



EFFECTIVE DATE:	March 1, 2013
REVISION DATE:	October 1, 2013; March 1, 2016; October 1, 2016
SUBJECT:	CONTRACT ADMINISTRATION & MONITORING PROTOCOL FOR DELEGATE AGENCIES/CONTRACTORS

Overview

- 1) Applies to all Department of Human Services (DHS) Delegate Agency Contracts (can be applicable to Operating Agreements, Funding Agreements, Interlocal Agreements, Use of Funds Agreement, and Lease Agreements).
- 2) Identifies roles and responsibilities of the DHS Director, Contract and Fiscal Monitors and Contract Administrator and Department Fiscal Administrator.
- 3) Provides requirements for Contract and Fiscal Files (Attachment 1 & 2).
- 4) Details the Contract and Fiscal review and approval of contractor expense invoices (Attachment 3). Establishes timelines for invoice approval and submission for payment.
- 5) Details the timing and content of the Contract Monitoring Report (CMR) (Attachment 4) and defines responsibilities for review and analysis.
- 6) Outlines acceptable performance and fiscal/budget compliance levels that require the Contract Monitor to notify the supervisor of contractor underachieving in performance measures. The supervisor is still required to analyze the CMR's MONTHLY, and areas of concern must be reported to the Contract Administrator.
- 7) Details procedures to amend or modify Contract performance measures and budgets.
- 8) Requires the Contract Monitor to complete the Contract Administration Plan within the first 90 days of execution of the contract (Attachment 5).
- 9) Requires the Contract Monitor to complete a minimum of one (1) Contract Compliance Monitoring Tool and Program Performance Review Tool (Attachment 6 & 7) for each assigned contract program in accordance to the approved Monitoring Schedule. Those contracts considered **High Risk** may require more than one program review be conducted during the contract term per approval by the Contract Administrator.
- 10) Requires the Fiscal Monitor to complete a minimum of one (1) Fiscal Review Tool (Attachment 9) for each assigned contract program in accordance to the approved Monitoring Schedule. Those contracts considered **High Risk** may require more than one fiscal review be conducted during the contract term per approval by the Department Fiscal Administrator.



- 11) Details responsibilities for the End of Contract Review (Attachment 10).
- 12) Provides actions to be taken when the Contractor does not comply with the contract.

Note: These are MINIMUM guidelines and not all inclusive. Situations may arise that require additional monitoring and other related tasks to ensure all guidelines and requirements are met as required by funding sources and law.

A. Purpose

The purpose of this Department Directive is to define the responsibilities and procedures for contract administration and the monitoring of delegate agency contracts within DHS.

This Department Directive applies to all delegate agency contracts regardless of the funding source. In contract situations where a funder has reporting requirements or procedures that are different from those specified in this Directive, both the funder and DHS requirements should be met. DHS will resolve any incompatible procedures or requirements.

B. Contract Administration

The contract administration phase begins after the contract execution phase. The most important function of this phase is the constant verification and documentation of contractor performance and contract compliance.

Contract Administration, as per the COSA Procurement and Procedures Manual, is defined as the activities related to verifying and documenting City and contractor performance to ensure contract deliverables are of the best quality and value to the City and are in accordance with the contract terms.

The contract administration process should be consistent and handled in an objective manner regardless of the contract type. The areas to be addressed within the process depend on the terms and circumstances of the agreement.

C. Responsibility and Guidance

The Director has the overall responsibility for administering and monitoring all DHS contracts.

The Contract Administrator is delegated the responsibility of ensuring program performance and contract compliance. The Contracts Management Division monitors, oversees agency performance, and reviews invoices to ensure accuracy and whether expenditures are allowable prior to approval. Complete, reviewed and approved invoices are submitted within five (5) business days of receipt from the agency to the Fiscal Division via email for review and approval. The Department Fiscal Administrator (DFA) assigns a Fiscal Monitor to process and submit invoices for payment to the COSA Finance Department within twelve (12) business days.



Contracts should be administered in accordance with (1) the City Procurement Policy and Procedures Manual, (2) Funder Guidelines, and (3) this Department Directive.

The primary responsibilities of the Management Analyst are to (1) ensure the contractual obligations of the contractor and City are met; (2) ensure contract reimbursement are processed timely and in accordance with the approved contract budget; (3) recommend resolutions for any issues that may arise and provide technical assistance; (4) be the main point of contact with the contractor; and (5) notify DHS management of any contractual issues.

D. Definitions and Acronyms

The following definitions apply to the terms or acronyms used in this Directive:

- a. Amendment: A change to the contract terms, scope of work, scorecard measures, and/or an increase or decrease to the total funded award amount of the contract.
- b. Scorecard: Identifies the performance measures that are part of the contract. These measures are monitored on the monthly Contract Monitor Report.
- c. Budget Revision: Shifts in a budget line item as long as the total budget amount remains the same.
- d. Contract Administrator: The sole individual vested with the responsibility to ensure the Contractor delivers the goods or services for which the contract was awarded.
- e. Contract Monitor: The individual vested with the responsibility of ensuring that all contract requirements are met. Ensures all invoices are properly reviewed when submitted and expenditures are allowable, necessary, and reasonable and are within the budgeted line item amounts. Responsible for maintaining a monitoring file that includes a completed Contract Administration Plan, Contract Compliance Monitoring Tool and a Program Performance Review Tool, and End of Contract report (Attachment 5, 6, 7 & 10).
- f. Contract Monitoring Report (CMR): Performance measuring tool submitted by the Contractor that includes planned and actual measures.
- g. Contractor: An organization selected through the City's Consolidated Funding Process (or other procurement process) and under contract with DHS to provide goods or services to eligible clients; also referred to as a "Delegate Agency".
- h. DHS: The Department of Human Services; also referred to as the "Department."
- i. Department Contract Management Division: Responsible for contract administration that includes contract execution, contract monitoring and technical assistance.
- j. Department Fiscal Administrator: The sole individual vested with the responsibility to ensure the contractor is reimbursed for the goods or services for which the contract was awarded.



- k. End of Contract (EOC) Review: Summarizes all performance and fiscal activity at the end of each contract year (Attachment 10).
- l. Fiscal Division: Responsible for fiscal oversight that includes fiscal analysis, fiscal monitoring and approval of delegate agency invoices.
- m. Fiscal Monitor: The individual vested with the responsibility to approve and ensure all invoices are properly reviewed when submitted. Ensures budgeted and allowable expenses are reimbursed. Monitor maintains a Fiscal Monitoring file that contains the outlined documents in Section H in the Notebook Files for Fiscal Monitors. Maintains expenditures and balances on all delegate agency contracts and confirms allowable expenditures.
- n. Performance Measure(s) (PM): Measurable outcomes and results as identified in the Scorecard.
- o. Contract Risk Assessment: Used to determine the type and frequency of monitoring of DHS's contracts.

