

G11. ADMINISTRATION AND RISK MANAGEMENT

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..... G11. ADMINISTRATION AND RISK MANAGEMENT

G11. The organization conducts its administrative affairs and manages its operations prudently and effectively to meet the needs of persons served, personnel, and the organization.

LOSS AND LIABILITY*

G11.1 The organization identifies and reduces its exposure to risks.

G11.1.01

The organization evaluates and reduces its potential loss and liability by:

- a. assigning risk management functions to qualified persons whose job descriptions specifically include oversight of risk management; and**
- b. developing a process to identify and analyze the nature, severity, and frequency of risks.**

Evidence of Compliance (G11.1.01)

PRE-SITE
Provide relevant job descriptions for personnel, and procedures and other related material regarding risk management practices.

ON-SITE
The team will interview the chief executive officer and designated risk management personnel.

Rating Indicators (G11.1.01)

- 1 The organization fully complies with the standard.
- 2 The organization generally complies with the standard, but practice or procedure could be strengthened in some minor way.
- 3 Practice or procedure requires significant improvement.
- 4 Procedures are not in place or are wholly inadequate; and/or the standard is not met in practice.

G11.1.02

The organization provides and assumes the cost of legal assistance to personnel against whom claims are made related to lawful, authorized actions taken in the course and scope of their employment.

Interpretation (G11.1.02):

This standard does not require the organization to provide assistance to personnel who commit unlawful acts or acts that are not conducted in the course of, or in furtherance of, their employment. In addition, this standard does not require the organization to provide legal assistance to personnel if the organization's legal counsel determines that doing so would constitute a conflict of interest.

Evidence of Compliance (G11.1.02)

PRE-SITE
Provide procedures regarding legal assistance to personnel.

Rating Indicators (G11.1.02)

- 1 The organization fully complies with the standard.
- 2 The organization generally complies with the standard, but practice or procedure could be strengthened in some minor way.
- 3 Practice requires significant improvement.
- 4 The organization consistently does not comply with the standard.



G11.1.03

The organization’s management evaluates the extent of liability that may result from a contractual relationship with or use of the facility by a lessor, sublessor, or community group and:

- a. presents related findings and recommendations to the governing body; and**
- b. alters the organization’s liability coverage or requires the parties using its facilities to carry appropriate coverage, as necessary.**

Interpretation (G11.1.03b):

Organizations that follow policy governance models may present findings and recommendations at the management level. See also G3.8.01.

Evidence of Compliance (G11.1.03)

PRE-SITE
Provide governing body minutes that document compliance with the standard.

ON-SITE
The team will interview personnel responsible for risk management regarding steps taken to assess potential increases in liability.

Rating Indicators (G11.1.03)

- 1 The organization fully complies with the standard.
- 2 The organization generally complies with the standard, but practice could be strengthened in some minor way, e.g., the governing body or management is informed of changing needs in coverage but is not given an in-depth evaluation of potential increases in liability as a result of a contract or lease.
- 3 Practice requires significant improvement, e.g., the governing body or management has reviewed the issue in a cursory fashion only, or external evaluators’, insurers’, or consultants’ assessments have not been used; or the issue has not been reported to the governing body or management.
- 4 The organization does not review the issue of increased liability or has failed to increase coverage despite compelling evidence of greatly increased liability.
- NA The organization does not participate in any contractual relationships or lease arrangements.

G11.1.04

An organization that rents or permits others to use its facilities informs users in writing of their obligations to maintain facilities, supplies, equipment, and medications in a manner that minimizes hazards to persons served and/or liability to the organization.

Evidence of Compliance (G11.1.04)

ON-SITE
The team will review materials used to inform users or lessees of their obligations to the organization. If these are contained in the policy and procedures manual, please append relevant pages.

Rating Indicators (G11.1.04)

- 1 The organization fully complies with the standard.
- 2 The organization informs space users verbally of their obligations. Understanding by both parties is apparent, as abuses have not occurred, and the organization monitors use.
- 3 Users are informed verbally and informally; the organization does not follow up or reinforce expectations, rendering itself and persons served vulnerable.

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	<p>4 Users of space are rarely, if ever, informed about their obligations.</p> <p>NA The organization does not rent or permit others to use its facilities.</p>
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RISK MANAGEMENT: INSURANCE**

G11.2 The organization evaluates and reduces its potential loss and liability by:

- a. avoiding risks through prevention and risk reduction activities; and**
- b. monitoring and evaluating the effectiveness of the risk management process.**

