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| **ESAlogo.jpeg** | COMMUNITY SERVICES DIVISIONBASIC CLIENT SERVICE / CITIZENSHIP SERVICESCONTRACT MONITORING CHECKLIST**On-Site Review** | DATE OF REVIEW |
| REGION / OFFICE |
| **Instructions**: This checklist is to be used when conducting a site-monitoring visit for any contractor providing client services. It will be used in combination with other program-specific, addendum checklists. A copy of this checklist will be maintained with the contract file. | CONTRACT NUMBER |
|  |
| CONTRACTOR NAME |
| REVIEWER(S) |
| DESCRIPTION OF SERVICES |
| Insert code in appropriate column. M Requirement met X Requirement not met NA Not applicable P Presumed compliance–no evidence to the contrary |
| **Contract Terms and Conditions** |
| REVIEW ELEMENT | REQUIREMENT | COMMENTS | CODE |
| 1. | **Billing and payment** | * Contractor paid according to fee schedules and only for authorized services
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| * Invoices submitted monthly per billing instructions and not for services paid for by another source.
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| * Invoices submitted within 45 days after the last day of the month in which services were provided.
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| * Contractor did not bill for duplicate services.
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| 2. | **Confidentiality** | * Contractor did not disclose personal information without prior, written consent.
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| * Maintain confidential information in accordance with state and federal laws, and have adequate policies and procedures in place to ensure compliance.
* Complies with datashare requirements.
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| 3. | **Inspection; maintenance of records – site review** | DSHS provided reasonable access to site, client and contractor records, maintained for term of contract, plus 6 years. |  |  |
| 4. | **Interpretation and translations** | Contractor provides services necessary to perform obligations, with no compensation. |  |  |
| 5. | **Reporting and review** | Contractor collected information required by DSHS and submit monthly ***(or per contract)***. |  |  |
| 6. | **Single audit act** | If subrecipient and expend $300,000 federal funds/fiscal year, must procure A-133 audit, submit report/management letter to DSHS. |  |  |
| 7. | **Subcontracting** | * Obtain prior, written approval from ORIA. Provide subcontractor qualification.
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| * Submit copies of subcontract agreement along with subcontract monitoring plan.
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| * Submit monitoring reports within 30 days of monitoring visit.
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| 8. | **Non-discrimination** | Comply with all applicable federal, state, local laws (e.g., ADA). |  |  |
| 9. | **Program training** | Ensure employees who provide services under this contract attend ORIA program training as requested by DSHS. |  |  |
| 10. | **Exception to Policy** | Submit request in writing to DSHS Contact, or designee. |  |  |
| **Statement of Work Documentation** |
| REVIEW ELEMENT | REQUIREMENT | COMMENTS | CODE |
| 1. | **Individual Files** | Secured and inaccessible to participants. As required. |  |  |
| 2. | **Narrative / Progress Notes** | As required |  |  |
| 3. | **Signed Release of Information** | While may not be required by contract – still “best practice standard”. |  |  |
| 4. | **Intake Evaluation** | As required. |  |  |
| **Additional Contractor Requirements** |
| REQUIREMENT | COMMENTS | CODE |
| 1. | Provide ORIA with the following information within 60 days of the contract’s start date: |  |  |
| * + List of training classes available for participants; Names of instructors and qualifications;
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| * + Class locations, days and times; Curriculum and materials used, and
 |  |  |
| * + Language capabilities (teachers, class materials, etc.)
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| 2. | Provide ORIA with any changes / updates to program information reported at start of contract. |  |  |
| 3. | Certificate of Insurance available for review upon request. |  |  |