E. Contract Risk Assessment

Contract risk assessment and monitoring requirements will be assigned to all contracts and Inter-local agreements based on the following guidelines:

HIGH RISK

- After contract execution, delegate agencies qualifying under this contract category are required to have the following completed: (a) complete a Contract Administration Plan within 90 days, (b) complete a Contract Compliance Tool, Program Performance Review and a Fiscal Review for each program funded; and (c) complete additional Program and Fiscal Reviews as deemed appropriate. An agency or agency program that is initially deemed high risk by DHS will be required to submit monthly CMR's for performance reporting and have a monitoring site visit conducted within the first six (6) months of the contract.
- The following criteria is used to determine HIGH RISK:
 - 1) Total Delegate Agency contract awards of \$1,000,000 or more (unless 'exemplary performance' has been exhibited);
 - 2) Problems related to performance and/or contract compliance problems;
 - 3) High turnover within an agency/program;
 - 4) New/recently established agency/program;
 - 5) Negative results of recent COSA reviews or other external agency audits (to include fiscal analysis);
 - 6) Management interest in the program.

LOW RISK

- After contract execution, delegate agencies qualifying under this contract category are required to have the following completed: (a) complete a Contract Administration Plan



within 90 days, (b) complete a Contract Compliance Tool, Program Performance Review and a Fiscal Review for each program funded. An agency or agency program that is initially deemed low risk by DHS will be required to submit monthly CMR's for performance reporting.

- The following criteria is used to determine LOW RISK:
 - 1) Total Delegate Agency contract awards below \$1,000,000;
 - 2) Complying with the provisions of their contract;
 - 3) Accurately submitting required reports and documentation within stated timelines.

F. Contract Monitor and Fiscal Monitor Coordination

Each contract has a Contract Monitor assigned by the Contract Administrator and a Fiscal Monitor assigned by the Department Fiscal Administrator. Both monitors should attempt to coordinate their review efforts to ensure contract compliance. Both monitors should have a copy of the executed contract and the Contractor's approved budget within their files. Monitors collectively ensure the Contractor meets all terms and conditions of the contract and ensure they are only paid for goods or services in approved budget.

G. Contract Administration Plan

The Contract Monitor will complete the Contract Administration Plan within 90 days of execution of the contract. The tool is mandatory for all contracts. The Contract Administration Plan identifies elements of the COSA contract to adequately monitor the contract. The standard COSA contract requires the Contractor to provide program documentation to the City. The Contract Monitor identifies the required documentation in the Contract Administration Plan, collects and reviews Agency submitted documentation for adequacy and compliance, and retains submitted documents in the Monitoring File. If this is a recurring contract with a Contractor and the standard documentation has previously been submitted, then the Contract Monitor only needs to request from the agency for any updates. **In addition**, agencies must be advised they are to report changes that have occurred since the last contract year and throughout the contract term. This will be an item Contract Monitors must review yearly on recurring contracts and request from the Agency.

H. Monitoring

DHS monitoring will include desk reviews, on-site observations, follow-up visits, and monthly reviews of Contractor Monitoring Reports (CMRs), Contract Compliance Tool, Program Performance Tool and a Fiscal Review Tool. The Contract Compliance Tool will be completed at a minimum of once per year. One Contract Compliance Tool is needed per Contract, however all contract notebooks must contain an updated tool. A Program Performance Tool will be completed in accordance with the risk level of the contract. All contracts will receive an End of Contract Review.



I. Monitoring Schedule

The Contract Administrator and the Department Fiscal Administrator will approve an Annual Monitoring Schedule which will identify the monitoring strategy for that contract year. The monitoring schedule will include at least once a year visits for all agencies. The Fiscal Administrator and Contract Administrator will review and approve a monitoring plan that may include joint reviews to be conducted for the upcoming fiscal year by December 31st. The scheduled dates are only a starting date for the review to be conducted, and those agencies with multiple programs may have extended time frames for their monitoring visits. An approved monitoring schedule will be posted to the shared drive and dates of monitoring visits will be shared with each agency ahead of time.

J. Monitoring Files

Both the Contract Monitor and Fiscal Monitor must maintain separate electronic monitoring files for each contract/program.

The contract monitoring file must be current and contain at a minimum all of the documentation shown in Attachment 1. Any mandatory contract items that are not provided by the Agency within the stated contract deadlines should be reported to their supervisor for further discussion and action. The Contract Monitor will use the approved File Index to organize and maintain files to ensure consistency.

The Fiscal Monitor will maintain a Fiscal Monitoring File (Attachment 2) *on each contract*.

K. Contract Compliance Tool

The Contract Compliance Tool (Attachment 6) is a tool used by the Contract Monitor to ensure the Contractor complies with their COSA contract. All items on the tool are mandatory, and only a modification or waiver to the standard COSA contract would relieve the requirement. The Contract Monitor should complete the initial tool during the same time as the Program Performance Review or as documents are received and as compliance is observed while visiting the Contractor. One Contract Compliance Tool should be completed per agency program. Note: This Contract Compliance Tool may be sent to the Agency to expedite the collection of necessary data in advance of the site visit and used as a self-evaluation tool. The agency may submit required documents to the Contract Monitor for review at five (5) business days prior to the scheduled site visit.

For all new contracts or agencies funded, the Contract Monitor must meet with the appropriate agency staff to discuss the contract terms and conditions, reporting requirements such as the invoices and CMR's, and monitoring process to include introducing the monitoring tools. This meeting must be scheduled and completed by December 1st and documented on a Contract Monitoring Form (CMF).



L. Program Performance Review Tool and Agency Fiscal Review Tool

The Program Performance Review Tool (Attachment 7) contains steps to measure the Contractor's data reporting on performance measures and client services. The tool should be used in conjunction with any grant requirements, if applicable. This performance review should use the most current contract, fiscal, and performance data. If available, the Contract Monitor should also review the prior year contract data and the last quarter data as a comparison to determine any significant variances or trends. The Program Performance Review Tool contains sections to summarize the review data and to make appropriate recommendations to the Agency.

During the program performance review, the Contract Monitor is verifying agency support documentation that has been reported to the City and verification of services provided. The Contract Monitor must be knowledgeable of program requirements stipulated by the Grantor (Federal, State, or other Grants). The Grantor may have reporting requirements, require in-kind or match funds, specify eligibility criteria, and require program audits. The Contract Monitor must ensure the Contractor meets all Grantor requirements to include funding.

