

AAA Contracts Management Worksheet					Section 01-CTM
Review Section:	Requirement Reference	Available On-site	Review Questions	Compliance Yes/No	On-site Training Area: If "No" identify issue, list Training, and set Outcome (Outcome is what needs to be implemented)
D1-CTM-01	Funding Agreement: C.11.b.	Purchasing guidelines and/or policies, including small and large procurement guidelines.	Does the AAA follow the State of Idaho's or internal purchasing guidelines? (whichever is more restrictive)		Issue: Training: Outcome:
D1-CTM-02	Funding Agreement: C.17.b.i-v.	Umbrella organization's workers compensation certificate from Industrial Commission or your Insurance.	Does the AAA have a valid and current workers compensation policy? The AAA and their subcontractor(s), if any, and all employers providing work, labor or materials under this Agreement, are subject employers under the Idaho Workers' Compensation Law, and shall comply with Idaho Statutes regarding Worker's Compensation coverage, which requires the AAA to provide either a certificate of worker's compensation insurance issued by a surety licensed to write worker's compensation insurance in the State of Idaho or an extraterritorial certificate approved by the Idaho Industrial Commission from a state that has a current reciprocity agreement with the Industrial Commission.		Issue: Training: Outcome:
D1-CTM-03	Funding Agreement: C.17.b.i-v.	Professional errors and omissions insurance verification"	Does the AAA have Professional Errors and Omissions insurance for case management and adult protection staff?		Issue: Training: Outcome:
D1-CTM-04	PM 4.12.2. CFR 45 Part 92.36 Procurement	Provide a copy of the AAA's record retention policy.	Does the AAA retain all required records for three years after contractors make final payments and all other pending matters are closed?		Issue: Training: Outcome:
D1-CTM-05	PM 4.12.2. CFR 45 Part 92.36 Procurement	Provide a copy of the AAA's Conflict of Interest form that employees sign.			Issue: Training: Outcome:
D1-CTM-06	PM 4.12.2. CFR 45 Part 92.36 Procurement	List all solicitation/RFP document released that resulted in a current contract: Include date it was released, date the proposal/bids were due, and the date that the AAA entered into contract.	Does the AAA have written selection procedures for procurement transactions that ensure that all solicitations:		
			1. incorporate a clear and accurate description of the technical requirements for the material, product, or service to be procured?		Issue: Training: Outcome:

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			2. identify all requirements which the offerors must fulfill and all other factors to be used in evaluating bids or proposals?		Issue: Training: Outcome:
D1-CTM-07	PM 4.10.4.	Provide Copy of the AAA Contractor Appeal procedure.	Is the AAA's appeal procedure written and provide an opportunity for a fair and impartial hearing for any organization denied a subcontract with the AAA?		Issue: Training: Outcome:
D1-CTM-08	PM 4.	Send updated contractor worksheet to ICOA	Complete the following contract worksheets: CMT Worksheet 1, which summarizes all current contracts and provide <u>copies of all contracts with amendment</u> (this includes lease agreements, Information Technology, Provider agreements and contracts).. CMT Worksheet 2, which lists all disputes, claims or protests. CMT Worksheet 3, which lists contracts terminated before contract expiration date.		Issue: Training: Outcome:
D1-CTM-09	Funding Agreement: C.11.c.	Determine through staff interview and documentation	Does the AAA ensure all subcontracts or assignments are made in writing?		Issue: Training: Outcome:
D1-CTM-10	Funding Agreement: C.11.d.	Determine through staff interview and documentation	Does the AAA issue contracts, monitor, and perform assessments of subcontractors as provided in Chapter 4.13 of the ICOA Program Manual for each of the following programs?		
			Transportation:		Issue: Training: Outcome:
			Congregate Meals:		Issue: Training: Outcome:
			Home delivered meals:		Issue: Training: Outcome:
			Homemaker:		Issue: Training: Outcome:
			Chore:		Issue: Training: Outcome:
			Respite:		Issue: Training: Outcome:
			Legal Services:		Issue: Training: Outcome:
			Adult day care:		Issue: Training: Outcome:
D1-CTM-11	PM 4.10.3.A.	Determine through staff interview and documentation	For each multi-year contract: Does the AAA maintain documentation satisfactory to ICOA that justifies the reason(s) a multi-year subcontract was awarded?		Issue: Training: Outcome:
D1-CTM-12	PM 4.11.1.	Determine through staff interview and documentation	For private pay relationships, was there prior approval of ICOA before an agreement was made between the AAA and the provider?		Issue: Training: Outcome:
D1-CTM-13	PM 4.12.1 Appendix A.	Determine through staff interview and documentation	Do AAA contracts include language addressing Debarment and Suspension?		Issue: Training: Outcome:

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D1-CTM-14	Title VI Civil Rights Act, Section 504 Rehabilitation Act of 1973, Title II Americans with Disabilities Act	Determine through staff interview and documentation	Do the AAA contracts include Civil Rights and Discrimination language to assure there is no discrimination on the grounds of race, color, national origin, religion, sex, age, familial status, or disability?		Issue: Training: Outcome:
D1-CTM-15	PM 4.12.2. CFR 45 Part 92.36 Procurement	Determine through staff interview and documentation	Does the AAA include requirements and regulations pertaining to reporting in their contracts?		Issue: Training: Outcome:
D1-CTM-16	PM 4.12.2. CFR 45 Part 92.36 Procurement	Determine through staff interview and documentation	Does the AAA have a termination for cause and for convenience including the manner by which it will be effected and the basis for settlement in their contracts?		Issue: Training: Outcome:
D1-CTM-17	PM 4.12.2. CFR 45 Part 92.36 Procurement	Determine through staff interview and documentation	Has the AAA entered into any construction or facility improvement contract or subcontracts?		Issue: Training: Outcome:
D1-CTM-18	PM 4.12.2. CFR 45 Part 92.36 Procurement	Determine through staff interview and documentation	Did the AAA have any termination for cause or convenience during the period of this review?		Issue: Training: Outcome:
D1-CTM-19	PM 4.12.1 CFR 45 Part 74.51 Monitoring and reporting program performance	Determine through staff interview and documentation	Does the AAA immediately notify the ICOA of developments that have an impact on OAA and State services? Also, is notification given in the case of problems, delays, or adverse conditions which materially impair the ability to meet program objectives?		Issue: Training: Outcome:
D1-CTM-20	PM 4.12.1. CFR 45 Part 74.41 Recipient responsibilities	Determine through staff interview and documentation	Does the AAA take the responsible authority, without recourse to ICOA, regarding the settlement and satisfaction of all contractual and administrative issues arising out of procurements entered into in support of an award or other agreement, including disputes, claims, protests of award, source evaluation or other matters of a contractual nature?		Issue: Training: Outcome:

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D1-CTM-21	PM 4.12.2. CFR 45 Part 92.36 Procurement.	Determine through staff interview and documentation	Grantees and subgrantees must perform a cost or price analysis in connection with every procurement action including contract modifications. The method and degree of analysis is dependent on the facts surrounding the particular procurement situation, but as a starting point, grantees must make independent estimates before receiving bids or proposals. A cost analysis must be performed when the offeror is required to submit the elements of his estimated cost, e.g., under professional, consulting, and architectural engineering services contracts. A cost analysis will be necessary when adequate price competition is lacking, and for sole source procurements, including contract modifications or change orders, unless price reasonableness can be established on the basis of a catalog or market price of a commercial product sold in substantial quantities to the general public or based on prices set by law or regulation. A price analysis will be used in all other instances to determine the reasonableness of the proposed contract price.		Issue: Training: Outcome:
D1-CTM-22	PM 4.12.2. CFR 45 Part 92.36 Procurement.	Determine through staff interview and documentation	Costs or prices based on estimated costs for contracts under grants will be allowable only to the extent that costs incurred or cost estimates included in negotiated prices are consistent with Federal cost principles (see § 92.22). Grantees may reference their own cost principles that comply with the applicable Federal cost principles.		
D1-CTM-23	PM 4.12.2. CFR 45 Part 92.36 Procurement.	Determine through staff interview and documentation	Grantees and subgrantees will make awards only to responsible contractors possessing the ability to perform successfully under the terms and conditions of a proposed procurement. Consideration will be given to such matters as contractor integrity, compliance with public policy, record of past performance, and financial and technical resources.		

