

Thurston/Mason Developmental Disabilities Division
State Funded Professional Services Agreement General Terms and Conditions
2011-2013 On-Site Review Checklist

Agency Reviewed:
 County Reviewers:

Agency Staff:

Date(s) Reviewed:

#	Reference	Contract Provisions		Findings, Comments and Recommendations	Required Modifications	Completion deadline	Correction accepted
PROFESSIONAL SERVICES AGREEMENT GENERAL TERMS & CONDITIONS SECTION							
Credentials and Minimum Requirements:							
5.1.	Qualified Service Provider	The Contractor assures that it possesses the necessary expertise, knowledge, training, skills, and has the necessary licenses and/or certifications to perform the services set forth in this Agreement. <i>Reference DDD Policy 6.13, Program Provider Qualifications.</i>					
5.2.	Fiscal management and oversight	Has the Contractor safeguarded public funds including maintaining books, records, documents and other materials relevant to the provision of goods and services? Documents used to verify compliance may include but are not limited to employee training records, agency policies, client and program records, personnel records, client earning records, employee timesheets and calendars, attendance records, newsletters, board roster, board minutes, program announcements, and emergency preparedness plans.					

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5.3.	Establish and maintain adequate internal control system	Has the Contractor established and maintained adequate internal control systems, including the maintenance of written policy procedural manuals for information systems, personnel, and accounting/finance in sufficient detail such that, operations can continue should staffing change or absences occur?					
5.4.	Background/Criminal History Check	Have background/criminal history clearances from DSHS Background Check Central Unit been obtained every three years for all persons with unsupervised access to clients served under this contract?					
5.5.	Qualified Board Members	If the Contractor uses an advisory or governing board, does it include members knowledgeable about developmental disabilities and the County Guidelines ? The Contractor shall assure that board members understand their roles and responsibilities as a member of the board and that potential conflicts of interest will not arise. The inclusion of individuals with developmental disabilities is encouraged.					
5.6.	Assignment of Medicaid Billing Rights	Has the Contractor assigned to DDD its Medicaid billing rights for services to DDD clients eligible under Title XIX programs in this agreement and shall provide written documentation of the assignment to the HCA or the County upon request?					

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5.7.	Reporting Abuse and Neglect	Can the Contractor provide documentation that all persons providing services have read and understand that they are mandatory reporters and comply with the requirements of DDD Policy 5.13 <i>Protection from Abuse</i> and Policy 12.1 <i>Incident Reporting</i> ?					
5.8.	Service Collaboration	Has the Contractor worked in collaboration with the County and DDD as specified in Service Collaboration 5.8.1. - 5.8.5?					
5.8.1.		Has the Contractor provided information and assistance regarding individuals who are being considered for a change in their waiver status?					
5.8.2.		Has the Contractor immediately communicated concerns and questions related to client referrals for service to expedite funding decisions and service authorizations?					
5.8.3.		Has the Contractor participated in each individual's ISP? Are services documented in case notes and County Individual Work Plans in accordance with each individual's ISP?					
5.8.4.		Has the Contractor provided information and assistance when an individual is requesting to end or change services?					
5.8.5.		Has the Contractor provided information and assistance regarding any potential service level changes not documented in the individual's ISP prior to changing or adjusting services?					

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5.9.	On-site Evaluation	Has the Contractor taken necessary actions to carry out the recommendations and corrective actions, maintain compliance with the contract, and retain copies of the documentation provided by the County?					
5.10.	DSHS/DRW Access Agreement	The Contractor acknowledges that it and its subcontractors have reviewed the DRW February 27, 2001 Access Agreement with DDD?					
5.11.	Emergency Preparedness Plan	The Contractor will provide documentation of an emergency plan that includes, at a minimum, staff roles and responsibilities, contact information, and procedures during an emergency/disaster.					
Approval of Fees, Billing and Payment:							
6.1.	Approval of Fees	Fees/rates charged by the Contractor for services are not in excess of the fees/rates approved by the County? Is the level of services provided in alignment with a client's demonstrated need, acuity, and service level as stated in their ISP? The County will use the policies contained in the Budget, Accounting and Reporting System (BARS) Manual and Supplementary Instructions and collaborate with DDD to approve fees/rates and allocation amounts.					

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6.4.	Payment for Services	Is the Contractor able to substantiate billing and service units? Reimbursement for individual client services shall not exceed the ISP year allocation for each client served as reported on the original County Service Authorization or subsequent Allocation Adjustment documentation. As needed and prior to expenditure, adjustments to ISP allocation amounts shall be requested using the County-approved Funding Request process (3.34). Payments shall not exceed the Contractor's actual reimbursable cost for the service.					✓
6.5.	Allowable Costs	Has the Contractor submitted invoices only for services allowed under the DDD Bars Supplemental Manual?					
6.6.	Monthly Invoices with Documentation	Has the Contractor conformed to the Thurston-Mason County Guidelines: Monthly Billing when requesting reimbursement, including the Monthly Client Services Update document?					
6.7.	Timelines and Modifications to Billings	Has the County consistently receives billings by the 10 th of the month, and the billings are routinely error free, and do not have to be returned to the Contractor for corrections?					✓

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6.8.	Annual Program Budget	Has the Contractor provided the County with revenue and expenditure information within 60 days of contract execution? Information shall be specific to each program provided under this Agreement, and include the Contractor's projected and actual revenues and expenditures from the prior year of operation and the anticipated revenue and expenditures for the upcoming year. Expenditure detail shall include employee salaries, wages and FTE detail, and relate to allowable expenditures as prescribed in the Budgeting Accounting and Reporting System (BARS).				
6.9.	Payment Standard	Has the Contractor demonstrated that they have not billed the County for services paid for by any other source?				
6.10.	Alternative Funding	Has the Contractor demonstrated that client services have not be reimbursed under this Agreement when the same services are paid for under the Rehabilitation Act of 1973 (DVR), P.L. 94-142 (Public Education), or any other source of public or private funding?				
6.11.	Payment Withholding Due to Non-Performance	Has payment been withheld from the Contractor for failure to perform contract obligations?				
6.12.	Allowable Payment Period	Does the Contractor provide billings only within the allowable agreement period?				
6.13.	Recovery of Fees	Has the Contractor reimbursed funds to the County for services that were (a) not delivered or (b) not delivered in accordance with Agreement standards?				

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Information System Security and Protection of Personal Information:							
7.1.	Personal Information	The Contractor agrees not to release or make known personal information collected in connection with this Agreement without prior written consent of the person or personal representative of the person. Does the Contractor have a current Release of Information for each person receiving services?					
7.3.	Data Disposition	Has the Contractor returned Confidential Information or certify in writing that the Contractor employed a DSHS approved method to destroy the information during this review period?					
7.4.	Document Destruction	Paper documents with Confidential Information may be recycled through a contracted firm, provided the contract with the recycler specifies that the confidentiality of information will be protected, and the information destroyed through the recycling process. Paper documents containing Confidential Information requiring special handling (e.g. protected health information) must be destroyed on-site through shredding, pulping, or incineration.					