The Fiscal Monitor will test the Contractor's accounting records and support for expenses in completing the Fiscal Review Tool (Attachment 9). The Fiscal Monitor will complete the Fiscal Review Tool in accordance with the contract risk level.

M. Protocol for Conducting Coordinated Agency Reviews

The protocol for conducting the Agency Performance and Fiscal Review is as follows:

1. The Contract Monitor and the Fiscal Monitor, via e-mail, informs the Agency of the pending performance and fiscal review of the contract. Notification reminders should be provided to the agency no later than two (2) weeks prior to the scheduled monitoring visit. A mutually agreed upon time for the review is scheduled. All monitoring tools, sample requests, anticipated interviews, and program observations should be planned and coordinated to the agency prior to the scheduled monitoring visit.
2. At the beginning of the review, the Contract Monitor and Fiscal Monitor will explain the performance and fiscal review process. The Contract Monitor should have already completed the Contract Administration Plan Tool. Any open items should be collected during this site review.
3. Both the Contract Monitor and Fiscal Monitor will have already performed desk reviews of Agency expense invoices when they complete monthly invoices. Any Agency issues should be reviewed in more detail during the site reviews. Fiscal Monitors should test preselected invoice samples and any other current accounting transactions in accordance to fiscal policy. If needed, the monitor will compare current to prior Fiscal Year transactions.



4. The Contract Monitor and Fiscal Monitor use their performance and fiscal review tools to record their observations and findings. An “observation” identifies a condition that does not warrant a “finding”, but may in the future if the condition persists or is not corrected. The Contract Monitor and Fiscal Monitor should provide recommendations for the area needing improvement. In addition, technical assistance should be provided and documented in the Monitoring File.
5. The Contract Compliance Tool and the Program Performance Review Tool will be made final within twelve (12) business days from completion of the review with the Contractor; for contracts with multiple programs, the review tools should be completed within fifteen (15) business days from completion of the review. The Fiscal Review Tool will be made final within fifteen (15) business days of the completion of the review tool by the Fiscal Monitor. After DHS approval, the Contract Monitor and Fiscal Monitor will obtain Agency signatures for their respective reviews following the Divisions protocol in place along with a transmittal letter. If there are contract compliance, performance and/or fiscal issues, the Contract Administrator/Fiscal Administrator will address further in a letter to the agency CEO/Executive Director and the Program Manager regarding the results of the review and the agency has ten (10) business days from the date of the letter to submit a Corrective Action Plan (CAP) to DHS. The Administrator notifies the Department Director and necessary corrective actions may be required on the part of the Agency. If no issues are noted, the Contract Administrator/Fiscal Administrator sends a letter to the agency CEO/Executive Director and the Program Manager regarding results of review *and no further action is taken*. Copies of the letter and monitoring tools are placed in Contract Monitoring and Fiscal Monitoring Files on the shared drive.
6. If the CAP is adequate and submitted within the allocated ten (10) business days, the agency may have up to 30-90 calendar days from date of the approved CAP to implement their plan; extended CAP’s may be approved if it seems reasonable considering the circumstances. DHS will follow-up to ensure the CAP is implemented [Program & Fiscal staff will work with the agency to assist with compliance issues. Staff may make site visits depending on the issue or concern]. If the CAP is not returned within the allocated ten (10) business days, the Monitor will follow-up with the agency and a response letter to the CEO/Executive Director and Board Chair will be sent to the agency regarding the pending CAP.
7. If the CAP is inadequate, the agency has an additional five (5) business days from DHS’ response to resubmit an adequate CAP that addresses issues noted in the review. If an adequate CAP is subsequently submitted within the five (5) business days, the agency may have up to 30-90 calendar days from date of the approved CAP to implement the plan. DHS will follow up to ensure the CAP is implemented [Program & Fiscal staff work with the agency to assist with compliance issues. Staff may make visits depending on issue of concern]. If the adjusted CAP remains inadequate and/or is not returned within the five (5) business days, the Administrator signs a letter to be sent to the agency CEO/Executive Director and Board Chair regarding non-compliance and may result in suspension of payments.



8. The Contract Management Division will continue to track status and follow progressive steps until compliance is achieved. If the agency achieves compliance as determined by the monitor and monitor's supervisor, the monitor's supervisor will forward a letter to the Contract Administrator for signature. The letter is then sent to the agency noting that compliance for the contract has been restored. If the agency does not achieve compliance as determined by the monitor(s), the Contract Administrator will provide direction on how to proceed.

N. Monthly Reviews

Delegate Agency Invoices

Contractors submit monthly (or as stated in the contract) for expenditure reimbursement and in accordance to the approved contract budget using Attachment 3. The Contract Monitor is the first review level for Contractor submitted invoices and is responsible for: 1) preventing reimbursement of expenditures for an unacceptable level of services or where no services were provided; 2) ensuring billed expenditures are allowable, necessary, and reasonable and within the funding source and intent of the contract; and 3) ensuring expenditures are within line item budgets. The invoice should be reviewed in conjunction with the CMR to verify performance level *before* approving and processing invoices for payment. Within five (5) business days after receiving the Contractor's invoice, the Contract Monitor will email the invoice to "DHS Fiscal" inbox for processing. An electronic copy of the invoice is retained. **Note:** If outputs are low, the Contract Monitor should notify management before processing invoices for payment.

The Fiscal Monitor is responsible for ensuring billed expenditures are allowable within the funding source, period of availability, line item budgets and funds are available. The Fiscal Monitor reviews the invoice and if approved it is forwarded to the Finance Department for payment within twelve (12) business days. If the invoice is rejected, the Fiscal Monitor is to contact the agency and resolve any discrepancies. **Note:** It is the responsibility of the Contract Monitor to notify management of any disallowed costs that amount to \$1,000 or more on an invoice.

The Contract Monitor and Fiscal Monitor will notify each other within two (2) business days of any changes made to the contract, budget, invoices and/or amendments to the contract.

Budget revisions from the Agency are submitted to Contract Monitor and must be approved by the Contract Administrator prior to submitting for processing to the Fiscal Section for review and approval. (NOTE: For Budget Amendments, see Section M).

Contract Monitoring Report (CMR)

Contractors are required to submit a CMR that reports designated performance measures and expenditures (Attachment 4). The CMR is submitted electronically to the Contract Monitor no later than the 15th day of the month or as stated in the contract. A standard CMR template has been developed that may not be altered and is available electronically in an Excel spreadsheet format.



