



Introduction

This unified annual RFP is part of the Sarasota/Manatee Continuum of Care (FL-500) person-centered plan for a homeless response system. The Suncoast Partnership is seeking proposals from eligible 501(c)(3) and 501(c)(4) organizations to provide services that cover one or more of the five key areas in the homeless response system:

- Outreach and Coordinated Entry
- Prevention and Diversion
- Emergency Shelter and Bridge Housing
- Rapid Re-Housing
- Permanent Supportive Housing

Services will be provided within the Oneby1 Coordinated Entry System of care designed to move program participants quickly out of homelessness into permanent housing through the provision of housing supports and customized service packages with the ultimate goal of housing stability. As such, Rapid Rehousing and Permanent Supportive Housing should be made based on the prioritization list and not any other factors. The Leadership Council has established a community goal of housing 300 of those who are high and highest acuity of need over the next year.

As each component of the Oneby1 system relies on the other for success, strong collaboration within the community is essential. The Leadership Council and the Suncoast Partnership encourage partnerships and collaborations that strengthen and contribute to our homeless response system in ways such as increasing access to services (i.e. expanding hours, locations, etc.), strengthening culturally competent services, and improving housing outcomes. Applicant partnerships should be jointly designed and should also focus on strengthening the capacity of the partners. Partnerships should also show commitment to collecting and using data, leveraging of other funding, public or private, and demonstrate a strong commitment to a coordinated homeless response system.

All proposals **MUST** be Housing First and Low Barrier, with no added program eligibility requirements beyond those required by the funding source. This approach allows for the person's immediate crisis of homelessness to be resolved in order to increase their stability. A customized supportive service package is then created to assist them in housing stability and prevent returns to homelessness. Housing First projects are fluid and flexible, and ensure housing and service options are modified to meet the unique needs of each household requesting services and that participants are offered the services that they identify as important to them.

As such, project proposals should have:

- Few to no programmatic prerequisites to permanent housing entry such as demonstration of sobriety, completion of treatment programs or agreeing to comply with treatment.

- Low Barrier admission policies which are designed to “screen in” rather than screen-out participants with the greatest barriers to housing such as having no or very low income, poor rental history, or criminal histories.
- Supportive services are voluntary, but can and should be used to persistently engage participants to ensure housing stability-services are proactively offered to help achieve and maintain housing stability but are not a condition of tenancy. Harm reduction and motivational interviewing techniques may be useful.
- Practices, policies, and strategies to prevent lease violations and evictions. Note: alcohol and drug use are not considered lease violations unless such use results in disturbances to neighbors or is associated with illegal activity.

Activities eligible for funding under this RFP include, but may not be limited to:

- Shelter beds/units;
- Case management in the shelter and/or in housing, with emphasis on housing stabilization and providing linkage to mainstream services;
- Permanent Supportive Housing services including financial assistance and case management services that provide a single point of accountability for coordination of services that are designed to offer the tenant support in living independently and establishing and maintaining residential stability;
- Diversion to help people resolve their potential shelter need through assistance other than emergency shelter and early intervention to help people resolve their crisis;
- Rapid Re-Housing, including housing location and placement services, housing stabilization case management, financial assistance and housing inspections;
- Staff and services that fill identified components of the Oneby1 Coordinated Entry System.

All of the above listed eligible activities are subject to requirements specified by the respective funding sources available to the Suncoast Partnership as the Collaborative Applicant. Proposals may need to be modified to meet the specific requirements of the funding agency after program award.

Available Funding

Total Proposed Funding Available: The estimated amount of funding available is \$1.3 million.

| System Area | Available Funding |
|--------------------------------------|--------------------------|
| Outreach and Coordinated Entry | Up to 30% |
| Diversion and Prevention | Up to 30% |
| Emergency Shelter and Bridge Housing | Up to 30% |
| Rapid Rehousing | Up to 60% |
| Permanent Supportive Housing | Up to 60% |

The award of any funding pursuant to this request for proposals is dependent upon available funds to the Suncoast Partnership to End Homelessness as the Collaborative Applicant. The Leadership Council reserves the right to determine how funds will be distributed if one or more of the identified system components has excess funds available.

