



First 5 Yolo Staff Program Site Visit Tool

- COVER SHEET -

First 5 Yolo Staff Member Completing this Form:
 Name: _____ Title: _____ Date: _____

Agency: _____	Site Visit Date: _____
Program: _____	Site Visit Location: _____
Contract Number: _____	Contract Amount: _____

Purpose of Site Visit: (Annual, Follow Up, etc.) _____

Agency Site Visit Participants (Name and Title)	First 5 Staff Site Visit Participants (Name and Title)
1.	1.
2.	2.
3.	3.
4.	4.
5.	5.

Instructions to First 5 Yolo County Staff: The purpose of the Site Visit Tool is to give all staff a structured and uniform set of questions to ask and materials to review at all site visits. This is to be completed in dark pen and scanned into P10 or entered electronically and saved onto P10 upon your return to the office. The funded program will not receive a copy of this unless there is a specific request. They will receive a summary of findings that you will report in the Site Visit Reporting Form.

You may find it helpful to explain to the funded agency staff that the site visit questions are identical for all grantees and that you are required to ask all questions, even if you or the program staff feel you already know the answer.

Bring to Site Visit: 1) Copy of most recent Persimmony Report; 2) Notes from pre-meeting with program, evaluation, and fiscal staff; 3) Contract files; 4) Site visit tool; 5) Case file content criteria; and 6) One copy of all policies and expectations listed on page 4 (“Applicable policies, regulations, guidelines, and standards”).

Prior to the Site Visit: *At least one week prior to the scheduled visit, Program Officers should* 1) thoroughly review all compliance matters related to program, including speaking to the evaluation officer to ensure that all required data and evaluation elements have been properly reported; 2) read the Persimmony and/or quarterly reports thoroughly; 3) briefly check in with the finance officer to see if there are any potential concerns or issues that may come up at the visit.



First 5 Yolo Staff Program Site Visit Tool

SECTION 2: Administrative Review - All Participants Present for Discussion

I. Administrative Items	In Compliance			Comments
	Yes	No	N/A	
1. How does the contractor include their administrative body (i.e. board of directors) in program evaluation and communicating outcomes?				
2. How does the contractor communicate program outcomes to the broader community?				
3. Does the contractor develop print, audio-visual and electronic materials that are culturally and linguistically relevant for all communities served? What are the languages of clients and how is that reflected in program materials? Provide copy of client forms, such as consent to release information, case files, all brochures and flyers, all media or public relations releases pertaining to this First 5 funded program, evaluation tools.				
4. Are there any services being provided to clients through an interpreter? If so, what language and service/s is being interpreted and by who? How frequently are these services being interpreted? What are their interpretation qualifications?				
5. First 5 Logo is appropriately displayed on all outreach materials?				
6. Are there any vacant or unfilled positions? If so is there a plan to address this issue with the contractor? If there was a vacancy, was this communicated to First 5 Staff prior to the site visit?				
7. If there is one or more subcontractors, describe how the lead agency and subcontractors communicate? For example, are there regular meetings or conference calls? What subcontractor documents are submitted to the lead agency prior to payment on a subcontractor invoice? How does the lead agency ensure that subcontractor deliverables are being met per the contract?				



First 5 Yolo Staff Program Site Visit Tool

II. Collaboration/Partnership	In Compliance		Comments
	Yes	No	
1. Are Memorandums of Understandings (MOUs) on file as applicable for services that you refer to outside programs/agencies? Ask who they have MOU partnerships with & get a copy of the signed MOU's.	<input type="checkbox"/>	<input type="checkbox"/>	
2. Has the contractor collaborated with other First 5 initiatives and partners to facilitate joint efforts at the community level?	<input type="checkbox"/>	<input type="checkbox"/>	
3. If applicable, do all subcontracting agencies regularly attend initiative meetings and activities?	<input type="checkbox"/>	<input type="checkbox"/>	
III. Applicable policies, regulations, guidelines, and standards	In Compliance		Comments
	Yes	No	
1. Verify that the contractor is aware of the commission polices and grantees expectations including: tobacco policy, confidentiality, logo use, leveraging, supplantation, faith-based funding, financial guidelines and reporting policy.	<input type="checkbox"/>	<input type="checkbox"/>	
2. All applicable licenses/permits are current, on file and posted when required?	<input type="checkbox"/>	<input type="checkbox"/>	
3. There is adequate security and confidentiality of the client service files? First 5 staff should see where the files are located and review some files to ensure that they have the required consent forms which lists First 5 on the consent form.	<input type="checkbox"/>	<input type="checkbox"/>	
4. Review the fingerprint clearance (DOJ) forms for all staff funded by First 5 Fresno that work directly with children. Should have one clearance per staff. Test personnel against invoices.	<input type="checkbox"/>	<input type="checkbox"/>	
5. Mandatory Child Abuse Reporting Training: should have documentation that all staff funded by First 5 are aware that they are mandatory child abuse reporters and receive annual training.	<input type="checkbox"/>	<input type="checkbox"/>	