<p>G11.2.01</p> <p>Annually, the organization evaluates and purchases appropriate types and levels of insurance to ensure adequate coverage.</p> <p><i>Interpretation (G11.2.01):</i></p> <p><i>Appropriate types of insurance include, but are not limited to, the following: general liability, workers' compensation, disability, fire and theft, medical, indemnification, professional liability, risk pooling trust, officers' or director's liability, automobile liability, and malpractice. In designated flood plains, this standard requires appropriate purchase of flood insurance.</i></p>	
<p>Evidence of Compliance (G11.2.01)</p> <p>PRE-SITE Provide a list of types and amounts of insurance used by the organization.</p> <p>ON-SITE The team will review all insurance policies.</p>	<p>Rating Indicators (G11.2.01)</p> <ol style="list-style-type: none"> 1 The organization fully complies with the standard. 2 The organization generally complies with the standard, but insurance needs, although occasionally reviewed, are not subject to thorough and routine review, and coverage may be insufficient in some areas. 3 Insurance coverage is clearly inadequate in one area. 4 Insurance coverage in two or more key areas is inadequate.
<p>G11.2.02</p> <p>The organization ensures that all personnel and governing body members who sign checks, handle cash or contributions, or manage funds are bonded at the organization's expense, or the organization maintains appropriate insurance coverage to cover potential losses.</p>	
<p>Evidence of Compliance (G11.2.02)</p> <p>ON-SITE The team will review insurance policies and documentation regarding bonding for those delegated the financial responsibility specified in the standard or insurance coverage to cover losses, if applicable.</p>	<p>Rating Indicators (G11.2.02)</p> <ol style="list-style-type: none"> 1 The organization fully complies with the standard. 2 Under the supervision of bonded personnel, some minor financial responsibilities are carried out by unbonded personnel (such as disbursement of petty cash, receiving and recording contributions). <p style="text-align: right;"><i>(continued on next page)</i></p>



- 3 Levels of bonding fail to provide protection or relate to quantities of funds handled; or there are occasional exceptions when an unbonded person has minor responsibility without oversight.
- 4 Unbonded persons assume significant financial responsibility, including check signing authority, and the organization has no insurance coverage in the event of loss.

G11.2.03

An organization that provides transportation for persons served as part of a service maintains adequate insurance coverage.

Interpretation (G11.2.03):

Procedures regarding transportation for persons served as part of a service are addressed in G5.5.02. Procedures, including insurance requirements, for the transportation of persons served in vehicles that belong to the organization's personnel, foster parents, or contractors are addressed in G5.5.03. Note that these two standards address different issues.

Evidence of Compliance (G11.2.03)

PRE-SITE
Provide a list of the amount and type of insurance coverage for those transporting persons served.
ON-SITE
The team will interview management.

Rating Indicators (G11.2.03)

- 1 The organization fully complies with the standard.
- 2 The organization generally complies with the standard, but practice could be strengthened in some minor way.
- 3 Practice requires significant improvement.
- 4 The standard is not met in practice.
- NA The organization does not provide transportation for persons served.

G11.2.04

The organization:

- a. provides written notification to the governing body and personnel of the amount and type of insurance coverage related to the scope of their activities performed on the organization's behalf; and**
- b. advises the governing body and personnel of the extent and limits of liability coverage.**

Interpretation (G11.2.04):

All personnel and governing body members must receive this information at the initiation of their association with the organization and when any changes to the level and/or type of insurance coverage occur.

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Evidence of Compliance (G11.2.04)	Rating Indicators (G11.2.04)
<p>PRE-SITE Provide procedures regarding disclosure of insurance coverage to all governing body members and personnel.</p> <p>ON-SITE The team will interview personnel and governing body members.</p>	<ol style="list-style-type: none"> 1 The organization fully complies with the standard. 2 The organization generally discloses such information to the governing body and personnel, but on occasion the disclosure is verbal and informal. 3 The organization provides such information only upon request or provides partial disclosure. 4 The organization provides no information on liability and coverage to pertinent governing body members and/or personnel.

LEGAL COMPLIANCE*

G11.3 The organization acts in accordance with all relevant legal authority.

Interpretation (G11.3):

The standard requires the organization to have one or more legal advisors, generally paid and retained on a part-time or as-needed basis, who provide comprehensive necessary information regarding codes, regulations, licensure requirements, employment law, etc., and who are available to provide general guidance regarding legal compliance.

Note (G11.3): Please note that G11.3 addresses legal compliance associated with service delivery and program administration, whereas G5.3, G5.5, and G5.8 address legal compliance related to facility and health issues.

G11.3.01

The organization complies with all applicable federal, state or provincial, and local laws and regulations associated with service delivery, and possesses all relevant licenses.

Interpretation (G11.3.01):

Among other areas of service delivery, organizations must conform to specific requirements of applicable laws or regulations when:

- a. performing intake, assessment, service delivery and closure;*
- b. accepting legal custody of children or adults;*
- c. protecting confidentiality of persons served; and*
- d. providing protective services.*

Evidence of Compliance (G11.3.01)	Rating Indicators (G11.3.01)
<p>PRE-SITE Provide a narrative that describes areas of applicable law and the organization's mechanisms to ensure compliance. Please do not resubmit material related to G5.</p> <p>ON-SITE The team will interview senior administrators.</p>	<ol style="list-style-type: none"> 1 The organization fully complies with the standard. 2 With a few minor exceptions, the organization is in compliance with all applicable laws and regulations. Where minor deviations have been documented, corrective action is being taken. 3 The organization is out of compliance with at least one important legal requirement; and/or an oversight or licensing authority has found the organization in violation of legal requirements and has required corrective action. The violation is such that the program's ability to operate is not in danger. 4 The organization is out of compliance with important legal or regulatory requirements and is in danger of losing funding, being closed, or endangering persons served as a result.



G11.3.02

The organization utilizes legal counsel to clarify the meaning of laws or regulations governing any service program it operates or to respond to other legal inquiries.

Evidence of Compliance (G11.3.02)

ON-SITE
The team will review letters of agreement or other evidence of arrangements for legal advice.