Timeline

| | |
|--|---------------------------------------|
| Funding Opportunity (RFP) Released | February 16th |
| Information Session 1 | February 21st |
| Information Session 2 | February 22nd |
| Information Session 3 | February 23rd |
| RFP Application Deadline | March 16th |
| Evaluation and Scoring Period | March 19th – March 23rd |
| Leadership Council Vote on Project Selection | April 12th |
| Notification of Selected Projects | April 13 th |
| Formal Submission to Funding Entities | Dependent on funding source deadlines |
| Planned Award Notification | Dependent on respective NOFAs |
| Contract Start Dates | Dependent on funding sources |

Due to the competitive nature of this RFP, questions about the RFP must be submitted in writing prior to the information session to be answered at the information sessions. Questions may be submitted to Tara Booker, tara@suncoastpartnership.org. There will be no opportunities for questions or dialogue once the information sessions are complete with the exception of the instance where a question is posed at the information session that requires further time for response. In such a case, a response will be provided electronically to all of those in attendance at the information session(s).

Complete proposals must be received by 4:00 pm, Friday March 16, 2018, with no exceptions. Submissions can be made electronically to Tara Booker, Director of Operations and Grants, tara@suncoastpartnership.org or hand delivered to Suncoast Partnership, 1750 17th Street, K-1, Sarasota.

The evaluation and scoring session will be open to the applicants if they wish to observe. There will be no opportunity for the applicant to address the committee at this session unless a member of the evaluation and scoring committee calls on the applicant. All applicants will be notified in advance of the session with the date, time, and location.

Proposal Outline

A. Agency Experience and Capacity

This component should include information such as qualifications and accomplishments of CEO and other key staff, any goals or strategic plan initiatives that the organization is actively working on, description of fundraising plan including overall agency goals, and how the Board is engaged and adds value to the agency. If you have experience administering federal or state grants, specifically HUD and/or Continuum of Care grants, please describe such experience in this portion of the proposal.

B. Program Proposal

As the intent of the Leadership Council and the Suncoast Partnership is to encourage innovative solutions and projects that enhance our homeless response system and collaboration among those in the community, we are allowing for some flexibility in response to this RFP. While you are not required to specifically answer every single question below, be sure you are addressing the items relevant to your proposed project. The following sections are key components that should be addressed within your proposal:

Use of the Oneby1 Coordinated Entry System

Describe your organization's role or your plan to work within the coordinated entry system, to meet the Sarasota/Manatee Continuum of Care goals and the Oneby1 required outcomes including:

- 85% of households having a positive outcome at exit;
- Total Days from Project Entry to Move in Date being 30 to 60 days
- 85% of households remain stably housed at the one year mark
- 30% of households have an increase in income from project entry to project exit.

How will your project work within the Oneby1 Coordinated Entry System to:

- Fill housing vacancies;
- Ensure new projects are accurately set up in HMIS;
- Coordinate to ensure effective, person-centered services;
- Participate in case conferencing; and
- Participate with service providers, funders, consumers and other stakeholders in the Oneby1 continuous improvement efforts.

How will you ensure that your outreach efforts will reach priority populations?

How will you utilize best practices in diversion and early intervention to prevent people from entering the homeless response system?

How will you collaborate with other organizations to build a list of available housing stock?

Service Capacity/ Delivery Plan/ Systems/ Processes / Protocols:

Describe the elements of your proposed project including but not limited to:

- The mechanisms you will use to determine that clients served are low- and moderate-income;
- Your eligibility screening process and how applicants will be accepted;
- Your plan for outreach to those people that are hardest to serve;
- Describe your plan to incorporate diversion and early intervention as a regular practice to help those that are able to, self-resolve and keep people from entering our homeless response system.
- How you will work with people seeking shelter to address their housing crisis through other means (mediation, targeted financial assistance, other) to minimize need to enter emergency shelter;
- How you will provide supportive services aimed at helping people access the mainstream services that they need, exit homelessness as quickly as possible and stabilize in appropriate permanent housing. How you will assist people in locating appropriate permanent housing;
- How you will assist people to rapidly exit homelessness using a rapid rehousing approach and what are your proposed mechanisms for providing housing subsidies directly to a landlord for rapid rehousing;
- Describe your strategy for progressive engagement to most effectively use Rapid Re-Housing dollars and keep people permanently housed.

- How your program will work with Oneby1 in order to deliver the services needed in your community and fill gaps in services identified;
- How your program will meet federal requirements, including rent calculations, housing quality standard inspections, conflict of interest, confidentiality and all other regulations under Title 24 Part 574;
- How you will create and implement a housing plan with each individual/family;
- How your program will incorporate other sources of funding the program receives (for example, from managing entities, municipal and charitable funding) and how these funds will be used to complement existing homeless services; and
- Describe how your program will be consistent with the Housing First Standards located in Appendix B of this RFP.
- How you will provide housing opportunities for those in permanent supportive housing that allow individuals to live on their own rather than in shared housing situations in order to foster more individual independence.

Quality Assurance Requirements

- Internal Quality Assurance Process: Describe your organization's internal quality assurance process and its impact upon program operation. Describe current and planned activities to assure service quality and how these services enable consumers to access and maintain stable housing.
- If collaborating with community partners on the proposed project, describe their respective roles and your quality assurance plan.
- Program Audit Compliance: State your experience being in compliance with past contracts and/or directives. State any deficiencies identified in recent annual program audits, monitoring or corrective action plans and, if applicable, detail what steps you have taken in completing any recommendations.
- Indicate your willingness to participate in the ongoing review and evaluation of services, standards, and performance within our Sarasota/Manatee homeless response system and Oneby1 Coordinated Entry.

Staffing Requirements

- Key Personnel: Provide the names and titles of proposed personnel key to the success of the proposed program and the hours and percentages of time dedicated to this project. Describe how your staffing will successfully meet this RFP's requirements in light of any other obligations this staff have to any other entity or program activity. Summarize your procedures to secure and retain professional staff and your method to evaluate personnel performance. Describe how your organization handles professional development and staff training in best practices.
- Staff-to-Client Ratio: Describe the support staff to client ratio proposed for your program and the rationale used for arriving at that ratio.
- Population: Identify who will receive the services, include special populations, if any (for example, women with children, single men, single women...etc.) Proposal must include the plan to ensure those populations not listed in your proposal will be served by another agency within the Oneby1 system.

Collaboration

Providers within the community are encouraged to consider joint applications to address multiple community needs and strengthen capacity and collaboration within the Oneby1 System. Please describe any partnerships or collaborations specific to your proposed project.

C. Cost Proposal

Proposals must include both a budget and a budget narrative. A sample budget format is provided in the appendices. The budget should include the entire cost for the implementation of the proposed project, not just the amount of funds being sought. Be sure to include what other funding sources will be used to maximize the impact of the project and how you intend to sustain the proposed project beyond a year.

Evaluation and Scoring

| Criteria | Percentage |
|--------------------------------|-------------------|
| Agency Experience and Capacity | 20% |
| HMIS System Performance | 20% |
| Quality of Proposed Project | 40% |
| Oneby1 Coordinated Entry | 20% |

Legal and Additional Submissions Requirements

Appeals: Applicants may appeal decisions, in writing, within 5 days of the project selection notification date. Appeals must be submitted to Edward DeMarco, CEO, at ed@suncoastpartnership.org and must be received by 5:00 pm on Wednesday, March 21, 2018. The review committee shall have five (5) business days to review the appeal and an additional two (2) business days to provide a written response to the applicant. Please note: appeals may not be made based on any additional information not provided in the original application nor can they be made in objection to the amount of funding allocated.

Eligibility: Private provider organizations with a presence and office space in Sarasota and Manatee counties are eligible to submit proposals in response to this RFP. Individuals and any entity that is not a duly formed business entity are ineligible to participate. Respondents must provide proof of nonprofit status such as a copy of the Internal Revenue Service (IRS) Determination Letter. Additionally:

- Respondents must have a minimum of one (1) year demonstrated experience working within a homeless response system;
- Must have a policy and demonstrate commitment to a practice of non-discrimination as it relates to the operation of the organization and service delivery, on the basis of race, creed, color, religion, gender identity, age, national origin, physical or mental health, marital status, family composition, sexual orientation or any characteristic protected by law.
- Must comply with applicable federal, state and municipal laws and regulations.
- Must actively participate in the Continuum of Care with membership in good standing, 211 with organization profile up to date, Oneby1 Coordinated Entry System, and the Homeless

Management Information System (HMIS) or a plan to meet these requirements if proposal is selected. All of these components must be in place prior to any formal grant applications are submitted and any acceptance of funds.

There may, or may not be, additional eligibility requirements pursuant to respective funding sources.

Format: Proposals must be single spaced on 8-1/2 x 11-inch paper using size 12pt Times New Roman Font and 1 inch margins. No more than one page of text may be placed on one sheet of paper; i.e., you may not shrink pages to get two or more on a page. Shrunken pages, or pages where a minimized/reduced font are used, will be counted as multiple pages. All pages should be numbered, including attachments to ensure proper assembly of the proposal if printed. Attachments will not count toward the 10 page maximum.

General Disclaimer: While the RFP workgroup, Suncoast Partnership, and the Leadership Council has made every effort to outline basic requirements such as eligibility, all selected projects will be subject to the formal funding guidelines and requirements of each individual funding source. Additionally, the evaluation and scoring committee reserves the right to select a lower ranked project in order to ensure adequate geographic representation for our Continuum of Care.

Proposal Pieces Required: The following list of items must be submitted for the RFP to be considered complete:

- Application Checklist
- Cover Sheet
- Executive Summary-Proposals must include a high-level summary, not exceeding one (1) page
- Main Proposal – No more than ten (10) pages including the executive summary, budget and budget narrative
- Agency Fiscal Assessment
- Copy of any Memorandum of Understanding (MOU) or other formal agreements outlining relationships for the express purpose of collaboration with other organizations for this proposal.
- List of agencies that will be partners or subcontractors to assist in carrying out the proposed program description, if any. Describe their respective roles and your quality assurance plan.
- Copy of fiscal management policies
- Copy of 501(c)3 or 501(c)4 status
- Copy of management letter or summary from the most recent audit
- List of Board of Directors
- Organizational chart for the proposed project including executive level structure
- Evidence of good standing with the State of Florida
- HUD Housing First Assessment Tool - <https://www.hudexchange.info/resource/5294/housing-first-assessment-tool/>

A logic model is optional and would be considered an attachment, not part of the ten pages.

Submissions: Proposals must be submitted as described in the Timeline section. There will be no consideration of late or incomplete proposals, under any circumstances.

Appendices

Appendix A: Application Checklist

Appendix B: Housing First Principles and Quick Check

Appendix C: Cover Sheet

Appendix D: Sample Budget Worksheet

Appendix E: Scoring Rubric

Appendix F: Agency Fiscal Assessment

Appendix A

Application Checklist

- ___ Cover Sheet
- ___ Executive Summary
- ___ Main proposal
- ___ Budget
- ___ Budget narrative
- ___ Agency Fiscal Assessment
- ___ Copy of any Memorandum of Understanding (MOU) or other formal agreements outlining relationships for the express purpose of collaboration with other organizations for this proposal
- ___ List of agencies that will be partners or subcontractors to assist in carrying out the proposed program description, if any
- ___ Copy of fiscal management policies
- ___ Copy of 501(c)3 or 501(c)4 status
- ___ Copy of management letter or summary from the most recent audit
- ___ List of Board of Directors
- ___ Organizational chart for the proposed project including executive level structure
- ___ Evidence of good standing with the State of Florida
- ___ HUD Housing First Assessment Tool
- ___ Logic model (optional)

Signature: _____

Date: _____

Appendix B

HOUSING FIRST

Housing First is a proven approach in which people experiencing homelessness are offered permanent housing with few to no treatment preconditions, behavioral contingencies, or barriers. It is based on overwhelming evidence that all people experiencing homelessness can achieve stability in permanent housing if provided with the appropriate levels of services. Study after study has shown that Housing First yields higher housing retention rates, reduces the use of crisis services and institutions, and improves people's health and social outcomes. (www.USICH.gov)

For more on Housing First: <http://endhomelessness.org/wp-content/uploads/2016/04/housing-first-fact-sheet.pdf>

Is your project Housing First?

For your homeless response service system to work the most efficiently and effectively, individual programs must embrace a Housing First approach.

Quick Screen: Does Your Project Use Housing First Principles?

1. Are applicants allowed to enter the program without income?
2. Are applicants allowed to enter the program even if they aren't "clean and sober" or "treatment compliant"?
3. Are applicants allowed to enter the program even if they have criminal justice system involvement?
4. Are service and treatment plans voluntary, such that tenants cannot be evicted for not following through?

Appendix C

Sarasota/Manatee Continuum of Care Project Proposal Cover Sheet

Legal Name of Agency: _____

Project Name: _____

Agency Address: _____

City, State, Zip: _____

Federal Identification Number (9- Digit #): _____

Website: _____

Counties to be Served: _____

TYPE OF ACTIVITIES

AMOUNT

Outreach and Coordinated Entry \$ _____

Prevention and Diversion \$ _____

Emergency Shelter and Bridge Housing \$ _____

Rapid Re-housing \$ _____

Permanent Supportive Housing \$ _____

TOTAL REQUESTED \$ _____

Grant Contact Person and Title: _____

Phone Number: _____

E-mail Address: _____

Authorized Signer for the Organization: _____

Appendix D

Budget Worksheet Sample

| CoC Agency | 2018-2019 |
|--------------------------------|-----------|
| Revenue | Budget |
| Sarasota County | |
| Manatee County | |
| CoC | |
| ESG | |
| | |
| Contributions - General | |
| Special Events | |
| Program Service Fees | |
| Membership Dues | |
| | |
| <i>In Kind donation(s)</i> | |
| Total Revenue | |
| Expenses | |
| Compensation: | |
| Wages/Salaries | |
| Employee Benefits | |
| Payroll Taxes | |
| Total Compensation | |
| | |
| Non-Compensation: | |
| Professional Fees/Contracts | |
| Dues/Subscriptions | |
| Equipment | |
| Occupancy | |
| Insurance | |
| Legal Services | |
| Office Expenses | |
| Outreach/Public Relations | |
| Printing | |
| Telephone/Internet | |
| Local Travel | |
| Conferences/Meetings/Trainings | |
| Utilities | |
| <i>In Kind donation(s)</i> | |
| Expense Total | |
| Surplus or (Deficit) | |

Appendix E

| Scoring Rubric | Max Points |
|--|------------|
| <p>Agency Experience and Capacity</p> <p>Applicants demonstrating extensive experience in administering federal, state and municipal funds, and providing the proposed service and/or serving the proposed population will receive 20 points.</p> | 20 |
| <p>Project Quality</p> <p>Each application will be scored on the overall quality of the project, and the extent to which the applicant can clearly demonstrate the following:</p> <ul style="list-style-type: none"> ▪ <u>Housing First</u>: Applicants may receive up to 20 points based on the extent to which the project will follow a Housing First Model/Low Barrier approach. ▪ <u>Chronic Homeless and Long Term homeless</u>: Projects dedicated to serving the chronically homeless and the long term homeless may receive up to 5 points. ▪ <u>Collaboration (10 points)</u> ▪ <u>Low Barrier (5 points)</u>: Projects demonstrating Low Barriers to program admission and flexible participation policies designed to retain program participants will receive 5 points. | 40 |
| <p>HMIS System Performance*</p> <p>HMIS Data Quality and Timeliness --- 4 points</p> <p>The following performance measures are each worth up to 4 points:</p> <ul style="list-style-type: none"> • Positive outcomes at exit; • Total days from project entry to move in date being from 30 to 60 days; • And households remaining stably housed at the one-year mark. <p>85% or higher – 4 points</p> <p>65 – 84 – 3 points</p> <p>45 – 64 – 2 points</p> <p>25 – 44 – 1 points</p> <p>Below 25 is zero</p> <p>Households have an increase in income from project entry to project exit:</p> <p>30 % - 4 points</p> <p>20% - 3 points</p> <p>10% - 2 points</p> <p>For organizations who have not entered data into HMIS, the maximum number of points you can receive in this bracket is 10.</p> | 20 |
| <p>Oney1 Coordinated Entry</p> <p>To receive maximum points, applicants must demonstrate a commitment to Housing First and working in the Oney1 Coordinated entry system and with their partners in the Sarasota/Manatee Continuum of Care.</p> | 20 |
| TOTAL POSSIBLE POINTS <i>for</i> PROJECTS | 100 |

* For the HMIS system performance section, data will be pulled from HMIS by the Suncoast Partnership. If you have not worked within the Sarasota/Manatee CoC HMIS but have entered data into another Homeless Management Information System, you may provide comparable reports from that system. For assistance with this, please contact the Director of Information and Technology, 941-955-8987, extension 101 or brandon@suncoastpartnership.org .

If you have not previously entered information into the Suncoast Partnership Homeless Management Information System, or another Continuum of Care HMIS system, please provide alternative program performance reports or grant outcome reports to demonstrate your performance. The maximum number of points a person who has not previously entered data into HMIS can receive is 10 points.

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Appendix F

AGENCY FISCAL ASSESSMENT

The Chief Financial Officer or someone of comparable responsibility should complete this assessment, and the agency's Board Chair or Board Treasurer should certify the information. Please answer each question by checking Yes or No. Each section has space to add additional comments and explain any No responses. This information will be used to determine the agency's level of sophistication with regard to financial management.

A. BUDGETS

Yes or No

- _____ 1. Are formal budgets adopted by the governing board and recorded in the minutes?
- _____ 2. Are the budgets prepared in sufficient detail to provide a meaningful tool with which to identify and monitor subsequent performance?
- _____ 3. Are budgets routinely compared to actual revenues and expenditures and significant differences investigated?
- _____ 4. Are the results of the budget comparison (budget to actual) communicated to the Board of Directors on a regular basis?

Additional comments/explain any NO responses:

B. CASH

Yes or No

- _____ 1. Does the governing body authorize all bank accounts and check signatories?
- _____ 2. Are cash receipts entered in books of original entry by persons independent of the collection and deposit preparation functions?
- _____ 3. Are all disbursements, except petty cash disbursements, made by check?
- _____ 4. Check Preparation:
 - _____ a. Are checks prepared by specific employees who are independent of voucher/invoice approval?
 - _____ b. Is there a clearly defined approval process and does all supporting documentation accompany checks presented for a signature?
 - _____ c. Are all supporting documents properly canceled at time of signature to prevent duplicate payment?

- _____ d. Are all checks pre-numbered, blank stock controlled, used in numerical sequence, accounted for in numerical sequence, and reconciled to the check register?
- _____ e. Are checks required to be counter signed, or have dollar limits been established for single signature checks?
- _____ f. Are authorized check signers and the custody of checks after signature, independent of all payable, disbursement, cash receiving and general ledger functions?
- _____ 5. If check signing machines are used, are signature plates adequately safeguarded, used in the presence of the custodian, and controlled by using numbering devices?

6. Bank Account and Statements

- _____ a. Does a responsible individual (e.g., the Executive Director, CEO, etc.) receive the bank statements unopened from the banks?
- _____ b. Are bank accounts reconciled within a timely specified period after the end of each month?
- _____ c. Are reconciliations made by someone other than persons who participate in the receipt disbursement of cash?
- _____ d. Are reconciliations reviewed by a responsible official?

Additional comments/explain any NO responses:

C. REVENUES AND EXPENDITURES

Yes or No

- _____ 1. Has an individual(s) been designated the responsible party for assuring compliance with the terms and conditions of all grants, restricted contributions, endowments, etc., received by the agency?
- _____ 2. Does an adequate system exist to allow for the allocation of costs applicable to various programs, funding sources, and other functions?
- _____ 3. Are purchases made in accordance with established requirements of the governing board and of funding sources?
- _____ 4. Is the purchasing function performed by personnel independent of receiving and shipping functions, payables and disbursing functions, and governing board members?
- _____ 5. Do purchase orders require independent approval that the expenditure is within budget of funding source restrictions?
- _____ 6. Do adequate procedures exist to ensure that goods for which payment is made have been received, and that the goods are verified by someone other than the individual approving payment?

Additional comments/explain any NO responses:

D. PAYROLL

Yes No

- _____ 1. Do employees complete and sign attendance and time records?
- _____ 2. Are persons preparing the payroll independent of other payroll duties (e.g., timekeeping, distribution of checks, etc.), and is their access to other payroll data or cash restricted?
- _____ 3. Is the payroll subject to final approval by a responsible agency official before payment is made?
- _____ 4. Are payroll checks drawn on a separate clearing account and is the account reconciled by someone independent of all payroll transaction processing activities?
- _____ 5. Are employee time records maintained in sufficient detail, and does an adequate system exist to allow for allocations of payroll costs to the proper accounts, programs, funding sources, and other functions?

Additional comments/explain any NO responses:

E. FINANCIAL REPORTING

Yes No

- _____ 1. Are the final review and approval of financial reports segregated from the responsibility for preparation of the reports?
- _____ 2. Are the principal accounting, treasury, and custody functions segregated?
- _____ 3. Are the necessary record keeping procedures in place to ensure that financial reports are accurate and filed in a timely manner?
- _____ 4. Does the accounting system provide for accumulating and recording expenditures by award or grant and by cost category as shown in the budget?
- _____ 5. Audits
 - _____ a. Has the agency been independently audited during the past two years?
 - _____ b. If so, have reports been reviewed?

- _____ c. Was a Management Letter issued?
- _____ 6. Do procedures exist to monitor compliance with financial reporting requirements, use of funds and other conditions in accordance with grant terms, and timely billing of amounts due under grants?
- _____ 7. Is grant activity accounted for so that it can be separated from the accounting for activities funded from all other sources?
- _____ 8. Are reconciliations of the grant financial reports with supporting accounting records prepared, reviewed, and approved by a responsible agency official before filing?
- _____ 9. Are procedures in place to identify and preclude charging expenditures to programs which are disallowed by the grant?
- _____ 10. If the agency provides social services under governmental programs, does a responsible member of management review and approve the provision of services to ensure that recipients are eligible under specific program requirements?

Additional comments/explain any NO responses:

Completed by: _____

Title: _____

Signature: _____

Date: _____

Certified by: _____

Title: _____

Signature: _____

Date: _____