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7.5.	Notification of Compromise or Potential Compromise	The compromise or potential compromise of Confidential Information must be reported to County Staff within five (5) business days of discovery for breaches of less than 500 persons' protected data, and three (3) business days of discovery of breaches of over 500 persons' protected data. The Contractor must also take actions to mitigate the risk of loss and comply with any notification or other requirements imposed by law or DSHS.					
7.6.	Breach of this Section: Information Safeguards 7.2 – 7.6	The Contractor agrees to indemnify and hold harmless the County for any damages related to the Contractor's unauthorized use or disclosure of personal information.					
Amendments and Changes to Work:							
8.1.		Has the Contractor made corrections to work without additional compensation?					
Indemnification and Hold Harmless:							
9.1.		Has the Contractor defended itself, its employees, agents for subcontractors in any claims?					
Insurance:							
10.2.	Workers' Compensation (Industrial Insurance)	Has the Contractor maintain workers' compensation insurance as required by Title 51 RCW, and provided evidence of coverage to the County at the end of each quarter?					

#	Reference	Contract Provisions	Findings, Comments and Recommendations	Required Modifications	Completion deadline	Correction accepted
10.3.	Commercial General Liability	Has the Contractor maintained Commercial General Liability coverage for bodily injury, personal injury and property damage, subject to limits of not less than \$2,000,000 per loss? The general aggregate limit shall apply separately to this Agreement and be no less than \$5,000,000. If a Contractor provides services to Community Protection clients, the general aggregate limit shall be no less than \$3,000,000.				
10.4.		If the Agreement is over \$50,000 then the Contractor shall also maintain Employers Liability Coverage with a limit of not less than \$1 million.				
10.5.	Automobile Liability	Has the Contractor maintain Business Automobile Liability insurance with a limit of not less than \$1,000,000 each accident combined Bodily Injury and Property Damages? Coverage shall include owned, hired and non-owned automobiles.				
10.6.1.	Other Insurance Provisions	The Contractor's liability insurance provisions shall be primary with respect to any insurance or self-insurance programs covering the County.				
10.6.4.		Has the Contractor included all subcontractors as insureds under its policies or furnished separate certificates and endorsements for each subcontractor. All coverage for subcontractors shall be subject to all of the requirements stated herein.				

#	Reference	Contract Provisions		Findings, Comments and Recommendations	Required Modifications	Completion deadline	Correction accepted
10.7.	Verification of Coverage and Acceptability of Insurers:	The Contractor shall place insurance with insurers licensed to do business in the State of Washington and having A.M. Best Company's Rating of A- or better with the exception that excess and umbrella coverage used to meet the requirements for limits of liability or gaps in coverage need not be placed with insurers or re-insurers licensed in the State of Washington.					
10.7.1.		Certificates of Insurance shall show the Certificate Holder as Thurston County. The address of the Certificate Holder shall be shown as the current address of Thurston County Public Health and Social Services Department.					
10.7.3.		Has the Contractor furnished the County with properly executed certificates of insurance or a signed policy endorsement which shall clearly evidence all insurance required in this section prior to commencement of services? The certificate will list, at a minimum, limits of liability and coverage. The certificate will provide that the underlying insurance contract will not be canceled or allowed to expire except on thirty (30) days prior written notice to the County.					
Termination:							
11.3.		Has the Contractor breached any of its obligations or failed to perform any part of this Agreement?					

#	Reference	Contract Provisions		Findings, Comments and Recommendations	Required Modifications	Completion deadline	Correction accepted
Inspection of Books and Records:							
16.		Has the Contractor kept all records required by this Agreement for six (6) years after termination of this Agreement for audit purposes?					
Nondiscrimination:							
17.		The Contractor, its assignees, delegates or subcontractors has not discriminate against any person in the performance of this Agreement in the performance of any of its obligations hereunder on the basis of race, color, creed, ethnicity, religion, national origin, age, sex, marital status, veteran or military status, sexual orientation or the presence of any disability? Implementation of this provision shall be consistent with RCW 49.60.400.					

#	Reference	Contract Provisions		Findings, Comments and Recommendations	Required Modifications	Completion deadline	Correction accepted
Treatment of Client Property:							
18.		<p>Has the Contractor ensured that any adult client receiving services under this Program Agreement has unrestricted access to the client's personal property? The Contractor shall not interfere with any adult client's ownership, possession, or use of the client's property. Upon termination or completion of the Program Agreement, the Contractor shall promptly release to the client and/or the client's guardian or custodian all of the client's personal property. This section does not prohibit the Contractor from implementing such lawful and reasonable policies, procedures and practices as the Contractor deems necessary for safe, appropriate, and effective service delivery (for example, appropriately restricting clients' access to, or possession or use of, lawful or unlawful weapons and drugs).</p>					

#	Reference	Contract Provisions		Findings, Comments and Recommendations	Required Modifications	Completion deadline	Correction accepted
Ownership of Materials:							
19.		Material produced in the performance of the work under this Agreement shall be “work made for hire” as defined by the U.S. Copyright Act of 1976 and shall be owned by the County. This material includes, but is not limited to, books, computer programs, plans, specifications, documents, films, pamphlets, reports, sound reproductions, studies, surveys, tapes, and/or training materials. Ownership includes the right to copyright, patent, register, and the ability to transfer these rights.					
Disputes:							
20.		Differences between the Contractor and the County, arising under and by virtue of this Agreement, have been brought to the attention of the County at the earliest possible time in order that such matters may be settled or other appropriate action promptly taken? Any dispute relating to the quality or acceptability of performance and/or compensation due the Contractor shall be decided by the County.					

#	Reference	Contract Provisions		Findings, Comments and Recommendations	Required Modifications	Completion deadline	Correction accepted
Debarment of Certification:							
25.		The Contractor certifies that they are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participating in this Agreement or any Program Agreement by any federal department or agency. The Contractor also agrees to include the above requirement in all subcontracts into which it enters.					