Rating Indicators (G11.3.02)

- 1 The organization fully complies with the standard.
- 2 The organization obtains legal advice on a case-by-case basis with regard to compliance and seeks broader advice only if needed.
- 3 The organization has access to legal advice on an informal or volunteer basis.
- 4 The organization has no arrangements for and seeks no legal advice regarding its compliance with law; and/or seems poorly informed about the range of codes, regulations, and federal, state, or provincial law affecting its operations.

G11.3.03

The organization complies with all consent decrees and other judicial mandates, as applicable.

Evidence of Compliance (G11.3.03)

PRE-SITE
The team will review the narrative required for G11.3.01 as well as any applicable consent decrees, mandates, and/or reports regarding compliance or satisfaction with consent decrees and/or mandates.

Rating Indicators (G11.3.03)

- 1 The organization fully complies with the standard.
 - 2 With a few minor exceptions, the organization is in compliance with all applicable consent decrees and other judicial mandates. Where minor deviations have been documented, corrective action is being taken.
 - 3 The organization is out of compliance with at least one important aspect of a consent decree or judicial mandate; and/or the oversight or licensing authority has found the organization out of compliance and has required corrective action. The violation is such that the organization's ability to operate is not in danger.
 - 4 The organization is seriously out of compliance with applicable consent decrees and other judicial mandates and is in danger of losing funding, being closed, or endangering persons served as a result.
- NA The organization is not operating under a consent decree or judicial mandate.

G11.3.04

The organization complies with all self-reporting requirements associated with licensure, accreditation, and/or other appropriate external review bodies.

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<p>Evidence of Compliance (G11.3.04)</p> <p>PRE-SITE Provide a copy of the most recent Maintenance of Accreditation report and the date when COA requested completion.</p> <p>ON-SITE The team will review documents demonstrating compliance with self-reporting.</p>	<p>Rating Indicators (G11.3.04)</p> <ol style="list-style-type: none"> 1 The organization fully complies with the standard. 2 The organization generally complies with the standard, but practice could be strengthened in some minor way. 3 Practice requires significant improvement. 4 The standard is not met in practice.
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SECURITY OF INFORMATION**

G11.4 All organizational information is safely and securely maintained.

Interpretation (G11.4):

The standards in this section address security of all types of records, including case records, administrative records, health records, and personnel records, unless otherwise noted. See also G1.6, Access to Case Records and G9.5, Case Records.

<p>Evidence of Compliance (G11.4)</p> <p>PRE-SITE Provide procedures regarding access to and confidentiality, security, and disposition of records.</p>	
<p>G11.4.01</p> <p>The organization limits access to individual case records to authorized personnel and persons served, in compliance with G9.5.01 and establishes procedures that:</p> <ol style="list-style-type: none"> a. govern access to case records by auditors, contractors, and licensing or accrediting personnel that are consistent with its confidentiality policy; and b. adequately safeguard the confidentiality of materials used in its quality improvement activities. 	
<p>Evidence of Compliance (G11.4.01)</p> <p>PRE-SITE The team will review evidence that is provided for G11.4.</p> <p>ON-SITE The team will observe the record-keeping system, procedures, and safeguards.</p>	<p>Rating Indicators (G11.4.01)</p> <ol style="list-style-type: none"> 1 The organization fully complies with the standard. 2 The organization generally complies with the standard, but practice or procedure could be strengthened in some minor way, e.g., the organization allows access to authorized persons under permitted conditions, but procedures lack the parameters necessary to ensure consistent practice. 3 Practice or procedure requires significant improvement. 4 Procedures are not in place or are wholly inadequate; and/or the standard is not met in practice, e.g., there are no limits on access to organizational records and confidential information is available to third parties in violation of confidentiality principles.
<p>G11.4.02</p> <p>The organization has control mechanisms to ensure that records, whether paper or electronic, can be located at any time.</p> <p style="text-align: right;"><i>(continued on next page)</i></p>	



Evidence of Compliance (G11.4.02)

PRE-SITE

The team will review evidence that is provided for G11.4.

ON-SITE

The team will observe the record-keeping system, procedures, and safeguards.

Rating Indicators (G11.4.02)

- 1 The organization fully complies with the standard.
- 2 The organization generally complies with the standard, but practice or procedure could be strengthened in some minor way, e.g., a formal system is in place, but on occasion is not fully implemented so that location of records may sometimes be time consuming or difficult.
- 3 Practice or procedure requires significant improvement, e.g., the system is informal and unsystematic; records are occasionally misplaced or hard to locate.
- 4 The organization does not comply with the standard.

G11.4.03

The organization has procedures to protect service and organizational records, whether in electronic or paper form, from destruction by fire, water, loss, or other damage, and from unauthorized access, which include:

- a. **daily backup of all electronic records;**
- b. **electronic back up maintained off-premises; and**
- c. **storage of paper records in locked, and fireproof or fire resistant cabinets in a secure area.**

Evidence of Compliance (G11.4.03)

PRE-SITE

The team will review evidence that is provided for G11.4.

ON-SITE

The team will observe the record-keeping system, procedures, and safeguards.

Rating Indicators (G11.4.03)

- 1 The organization fully complies with the standard.
- 2 The organization generally complies with the standard, but practice or procedure could be strengthened in some minor way, e.g., most, but not all records are kept in fireproof or fire resistant cabinets and the other elements of the standard are met.
- 3 Practice or procedure requires significant improvement, e.g., there is some major deficiency such as records are locked but in an accessible area or the quality of security varies from site to site or service to service. Computer files are backed-up infrequently.
- 4 The organization does not comply with the standard, e.g., the system is grossly inadequate or so poorly monitored that records are in danger of destruction.

