

SAS COMPLIANCE REVIEW CHECKLIST

Date:
Consumer:
PID #:

Time sheet sample for all employees in the sample time period

Two months sampled: _____ and _____
 Name of employees sampled

Employee Files

No new employees

1. Employee _____

- 2-9C Application for Certification
- 2-9EA Employee Agreement
- I-9 Employment Eligibility Verification
- Annual Background Screening
- Signed Code of Conduct (Department and Division)

2. Employee _____

- 2-9C Application for Certification
- 2-9EA Employee Agreement
- I-9 Employment Eligibility Verification
- Annual Background Screening
- Signed Code of Conduct (Department and Division)

3. Employee _____

- 2-9C Application for Certification
- 2-9EA Employee Agreement
- I-9 Employment Eligibility Verification
- Annual Background Screening
- Signed Code of Conduct (Department and Division)

4. Employee _____

- 2-9C Application for Certification
- 2-9EA Employee Agreement
- I-9 Employment Eligibility Verification
- Annual Background Screening
- Signed Code of Conduct (Department and Division)

Employer File

2-9SA Current year Service Agreement

Training

- Current Service Specific Training
- Current Support Strategies match goals

Available in File

- Emergency Contact Information
- Timesheets
- Support Strategies
- Incident Reports
- Relevant information determined by employer

Issues or concerns

1. _____
2. _____
3. _____
4. _____

- Free of overlapping services
- Payments appropriate for time submitted
- Services used are expected
- Comments reflect services being used

Issues or concerns

Confirm all employees are legitimate, properly trained, understand and provide legitimate services.

Employee interviewed _____

- 2-9C Employee and documentation match
- Discussed services and supports being used
- Employee trained to meet identified needs, understands Support Strategies and Service Specific Training. Ask:
 - o Do you remember how many hours you worked last pay period?
 - o Have you ever made a mistake on your time card-such as forgetting to report time you worked or reporting time you didn't work? If yes, how was it resolved?
 - o Have you ever been asked to donate or pay part of your check to your employer?
 - o Do you have questions or other issues providing services?

Issues or concerns

Name of Reviewer

Date