First 5 Yolo Staff Program Site Visit Tool

SECTION 3: Program Review, including back-up documentation - AT THIS POINT, FISCAL MAY BREAK OFF FROM PROGRAM

Review of Program Processes Including a Review of Back-Up Documentation
 Review sample of program and/or client data (review supporting documentation as necessary). Sample size should reflect at least 10% of total clients.

I. Review Discussion Item	In Compliance		Comments
	Yes	No	
<p>Is there a Subcontractor Providing Services?</p> <p>IF YES, ALL QUESTIONS BELOW APPLY TO THE LEAD AGENCY <u>AND</u> ALL SUBCONTRACTORS.</p>			
1. Client Consent for Services and Evaluation: Test signatures by pulling at least 10% of client files to make sure that there is a valid consent on file for each First 5 participant (files have signed and dated consents)			
2. Case File Content Criteria: Test at least 10% of all client files (can be same as above) to ensure that they meet the specific content criteria according to program protocol regarding case file content.			
3. Sign-in Sheets/Proof of Attendance: Review a sample of sign-in sheets/proof of attendance to ensure proper recording of information collected.			
4. Client Evaluation/Satisfaction Sheets: Review a sample of client evaluation/satisfaction sheets to ensure proper recording of information collected.			
5. Agenda, Schedule of Classes: Review agenda, schedule of classes, trainings, workshops, to ensure that programs are offered as identified in contract. Test against SOW.			
6. Contact Logs: Review home visitation log or activity log. Test against what is reported in Quarterly Reporting Forms.			
7. Client Data: Review active client roster Follow-up and Exit forms.			
8. Published Curriculum: Review published curriculum to ensure that proper program tools are offered as identified in contract.			



First 5 Yolo Staff Program Site Visit Tool

II. Review Discussion Item (cont'd)	In Compliance		Comments
	Yes	No	
9. Course Outlines/Instructional Objectives: Review that course outlines/instructional objectives are identified to ensure alignment with the outcomes identified in contract.			
10. Client Referrals: Review a sample of client referral logs to ensure that clients are receiving information and referral services. What is the process by which client referrals receive follow up? Are there differences in how referrals are treated (for example, some that are just information/referral giving versus others that receive follow up – if so describe)?			
11. Outreach Efforts: Is a calendar of events maintained? How does the contractor conduct outreach? View a sample of flyers, bulletins, and announcements to verify outreach efforts and events. Is First 5 Yolo Logo on event/flyer announcements?			
12. MAA Outreach: Is program conducting MAA outreach to families and submitting data to First 5 Yolo?			
III. Access to Target Population	In Compliance		Comments
	Yes	No	
1. Is the program is reaching the intended target group(s).			
2. Is the program is able to recruit and retain clients.			
3. If the program includes the use of incentives, they are being used appropriately, effectively and efficiently.			
4. Does the program have a system to ensure that First 5 Yolo funds are used only for children 0-5? Please explain how this is done. Please specify other funding sources for services provided to children older than 6 years old.			



First 5 Yolo Staff Program Site Visit Tool

Follow-Up:

Program and Evaluation/Data collection Follow-Up	Who is responsible?	Due Date



First 5 Yolo Staff Program Site Visit Tool

SECTION 4: Review of Fiscal and Management Processes Including Back-Up Documentation

I. General Finances	In Compliance		Comments
	Yes	No	
1. Are the Organization's financial records in a secure location? Note location.			
2. Are there copies of required licenses, certificates, insurance policies, and approved contracts/budgets on file for all sub-contractors?			
3. If contractor has one or more subcontractors, determine if the contractor's monitoring of expenditures is accurate and complete. Review procedures of the contractor to monitor the subcontractor activities and expenses.			
4. Are funds from other sources maintained in a separate account apart from Proposition 10 funding? If not, are there controls/reports in place that separate the Proposition 10 costs and revenue from the other programs?			
5. Are there any costs that are shared with another program? If so, is there a Cost Allocation Plan? Indicate funding sources.			
6. Is the allocation of shared costs computed by a method appropriate to the type of cost and program benefited?			
II. Audit	In Compliance		Comments
	Yes	No	
1. What does the Organization consider its fiscal year (dates)?			
2. When was the most recent audit completed?			
3. When was the last time an audit was approved by the Organizations governing board?			
4. Are there outstanding audit findings? What is the status of those findings?			