G11.4.04

Consistent with legal requirements and the organization's confidentiality policy, written operational procedures govern the retention, maintenance, and destruction of records of former service recipients, and include protocols on:

- a. **protection of privacy;**
- b. **legitimate requests by former persons served for access to information, when permissible by law;**
- c. **requests for records of deceased persons served; and**
- d. **disposition of records in the event of the organization's dissolution.**

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<p>Evidence of Compliance (G11.4.04)</p> <p>PRE-SITE The team will review evidence that is provided for G11.4.</p> <p>ON-SITE The team will observe the record-keeping system, procedures, and safeguards.</p>	<p>Rating Indicators (G11.4.04)</p> <ol style="list-style-type: none">1 The organization fully complies with the standard.2 The organization generally complies with the standard, but practice or procedure could be strengthened in some minor way.3 Practice or procedure requires significant improvement.4 The organization does not comply with the standard.
<p>G11.4.05</p> <p>The organization maintains its case records for at least seven years after termination of service, unless otherwise mandated by law or COA’s requirements for specific services.</p> <p><i>Interpretation (G11.4.05):</i></p> <p><i>Adoption records or an extract of all salient information included therein are maintained permanently; records of children or youth are maintained until the age of majority or a few years beyond, depending on the advice of counsel.</i></p>	
<p>Evidence of Compliance (G11.4.05)</p> <p>PRE-SITE The team will review evidence that is provided for G11.4.</p> <p>ON-SITE The team will observe the record-keeping system, procedures, and safeguards.</p>	<p>Rating Indicators (G11.4.05)</p> <ol style="list-style-type: none">1 The organization fully complies with the standard.2 The organization generally complies with the standard, but practice or procedure could be strengthened in some minor way.3 Practice or procedure requires significant improvement.4 The organization does not comply with the standard.
<p>G11.4.06</p> <p>The organization ensures that all computers have up-to-date anti-virus protection and procedures exist to protect the confidentiality and integrity of internal databases and sensitive information.</p>	
<p>Evidence of Compliance (G11.4.06)</p> <p>PRE-SITE The team will review evidence that is provided for G11.4, G2.10.02, and G2.10.04.</p> <p>ON-SITE The team will observe the record-keeping system, procedures, and safeguards.</p>	<p>Rating Indicators (G11.4.06)</p> <ol style="list-style-type: none">1 The organization fully complies with the standard.2 The organization generally complies with the standard, but practice or procedure could be strengthened in some minor way.3 Practice or procedure requires significant improvement.4 The organization does not comply with the standard. <p>NA The organization does not use computers to maintain data or other sensitive information.</p>



G11.4.07

The format of electronically transmitted data complies with legal standards and requirements, and the organization:

- a. uses appropriate formats, codes, and identifiers to ensure the security and privacy of electronically transmitted data as required by law; and**
- b. develops and posts a privacy policy on all internet sites.**

Evidence of Compliance (G11.4.07)

PRE-SITE
The team will review evidence that is provided for G11.4 and G2.10.04.

ON-SITE
The team will observe the record-keeping system, procedures, and safeguards.

Rating Indicators (G11.4.07)

- 1 The organization fully complies with the standard.
- 2 The organization generally complies with the standard, but practice or procedure could be strengthened in some minor way.
- 3 Practice or procedure requires significant improvement.
- 4 The organization does not comply with the standard.
- NA The organization neither hosts an internet site nor uses internal or external electronic data transmission.

G11.4.08

To protect files of persons served, access to databases, and confidential information, the organization has security systems for programs in high risk areas to deter facility break-ins after hours.

Evidence of Compliance (G11.4.08)

PRE-SITE
The team will review evidence that is provided for G11.4 and G2.10.04.

ON-SITE
The team will observe the record-keeping system, procedures, and safeguards.

Rating Indicators (G11.4.08)

- 1 The organization fully complies with the standard.
- 2 The organization generally complies with the standard, but practice or procedure could be strengthened in some minor way.
- 3 Practice or procedure requires significant improvement.
- 4 The organization does not comply with the standard.

MEDIA RELATIONS

G11.5 The organization conducts media relations in a manner that accurately conveys information and protects the privacy of persons served.

G11.5.01

The organization follows procedures regarding appropriate handling of media inquiries that protect the confidentiality of persons served and are communicated to all senior managers.

Evidence of Compliance (G11.5.01)

PRE-SITE
Provide procedures regarding media relations.

Rating Indicators (G11.5.01)

- 1 The organization fully complies with the standard.
- 2 The organization generally complies with the standard, but practice or procedure could be strengthened in some minor way.
- 3 Practice requires significant improvement.
- 4 The organization does not comply with the standard.



G11.5.02

The organization follows procedures regarding the use of client photographs with the media or in organizational events such as fund-raising and these procedures require:

- a. participating individuals to sign consent forms; and**
- b. the organization to inform all persons served that such practice is strictly voluntary.**

Evidence of Compliance (G11.5.02)

PRE-SITE
Provide procedures regarding privacy rights of persons served and protections against direct or indirect coercion of persons served to participate in media or organizational activities.

ON-SITE
The team will interview personnel and persons served as needed, review selected records for consent forms, and examine public relations material.