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D1-CTM-24	PM 4.12.2. CFR 45 Part 92.36 Procurement.	Determine through staff interview and documentation	Grantees and subgrantees will maintain records sufficient to detail the significant history of a procurement. These records will include, but are not necessarily limited to the following: rationale for the method of procurement, selection of contract type, contractor selection or rejection, and the basis for the contract price.		Issue: Training: Outcome:
D1-CTM-25	PM 4.12.2. CFR 45 Part 92.36 Procurement.	Determine through staff interview and documentation	All procurement transactions will be conducted in a manner providing full and open competition consistent with the standards of § 92.36. Some of the situations considered to be restrictive of competition include but are not limited to:		Issue: Training: Outcome:
D1-CTM-26	PM 4.12.2. CFR 45 Part 92.36 Procurement.	Determine through staff interview and documentation	Grantees will have written selection procedures for procurement transactions. These procedures will ensure that all solicitations:		Issue: Training: Outcome:
D1-CTM-27	PM 4.12.2. CFR 45 Part 92.36 Procurement.	Determine through staff interview and documentation	Incorporate a clear and accurate description of the technical requirements for the material, product, or service to be procured. Such description shall not, in competitive procurements, contain features which unduly restrict competition. The description may include a statement of the qualitative nature of the material, product or service to be procured, and when necessary, shall set forth those minimum essential characteristics and standards to which it must conform if it is to satisfy its intended use. Detailed product specifications should be avoided if at all possible. When it is impractical or uneconomical to make a clear and accurate description of the technical requirements, a "brand name or equal" description may be used as a means to define the performance or other salient requirements of a procurement. The specific features of the named brand which must be met by offerors shall be clearly stated;		Issue: Training: Outcome:
D1-CTM-28	PM 4.12.2. CFR 45 Part 92.36 Procurement.	Determine through staff interview and documentation	Identify all requirements which the offerors must fulfill and all other factors to be used in evaluating bids or proposals.		Issue: Training: Outcome:

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D1-CTM-29	PM 4.12.2. CFR 45 Part 92.36 Procurement.	Determine through staff interview and documentation	Grantees and subgrantees will maintain a contract administration system which ensures that contractors perform in accordance with the terms, conditions, and specifications of their contracts or purchase orders.		Issue: Training: Outcome:
D1-CTM-30	PM 4.12.2. Part 92.35 Sub-awards to debarred and suspended parties.	Determine through staff interview and documentation	Check to see if AAA made any awards or permits any award (subgrant or contract) to any party which is debarred or suspended or is otherwise excluded from or ineligible for participation in Federal assistance programs under Executive Order 12549, "Debarment and Suspension."		Issue: Training: Outcome:
D1-CTM-31	Title VI Civil Rights Act, Section 504 Rehabilitation Act of 1973, Title II Americans with Disabilities Act	Determine through staff interview and documentation	Does the AAA monitor providers/contractors to assure they are not discriminating on the grounds of race, color, national origin, religion, sex, age, familial status, or disability.		Issue: Training: Outcome:
D1-CTM-32	Funding Agreement: C.12.	Determine through staff interview and documentation	Does the AAA ensure that any subcontractor authorized to perform AAA's duties under this Agreement complies with all confidentiality provisions?		Issue: Training: Outcome:
D1-CTM-33	PM 4.12.1 CFR 45 Part 74.51 Monitoring and reporting program performance	Determine through staff interview and documentation	AAAs are responsible for managing and monitoring each project, program, subaward, function or activity supported by the award. AAAs shall monitor subawards to ensure that subrecipients have met the audit requirements as set forth in § 74.26.		Issue: Training: Outcome:
D1-CTM-34	PM 4.12.2. CFR 45 Part 92.36 Procurement.	Determine through staff interview and documentation	Does the AAA maintain a contract administration system which ensures that contractors perform in accordance with the terms, conditions, and specifications of their contracts or purchase orders?		Issue: Training: Outcome:
D1-CTM-35	PM 4.12.2. Part 92.35 Sub-awards to debarred and suspended parties.	Determine through staff interview and documentation	Has the AAA made any awards or permitted any award (subgrant or contract) to any party which is debarred or suspended or is otherwise excluded from or ineligible for participation in Federal assistance programs?		Issue: Training: Outcome: