

**DMR Ethics Committee for Independent Contractors/Consultants
Check List**

Documentation for related party transactions:

Ethics Committee Related Party Transaction Guide

The documentation that must be submitted to the DMR Ethics Committee for review and consideration of related party transactions:

1. _____ A narrative statement explaining the transaction, disclosing all of the goods and services to be rendered, and an identification of *all* related parties involved in the transaction;
2. _____ Copies of related party contracts, proposals, leases, etc. evidencing the terms and conditions of the related party transactions;
3. _____ An explanation of the necessity of the related party transaction with the related party rather than with an unrelated party;
4. _____ Qualifications of the related parties who will provide/perform the related party transaction;
5. _____ Documentation of an open competitive bidding;
6. _____ Documentation/explanation how related party billings and charges will be controlled by the Contractor; and
7. _____ Documentation that the related party's charges are based upon the related party's actual costs.

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Documentation for hiring immediate family:

FOR PRIOR APPROVAL

- _____ Title of the position and the job description
- _____ Name of the person hired
- _____ Name of the Board Member **OR** name and position of the staff person who was hired first
- _____ A copy of the job posting which documents that it was an open recruitment process (e.g. copy of a newspaper advertisement)
- _____ Documentation on the selection process used in this hiring
- _____ Documentation that the salary and benefits of the person hired are comparable to the employee who previously held that position or to other employees in similar positions (market rate)
- _____ Documentation that the immediate family member meets the qualifications for the job (e.g. job application or resume)

FOR POST APPROVAL

- _____ Title of the position and the job description
- _____ Name of the person hired
- _____ Name of the Board Member **OR** name and position of the staff person who was hired first
- _____ Documentation that the salary and benefits of the person hired are comparable to the employee who previously held that position or to other employees in similar positions (market rate)
- _____ Documentation that the immediate family member meets the qualifications for the job (e.g. job application or resume)

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Documentation for Use of Individual's/Family's fund for an employee to attend an event(s):

Prior approval from the Ethics Committee is required for staff receiving more than \$2000 from a client/family per event.

Post approval from the Ethics Committee is required for staff receiving less than \$2000 but more than \$100 in a year.

- _____ Description of event (where, when)
- _____ Clients participating
- _____ Staff participating
- _____ Documentation of request/approval from client/family/team (team minutes, parent signed permission)
- _____ Documentation of per client/family expenditure per employee
- _____ Documentation of use of funds (allowable costs include transportation, lodging, meals, admissions / non allowable costs include souvenirs, admissions without the client)
- _____ Signed authorization from management
- _____ Statement of availability of funding from other source.