**Thurston/Mason Developmental Disabilities Division
State Funded Professional Services Agreement General Terms and Conditions
Section 7. Information Systems Security and Protections of Personal Information
2011-2013 On-Site Review Checklist**

Date: _____ Contract Period Being Reviewed: _____

Agency: _____ Contact: _____

Personal Information:

Has Personal Information collected, used or acquired in connection with this Agreement been used solely for purposes of this Agreement? Yes No

Has Confidential Information as part of this Agreement been use, publish, transfer, sell or otherwise disclose for any purpose that is not directly connected with Contractor's performance of the services? Yes No

Information Safeguards:

Has the Contractor protected and maintained all Confidential Information as part of this Agreement against unauthorized use, access, disclosure, modification or loss. Has the Contractor employed reasonable security measures, which include restricting access the Confidential Information by: Yes No

7.2.1. Allowing access only to staff that have an authorized business requirement to view the Confidential Information? Yes No

7.2.2. Are computers, documents, or other media containing the Confidential Information physically secured? Yes No

7.2.3. Ensure the security of Confidential Information transmitted via fax (facsimilie) by:

7.2.3.1 Does the Contractor verifying the recipient phone number to prevent accidental transmittal of Confidential Information to unauthorized persons? Yes No

7.2.3.2 Does the Contractor communicate with the intended recipient before transmission to ensure that the fax will be received only by an authorized person? Yes No

7.2.3.3 Does the Contractor verifying after transmittal that the fax was received by the intended recipient? Yes No

7.2.4. When transporting records containing Confidential Information, outside a Secure Area, the contractor has done one or more of the following as appropriate:

7.2.4.1 Use a Trusted System? Yes No

7.2.4.2 Encrypt the Confidential Information, including:

7.2.4.2.1 Does the Contractor use encrypted email and/or email attachments which contain the Confidential Information with a hardened password? Yes No

7.2.4.2.2 Is the Confidential Information encrypted when it is stored on portable devices or media, including but not limited to laptop computers and flash memory devices? Yes No

7.2.5. Has the Contractor complied with Data Security Requirements specified in the Exhibit D apply to the transportation, protection, segregation, and disposition of Confidential Information obtained and used to fulfill this contract? Yes No

7.2.6. Are paper documents containing Confidential Information sent via a Trusted System? Yes No

Data Disposition:

Has the Contractor disposed of any Confidential Information during this review period? Yes No

If yes, did the Contractor certify in writing use of a DSHS approved method to destroy information? Yes No

Document Destruction:

Is paper documents with Confidential Information recycled through a contracted firm, which specifies that the confidentiality of information will be protected, and the information destroyed through the recycling process? Yes No

Are paper documents containing Confidential Information which requires special handling (e.g. protected health information) destroyed on-site through shredding, pulping, or incineration? Yes No

Notification of Compromise or Potential Compromise:

Has Confidential information been compromised or potentially compromised during this review period? Yes No

If so, did the Contractor report to County Staff within five (5) business days of discovery for breaches of less than 500 persons' protected data, and three (3) business days of discovery of breaches of over 500 persons' protected data? Did Contractor also take actions to mitigate the risk of loss and comply with any notification or other requirements imposed by law or DSHS? Yes No

Breach of this Section:

The Contractor acknowledges any breach of this Section may result in termination of the Agreement and the demand for return of all records in connection with this Agreement? The Contractor agrees to indemnify and hold harmless the County for any damages related to the Contractor's unauthorized use or disclosure of personal information. Yes No

Exhibit D – Data Security Requirements

2. **Data Transport.** When transporting DSHS Confidential Information electronically, including via e-mail, the Data will be protected by:
- a. Is Data transported with the (State Governmental Network) SGN or the Contractor's internal Network? or; Yes No
 - b. Is Data that will be in transit outside the SGN or Contractor's internal network encrypted? This includes transit over the public Internet. Yes No
3. **Protection of Data.** The Contractor stores Data on one or more of the following media and protects the Data as described:
- a. **Hard disk drives.** Data stored on local workstation hard disks. Is access to the Data restricted to Authorized User(s) by requiring logon to the local workstation using a Unique User ID and Hardened Password or other authentication mechanisms which provide equal or greater security, such as biometrics or smart cards? Yes No
 - b. **Network server disks.** Data stored on hard disks mounted on network servers and made available through shared folders. Is access to the Data restricted to Authorized Users through the use of access control lists which will grant access only after the Authorized User has authenticated to the network using a Unique User ID and Hardened Password or other authentication mechanisms which provide equal or greater security, such as biometrics or smart cards? Yes No

Is Data on disks mounted to such servers are located in an area which is accessible only to authorized personnel, with access controlled through use of a key, card key, combination lock, or comparable mechanism? Yes No

DSHS Confidential Information stored on these disks, deleting unneeded Data is sufficient as long as the disks remain in a Secured Area and otherwise meet the requirements listed in the above paragraph. Yes No
 - c. **Optical discs (COs or DVDs) in local workstation optical disc drives.** Data provided by DSHS on optical discs which will be used in local workstation optical disc drives and which will not be transported out of a Secured Area. When not in use for the contracted purpose, are discs locked in a drawer, cabinet or other container to which only Authorized Users have the key, combination or mechanism required to access the contents of the container? Yes No

Are workstations which access DSHS Data on optical discs located in an area which is accessible only to authorized personnel, with access controlled through use of a key, card key, combination lock, or comparable mechanism? Yes No
 - d. **Optical discs (CDs or DVDs) in drives or jukeboxes attached to servers.** Data provided by DSHS on optical discs which will be attached to network servers and which will not be transported out of a Secured Area. Access to Data on these discs will be restricted to Authorized Users through the use of access control lists which will grant access only after the Authorized User has authenticated to the network using a Unique User ID and Hardened Password or other authentication mechanisms which provide equal or greater security, such as biometrics or smart cards. Is Data on discs attached to such servers located in an area which is

accessible only to authorized personnel, with access controlled through use of a key, card key, combination lock, or comparable mechanism? Yes No

e. **Paper documents.** Are all paper records protected by storing the records in a Secured Area which is only accessible to authorized personnel? Yes No

When not in use, are such records stored in a locked container, such as a file cabinet, locking drawer, or safe, to which only authorized persons have access? Yes No

f. **Remote Access.** Access to and use of the Data over the State Governmental Network (SGN) or Secure Access Washington (SAW) will be controlled by DSHS staff who will issue authentication credentials (e.g. a Unique User ID and Hardened Password) to Authorized Users on the Contractor staff. Has the Contractor notified DSHS staff immediately whenever an Authorized User in possession of such credentials is terminated or otherwise leaves the employ of the Contractor, and whenever an Authorized User's duties change such that the Authorized User no longer requires access to perform work for this Contract? Yes No

g. **Data storage on portable devices or media.** Portable devices include, but are not limited to; smart phones, tablets, flash memory devices (e.g. USB flash drives, personal media players), portable hard disks, and laptop/notebook/netbook computers if those computers may be transported outside of a Secured Area. Portable media includes, but is not limited to; optical media (e.g. COs, DVDs), magnetic media (e.g. floppy disks, tape), or flash media (e.g. CompactFlash, SD, MMC).