Rating Indicators (G11.5.02)

- 1 The organization fully complies with the standard.
- 2 The organization generally complies with the standard, but practice or procedure could be strengthened in some minor way.
- 3 Practice requires significant improvement.
- 4 The organization does not comply with the standard

G11.5.03

The organization consults with legal counsel regarding matters involving disclosure to the media of client information and associated risks.

Evidence of Compliance (G11.5.03)

ON-SITE
The team will interview personnel.

Rating Indicators (G11.5.03)

- 1 The organization fully complies with the standard.
 - 2 The organization generally complies with the standard, but practice could be strengthened in some minor way.
 - 3 Practice requires significant improvement.
 - 4 The organization does not comply with the standard.
- NA The organization only discloses consumer information with the informed consent of the person served, a parent, or legal guardian.

G11.5.04

With regard to persons served who elect to speak with the media, the organization:

- a. explains the organization's confidentiality policy regarding information about the person served and other persons served;**
- b. obtains a signed statement from the person served that s/he has been informed of and understands the confidential nature of certain client information; and**
- c. obtains a signed release of claims from the person served discharging the organization from liability in the event that s/he voluntarily or inadvertently discloses confidential information about him/herself or others.**

Evidence of Compliance (G11.5.04)

PRE-SITE
Provide procedures and redacted samples of statements or releases, if applicable.

ON-SITE
The team will interview personnel and persons served.

Rating Indicators (G11.5.04)

- 1 The organization fully complies with the standard.
- 2 The organization generally complies with the standard, but practice or procedure could be strengthened in some minor way.

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	<p>3 Practice or procedure requires significant improvement.</p> <p>4 The organization does not comply with the standard.</p> <p>NA The organization has not had any person served who elected to speak to the media.</p>
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SERVICE AGREEMENTS

G11.6 When an organization collaborates with other organizations to deliver services to persons or families, a written service agreement specifies the responsibilities of each organization or party.

Interpretation (G11.6):

The following standards apply to non-contractual arrangements in which organizations collaborate to deliver specific services to a person or persons. An example is a service where an outside organization voluntarily comes into the host organization's facility to provide weekly smoking cessation classes. These standards do not apply when one organization contracts with another organization to provide a service in its entirety, e.g., a group home where an outside organization provides counseling services. In such cases, G11.7 and G11.8 apply.

NA None of the organization's programs or services uses service agreements.

G11.6.01

Organizations that collaborate with other entities to maximize service delivery conjointly develop a written service agreement, update it as needed, and review it at least annually.

<p>Evidence of Compliance (G11.6.01)</p> <p>PRE-SITE Provide a list of the service agreements engaged in by each of the organization's services.</p> <p>ON-SITE The team will select and review a sample of agreements.</p>	<p>Rating Indicators (G11.6.01)</p> <ol style="list-style-type: none"> 1 The organization fully complies with the standard. 2 The organization generally complies with the standard, but practice could be strengthened in some minor way. 3 Practice requires significant improvement. 4 The organization does not comply with the standard.
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G11.6.02

Collaborative service agreements describe the structure of the collaborative and address:

- a. the services exchanged or provided, and/or the goals and objectives of the collaboration;**
- b. the roles and responsibilities of each organization, including reporting responsibilities;**
- c. procedures for sharing information; and**
- d. confidentiality protections, including signed written consent forms.**

<p>Evidence of Compliance (G11.6.02)</p> <p>PRE-SITE Provide procedures for establishing collaborative service agreements.</p> <p>ON-SITE The team will select and review a sample of agreements.</p>	<p>Rating Indicators (G11.6.02)</p> <ol style="list-style-type: none"> 1 The organization fully complies with the standard. 2 The organization generally complies with the standard, but one of the elements is not fully addressed, or practice or procedure could be strengthened in some minor way. 3 Two of the required elements are not fully addressed; or one element is not addressed at all. 4 Three or more of the required elements are not fully addressed; or two or more elements are not addressed at all.
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G11.6.03

When more than one organization collaborates to serve an individual, family, or community, the written agreement includes responsibility for case coordination.

Evidence of Compliance (G11.6.03)

ON-SITE
The team will select and review a sample of agreements.

Rating Indicators (G11.6.03)

- 1 The organization fully complies with the standard.
- 2 The organization generally complies with the standard, but practice could be strengthened in some minor way.
- 3 Practice requires significant improvement.
- 4 The organization does not comply with the standard.

G11.6.04

Collaborative service agreements include written procedures that address:
a. service authorization, including accepting or rejecting cases; and
b. resolving communication difficulties.

Evidence of Compliance (G11.6.04)

ON-SITE
The team will select and review a sample of agreements.

Rating Indicators (G11.6.04)

- 1 The organization fully complies with the standard.
- 2 The organization generally complies with the standard, but one of the elements is not fully addressed; or practice or procedure could be strengthened in some minor way.
- 3 Two of the required elements are not fully addressed; or one element is not addressed at all.
- 4 Three or more of the required elements are not fully addressed; or two or more elements are not addressed at all.

CONTRACTUAL RELATIONSHIPS**

G11.7 The organization that engages in contractual agreements as a purchaser or vendor of services complies with the following standards.

Interpretation (G11.7):

G11.7 pertains to situations where the organization acts as a purchaser or vendor of human services for persons served. G11.7 is not applicable to any other category of contracts that is not considered a human service, such as contracts for sanitation services or contracts for supplies.