The Contract Monitor and designated supervisor are responsible for advising the Contract Administrator of CMR's which have not been submitted electronically by the close of each month. The Contract Monitor is responsible for notifying the Contractor via e-mail on the 20th calendar day of the month the CMR was not submitted. A copy should be retained in the Monitoring File. The four primary sections of the CMR are:

- Fiscal data
- Scorecard Performance Measures
- Unduplicated Clients Served by Council District
- Remarks

Each section must be completed as of the end of the month being reported. The Contractor should report the amounts invoiced to DHS for reimbursement as the amount on the CMR. However, if "actual" expenditure invoice data is available after the time of original submission, the Contractor may revise the CMR up to the 25th calendar day of the month or for any other changes. The Contract Monitor is responsible for validation of data within the CMR, excluding the budget expenditures. A review/comparison of data being reported by the Contractor monthly and previous data reported as well as of updates/revisions will comprise the validation component. Discrepancies and trends should be identified by the Contract Monitor during this activity. The Contract monitor should advise Contractors revise their CMR submission for any disallowed invoice costs. The Contract Monitor also reviews the CMR for significant fiscal variances. Contract Monitors must also confirm that all other administrative reporting is in compliance with the contract.

For monthly reported budget/fiscal measures, the Contractor will show the amounts invoiced to DHS for reimbursement. The Contract Monitor should refer to the DHS Delegate Agency Expenditure Spreadsheet on the shared drive or through SAP to ensure the dollar amounts reflect the actual amount reimbursed to the Contractor. The Fiscal Division will prepare a report and notify the Contract Administrator of those that are experiencing recurring delays in submitting invoices.

For performance measures, only those in the Contractor's approved Scorecard will be reported. If the Contractor or Division tracks other measures (e.g. to satisfy funding source requirements or special reports) those measures will not be reflected on the CMR, but should be reported separately to the managing DHS Division.

Monthly Reviews: As part of the performance measure approval process, the Contractor is required to estimate performance measures (including expenditures) for each month of the contract period. This is done immediately after the contract has been executed. Both the Contractor and the Contract Monitor agree to the projected measures. The Contract Monitor compares the estimated or projected values to the actual value experienced or achieved each month in order to determine year-to-date performance.

The Contract Monitor is responsible for reviewing and analyzing the CMR to detect any significant variances or non-compliance with the contract on a monthly basis. A Contractor



must add to the comment section if the agency is over/under performing in any area, as a general guide, by 10% monthly. The Contract Monitor must analyze the CMR monthly and report areas of concern to their supervisor by the twenty-fifth (25th) calendar day of the month following the CMR report period.

NOTE: The Contractor has until the 25th business day to submit a revised CMR or edits on the following monthly CMR. Agency should provide in the remarks section reason for the revision or detail on performance data reported.

All CMRs will be posted as final by the 30th calendar day of each month in the monitoring file

Bi-Annual CMR Reviews:

To serve as an opportunity to identify and address agency performance issues, the Contract Monitor will conduct a more in-depth review of CMR twice a year (January and July). The January review will ensure that any issues with reporting or performance can be addressed much sooner into the contract term and technical assistance can be provided to correct any issues. The July review will be able to identify and address any performance issues prior to the end of the contract term. The Contract Monitor should focus on underperformance any area by 10% or more; if an agency is on a previous corrective action plan and whether issues have been resolved; or if monthly remarks noted on the CMR have not changed from month-to-month, it may require immediate action by the Contract Monitor and designated Supervisor to inform the Contract Administrator. The Bi-Annual CMR reviews will be documented on a CMF.

An agency letter with attached CMR may be sent requesting a corrective action plan. It is the expectation that all Contractors meet 100% performance and service level requirements of the contract, and the 10% variance review serves as an indicator to request action by an agency. Note: In order to prevent duplication, if the program review is scheduled near the end of the Bi-annual CMR review time period, the variance or issues noted should be addressed during the program review.

The Contract Monitor will request the essential detailed remarks from a Contractor that is not within the above parameters. The Fiscal Monitor must be involved in coordinating a response if the variance is a fiscal issue/variance. .

The Fiscal Monitor will inform the Department Fiscal Administrator of significant conditions impacting a Contractor's budget and invoice payment.

CMR Corrective Action(s):

The Contract Monitor will include, within their Monitoring File, any contact reports, corrective action plan or documents such as e-mails regarding issues or problem areas discussed with Contractor personnel.

The Monitor will conduct a follow-up review, if necessary; to ensure that corrective action(s) was taken. All results will be documented on the Contract Monitoring Form and finalized.



The Director and/or Assistant Director(s) will be informed of all significant issues or problem areas and will provide direction through the Contract Administrator.

O. Contract Amendments and Modifications

If there is a budget revision, the Contract Monitor must seek the Contract Administrator approval for all budget revisions and submit the revision to the Department's Fiscal Section through the review process. **NOTE:** All high risk contracts, increases in personnel costs, or amounts between line items that are \$3,000 or more, will be reviewed and approved by the Contract Administrator, Department Fiscal Administrator and DHS Director.

In accordance with the Contract, if a contract amendment is required, the Contract Monitor provides the approved budget revision, scorecard, or scope of work to the assigned Senior Management Analyst in the Contracts Management Division. The Senior Management Analyst will collaborate with the City Attorney's Office in order to draft the appropriate contract amendment. The Contract Monitor will provide the contract amendment to the Contractor for original signature. The Contract Monitor is responsible for obtaining two (2) copies of the contract amendment with original signatures. One original will be forwarded to the City Clerk's Office and the second original will be returned to the Contractor. The Contract Monitor and Fiscal Monitor will each maintain a COPY of the contract amendment in their monitoring files.

P. End of Contract Review

The Contract Monitor is required to prepare an End of Contract (EOC) Review of each Agency's contract. The EOC Review will document the Contractor's actual expenditures and final performance measure results. The EOC Review addresses the status of any recommendations made during the contract compliance, performance, and fiscal reviews and the corrective action(s) taken by the Agency. The Contract Monitor addresses whether all deliverables were satisfactorily received and all terms and contract conditions were met. The EOC Review format is shown in Attachment 10.

The EOC Review will be completed within 90 days of the end of the contract. The Agency should assist in the compilation of the report so that both the City and Agency agree on the final results of the contract and as per their final CMR. Any problems should be immediately forwarded through the Contract Administrator. Upon approval of the EOC, a copy will be maintained in the monitoring file.

Q. Contract Monitoring Form

The Contract Monitoring Form (Attachment 8) is utilized to document desk reviews, site visits, corrective action follow-up, and any other monitoring outside the required agency monitoring schedule. Technical assistance may also be documented on this form.