(1) Except where otherwise specified herein, DSHS Data shall not be stored by the Contractor on portable devices or media unless specifically authorized within the terms and conditions of the Contract. If so authorized, the Data shall be given the following protections:

(a) Is Data encrypted with a key length of at least 128 bits? Yes No

(b) Is access to devices controlled with a Unique User ID and Hardened Password or stronger authentication method such as a physical token or biometrics? Yes No

(c) Are devices manually locked whenever they are left unattended and set devices to lock automatically after a period of inactivity, if this feature is available? Maximum period of inactivity is 20 minutes? Yes No

Physically Secure the portable device(s) and/or media by:

(d) Are portable device(s) and/or media kept in locked storage when not in use? Yes No

(e) Does the Contractor use check-in/check-out procedures when device(s) and/or media are shared? Yes No

(f) Does the Contractor take frequent inventories of device(s) and/or media? Yes No

(2) When being transported outside of a Secured Area, are portable devices and media with DSHS Confidential Information kept under the physical control of the Contractor staff with authorization to access the Data? Yes No

h. **Data stored for backup purposes.**

(1) DSHS data may be stored on portable media as part of a the Contractor's existing, documented backup process for business continuity or disaster recovery purposes. Such storage is authorized until such time as that media would be reused during the course of normal backup operations. If backup media has been retired while DSHS Confidential Information still exists upon it, was media destroyed at that time in accordance with the disposition requirements in Section 5. Data Disposition? Yes No

(2) DSHS Data may be stored on non-portable media (e.g. Storage Area Network drives, virtual media, etc.) as part of a the Contractor's existing, documented backup process for business continuity or disaster recovery purposes. If so, such media will be protected as otherwise described in this exhibit. If this media has been retired while DSHS Confidential Information still exists upon it, was the data destroyed at that time in accordance with the disposition requirements in Section 5. Data Disposition? Yes No

4. Data Segregation.

a. Is DSHS Data segregated or otherwise distinguishable from non-DSHS data? This is to ensure that when no longer needed by the Contractor, all DSHS Data can be identified for return or destruction. It also aids in determining whether DSHS Data has or may have been compromised in the event of a security breach. As such, one or more of the following methods will be used for data segregation. Yes No

b. Is DSHS Data kept on media (e.g. hard disk, optical disc, tape, etc.) which will contain no non-DSHS Data? And/or, Yes No

c. Is DSHS Data stored in a logical container on electronic media, such as a partition or folder dedicated to DSHS Data? And/or, Yes No

d. Is DSHS Data stored in a database which will contain no non-DSHS data? And/or, Yes No

e. Is DSHS Data stored within a database, and is distinguishable from non-DSHS data by the value of a specific field or fields within database records? Yes No

f. When stored as physical paper documents, is DSHS Data physically segregated from non-DSHS data in a drawer, folder, or other container? Yes No

g. When it is not feasible or practical to segregate DSHS Data from non-DSHS data, are both the DSHS Data and the non-DSHS data with which it is commingled protected as described in Exhibit D? Yes No

5. Data Disposition. When the contracted work has been completed or when no longer needed, except as noted in 4.b above, Data shall be returned to DSHS or destroyed. Has the Contractor has adhered to Media on which Data may be stored and associated acceptable methods of destruction as described in Exhibit D? Yes No

6. Notification of Compromise or Potential Compromise. Has DSHS shared Data been compromise or potentially compromised during this review period? Yes No

If yes, did the Contractor report to the DSHS Contact designated in the Contract, or to the DSHS Privacy Officer at dshsprivacyofficer@dshs.wa.gov. within one (1) business day of discovery? Yes No

Did the Contractor take actions to mitigate the risk of loss and comply with any notification or other requirements imposed by law or DSHS? Yes No

7. Data shared with Subcontractors. Has DSHS Data been shared with a subcontractor during this review period?

Yes No

Thurston/Mason Developmental Disabilities Division
Community Access Program
2011-2013 On-Site Review Checklist

Agency Reviewed:
 County Reviewers:

Agency Staff:

Date(s) Reviewed:
 Program: Community Access (CA)

#	Reference	Contract Provisions		Findings, Comments and Recommendations	Required Modifications	Completion deadline	Correction accepted
Service Information – Community Access							
General	Number of People Served	How many individuals does the Contractor support in Community Access?					
General	Staff check list	Does the Contractor document that this Agreement has been reviewed with all employees providing services under it?					
BARS		The Contractor provides individualized services in typical integrated community settings for individuals in retirement, and/or working age individuals who have received nine months of employment support, haven't found a job and decide not to continue looking for work?					
BARS		Do services promote individualized skill development; independent living and community integration for person's to learn how to actively and independently engage in their local community?					
BARS		Do services provide opportunities to develop and build relationships, and to learn, practice, and apply skills that result in greater independence and community inclusion?					
1.		Is the Community Access service hours per month based each client's Acuity per WAC?					

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2.		<p>Do clients have an individualized plan that identifies measurable goals, strategies and activities, include client preferences and skills, describe outcomes, and summarize progress towards individualized goals?</p> <p>Are additional/new strategies documented for each client and kept in the client's file(s)?</p> <p>Are IWPs submitted timely according to Additional/new strategies shall be documented for each client and kept in the client's file(s)?</p> <p>Are copies of IWPs provided to the guardian and others, as appropriate?</p>				
3.		<p>Has the Contractor provided minimum and maximum Community Access service hours as authorized in the client's DDD ISP?</p> <p>Has the Contractor submitted funding requests as outlined in the Thurston-Mason Guidelines: Funding Requests?</p>				
4.		<p>Has the Contractor contacted each client according to their need, and at least once per month?</p>				

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5.		Does the Intake, Discovery, Community Participation, Skill Development & Coordination documentation demonstrate service activities and outcomes promote individualized skill development, independent living, community integration, client development of personal relationships in their local community and provide learn, practice and application of life skills that promote greater independence and community inclusion? (reference DDD document, Community Access Billable Activities)				
6.		Does the Contractor provide and bill to each client services as Thurston-Mason County Guidelines: Client Transportation and Travel Time Reimbursement?				
7.		Does the Contractor employ typical safety protections per the standards of the environment in which the client is receiving services? Are accommodations put into place specific to the client's need?				
9.		How many clients have terminated Community Assess services during this review period? Did the Contractor follow Thurston-Mason County Guidelines: Service Termination process to end services?				
10.		Do services take into consideration the individual's prior experiences, relationships, and observed interests?				
11.		Are services focused on activities that are typically experienced by the general public?				

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12.		Are clients are assisted to participate in activities on an individual basis?					
13.		Do opportunities for connection and development of interdependent relationships between the client and a variety of people without disabilities, and who are not paid to serve the client, provided?					
14.		Have there been volunteer positions created for clients during this review period? Do volunteer opportunities supported under this Agreement comply with applicable State and Federal law?					

Thurston/Mason Developmental Disabilities Division
Service Information Form (SIF), DDD Criteria, Provider Qualifications for Group Supported Employment
2011-2013 On-Site Review Checklist

Agency Reviewed: **Morningside**

Agency Staff:

Date(s) Reviewed:

County Reviewers: **Program: Group Supported Employment (GSE)**

#	Reference	Requirement		Findings, Comments and Recommendation	Required Modifications	Completion deadline	Correction Accepted
Service Information – Group Supported Employment							
General		How many individuals does the Contractor support in Group Supported Employment?					
General		During this review period, how many clients have moved from Group Supported Employment to Individual Supported Employment?					
BARS		Is services part of a pathway to integrated jobs in typical employment in the community?					
		What elements of Individual Supported Employment are there, and are they described in the IWP?					
		Are the sites set in integrated business and industry settings?					
		Do sites have no more than 8 participants working at any given time?					
		Only individuals requiring ongoing supervision and support in order to maintain employment are placed and remain in group supported employment? Does Group Supported Employment lead to an individual being able to secure gainful employment earning a living wage?					

#	Reference	Requirement	Findings, Comments and Recommendation	Required Modifications	Completion deadline	Correction Accepted
1.		The Contractor supports clients to work towards a living wage. A living wage is the amount needed to enable an individual to meet or exceed his or her living expenses. Clients should average twenty (20) hours work per week or eighty-six (86) hours per month. Is the amount of service a client receives should be based on his/her demonstrated need, acuity level and documented in the client's DDD ISP?				
2.	Kim, and Lori	Does the Contractor have a current IWP and subsequent reports for each client? Are the measurable goals, strategies and activities carried out, and do they include client preferences and skills? Are copies of IWPs provided to the guardian and other as appropriate?				
3.		Are clients' minimum and maximum service hours consistent with the hours authorized in the DDD ISP? Has the Contractor clearly communicated with the client, their guardian/advocate the number of service hours per month prior to beginning services and before making a change in hours? Has the Contractor submitted Funding Requests during this review period, as specified in the Thurston-Mason Guidelines: Funding Requests?				
4.		Has the Contractor contacted all clients according to need and at least monthly?				

#	Reference	Requirement	Findings, Comments and Recommendation	Required Modifications	Completion deadline	Correction Accepted
5.		Are services and outcome delivery provided as outlined in the DDD document, Employment Phases and Billable Activities, including accordance with all references within the document?				
6.		Are clients receiving services in accordance with Thurston Thurston-Mason County Guidelines: Discovery, Assessment and Job Prep, when necessary and appropriate?				
7.	Client file review	Does the Contractor provide and bill to individual client services as Thurston-Mason County Guidelines: Client Transportation and Travel Time Reimbursement?				
8.	Client file review	Has the Contractor complied with Thurston-Mason County Guidelines: Social Security Benefits, including at a minimum annual updates, and more as appropriate?				
9.		Has a client expressed interest in self-employment during this review period? If so, has the contractor provided services according to Division of Developmental Disabilities "Criteria for an Evaluation System," Section I. Individual Supported Employment Services Division of Developmental Disabilities "Criteria for an Evaluation System," Section I. Individual Supported Employment Services?				

#	Reference	Requirement	Findings, Comments and Recommendation	Required Modifications	Completion deadline	Correction Accepted
10.		Has the Contractor employed typical safety protections per the standards of the environment for work, volunteer, and service sites developed by agency? Has the Contractor put into place accommodations specific to client need?				
11.	Case notes Discovery	Has the Contractor developed client supports which lead to personal network of family, friends, co-workers, residential and personal care providers, and community members working toward successful employment customized for the individual?				
13.		Did the Contractor closed services for any clients during this review period? Did the Contractor follow the Thurston-Mason County Guidelines: Service Termination process?				
14.		Has the Contractor documented wage and hour goals for each participant? If clients earn less than prevailing wage, has the contractor complied with wage, hour and productivity standards established by the Washington State Department of Labor, and secures wage increases for clients commensurate with improvements in productivity?				
15.		Did the Contractor notify the County prior to modification or closer of any GSE site?				

Thurston/Mason Developmental Disabilities Division
Service Information Form (SIF), DDD Criteria, Provider Qualifications for Individual Supported Employment Program
2011-2013 On-Site Review Checklist

Agency Reviewed:
 County Reviewers:

Agency Staff:

Date(s) Reviewed:
 Program: Individual Supported Employment (ISE)

#	Reference	Contract Provisions	Findings, Comments and Recommendations	Required Modifications	Completion deadline	Correction accepted
Service Information - Individual Supported Employment						
General		How many individuals does the Contractor support in Individual Supported Employment?				
General		Does Contractor document that this Agreement has been reviewed with all employees providing services under it?				
BARS		Has the Contractor provided services that are a part of an individual's pathway to employment and are <ul style="list-style-type: none"> • tailored to individual needs, interests, abilities, • promote career development • necessary to help persons with developmental disabilities obtain and continue integrated employment in the general workforce • may include intake, discovery, assessment, job preparation, job marketing, job supports, record keeping and support to maintain a job 				

#	Reference	Contract Provisions		Findings, Comments and Recommendations	Required Modifications	Completion deadline	Correction accepted
1.		<p>Clients will be supported to work towards a living wage. A living wage is the amount needed to enable an individual to meet or exceed his or her living expenses. Clients should average twenty (20) hours work per week or eighty-six (86) hours per month. The amount of service a client receives should be based on his/her demonstrated need, acuity level as documented in each client's DDD ISP.</p>					
2.		<p>Has the Contractor submitted Individual Work Plans (IWP) that identifies measurable goals, strategies and activities, include client preferences and skills, describe outcomes, and summarize progress towards individualized goals? Are IWPs submitted within specified timelines? Are additional/new strategies documented for each client and kept in the client's file(s)? Has the Contractor provided a copy to the guardian and others, as appropriate?</p>					
3.		<p>If paid employment at minimum wage or better as not been obtained for a client within six (6) months has the Contractor demonstrated through case notes and IWP that progress towards work goals were reviewed, consultation occurred with family/client, and development of additional strategies with the family/client, county staff, employment support staff, and the case manager?</p>					

#	Reference	Contract Provisions		Findings, Comments and Recommendations	Required Modifications	Completion deadline	Correction accepted
4.		<p>If paid employment at minimum wage or better has not been obtained for a client after twelve (12) months, has the Contractor done an additional review?</p> <p>Has the Contractor addressed the steps outlined in the previous six month IWP in the next six month IWP report?</p> <p>What action did the Contractor take if a client requested Community Access?</p>					
5.		<p>Are service hours consistent with the hours authorized in the DDD ISP?</p> <p>Has the Contractor collaborated with the client, guardian or advocate, County staff and CRM prior to beginning services, submitted a funding request, or made a change in monthly service hours?</p> <p>Have funding requests been made in accordance with Thurston-Mason Guidelines: Funding Requests?</p>					
6.		<p>Has the Contractor made contact with all clients according to need, and at least monthly?</p>					
7.		<p>Are services and outcome delivery provided as outlined in the DDD document, Employment Phases and Billable Activities?</p>					
8.		<p>Do clients receive services specified in the Thurston-Mason County Guidelines: Discovery, Assessment and Job Prep, when necessary and appropriate?</p>					
9.		<p>Are Client Transportation and Travel Time Reimbursement services provided within Thurston-Mason County Guidelines?</p>					

#	Reference	Contract Provisions	Findings, Comments and Recommendations	Required Modifications	Completion deadline	Correction accepted
10.		Has the Contractor complied with Thurston-Mason County Guidelines: Social Security Benefits, including at a minimum annual updates, and more as appropriate?				
11.		When a client is self-employed or requests self-employment, has the Contractor provided services as outlined in the DDD "Criteria for an Evaluation System," Section I. Individual Supported Employment Services? Did the Contractor seek DVR as the first resource? Can the Contractor demonstrate that the original and regularly updated business plan include research that implies expectations regarding profitability? Can the Contractor demonstrate progress is being made toward established benchmarks for profitability for wage and income gains?				
12.		Are client supports identified and developed as a team approach to lead to a personal network of family, friends, co-workers, residential and personal care providers and community members, working toward successful customized employment for the client?				
13.		Has the Contractor employed typical safety protections per the standards of the environment for work, volunteer, and services sites, including accommodations specific to client need? Has client documentation in this area been reviewed and updated at least on an annual basis?				

#	Reference	Contract Provisions		Findings, Comments and Recommendations	Required Modifications	Completion deadline	Correction accepted
14.		Has the Contractor followed the service termination process according to Thurston-Mason County Guidelines: Service Termination process to end services with any client?					
13.		<p>For self-employed participants, the contractor ensures:</p> <ul style="list-style-type: none"> ▪ That all criterion is met, in accordance with the Thurston/Mason Counties Developmental Disability Policy on Self Employment. ▪ That original and regularly updated business plan include <ol style="list-style-type: none"> 1. research that implies expectations regarding profitability, 2. history of periodic benchmarks for wage and income gains 					

Thurston/Mason Developmental Disabilities Division
Community Protection
DDD Policy 15.03
2011-2013 On-Site Review Checklist

Agency Reviewed:
Date(s) Reviewed:

Agency Staff:
County Reviewers:

#	Contract Provisions	Findings, Comments and Recommendations	Required Modifications	Completion deadline	Correction accepted
DDD Policy 15.03 Community Protection Standards for Employment Programs					
<u>Policy B.1.</u>	Does the Contractor provide an opportunity to work successfully in the community?	Jim			
<u>Policy B.2.</u>	Does the Contractor provide environmental and programmatic safeguards and structures that enhance the protection of others from behaviors that endanger people or property and/or interfere with the rights of others?				
<u>Policy B.3.</u>	Does the Contractor provide specialized supports to assist CPP participants to make positive choices to reduce the behaviors that require intensive intervention and supervision?				
<u>Policy C</u>	Are the least restrictive interventions are used when appropriate?				
<u>Procedures A.1.</u>	Are security measures reasonably available to enhance protection of community members, children, vulnerable adults, and animals?				
<u>Procedures A.2.</u>	Does the Contractor participate in the integration of treatment goals and objectives and therapeutic interventions to function safely and avoid offending?				
<u>Procedures A.3</u>	Does the Contractor collaborate and coordinate between DDD staff, residential providers, therapists, families/legal representatives and other agencies/individuals?				

<u>Procedures</u> <u>A.4</u>	Does the Contractor design programs that avoid dehumanization or punitive attitudes?				
<u>Administration</u> <u>2.a</u>	Does the Contractor maintain commercial general liability insurance of at least \$1,000,000 per occurrence and \$3,000,000 in the aggregate?				
<u>Administration</u> <u>2.</u>	Does the Contractor have written policies and procedures for serving individuals with community protection issues?				
<u>Administration</u> <u>2.b</u>	Does the Contractor have written documentation of communication between employment/day program, treatment team members, and other persons and agencies?				
<u>Administration</u> <u>2.c.</u>	Does the Contractor participate as a member of the treatment team?				
<u>Administration</u> <u>2.d.</u>	Do individual work plans include: (i) treatment plan restrictions and measures applicable to employment/day service? (ii) staff roles and responsibilities, including the security and supervision of CPP participants at the job site and other day program settings? (iii) transportation to and from the employment/day program setting? (iv) disclosure requirements and procedures. Team decision regarding the timing of disclosure should be reflected in documentation.				
<u>Administrative</u> <u>2.e.</u>	Does the Contractor use confidentiality and releases of information to maintain confidentiality with regard to disclosure of information related to community protection designation?				

<u>Administrative 2.f.</u>	Has the Contractor addressed participant rights and grievance procedures as they relate to specialized environments and restrictive procedures as outlined in DDD Policy 5.15.				
<u>Administrative 2.g.</u>	Does the Contractor have response and contingency plans for: (i) emergency staffing (ii) potentially dangerous situations (e.g., where the gender of staff working alone may cause them to be at risk or when the CPP participant obsesses about or makes threats to a specific staff person) (iii) general emergencies				
<u>Administrative 2.h.</u>	Has the Contractor followed the Incident report procedures include the notification of DDD, residential, county, therapist and law enforcement as appropriate when a significant incident occurs or a CPP participant refuses to abide by restrictions, supervision requirements, treatment recommendations and/or supervision.				
<u>Staff Training C 1 & 2.</u>	The Contractor will provide documentation of staffing training of the following: a. DDD County Guidelines b. Functional Assessment and Positive Behavior Support c. – d. Staff will have training specific to community protection within 90 calendar days.				

