

Contract Payments, Advances, and Rollover Policy

Approved February 9, 2005

This Policy is effective immediately for all funded programs of First 5 Yolo, with the exception of the Community Mini-grant program and the Child Care Mini-grant program.

- Any agency requesting an advance in the first year of their contract with the Commission will be granted one in the amount of 20% of the annual contract amount.
- Agencies will receive a 1st, 2nd, and 3rd quarter payment of 20%.
- The end of year (4th quarter) payment will be adjusted to cost.
- In the analysis of the 3rd quarter evaluation and financial reports, significant under or over spending will be addressed with the contractor and payments will be adjusted.
- Agency funds not expended during the contract year will not be added to the next year's contract. Rather, these unexpended funds will be held for the agency over the duration of their total grant period. Each year's unexpended funds will be added to their account for the sole purpose of extending the contract beyond its original grant period, with a maximum of a 12 month extension.
- All funds not spent by contractors by the end of a one-year extension period will return to the Commission's uncommitted funds balance.
- Contracts can request an advance in subsequent years of multiple year contracts through an application process.
- Financial audits and/or financial statements will be requested with RFPs and proposals for all grants greater than \$15,000. The financial position of each applicant will be reviewed by the financial director or manager and a report made to the review panel and Commission.

2.3.6.1 Site Visits and Evaluation

In addition, the Commission shall conduct on-site program and fiscal compliance audits of service providers. The purpose of such audits is to verify that progress reports are accurate and that proper documentation exists to support provider claims.

Administrative Site Visit Procedures

Include a provision in the contract that gives the Commission the right to enter the provider's premises and inspect any records pertaining to the services performed under the agreement.

Schedule the site visit and financial audit and submit any requests for information or for interviews with provider staff.

Follow the Administrative Site Visit protocol outlined below:

Quarterly Report Protocol

- a. Quarterly reports are due from the funded agencies on the 30th of October, January, April, and July. Fiscal Services Manager (FSM) should receive the following items:
 - Email version of the program report and fiscal expenses report forms
 - Signed hard copies should follow soon thereafter by regular mail
- b. FSM is responsible for providing report information to Administrative Assistant (AA) for entry into the State Evaluation Data System (Persimmony).
- c. FSM should review reports to ensure that scope of work and outcome based results reported on are identical to those detailed in the contract.
- d. FSM should inform Executive Director (ED) about any requests for technical assistance made by funded agencies in their reports.
- e. FSM reviews activities completed and notifies ED of programmatic or fiscal concerns.
- f. Keep original reports on file for at least 3 years plus current.

Administrative Site Visit Protocol

Conduct at least 1 annual site visit to observe and meet staff, review program and fiscal documents, provide technical assistance to program administrators, and monitor program activities. If agency staff are new, send a blank copy of the reporting form so that they become familiar with the type of information they are responsible for providing to the Fiscal Services Manager (FSM).

It is recommended to conduct an “orientation” site visit before an official Administrative Site Visit for those agencies who are newly funded. The purpose of this informal site visit is to build rapport with agency staff and to prepare the agency for an official visit.

Invite the following personnel to an official Administrative Site Visit:

- Agency Program Manager
- Agency Line Staff (direct service providers on the project)
- Agency Executive Director (optional)
- First 5 Yolo Executive Director (optional)

Before leaving the office:

- a. Review original proposal, finalized SOW, and budget for each year of the funding cycle
- b. Review program materials including evaluation tools, curricula, etc.
- c. Review evaluation reports to determine if data is being entered appropriately, accurately, timely
- d. Review most recent administrative and participatory site visit reports
- e. Review most recent quarterly report
- f. Review any correspondence that has taken place in the previous 12 months
- g. Come prepared to rate agency on the site evaluation form based on documentation acquired

Items to take to site visit:

- a. Clean copy of the Administrative Site Visit Form
- b. Copy of agency’s most current SOW and budget
- c. Copy of most recent completed Administrative Site Visit Form
- d. Copy of most recent quarterly report and fiscal report

To be completed on-site:

- a. Conduct site visit to observe/meet staff, review program and fiscal documentation, provide technical assistance to program administrators, monitor program activities
 - Encourage open-ended dialog with administrators and service providers
 - Make notes and add comments to the Administrative Site Visit Form as you go
- b. Review completed/entered evaluation forms kept on site,
- c. Use most recent quarterly report to ensure that objectives are on target, address any concerns with administrators/service providers
- d. Complete Administrative Site Visit Form

- e. Document and dialogue your rating to agency Program Manager and record on Administrative Site Visit Form- or you may decide to do this back at the office
- f. Document and describe TA requests made by the Program Manager on Administrative Site Visit Form
- g. Agency Program Manager and FSM should sign Site Visit Coversheet

To be completed in the office:

- a. Complete remaining Administrative Site Visit Evaluation Form comments on site or back at the office, if necessary
- b. Draft site visit cover letter to funded agency Program Manager and mail with completed Administrative Site Visit Form within 10 days or 2 weeks of site visit; cc agency ED and First 5 Yolo ED

Participatory Site Visit Protocol

- a. Conduct annually for each major objective in agency's SOW- a minimum of one participatory site visit per year per activity defined
- b. Observe program activities, documentation of activities, interview clients regarding satisfaction with and benefits of program activities, evaluate speakers, etc.
- c. Complete Participatory Site Visit Form and mail to CBO within 10 days of site visit; cc agency ED and First 5 Yolo ED

2.3.6.2. Low Performing Contractor Policy & Procedures

Approved June 8, 2005

Definition:

A low performing contractor is defined as any agency that scores less than 65 out of 100 possible points on an Administrative Site Visit Evaluation Form. (ASVEF)

Policy:

Contractors will be notified of their ASVEF score within 10 days or 2 weeks of the site visit. Notification will take place via a letter and enclosed signed copy of the ASVEF. Low performing contractors will be required to submit a corrective action plan within 2 weeks of notification of low score. Executive Director may withhold payment from low performing contractors until satisfactory progress is made on the corrective action plan.

Procedures:

- Staff conduct an Administrative site visit with each grantee on an annual basis to evaluate fiscal and programmatic procedures.
- At the site visit, staff request information specifically outlined in the ASVEF (see attached).
- Information is obtained, reviewed, and/or sent to staff in response to the ASVEF.
- Staff return to the office to complete the ASVEF and subsequently mail a copy of the form, along with a cover letter detailed any implications for the agency resulting from the score on the form, to the agency Executive Director within 2 weeks of the site visit.
- In the letter, staff may request additional information be sent to the Commission, based on findings from the site visit.
- If the additional information to verify services provided, accounting practices, audience served, etc., is not provided to the Commission within 2 weeks of the initial request, a second letter will be sent.
- The follow up request letter will include the site visit findings, the requested information, the date that the request was due, and the agency's failure to submit the requested information.
- If requested in writing, agency directors will be provided an additional 2 weeks to submit any/all information deemed necessary by the Commission.
- Should the Commission not receive the requested information by 2 weeks after the follow-up letter is sent, then the matter will be brought to the attention of the full Commission at a public meeting.

- Review and discussion of the agency's failure to provide necessary documentation of program accountability may impact future funding of that agency by the Commission.
- If the Commission does not receive the requested documentation by the time that the next scheduled payment is due to the agency, that payment will be withheld until such time that documentation is provided and meets with the satisfaction of the Commission.
- Language will be added to the Commission's current contract template to include aspects of this policy so that it may be enforced. This language will include:
 - Commission has the right to conduct a site visit (at least annually) to determine compliance with contract goals/objectives
 - Executive Director has the right to withhold quarterly payment pending the receipt of
 - Submission of quarterly reports
 - Submission of a corrective action plan within 30 days, if required by the Commission
 - Executive Director has the right to withhold quarterly payments in the following circumstances:
 - Failure to make satisfactory progress on Scope of Work objectives
 - Failure to make satisfactory progress on a Corrective Action Plan, if required by the Commission
 - Failure to allow Commission staff to conduct a site visit of agency or program