If site visits or observations are conducted during the regular scheduled monitoring visit, the Contract Monitor should document on the Agency Program Performance Tool. All other site



visits performed outside the required scheduled monitoring reviews are to be coordinated with the agency.

R. Contractor Non-Compliance

Contractors are required to comply with the provisions of their contracts, operate within the funding agency guidelines (DHS and others) and meet performance requirements. In the event that the Contractor fails to perform services as specified by the terms of the contract, DHS is required to respond with appropriate actions.

Depending on the nature and severity of non-compliance and upon the recommendations of the Contract Administrator, the Contract Administrator/Fiscal Administrator and the Director may suspend payments under the contract and/or immediately seek the de-obligation of funds for the contract, and/or terminate the contract. The Contract Administrator will notify the Department Fiscal Administrator of Agency non-compliance issues and of the actions being taken to suspend, de-obligate funds, or recommend termination. The Fiscal Section will flag the Agency invoices to ensure a thorough review is performed and that only expenses prior to the suspension or de-obligation are paid. The Contract Administrator will ensure that the following actions are taken, as appropriate:

i. Written Notification/ Follow-up Site Visit

The first DHS action is to notify the Contractor in writing of any deficiencies or discrepancies. The Agency staff may be given up to ten (10) business days to respond in writing and explain extenuating circumstances, if any. The Contract Monitor and designated Supervisor are responsible for ensuring the Contract Administrator is apprised of the situation and approval of the Agency response. The Contract Monitor performs a follow-up site review within 30 calendar days from the expiration of the agency corrective action plan to ensure corrective actions were taken to correct the issue. Agency inaction will result in a warning letter.

ii. Warning Letter

If a problem persists more than 30 calendar days after initial notification, the Contract specifies the Agency issues or problem area(s), provides recommendations for addressing the issues or problems, and establishes a timeline for complying with the recommendations. The letter also indicates consequences for failing to comply with the terms of the warning letter and agency contract. A copy of the warning letter is placed in the Monitoring File.

iii. De-obligation of Funds

In accordance with contractual requirements and concurrence direction from the Department Director, the Contract Administrator will coordinate with the Department Fiscal Administrator and the City's Attorney's office to prepare a letter notifying the Agency of the City's intent to de-obligate funds.

iv. Termination of Contract



The Director of DHS may terminate a contract in accordance with the funding source and contract terms of the delegate agency.

S. Exceptions

The Department Director, Contract Administrator, or Department Fiscal Administrator may request that portions of this Directive not apply to a specific contract or a particular agency. Contracts with one-time allocation of funds are managed on a case-by-case basis.

T. Attachments

Attachment 1	Contract Monitoring File
Attachment 2	Fiscal Monitoring File
Attachment 3	Delegate Agency Invoice Form
Attachment 4	Contract Monitoring Report (CMR)
Attachment 5	Contract Administration Plan
Attachment 6	Contract Compliance Tool
Attachment 7	Program Performance Review Tool
Attachment 8	Contract Monitoring Form
Attachment 9	Fiscal Review Tool
Attachment 10	End of Contract Report

A handwritten signature in black ink that reads "Melody Woosley".

Melody Woosley
Director
Department of Human Services



Contract Monitoring File

The assigned program monitor is responsible for maintaining all relevant information in a Monitoring File (electronic) in accordance with the File Index established. At a minimum, each file should contain the following folders:

1. Signed Contract, Ordinances and Amendments
 - A. Copy of the executed contract including all attachments
 1. Scope of Work
 2. Scorecard
 3. Budget, Agency and Program
 4. Technical Workbook or Special Provisions
 5. Grantor Contract
 6. Contract Monitoring Report
 - B. Amendments to the contract
2. Funding Guide
3. Budget & Match Documents
4. Monthly Invoices
5. Contract Monitoring Report (CMR)
6. Contract Administration Plan Checklist
7. Program Performance Review
8. Contract Monitoring Form, if appl.
9. Agency Employer Handbook
10. Contract Compliance Tool
11. End of Contract Review
12. Organizational Chart
13. Program Brochure, if appl.
14. Agency Holiday Schedule



CITY OF SAN ANTONIO
DEPARTMENT OF HUMAN SERVICES

Attachment 1

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15. Board Roster, Agendas, Meeting Schedules, & Meeting Minutes
 16. Agency Program Policies
 17. Agency Charter, Bylaws, and Articles of Incorporation
 18. Certificate of Tax exempt status – IRS 501 (c) 3 or IRS Form 990/990T
 19. Certificate of Insurance & Checklist
 20. Agency Fundraising Schedule, if appl.
 21. Annual Agency Financial Statements and Agency Audits
 24. Suspension and Debarment Form
 25. Inventory Listing
 22. Program Income
 23. Miscellaneous and Correspondence



**CITY OF SAN ANTONIO
DEPARTMENT OF HUMAN SERVICES**

Fiscal Monitoring File

The assigned fiscal monitor is responsible for maintaining all relevant information in a Monitoring File (electronic). At a minimum, each file should contain the following:

1. Signed Executed Contract/Amendments
2. Contract Packet that includes:
 - Original Budget
 - Total Agency Budget
 - Match Verification
 - Cost Allocation Plan
 - Intent to Collect Program Income form
 - 990 Analysis
 - 990 form
 - Audit Review form
 - Audit
3. Budget Revision(s)
4. Advance Payment Inquiries
5. Approved Invoices
6. Approved Fiscal Review Checklist
7. Correspondence



Contract Administration Plan

Checklist is used to validate the Contractor has supplied the documentation necessary to monitor performance and contract compliance adequately and is filed in the monitoring file. Checklist is to be completed within 90 days of execution of the contract.