"Contractual agreements" involve bargained for, mutual obligations. Networks and provider alliances are considered contracts under this section.

NA The organization has no contractual agreements as either a purchaser or vendor of services.

G11.7.01

The governing body or its designated authority reviews policies and trends regarding purchase or vendorship of services.

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Interpretation (G11.7.01):

The frequency and scope of this review shall be guided by the organization's involvement in such arrangements. Generally, reviews should occur at least once every four years.

Evidence of Compliance (G11.7.01)

ON-SITE
The team will review contracts in effect for the past two years, any policies in this regard, and/or minutes which reflect governing body review of contracts.

Rating Indicators (G11.7.01)

- 1 The organization fully complies with the standard.
- 2 The organization's governing body or a designated committee or agent reviews trends, but in a less than comprehensive manner; or somewhat less frequently than required.
- 3 These matters are only superficially or sporadically reviewed; or have not been reviewed in more than four years despite a high degree of contractual activity.
- 4 The governing body does not review trends and relationships with regard to purchase or vendorship.

G11.7.02

The organization's contracts are related to the organization's purpose and mission.

Evidence of Compliance (G11.7.02)

ON-SITE
The team will review contracts and arrangements in effect for the past two years, related policies and procedures, and/or minutes that reflect governing body review of the organization's contracts or practices.

Rating Indicators (G11.7.02)

- 1 The organization fully complies with the standard.
- 2 Contracts fall within the organization's purpose and mission, but some cases require a broad interpretation of that purpose and mission.
- 3 Practice or procedure requires significant improvement, e.g., the organization has sought and accepted some grants or contracts unrelated to its purpose.
- 4 The organization's position is to contract even if unrelated to its purpose or mission; and/or the organization has engaged in unrelated activities to such an extent that the identity of the organization and/or the thrust of its efforts are no longer congruent with its purpose.

G11.7.03

The organization assigns a designated individual to oversee and remediate deficiencies associated with each contracted service.

Interpretation (G11.7.03):

The standard requires the organization to assign each contract to a specific individual who is charged with monitoring progress and outcomes of each service contract.

Evidence of Compliance (G11.7.03)

PRE-SITE
Provide the job description(s) for the individual(s) overseeing contract management, and procedures that address contract oversight.
ON-SITE
Interview assigned individuals.

Rating Indicators (G11.7.03)

- 1 The organization fully complies with the standard.
- 2 The organization generally complies with the standard, but practice or procedure could be strengthened in some minor way.

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- 3 Practice or procedure requires significant improvement.
- 4 The organization does not comply with the standard.

G11.7.04

The organization, whether as purchaser or vendor, uses written purchase of service agreements or written contracts that contain all significant terms and conditions in accordance with applicable law.

Interpretation (G11.7.04):

“Significant terms” include, but are not limited to:

- a. roles and responsibilities of participating organizations;*
- b. services to be provided;*
- c. service authorization, including eligibility criteria;*
- d. provisions for training and technical support, as necessary;*
- e. target populations;*
- f. duration of contract, including delineation of follow-up services;*
- g. policies and procedures for sharing information;*
- h. methods for resolving disputes;*
- i. a plan and procedure for timely payment;*
- j. consequences for failure to pay;*
- k. documentation necessary for, and means of reporting to, funding or oversight bodies;*
- l. conditions for termination; and*
- m. expected outcomes.*

Evidence of Compliance (G11.7.04)

PRE-SITE
Provide procedures regarding authorization and purchase of services on behalf of persons served.
ON-SITE
The team will review contracts in effect for the past two years, any policies in this regard, and/or minutes which reflect governing body review of organization contracts.

Rating Indicators (G11.7.04)

- 1 The organization fully complies with the standard.
- 2 In a substantial percentage of cases, the organization complies with the standard; or contracts exist but may be less clear in regard to one or more of the components of the standard.
- 3 Practice or procedure requires significant improvement, e.g., terms and conditions are general, nonspecific, or not useful; or a significant element of the standard is ignored; for instance, written interorganizational agreements do not contain payment procedures, or procedures for resolution of disagreements.
- 4 Contracts are totally inadequate in specification of terms and conditions; or there is no written documentation of contractual arrangements with other organizations, and in practice, working relationships with other organizations usually fall below the level expected given the nature of the service population.

G11.7.05

The organization that provides services as a vendor establishes safeguards against over- and under-billing, including:

- a. an accurate account of units of service provided;**
- b. timely submission of invoices and required documents; and**
- c. compliance with applicable regulations.**

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<p>Evidence of Compliance (G11.7.05)</p> <p>PRE-SITE Provide billing procedures or other written material that addresses the required safeguards.</p> <p>ON-SITE The team will review records that indicate compliance with the standard and interview the chief financial officer and/or the chief executive officer.</p>	<p>Rating Indicators (G11.7.05)</p> <ol style="list-style-type: none"> 1 The organization fully complies with the standard. 2 The organization generally complies with the standard, but practice could be strengthened in some minor way, e.g., no systematic safeguards are in place to prevent a breakdown in its practice. 3 The organization has a number of deficiencies or inaccuracies in its billing practices which could lead to future problems. 4 The organization's poor management of its billing practices jeopardizes its financial position and/or contractual relationships. <p>NA The organization does not bill or act as a vendor.</p>
<p>G11.7.06</p> <p>An organization that provides services as a vendor ensures that contractual relationships do not violate the organization's policies and procedures regarding professional practices and confidentiality.</p>	
<p>Evidence of Compliance (G11.7.06)</p> <p>PRE-SITE Provide policies and procedures regarding confidentiality as these apply to contractual relationships.</p> <p>ON-SITE The team will review contracts.</p>	<p>Rating Indicators (G11.7.06)</p> <ol style="list-style-type: none"> 1 The organization fully complies with the standard. 2 The organization generally complies with the standard, but practice or procedure could be strengthened in some minor way. 3 On occasion the organization has entered into contracts which inadvertently violate its own policy; or the organization is out of compliance in some other significant way. 4 Contracts contain requirements or specifications that are inconsistent with organizational policies or standards with regard to confidentiality. <p>NA The organization does not bill or act as a vendor.</p>

ADDITIONAL CONTRACTING REQUIREMENTS FOR ORGANIZATIONS THAT PURCHASE SERVICES*

G11.8 The organization that contracts with providers for a component or an array of services carries out the contracting process according to established procedures and with due regard for standards of best practice.

NA The organization does not purchase services on behalf of eligible persons.



G11.8.01

The organization establishes a system of standardized contracting practices and conducts due diligence in all of its contracting activities.

Evidence of Compliance (G11.8.01)

PRE-SITE
Provide procedures regarding contract management that guide personnel and potential contractors.
ON-SITE
The team will interview management personnel responsible for contract management.

Rating Indicators (G11.8.01)

- 1 The organization fully complies with the standard.
- 2 The organization generally complies with the standard, but practice or procedure could be strengthened in some minor way.
- 3 The organization has written procedures but often deviates from them in practice; or these procedures are too vague to provide explicit guidance.
- 4 The organization has no written procedures for contract management; and/or the standard is not met in practice.

G11.8.02

If the organization announces the availability of contract funds through a request for proposal (RFP) and/or a formal bidding process, the process includes, unless contradicted by law or regulation:

- a. open, public solicitation of bids;
- b. explicit and objective selection/award criteria;
- c. formal procedures for rating proposals and selecting contract providers; and
- d. formal procedures for awarding contract funds that are open to scrutiny by the public.

Evidence of Compliance (G11.8.02)

PRE-SITE
Provide written procedures for soliciting RFPs that include bidding, rating proposals, and selecting providers.
ON-SITE
The team will interview management personnel responsible for rating proposals and selecting providers.

Rating Indicators (G11.8.02)

- 1 The organization fully complies with the standard.
 - 2 The organization generally complies with the standard, but practice or procedure could be strengthened in some minor way, e.g., some of the bids or RFPs do not articulate criteria for applying and receiving funds with sufficient specificity or clarity.
 - 3 Practice or procedure requires significant improvement, e.g., the organization does not follow its own procedures for selecting providers and may make decisions on a non-objective basis.
 - 4 The organization consistently does not comply with the standard.
- NA The organization does not engage in RFPs.

G11.8.03

The organization follows procedures for:

- a. administrative and programmatic accountability;
- b. reporting on the quantity and quality of services delivered under the contract; and
- c. performance evaluation.

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<p>Evidence of Compliance (G11.8.03)</p> <p>PRE-SITE Provide the required accountability procedures.</p> <p>ON-SITE The team will interview management personnel responsible for the purchase of services from other providers.</p>	<p>Rating Indicators (G11.8.03)</p> <ol style="list-style-type: none">1 The organization fully complies with the standard.2 The organization generally complies with the standard, but practice or procedure could be strengthened in some minor way, e.g., procedures lack specificity or clarity in some minor way; and/or, on rare occasion, are not followed.3 Practice or procedure requires significant improvement, e.g., performance evaluation procedures are very general or superficial; in a significant number of cases, the organization deviates from the procedures during implementation.4 The organization has not developed or followed procedures in regard to the requirements of this standard; or if such procedures exist, they are deficient with respect to more than one component of the standard.
<p>G11.8.04</p> <p>When services are directly authorized or purchased on behalf of persons served, the organization follows a standard procedure for service authorization that includes providing a summary of the service plan and a schedule of services to the cooperating organization or direct service provider.</p>	
<p>Evidence of Compliance (G11.8.04)</p> <p>PRE-SITE Provide service authorization procedures related to the purchase of services.</p> <p>ON-SITE The team will review material provided to the cooperating agency or direct service provider and interview personnel responsible for purchasing services.</p>	<p>Rating Indicators (G11.8.04)</p> <ol style="list-style-type: none">1 The organization fully complies with the standard.2 The organization generally complies with the standard, but practice or procedure could be strengthened in some minor way.3 Practice or procedure requires significant improvement.4 The organization does not comply with the standard.
<p>G11.8.05</p> <p>The organization establishes expectations that:</p> <ol style="list-style-type: none">a. the contractors meet applicable licensing standards; andb. the majority of the contractors providing accreditable services have a plan to meet national accreditation standards within a reasonable period of time.	
<p>Evidence of Compliance (G11.8.05)</p> <p>PRE-SITE Provide documents setting forth licensing and accreditation expectations for contractors.</p> <p>ON-SITE The team will interview management personnel responsible for purchasing services.</p>	<p>Rating Indicators (G11.8.05)</p> <ol style="list-style-type: none">1 The organization fully complies with the standard.2 The organization establishes expectations, but these are not always communicated in a timely or clear way to provider organizations; and/or there is no mechanism in place for ongoing follow-up to determine compliance with the required plan for accreditation. All contract organizations are licensed.3 Although the organization sets expectations with regard to national accreditation standards and licensing standards, it communicates these expectations informally; or a significant number of contractors do not meet applicable licensing standards.4 The organization does not establish expectations about accreditation and/or fails to verify licensure.



