

| A2 Subrecipient Checklist - Governance and Oversight | |
|---|--------------------------|
| Local Authority: | |
| Risk Score: | |
| * This checklist is to be used in a situation where the County is the subrecipient and has contracted services to a provider. The questions relate to the County's monitoring of their contracted provider. | |
| Subcontractor | |
| Contract | Yes No |
| 1 Is there a current and signed contract in place with the subcontractor? | <input type="checkbox"/> |
| 2 What is the date range of the contract? | <input type="text"/> |
| Subcontractor Monitoring | |
| 1 Frequency of subcontractor monitoring? | <input type="text"/> |
| 2 Is there a written report/ monitoring tool? | <input type="checkbox"/> |
| <i>(Utah Administrative Rules: R523-2-6(g) There shall be a written report to document the review activities and findings, a copy of which will be made available to the Division)</i> | |
| 3 Does subcontractor comply with Conflict of Interest requirements? | <input type="checkbox"/> |
| <i>(DHS Contract with Local Mental Health/Substance Abuse Authority: Part I. Section B. 8. e.(2) Before entering into any subcontract to perform services covered by this Contract, the LMHA shall require its non-governmental subcontractor to submit a Disclosure Statement to the LMHA in which the non-governmental subcontractor discloses any existing or potential conflicts of interest. e. (1)(a) governmental subcontractors shall submit to DHS/DSAMH a written certification that they maintain a written policy as required above.)</i> | |
| 4 Has the subcontractor provided a current general liability insurance certificate? | <input type="checkbox"/> |
| <i>(DHS Contract with Local Mental Health/Substance Abuse Authority: Part I. Section B. 2. e.(1)(a) The subcontractor shall maintain a policy of general liability insurance that at a minimum covers the following types of liability: bodily injury or death, personal injury, property damage, broad form property damage, and liability for the property of others in the care, custody and control of the subcontractor. The policy shall provide for a combined single limit or the equivalent of not less than \$1,000,000 for eac occurrence and \$2,000,000 aggregate.</i> | |
| 5 Does the monitoring report/tool document the review activities and results of the subcontractor review? | <input type="checkbox"/> |
| <i>(Utah Administrative Rules: R523-2-6(f)(i)&(ii) The LMHA/LSAA shall be responsible for monitoring and evaluating all subcontracts to ensure: (i) Services are delivered to consumers commensurate with funds provided; and (ii) Progress is made toward accomplishing contract goals and objectives.</i> | |
| Subrecipient Monitoring (in addition to Subcontractor Monitoring) | |
| 1 Did the subrecipient receive a Single Audit? | <input type="checkbox"/> |
| 2 Was the Single Audit submittted to the Federal Audit Clearinghouse? | <input type="checkbox"/> |
| 3 What was the opinion expressed by the auditors? Were there any findings or deficiencies reported? | <input type="text"/> |
| Any findings or deficiencies specific to the Mental Health or SAPT Block Grants or programs? | |
| <i>(2 CFR 200 Subpart F - Audit Requirements)</i> | |
| 4 Does the subrecipient have written procurement procedures? | <input type="checkbox"/> |
| 5 Do written procedures cover conflict of interest? | <input type="checkbox"/> |
| <i>(2 CFR 200.318)</i> | |
| 6 What procurement methods are being used? | <input type="text"/> |
| 7 Are procurement methods being followed? | <input type="checkbox"/> |
| <i>(2 CFR 200.320 - see notes) [1]</i> | |
| 8 Does subrecipient have written procedures for Federal awards? | <input type="checkbox"/> |
| 9 Do written procedures demonstrate how the organization complies with Uniform Guidance cost principles and the terms and conditions of Federal awards? | <input type="checkbox"/> |

(2 CFR 200 Subparts D and E sections 200.300 and 200.400)

Notes:

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| | Notes: | | | | | | | | |

[1] Micro purchase - must distribute equitably among suppliers. No competitive solicitations required.

Small purchase - price or rate quotations must be obtained from adequate number of qualified sources.

Sealed bids - formal advertising. Awarded to lowest bid.

- *bids must be solicited from an adequate number of known suppliers.

- *invitation for bids must define items or services in order for bidder to properly respond.

- *all bids will be opened at time and place described in invitation. Local governments must open publicly.

- *contract awarded to lowest bidder.

Competitive proposal - more than one source submitting an offer.

- *requests for proposals must be publicized.

- *proposals must be solicited from an adequate number of qualified sources.

- *must have a written method for conducting evaluations of proposals.

- *contract awarded to proposal most advantageous to the program, with price considered.

Noncompetitive proposals - solicitation of a proposal from only one source. Can only be used when:

- *item or service only available from a single source.

- *public exigency or emergency will not permit a delay

- *Federal awarding agency or pass-through entity expressly authorizes in response to a written request.

- *after solicitation of a number of sources, competition is determined to be inadequate.