Agency Name:	Program Name:
Contract Period:	Contract Number:
Agency Point of Contact:	DHS Contract Monitor:
Category:	Funding Category:
Funding Source:	Amount:
Funding Source:	Amount:

	#	Document Description	Contract Section	N/A <input checked="" type="checkbox"/>	Yes/No	Required Prior to Contract Execution
Contact Items	1	Executed Contract				
	2	Special Provisions (if applicable)				<input checked="" type="checkbox"/>
	3	Scope of Work				<input checked="" type="checkbox"/>
	4	Scorecard Performance Plan / BSPP				<input checked="" type="checkbox"/>
	5	Budget Forms (Total Agency Budget and Line Item Budget)				<input checked="" type="checkbox"/>
	6	Funding Guide				<input checked="" type="checkbox"/>
	7	Contract Monitoring Report (CMR) – Approved				
Agency Specific Items	8	Agency Charter (Articles of Incorporation)				
	9	Agency Bylaws				
	10	Board Roster				
	11	Board Meeting Schedule				
	12	Agency Fundraising Schedule				
	13	Cert of Tax-Exempt Status/IRS 501(c)(3)				
	14	IRS 990 or 990 T				<input checked="" type="checkbox"/>
	15	Organizational Chart				
	16	Employee Handbook/Personnel Policies				
	17	Agency policies:				
	• Drug-Free Environment					
	• Program Policies & Procedures					
	• Purchasing/Procurement					
	• Records Retention					
	• Anti-Discrimination					
	• Conflict of Interest					
	• Religious Activities					



		• Political Activities				
	18	Holiday Schedule				
	19	Verification of Suspension/Debarment of Agency and Principals Form				<input checked="" type="checkbox"/>
Program Specific Items	20	List of Names and License Registration of Employees Regulated by State Law (Program specific)				
	21	Certificate of Insurance and required endorsements				<input checked="" type="checkbox"/>
	22	Inventory Listing				
	23	Program Related Job Descriptions				
Fiscal Items	24	Agency Financial Statements/Audits				<input checked="" type="checkbox"/>
	25	Intent to Collect Program Income Form				<input checked="" type="checkbox"/>
	26	Non-COSA Funding Match Form				<input checked="" type="checkbox"/>
	27	Cost Allocation Plan				<input checked="" type="checkbox"/>

Management Analyst	Completion Date
Senior Management Analyst	Date of Approval
Contract Administrator	Date of Approval

Agency Response:

<i>Agency concurs with this report</i>	YES	NO
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<i>If appropriate, please attach Agency comments to this form.</i>	Signature: Date of Approval:
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**City of San Antonio
Contract Compliance Tool**

This review tool is used to validate the Agency's compliance with the contract and contract terms.

Please fill this form out online and submit it for processing. Use the **Print** button to make a copy for your records.

**Department
of
Human Services**

Contract Information

Contract Period: _____ to _____	Review Date: _____
Agency Name: _____	Program Name: _____
Agency Point of Contact: _____	DHS Contract Monitor: _____

Section I: Administration of Contract

<i>Physical Safeguards</i>	Yes	No	N/A
Does the Contractor use physical safeguards (locks, alarms, safes, fire extinguishers, surveillance and/or sprinkler systems, etc.) to protect City-funded property and equipment? Emphasize City-funded.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Theft Policies/Employee Integrity Policy</i>	Yes	No	N/A
Does the Contractor have an internal policy, such as an Employee Integrity Policy, to preclude theft, fraud, abuse and other criminal action?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Consequences</i>	Yes	No	N/A
Do the policies and procedures specify consequences of illegal activities to the employee and the Contractor to include termination and possible prosecution?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Detail Summary

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Section II: Records and Reporting

<i>Access to Records/Files</i>	Yes	No	N/A
Does the Contractor provide access to files, records, documents, etc. when requested?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Reporting</i>	Yes	No	N/A
Does the Contractor submit requested or required reports on time and as requested? (CMRs, Invoices, other reports)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Confidential Information/Public Information</i>	Yes	No	N/A
Does the Contractor protect confidential information and take reasonable steps to prevent unauthorized disclosure, dissemination, or publication?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Does the Contractor notify the City of information requests or inquiries regarding documents within 24 hours of receiving the requests for disposition?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Contractor's Board</i>	Yes	No	N/A
Does the Contractor submit a roster of current Board Members when requested?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Does the Contractor submit schedule of anticipated Board Meetings for the current Fiscal Year?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are the Minutes of Board Meetings that are approved by the Contractor's Board submitted?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Did the Contractor submit the Board Meeting Agenda at least three (3) days prior to any Board Meeting?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



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Department
of
Human Services

Record Retention	Yes	No	N/A
Does the Contractor follow record retention requirements (usually three (3) years) of the funding agency?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Detail Summary

Section III: Insurance

Insurance Certificate	Yes	No	N/A
Is the agency still current on all insurance requirements? If not, obtain the most recent certificate of insurance and required endorsements.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Expiration	Yes	No	N/A
If any insurance documents expired during the contract period, have they been renewed and approved by Risk Management?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Detail Summary

Section IV: Applicable Laws

Workplace Policies	Yes	No	N/A
Does the Contractor certify (or through written policy) the following?			
1. Non-Discrimination Policy of the City of San Antonio	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Drug-free workplace	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Americans with Disabilities Act	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Funding Source	Yes	No	N/A
Does the Contractor comply with Funding Source Requirements, as applicable to grant funds listed in the named section of the contract or the City's Funding Guide, i.e. CDBG, CCDF, CSBG, ESG, HOPWA? Grantor checklist or funding guide should be included with this report.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Laws, Rules, & Regulations	Yes	No	N/A
Does the Contractor comply with Federal and state laws, rules regulations or codes, City charter, ordinances or rules and regulations, as listed in the named section of the contract or Funding Guide Section V; such as City Procurement Policy, if purchasing equipment from City funds or service territories and restrictions pertaining to each contract and program?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Detail Summary

Section V: Religious Activity

Activities	Yes	No	N/A
During your monitoring, did you observe or discover any questionable religious activities that would be in violation of the contract?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



City of San Antonio Contract Compliance Tool

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Department
of
Human Services

Detail Summary

Section VI: Personnel Management (applies only if funding positions)

Grievance Policy	Yes	No	N/A
Does the Contractor have established internal procedures that assure employees of an established complaint and grievance policy?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Holiday Pay	Yes	No	N/A
Does the Contractor pay full-time employees funded through this contract more holidays than what is authorized by City Council for City employees?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
If the Contractor elects to observe more than the total number of holidays authorized by City Council for City employees, do the additional holidays paid come from another source besides funds from this contract?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Job Descriptions	Yes	No	N/A
Was a copy of Contractor job descriptions of funded positions provided for this review?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Did the Contractor change the job titles and descriptions set forth in the contract and budget without prior written approval or notification and without a contract amendment?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Employee Licenses/Certifications	Yes	No	N/A
If applicable, does the Contractor have the names and license registration(s) of any employee who is regulated by state law and whose activities contribute toward, facilitate, or coordinate the performance of this contract?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Supervisory	Yes	No	N/A
Did you observe or discover the CEO, Executive Director and/or other supervisory personnel of the Contractor involved in any capacity with program delivery of this contract supervising a spouse, parent, child, sibling, or in-law?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Detail Summary

Section VII: Prohibition of Political Activity

Activities	Yes	No	N/A
During the monitoring, did you observe any questionable political activities that would be in violation of the contract?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Personnel Paid from City Funds	Yes	No	N/A
Has the Contractor provided all employees with a statement of prohibited activities that employees have signed, as evidenced in the employees' personnel files?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Detail Summary



City of San Antonio

Contract Compliance Tool

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**Department
of
Human Services**

Section VIII: Official Communication

<i>Proper Notification</i>	Yes	No	N/A
Are all <u>official communications and notices</u> in writing mailed to the persons and addresses determined in the contract?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Address Change</i>	Yes	No	N/A
Was a formal notification of change in the Contractor's address delivered to the City within five (5) days of the change? If "yes", provide the date in the summary below.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Detail Summary

Section IX: City-Supported Project

<i>Contractor Acknowledgement</i>	Yes	No	N/A
Does the Contractor publicly acknowledge that this Project is supported by the City of San Antonio, Department of Human Services? (Includes written acknowledgement of the City's financial support on all project-related presentations, press releases, flyers, brochures, and other informational material prepared and distributed by Contractor)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Does the Contractor obtain the City's prior approval of the language and logo, as applicable, to be used?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Detail Summary

Section X: Equipment

<i>Disposal</i>	Yes	No	N/A
Did the Contractor request written approval from the City to dispose of any equipment purchased with City funds, to include current- and prior-year inventory of furniture, durable property and vehicles (i.e. valued at \$100 or more)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

<i>Annual Inventory</i>	Yes	No	N/A
Has an annual inventory of all equipment purchased with City funds been provided to the City and do the records include the following:			
1. Description of the equipment including model and serial number, if applicable	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Date of acquisition	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Cost	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Procurement source	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Purchase Order number	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. Vendor number	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. Indication of whether the equipment is new or used	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. Location of equipment/property	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9. List of disposed items	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

<i>Inventory Check</i>	Yes	No	N/A
Select a sample of items on the inventory listing and verify. Were the items located?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



City of San Antonio Contract Compliance Tool

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Department
of
Human Services

Lost or Stolen Items	Yes	No	N/A
If applicable, did the Contractor notify the City and deliver a copy of the official report within 72 hours from the date the Contractor discovers an item lost, stolen, missing, and/or damaged/destroyed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Detail Summary

Section XI - Summary / Observations / Recommendations

Authorizing Signatures

To Sign: Enter your network credentials (User ID and Password) below, and then press **Sign** button next to the corresponding signature.

*User ID: _____ *Password: _____

Sign Management Analyst: _____ Date: _____

Senior Management Analyst: _____ Date: _____

Contract Administrator: _____ Date: _____

Agency Response

Agency concurs with this report? Yes No

If appropriate, please attach Agency comments to this form.

Agency Signature: _____ Date: _____

When complete, use the **Print** button to make a copy for your records.
Use the **Submit** button to send this form for processing.

Submit

Print



**City of San Antonio
Program Performance Review (PPR)**

This review tool is used to validate the performance of the Agency in meeting the scope of work, contracted performance measures and delivery of services.

Please fill this form out online and submit it for processing.
Use the *Print* button to make a copy for your records.

**Department
of
Human Services**

Contract Information

Contract Period: _____ to _____ Review Date: _____
 Agency Name: _____ Program Name: _____
 Agency Point of Contact: _____ DHS Contract Monitor: _____

Section I - Agency Reporting Requirements

Are the Contract Monitoring Reports (CMR's) submitted by the due date each month? Yes No
 Summary: _____

Are the Contract Monitoring Reports (CMR's) complete and accurate? Yes No
 Summary: _____

Are there any concerns that need to be addressed on the submittal of the monthly CMR's? (i.e. Agency provides for variances (+/- 10%) and are sufficient) Yes No
 Summary: _____

Section II - Performance Measures

Agency must provide documentation that substantiates data reported on the monthly CMR which reflects actual services provided to-date. Contract Monitor verifies documentation.

Measure			Add	Delete
Performance Measure Reported	Projected	Actual	% YTD	% of Contract

Description of documentation provided by agency to support numbers reported on the CMR. Are the numbers accurate?

Overall Assessment:

Section III - Scope of Work

Is the agency adhering to items contained in the Scope of Work? Yes No
 Description of items or activities reviewed and observed for Scope of Work services:



City of San Antonio

Program Performance Review (PPR)

This review tool is used to validate the performance of the Agency in meeting the scope of work, contracted performance measures and delivery of services

Please fill this form out online and submit it for processing.
Use the **Print** button to make a copy for your records.

**Department
of
Human Services**

Section IV - Client Services and Operations

Does the agency operate within their policies and procedures for program administration? Yes No

Summary: _____

Does the agency have a written policy for client case file maintenance? Yes No N/A

Summary: _____

Are client case files maintained according to the agency's written policy? Yes No N/A

Summary: _____

Did the Program Monitor observe activity consistent with the program description and scope of work? Yes No N/A

Summary: _____

If interviews were conducted, did clients verify receipt of program services? Yes No N/A

(Results of Interviews: City used a client interview questions list and maintained in file.)

Section V - Client Sample Files

	Population Size	Sample Size
Note: Sample size is determined by the size of the program. No fewer than 10 files reviewed. For larger programs, a minimum of 30 files are required. Results from sample will indicate whether additional files should be reviewed. Rule: 10 additional files. (Sample files based on population year-to-date)		

Was the agency able to retrieve all client files requested, either hardcopy or electronic form? Yes No

Summary: _____

Did the supporting documentation verify that clients received services? Yes No

Summary: _____

Did the clients sampled meet program eligibility requirements? Yes No

Summary: _____

Section VI - Corrective Action Plan

Is the agency on a previous Corrective Action Plan? Yes No

Has the agency resolved all prior monitoring issues? Yes No

N/A Does agency need to submit a corrective action plan based on results of this review or pending corrective actions?

Yes No

Section VII - Agency Management



City of San Antonio Program Performance Review (PPR)

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Department
of
Human Services

Interviews with staff funded through this project verify the delivery of program services? Yes No N/A

Do interviews with staff match the duties outlined in the job description and budget? Yes No N/A

If licenses are required for program staff, can the agency provide documentation of current licensure? Yes No N/A

Summary: _____

Results of Interviews: Agency staff interview questions list

Section VIII - Summary/Observations/Recommendations

Authorizing Signatures

To Sign: Enter your network credentials (User ID and Password) below, and then press **Sign** button next to the corresponding signature.

*User ID: _____ *Password: _____

Management Analyst: _____ Date: _____

Senior Management Analyst: _____ Date: _____

Contract Administrator: _____ Date: _____

Agency Response

Agency concurs with this report? Yes No

If appropriate, please attach Agency comments to this form.