QUALITY MONITORING OF PURCHASED SERVICES*

G11.9 The organization monitors and evaluates social and human services purchased from other organizations or providers.

NA The organization does not purchase human or social services.

G11.9.01

Contractors of purchased human or social services used by the organization:
a. have sufficient human and financial resources to fulfill the terms of the contract; and
b. are licensed or otherwise legally authorized to provide the contracted services.

Evidence of Compliance (G11.9.01)

PRE-SITE
Provide procedures for evaluating contractor capacity to fulfill the contract, including demonstrating authority to operate.
ON-SITE
The team will interview the person responsible for monitoring contracted services.

Rating Indicators (G11.9.01)

- 1 The organization fully complies with the standard.
- 2 The organization generally complies with the standard, but practice or procedure could be strengthened in some minor way.
- 3 Practice or procedure requires significant improvement.
- 4 The organization does not comply with the standard.

G11.9.02

The organization periodically monitors contractor progress toward fulfilling the terms of the contract.

Evidence of Compliance (G11.9.02)

PRE-SITE
Provide contract monitoring procedures.
ON-SITE
The team will interview the person responsible for monitoring contracted services, and review documentation that monitoring is occurring.

Rating Indicators (G11.9.02)

- 1 The organization fully complies with the standard.
- 2 The organization generally complies with the standard, but practice or procedure could be strengthened in some minor way.
- 3 Practice or procedure requires significant improvement.
- 4 The organization does not comply with the standard.

G11.9.03

Contracts for social and human services include expectations for quality outcomes and client satisfaction.

Evidence of Compliance (G11.9.03)

PRE-SITE
Provide three contracts; highlight required expectations.
ON-SITE
The team will interview the person responsible for monitoring contracted services, and select and review additional contracts.

Rating Indicators (G11.9.03)

- 1 The organization fully complies with the standard.
- 2 The organization generally complies with the standard, but practice or procedure could be strengthened in some minor way.
- 3 Practice or procedure requires significant improvement.
- 4 The organization does not comply with the standard.



G11.9.04

When monitoring and evaluation activities identify areas in need of corrective action, the organization:

- a. develops a corrective action plan in conjunction with the contractor; and**
- b. follows up to ensure remediation.**

Evidence of Compliance (G11.9.04)

PRE-SITE

Provide contract monitoring procedures regarding development of corrective action plans.

ON-SITE

The team will interview the person responsible for monitoring contracted services or equivalent, and review corrective action plans.

Rating Indicators (G11.9.04)

- 1 The organization fully complies with the standard.
- 2 The organization generally complies with the standard, but practice or procedure could be strengthened in some minor way.
- 3 Practice or procedure requires significant improvement.
- 4 The organization does not comply with the standard.

MANAGEMENT OF INVESTMENTS

G11.10 An organization that invests funds has controls to ensure the proper management of investments.

NA The organization does not invest any of its funds.

Evidence of Compliance (G11.10)

PRE-SITE

Provide investment policies, procedures, or other written guidelines that address investment of funds.

G11.10.01

In organizations that invest funds, the governing body follows and biennially reviews an investment policy that outlines:

- a. acceptable levels of risk;**
- b. criteria for contracting with investment advisors or firms; and**
- c. protocols for making investment decisions.**

Evidence of Compliance (G11.10.01)

PRE-SITE

Provide the organization's investment policies and procedures.

ON-SITE

The team will interview the chairperson of the designated committee or other agent of the governing body and review minutes/records of the designated body.

Rating Indicators (G11.10.01)

- 1 The organization fully complies with the standard.
- 2 The organization generally complies with the requirements of the standard, but the policy could be strengthened in some minor way, e.g., policy or procedures have not been reviewed in more than two years.
- 3 One of the required elements is not addressed at all; or management assumes responsibility for oversight of investments.
- 4 Two or more of the required elements are not addressed at all.



G11.10.02

A designated committee or agent of the governing body:

- a. oversees and reviews both the investment of funds and the management, purchase, or sale of real estate, securities, and other assets;**
- b. ensures that practices conform to applicable legal and regulatory requirements; and**
- c. reports the status of investments and investment recommendations to the governing body.**

Evidence of Compliance (G11.10.02)

PRE-SITE

The team will review evidence provided for G11.10.

ON-SITE

The team will interview the chairperson of the designated committee or other agent of the governing body and review minutes/records of the designated body.

Rating Indicators (G11.10.02)

- 1 The organization fully complies with the standard.
- 2 The organization generally complies with the standard, but practice or procedure could be strengthened in some minor way, e.g., there is a committee or agent, but documentation to support a prudent investment strategy consistent with organizational policy and any prevailing laws is somewhat sparse.
- 3 Practice or procedure requires significant improvement, e.g., there is designated investment oversight, but oversight of investment funds is inadequate; and/or personnel, rather than the committee, ensure conformity of practices with law and regulations.
- 4 A committee or agent of the organization has not been designated by the governing body to oversee investment of funds.

