

version: 03.7.13

City of San Antonio

Department of Human Services

Contract Compliance Checklist

This review is used to validate the Contractor's compliance with the City of San Antonio Delegate Agency contract.

Contract Period: _____

Review Date: _____ **Contract Number:** _____

Agency Name: _____

Program Name: _____

Point of Contact: _____ **Phone Number:** _____

SA2020 Category: _____ **Funding Category:** _____

Primary Funding: _____ **Funding Amount:** _____

Secondary Funding: _____ **Funding Amount:** _____

Yes **No**

Program Income

Does Contractor generate program income with this program?

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The Contractor only charges fees or solicits donations from participants in any City-funded project with PRIOR WRITTEN APPROVAL of the Director of the Department of Human Services (DHS)?

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The Contractor provides DHS with thirty (30) days notice prior to the activity that generated the Program income. The notice details the type of activity, time, and place of all activities.

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Administration of Contract

The Contractor documents the use of physical safeguards (locks, alarms, safes, fire extinguishers, sprinkler systems, etc.) of funded property and equipment.

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The Contractor has internal policies and procedures to preclude theft, fraud and abuse, and other criminal action. The policies and procedures specify consequences of illegal activities to Contractor employees and vendor personnel (termination and prosecution if necessary.)

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The Contractor followed record retention requirements of the funding agency (usually three years).

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Audit

If the Contractor expended \$500K or more in City funds, an independent audit of financial statements was performed?

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The audit was performed within 90 days of the end of the contractor's fiscal year or termination of the contract?

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The Contractor provided DHS with a copy of the audit report within 15 days of receipt of the report? (including the management letter, corrective action plan, summary schedule of prior audit findings)

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If Contractor expended \$500K or more in Federal Funds, was a Single Audit conducted?

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The Contractor with Federal Funds submitted it annual audit report to the Federal Audit Clearinghouse no later than 120 days after the end of the Contractor's receipt of the audit?

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If Contractor expended less than \$500K of City funds, did Contractor complete and submit unaudited financial statements within a period not to exceed 90 days immediately succeeding the end of the

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Records, Reporting, and Copyrights

The Contractor protects confidential information.

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The Board minutes are available for review.

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For contracts > \$1 million, the Contractor provided board approved minutes on a quarterly basis.

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The Contractor submitted the Board Meeting Agenda at least three days prior to each Board meeting.

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Applicable Laws

The Contractor is in compliance with the following:

- (1) Funding source requirements
- (2) Federal or State laws, rules, regulations, and codes
- (3) City Charter, ordinances, or rules and regulations
- (4) The Contractor provides appraisals for all City paid staff

Religious Activities

Funds under the Contract are not being used for the benefit, construction, operations, maintenance, or administration of any sectarian or religious facility or activity.

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Assignment

Policies and procedures are in place which state the Contractor can only assign or transfer Contractor's interest in the contract or any portion thereof with written consent from the Council.

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Subcontracting

Was prior written consent obtained by the City prior to any subcontracting initiatives?

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Contractor complies with all applicable local, State and Federal procurement standards, rules, regulations and laws in all its sub-contracts related to the work?

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All subcontracts are obtained by written contracts?

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Prohibition of Political Activities

The Contractor did not use any City funds, including Grant Awards, to contribute or conduct political activities for any candidate for elective public office. Personnel who were involved in the administration of the funded project were not assigned to work for or on behalf of a political activity.

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No Contractor funds were used to attempt to influence a member of Congress or any other State or local elected or appointed official. The Contractor provided all its employees with a statement of prohibited activities that has been signed and returned by all employees. The statement includes information about contracting DHS regarding employer violations. (Check personnel file at Contractor office.)

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Official Communication

All official communications and notices are in writing and mailed to the addresses determined in the Contract.

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A change in the Contractor's address was delivered to the City within five days of the change.

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Equipment

The Contractor requested written approval from DHS prior to disposing of any equipment. Equipment shall include not only furniture and other durable property, but also vehicles.

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An annual inventory of assets for all equipment purchased with City funds has been provided to DHS and the records include the following:

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(1) A description of the equipment including model and serial number, if applicable		
(2) The date of acquisition		
(3) Cost		
(4) Procurement source		
(5) Purchase order number		
(6) Vendor number		
(7) An indication of whether the equipment is new or used		
(8) The vendor's name (or where it was transferred from)		
(9) The location of the property		
(10) The property number shown on the property tag		
(11) A list of disposed items		

If any item is a 'No' Please explain below: (attach additional sheet if necessary)

Management Analyst

Date of Submission

Senior Management Analyst

Date of Approval

Contract Administrator

Date of Approval