing System/Claims Payment System (e.g., North Carolina Accounting System)
- Registration Systems/Patient Tracking system (e.g. Emergency Department Information System)
- Websites (e.g., www.fedstats.gov)

Measure Elements

Collection Process and Calculation:

- The description of the process for bringing together the data and information that has been observed and recorded.
- Calculation is a description of the overall analytical process or approach to compute data results. The description of a measure's calculation must have enough detail to allow replication.
- Use specific, detailed sentences to describe the Contractor process by which the Program receives the data used to calculate and reach the target value.

Measure Elements

- When writing the **Collection Process and Calculation**, explain how the contractor is capturing, measuring and reporting the data you are listing as a measure.

Example:

Using the same example of folic acid trainings, the collection process and calculation for the Output should be written as:

Contractor records each training activity and includes the time, date, location, names of presenters and an attendance roster. These training records are included in the Contractor Monthly Progress Reports and annual tallies are included on the Contractor Final Report. Contractor submits reports via email to the Program Manager.

Measure Elements

Collection Process and Calculation Examples:

"Contractor tracks flu shot recipients in a written log. Results are tabulated and included in monthly written Contractor Progress Reports and are electronically submitted to the Project Manager."

"Contractor shall follow up with participants who are referred to a medical provider. They shall note the date of referral and the location of the medical provider in a chart. The number of referrals shall be counted and included in written quarterly Contractor Progress Reports."

Collection Process Exercise

Example Outcome:

Percent of unduplicated participants who demonstrate increased knowledge of Medicaid System Accessibility issues.

Target Value: 80%

Example Collection Process for Outcome:

A pre- and post-test of participant knowledge of Medicaid issues shall be administered to all participants by the Contractor at the beginning and end of the Medicaid Education class. Results shall be recorded and included in the written technical report submitted to the Division of Public Health Contract Administrator.

Measure Elements

Collection Process and Method of Calculation

- Efficiency: Include the actual calculation based on the target values.

Collection Process for Efficiency: Using the same example of folic acid trainings:

\$25,000 / 150 unduplicated participants = \$166.67 per unduplicated participant. Contractor submits Contract Expenditure Reports and expenditures are recorded in North Carolina Accounting System. Contractor submits final reports to Project Monitor at the Communicable Disease Branch which report the number of unduplicated participants served.

Measure Elements

Collection Frequency:

- How often this information is gathered, collected and provided to DPH program staff.

- This is NOT the same as the Frequency for reporting actuals, but rather how often you are receiving data via reports or database entries.

- Examples:

  Annually, Quarterly, Monthly, Weekly, or In Real Time

Measure Elements

Data Limitations:

- Describes/identifies any limitations about the measurement data, including factors that may be beyond the division's or department's control.
  - Examples:
    - Self-reported data
    - Data entry error / human error
    - Clients lost to follow-up

Wrap Up

Timelines

Writing a Scope of Work and Performance Measures takes time, planning and practice.

Ensure that you build in the time you need in order to submit quality documents.

- Contractor Negotiations
- Entry into Open Window
- Internal reviews / QA prior to submission to the Contracts Unit

Contract Accountability

When submitting a contract, please ensure that the:

- Required forms are included and filled out properly
- Contract is well justified
- Scope of Work is clear and precise
- Performance Measures are relevant and make sense
- Budget is accurate and correlates with the Scope of Work

Every person who develops and/or reviews a contract is accountable for the quality and accuracy of that contract.

Questions?

Additional Training

Training Available

Additional Contracts Training presentations may be found on the DPH Contract Unit Forms website:

http://ncpublichealth.com/employees/contracts-forms.htm

Budget Training PowerPoint:

Contracts Forms Website → Contracts Training Folder → Budget Workshop Fall 2013

http://ncpublichealth.com/employees/forms/contracts/training/BudgetWorkshopFall2013.ppt

Open Window Workgroups:

Contracts Team Leaders will train Contract Administrators in Open Window. Email your Team Leader to request inclusion in a workgroup. When a workgroup is not feasible, one on one assistance may be provided.

Helpful Website Addresses

NC DPH Contracts Unit

http://publichealth.nc.gov/employees/contracts-forms.htm

NC DHHS Office of Procurement & Contract Services

https://wss01.dhhs.state.nc.us/sites/dhhs/OPCS/default.aspx

NC DHHS Open Window

http://dhhsopenwindow.nc.gov/

Please Complete Evaluation

Thanks!