First 5 Yolo Staff Program Site Visit Tool

III. General Accounting Procedures and Internal Controls	In Compliance		Comments
	Yes	No	
1. Who is responsible for authorizing contracts (MOU, subcontracts)?			
2. Who prepares the budget? Specifically, describe the role of both program level staff (i.e. program coordinator) and finance staff in the preparation of the budget.			
3. Who manages the expenditures to the budget? Are budgets compared to actual expenses/revenues during the year?			
4. Are significant variances from the budget researched and explained?			
5. Are assets properly safeguarded (i.e. checkbook/receipts locked-up with limited access)?			
6. Who approves invoices for payment?			
7. Who codes the invoice/check request for program and funding sources?			
8. Who prepares checks?			
9. Who sign checks?			
10. Who mails the checks?			
11. Who posts the disbursements into the accounting system?			
12. Who is primarily responsible for program accounting?			
13. Are bank accounts reconciled timely and reviewed by an independent person?			
14. Are timesheets signed by the employees and supervisor?			
15. Are functional timesheets used (i.e. hours worked each day broken-out by program)?			
16. Is there an accounting procedures manual? Is it up to date?			
17. Is program interest/income generated? Is it properly reported?			
18. Are employee taxes paid?			



First 5 Yolo Staff Program Site Visit Tool

IV. Inventory/Capital and Equipment Expenditures	In Compliance		Comments
	Yes	No	
1. Inventory any capital items acquired under the contract and verify that they are allowed per the contract.			
2. Verify the location of the equipment and which staff is utilizing the equipment if applicable.			
V. Testing of Expenses Reimbursed	In Compliance		Comments
	Yes	No	
1. Test a sample to trace checks referenced on the operating expense summary to the paid checks in order to verify proof of payment (i.e. invoice, purchase order, etc.)			
2. Test a sample of the Agency's payroll costs against personnel records. Match employee hours/expenses claimed for reimbursement, as shown on the personnel expense summaries, to the supporting source documentation (i.e. employee timesheets/payroll registers, client files).			
3. Verify the accuracy of employee hourly/billable rates on the personnel expense summary by recalculating the hourly rates using the payroll registers.			
4. Test for multiple sources of funds. Test sample of supporting documentation for matching funds. Verify that advance payments were expended 75% prior to receiving the next advance.			
5. Test a sample of disbursement to ensure they are supported by adequate documentation and are allowable under the contract. If contractor has subcontractors test a sample of the sub-contractor invoices to determine if billings are accurate.			
6. Test a sample of program supplies/material expense to determine if there were services provided in the form of home visits, workshops, events, to ineligible children (i.e. over 5 years of age). Verify sign in sheets, agendas, dates, etc.			
7. Verify the accuracy of the Agency's indirect cost calculations and the legitimacy of such cost per the contract (i.e. Cost Allocation).			
8. Review sub-contractor billing files where applicable.			



First 5 Yolo Staff Program Site Visit Tool

Follow-Up:

Fiscal and Management Processes Follow-Up:	Who is responsible?	Due Date



First 5 Yolo Staff Program Site Visit Tool

SUMMARY/ADDITIONAL NOTES

Project within Timeline? Yes No **Project within Budget?** Yes No – over budget No – under budget

Comments: _____

Follow-up Action Needed? Yes No Describe: _____

Does the follow up action require a Follow up Site Visit? Yes No **Date Follow Up Visit to be Completed By:** _____

If applicable, which First 5 Yolo staff need to attend the Follow Up Site Visit? _____

Does the follow up action require a Corrective Action Plan? Yes No

Plan for Corrective Action to be submitted by _____ (Within _____ Days)

Additional Notes:



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SITE VISIT SUMMARY SCORE SHEET

	POINTS	WEIGHT FACTOR	SCORE	COMMENTS
PROGRAM AREA				
Section 1: Quarterly Report (5 points possible)	_____	1		
Section 2: Administrative Review (15 points possible) 1. Administrative Items (7) 2. Collaboration/Partnership (3) 3. Applicable Policies, Regulations, Guidelines and Standards (5)	_____ _____ _____	1		
Section 3: Program Review (16 points possible) 1. Review of Program Processes (12) 2. Access to Target Population (4)	_____	2.5		
Section 4: Review of Fiscal and Management Processes (38 points possible) 1. General Finances (6) 2. Audit (4) 3. General Accounting Procedures and Internal Controls (18) 4. Inventory/Capital and Equipment Expenditures (2) 5. Testing of Expenses Reimbursed (8)	_____ _____ _____ _____ _____	1.05		
TOTAL				