<p><u>Client Records</u> <u>D 1- 5</u></p>	<p>Are documents written by appropriate treatment professionals included in client case files, including:</p> <ol style="list-style-type: none"> 1. Psychosexual and/or psychological evaluations and risk assessments, 2. Current treatment and support recommendations, 3. Current treatment plans including PBSP and approved restrictive procedures, 4. Copies of ETP for restrictive procedures, 5. Documentation of all agreements, plans or understandings with other agencies or individuals who support the CPP participant, including the person's legal representative and/or family. Documentation including requirements for supervision of the person when day program employees are not present. 				
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**Thurston/Mason Developmental Disabilities Division
School to Work and High School Transition Services
Professional Services Agreement – Amendment #1
2011-2013 On-Site Review Checklist**

Agency Reviewed:
County Reviewers:

Agency Staff:

Date(s) Reviewed:

#	Contract Provisions	Findings, Comments and Recommendations	Required Modifications	Deadline	Final
	How many individuals does the Contractor support in the Transition Program?				
	Contractor documents that all employees providing services under this contract have reviewed this Agreement?				
General Contract Requirements					
4.4. BARS (568.41)	Community Information and Education: Has the Contractor provided activities to inform and/or educate the general public about developmental disabilities and related services? These may include information and referral services; activities aimed at promoting public awareness and involvement; and community consultation, capacity building and organization activities.				
4.5. BARS (568.94)	Partnership Project: Has the Contractor formed and maintained collaborative partnerships with school districts, employment providers, DVR, families, employers and other community collaborators needed to provide the employment supports and services young adults with developmental disabilities require to become employed during the school year they turn 21?				
4.6.	School to Work: Has the Contractor provided employment related services to individuals with developmental disabilities who will be exiting high school to achieve job stabilization as set forth in Exhibit E?				

#	Contract Provisions	Findings, Comments and Recommendations	Required Modifications	Deadline	Final
4.7.	High School Transition: Has the Contractor provided High School Transition services for individuals with developmental disabilities, under 21 years of age or still in school who are residing in Thurston County, including vocational assessment, job development, and on-the-job training that will result in employment and employment supports upon graduation from school, as set forth in Exhibit F?				
4.9.	Has the Contractor researched and utilized resources available through DVR, Social Security Work Incentives Programs and other alternative resources?				
6.4.B.	School to Work Services in Exhibit E: Has the Contractor secured stable job placement as set forth in Exhibit E?				
6.7.	Has the County consistently received billings by the 10 th of the month? Are the billings routinely error free, and do not have to be returned to the Contractor for corrections?				
6.8.	Has the Contractor provided the County with revenue and expenditure information within 60 days of contract execution? Information shall be specific to each program provided under this Agreement, and include the Contractor's projected and actual revenues and expenditures from the prior year of operation and the anticipated revenue and expenditures for the upcoming year. Expenditure detail shall include employee salaries, wages and FTE detail, and relate to allowable expenditures as prescribed in the Budgeting Accounting and Reporting System (BARS).				
6.10.	Has the Contractor demonstrated that client services have not been reimbursed under this Agreement when the same services are paid for under the Rehabilitation Act of 1973 (DVR), P.L. 94-142 (Public Education), or any other source of public or private funding?				
6.11.	Has payment been withheld from the Contractor for failure to perform their contractual obligations?				

#	Contract Provisions	Findings, Comments and Recommendations	Required Modifications	Deadline	Final
6.12.	Has the Contractor submit billings only within the time frame of this contract?				
6.13.	Has the Contractor reimbursed any funds to the County for services that were (a) not delivered or (b) not delivered in accordance with Agreement standards?				
Exhibit A					
3.	Has the Contractor provided the services and staff to do all things necessary for the performance of work?				
3.b.	Has the Contractor utilized and paid for communication interpreter services, and/or alternative formats, methods and languages for individuals with Limited English Proficiency (LEP)?				
3.e.	Does the Contractor have a current DVR Community Rehabilitation Program contract: a) Community Based Assessments; b) Job Placement; c) Intensive Training Services? Has the Contractor provided a copy of their DVR Community Rehabilitation Program contract to the County?				
3.i.	How many Transition students were eligible for DVR/County services, and received Community Based Assessment (CBA), Job Placement, and Intensive Training Services? How many DVR/County Customers achieved job stabilization during this review period?				

#	Contract Provisions	Findings, Comments and Recommendations	Required Modifications	Deadline	Final
3.j.	<p>Has the Contractor submitted monthly progress reports timely for each individual Customer to the County and the designated DVR Counselor that documents the following?</p> <ul style="list-style-type: none"> b) Job Placement – completion of Job Placement, as specified in the SDOP that contains Job Placement services and the results including, but not limited to: <ul style="list-style-type: none"> i. Name of the employer the Customer was placed at; ii. Job title; iii. Hourly wage; iv. Number of hours per week; and v. Any fringe benefits. c) Intensive Training Services – completion of Intensive Training Services as specified in the SDOP that contains Intensive Training Services and results including, but not limited to: <ul style="list-style-type: none"> i. Date the Customer was considered to be stable in their job performance and transitioned to Extended Services (Long-Term Support); and ii. Any changes in the Customer’s job (i.e. number of hours worked, wages, etc.). d) Monthly reports are due within thirty (30) calendar days of the end of the reporting month. 				
k.	<p>Has the Contractor submitted Quarterly Reports timely to the County and the DVR Coordinator, that document the following information on all Customers being served by this contract?</p>				

#	Contract Provisions	Findings, Comments and Recommendations	Required Modifications	Deadline	Final
1.	Has the Contractor participated in meetings with the County and DVR Coordinators?				
Exhibit F					
A.	High School Transition services for individuals with developmental disabilities who are under 21 years of age or still in school. The service includes vocational assessment, job development, and on-the-job training that will result in employment and employment supports upon graduation from school. These students will reside in Thurston County.				
B.1.	Has the Contractor collaborated with County staff and Parent to Parent to develop and participate in Thurston County training and educational events for families of students with developmental disabilities?				
B.2.	Has the Contractor collaborated with county staff, school district personnel, employment service providers, DDA, DVR, and other community organizations in the design, promotion, and Implementation of a School to Work Transition Program that meets the current and future needs of Thurston County students with developmental disabilities and their families?				

Thurston/Mason Developmental Disabilities Division
State Funded Professional Services Agreement General Terms and Conditions
Section 5.1. Provider Qualifications for Employment and Day Program Services (DDD Policy 6.13)
2011-2013 On-Site Review Checklist

Date:		Agency:
Reviewer:		Agency Staff:
POLICY		
B.1.	How does your agency use Thurston County Guidelines in day to day service provision? a. Method of gathering information; b. How are needs assessed; c. Plan implementation; d. Plan outcomes.	Please list the names of three clients that best exemplify your agency's work as summarized by B.1. Be sure to include one client situation which presented significant challenges and how your agency addressed them. <i>The County will contact you about this prior to the on-site visit.</i>
B.4.	How does your agency maintain client and staff records?	Provide a copy of your policy.
B.5.	Does your agency employ anyone under the age of 18?	Yes <input type="checkbox"/> No <input type="checkbox"/>
B.5.a.	Background/criminal history clearances from DSHS Background Check Central Unit for all persons with unsupervised access to clients.	Provide a copy of your policy.
B.6.a	How many employees have two or more years experience developing, obtaining, and maintaining successful placements in paid employment at minimum wage or better with the wages paid by a community-based business?	
	How many employees have an "Employment Professional" certificate from Highline Community College	
B.6.b.	How many employees have two or more years providing community access services in an integrated community setting that supports contribution by the client with local community members who are not paid to be with that person?	
B.7.a.	Employment service providers must be certified by the Commission on Accreditation of Rehabilitation (CARF).	Provide most recent CARF review, including our agency's response to their finding.
	Does your agency employ people who are related to individuals you provide services to? If so, please provide staff names and describe what measures are taken to ensure	

	conflict of interest does not occur.	
D.1.	How does your agency ensure required initial and on-going training occurs timely for each employee?	Provide a copy of your training policy.
PROCEDURES		
A. 2.	What type of services does your agency provide?	
4.	Provide the following documents:	
	<ul style="list-style-type: none"> a. Organization chart; b. Job descriptions c. Business license d. Insurance certificate e. Debarment certification statement 	

**THURSTON COUNTY
FISCAL REVIEW**

Date of Review: _____

Recipient: _____

Contract Period Being Reviewed: _____

Contact: _____ Position: _____

Phone: _____

Address: _____

AUDITS

Is a single audit required of this entity? (*\$500k or more in federal expenditures*) Yes No

If yes, has the audit been performed and submitted to Thurston County? Yes No

Date audit sent: _____

If no, has an audit been performed by the State Auditor's Office or an independent accounting firm within the last two years? Yes No

Did the last audit contain recommendations or findings? Yes No

If yes, what were they and have they been implemented?
(Follow-up on audit findings must occur within six months from the receipt of the audit report.)

BUDGET AND CONTRACTS

Who is involved in budget development and monitoring?

Name/Title:

How does this subrecipient approve and monitor its budget?

Does the budget monitoring process include a comparison of budgeted to actual expenditures? Yes No

Does the budget detail match the contract and is it on track through the current period? Yes No

Have any changes been made to the budget and if so, was prior approval required and attained? Yes No

Was the change to the budget accurately recorded in the accounting system? Yes No

ACCOUNTING RECORDS, POLICIES AND PROCEDURES

Does this contractor have established accounting policies and procedures (including an internal control policy)? Yes No

Is the accounting system functional? Yes No

Do the following functions exist?

Cash receipts	Yes	No
Cash disbursements	Yes	No
Grant/project ledger	Yes	No
Equipment/inventory tracking	Yes	No
Billing system	Yes	No
Payroll tracking	Yes	No

Does the financial system provide an adequate audit trail for each grant program or contract by budget category? Yes No

Is the general ledger maintained in a manner that provides ease in the preparation of required reports? Yes No

Are bank accounts reconciled monthly? Yes No

Is a match required for this contract and if so, is the match: Yes No

Cash Yes No

In-kind Yes No

Do accounting records reflect that the required match is expended according to the same criteria as the grant funds being matched? Yes No

Are there in-kind revenues and expenditures recorded in the accounting records?	Yes	No
If so, is there adequate documentation of value		
Services (time and attendance records, pay rate used)	Yes	No
Goods (basis of valuation)	Yes	No
Space (rental comparisons, etc.)	Yes	No

PROGRAM INCOME

Is there program income received from this program? Yes No
(Gross income received by the grantee directly generated by the grant supported activity.)

Are there sufficient records to identify the amount of program income received and how it was spent? Yes No

PERSONNEL COSTS

Are salaries/wages supported by monthly time and attendance records? Yes No

Are time and attendance records supported by adequate documentation? Yes No

For staff that work solely on one program, does either the employee or the supervisor perform semiannual certifications? Yes No

If the staff assigned to the programs under review work on other programs, how does the entity ensure that costs are allocated correctly?

TRAVEL COSTS

Are expenditures charged to travel supported by a travel claim? Yes No

Is travel being charged to the appropriate cost code (i.e. program vs. administration)? Yes No

What is the rate of reimbursements for:
 Lodging: _____ Meals: _____ Mileage: _____

VENDOR PAYMENTS

Is there approval for payment of invoices prior to payment being made? Yes No

Do initials on the face of the invoice show evidence of approval? Yes No

Are invoices cancelled when paid? Yes No

Are invoices coded with account codes to facilitate tracking? Yes No

Are documents supporting payments filed in such a way as to be readily located? Yes No

Are expenditures made within the time restraints of the contract and charged to the correct accounting period? Yes No

Are purchases limited in amount before requiring executive or board approval? What is the limit:_____ Yes No

If so, is prior approval being obtained when required? Yes No

EQUIPMENT

Does the agency have a capitalization policy? Yes No

Have items costing \$5,000 or more received prior federal approval? Yes No

Is there an inventory tracking system? Yes No

Is a physical inventory done annually? Yes No

Has the program paid for any items that could be classified as small and attractive? Yes No

How does the contractor control small and attractive assets?

REVIEWER OPINION

Based on the answers to the preceding questions, your general observations of the overall management aspects of the organization, and review of financial records, is the contractor fully capable of administering, accounting for, and safeguarding Thurston County funds? If no, explain.

Are there any problems that need immediate corrective action? If yes, explain.

Does contractor staff need specialized training with respect to matters covered in this fiscal monitoring program? If yes, explain.

Is there sufficient evidence of problems to require additional review of the contractor? If yes, explain.

FUNCTIONS PERFORMED AND PERSONS PERFORMING THEM

APPROVES

-Invoices and vouchers for payment

-Journal entries

-Personnel entries

-Employee Timesheets

-Capital Expenditures

SIGNS

-Checks

-Receiving Documents

REVIEWS

-Timesheets

-Journal entries

-Personnel entries

-Invoices and vouchers for payment

CERTIFIES PAYROLL FOR

-Accuracy

-Authenticity of payee

DISTRIBUTES PAYROLL CHECKS

OPENS MAIL

PREPARES

-Daily receipt log

-Daily Bank Deposit

-Bank Reconciliation

MAKES BANK DEPOSITS

CUSTODIAN OF

-Blank Checks _____

-Mechanical Check Signer _____

-Undeliverable Checks _____

RECORDING OF TRANSACTIONS

-Leave transactions to employee records _____

-Transactions to Cash Receipts Journal _____

-Transactions to Cash Disbursements
Journal _____

-Transactions to General Ledger _____

MAINTAINS

-Equipment Records _____

-Supplies Inventory Records _____

-Employee Personnel Files _____