Agency Signature: _____ Date: _____

When complete, use the **Print** button to make a copy for your records.
Use the **Submit** button to send this form for processing.

Attachment 8

Contract Monitoring Form

Submit by Email

Print Form

Type of Monitoring*

Agency Name

Program Name

Contract Period

Review Date

Program Monitor

Results of Monitoring

--

Management Analyst	Completion Date
Senior Management Analyst	Date of Approval
Contract Administrator	Date of Approval

AGENCY:			
PROGRAM (S):		DATE:	
A	Organization Data/Overview	Description/Notes	
1	Type of entity	Select from drop down menu	
2	Number of employees (agency wide) full time equivalents (FTE). <i>Part time = .5</i>		
3	Number of fiscal staff (agency wide)		
B	Separation of Duties		
4	Cash Receipts/Disbursements (Provide the name of the individual who performs the various functions listed below)	Employee's Name	Monitor Initials after verification
(A)	Opens Mail		
(B)	Prepares check deposits		
(C)	Reconciles bank accounts		
(D)	Records miscellaneous receipts		
(E)	Authorizes disbursements		
(F)	Prepares checks		
(G)	Compares checks with vouchers		
	Other Related Duties:		
C	Cash Management		
5	Please provide a list of check signers and their titles for the bank account number listed below where city funds are deposited:	Authorized Check Signer Name	Title
	Bank Name:		
	Account Number:		
(A)	Are one of the above signatures restricted to an official <u>not</u> responsible for maintaining accounting records? If yes, identify which one. Name:	Select from drop down	
(B)	The agency provides a locked and secure area for blank checks to prevent unauthorized access.	Select from drop down	
(C)	The agency reconciles the bank statement with the ledger account each month. Ensure you document period reviewed and reconciliation is kept with review.	Select from drop down	Attached? Select from drop down
6	The agency documents reviews on all outstanding checks at least monthly.	Select from drop down	
7	In regards to unclaimed financial property such as outstanding vendor checks, payroll checks, deposits, etc., is the agency in compliance with reporting unclaimed property to the Texas Comptroller of Public Accounts. Annual Report is due July 1.	Select from drop down	Attached? Select from drop down
8	Does the agency deposit advanced City funds in a bank insured by the FDIC	Select from drop down	
9	If City funds were advanced and agency's total cash balance with the bank exceeded the FDIC limit of \$250,000, a written copy of the collateral agreement to secure the excess with said bank must be provided.	Select from drop down	Attached? Select from drop down
10	If provided advances, does the agency use advances to pay vendors no later than 10 calendar days after notification that City check was available or ACH received? If no, Agency must provide explanation in Section J.	Select from drop down	
D	Administration	Monitor Initials after verification	
11	Is the agency in compliance by not allowing blank checks to be signed? Agency must provide explanation in Section J. Document verification by Monitor	Select from drop down	
12	Is the agency in compliance by not issuing checks made payable to cash or bearer? Agency must provide explanation in Section J. Document verification by Monitor	Select from drop down	
13	Is the agency in compliance by not purchasing gift cards using funds associated with this Contract? Document verification by Monitor	Select from drop down	
14	The agency deposits City checks within one business day. Document verification by Monitor	Select from drop down	
15	The agency has DHS's written approval and original receipts for reimbursement of petty cash monies. Document verification by Monitor	Select from drop down	
16	Does the agency issue petty cash reimbursements that in the aggregate exceed \$200 in a calendar month Document verification by Monitor	Select from drop down	
17	Does the agency maintain the contract and program budget on file? Document verification by Monitor	Select from drop down	
18	Staff positions in the approved budget agree with those on the payroll records. Document verification by Monitor	Select from drop down	
19	The agency properly executes budget revisions (submitted prior to encumbering or expensing funds). Document verification by Monitor	Select from drop down	

AGENCY:			
PROGRAM (S):		DATE:	
20	Does the agency use funds received through DHS as matching funds for any Federal, State or Local grant? If yes, provide documentation of approval.	Select from drop down	Attached? Select from drop down
21	What is agency's applicable Non-Federal share (In-Kind/Cash Match) requirement? Grant funded programs only.		
E Contractor Accounting System			
22	The agency makes timely tax deposits for all required employees in accordance with all applicable local, state, and federal law. <i>Provide copies of the most recent tax reports: Form 940, 941 & TWC</i>	Select from drop down	Attached? Select from drop down
23	Does the organization have written procedures that govern all cost? (Necessary, Allowed, Allocation & Reasonableness). <i>Provide copies of applicable processes or policies</i>	Select from drop down	Attached? Select from drop down
24	List Accounting Software used by Agency: _____ <i>Provide GL code for each of your programs and a Chart of Accounts</i>	Select from drop down	Attached? Select from drop down
25	The agency has an accounting system that maintains:		Monitor Initials after verification
(A)	A cash receipts journal of city funds. Document verification by Monitor	Select from drop down	
(B)	A cash disbursements journal of city funds. Document verification by Monitor	Select from drop down	
(C)	A general ledger with an income and expense account for each budgeted line item. Document verification by Monitor	Select from drop down	
(D)	Funds separately by funding source and project	Select from drop down	
(E)	The filing of paid invoices showing check number, date paid and receipt of goods or services according to the expense account to which they were charged. Document verification by Monitor	Select from drop down	
26	The accounting records are supported by source documents (timesheets, employee benefits, purchase invoices, cancelled checks, etc.). Document verification by Monitor	Select from drop down	
27	The agency maintains records for long distance calls, faxes and cell phone charges that are paid for with DHS funds. Document verification by Monitor	Select from drop down	
28	The accounting records provide accountability over funds, property and other assets. Document verification by Monitor	Select from drop down	
29	The agency's records compare actual outlays with budget amounts. Document verification by Monitor	Select from drop down	
F Program Income			Monitor Initials after verification
30	Was Program Income collected/realized from any activities resulting from this contract or management of City funds such as: interest income, rental/lease fees, or income produced from contract-supported services of individuals, employees, equipment or facilities. Document verification by Monitor	Select from drop down	
31	If program income was realized from City contracts:		
(A)	Does the program income collected and recognized as revenue in the agency's general ledger reconcile with the amount of program income reported to DHS. <i>Please provide general ledger report</i>	Select from drop down	Attached? Select from drop down
(B)	Does the program income expensed in the agency's general ledger reconcile with the amount of program income expenditures reported to DHS. <i>Please provide general ledger report</i>	Select from drop down	Attached? Select from drop down
(C)	Does the agency have written procedures or policies to govern program income. <i>Provide copies of applicable processes or policies</i>	Select from drop down	Attached? Select from drop down
(D)	Does the agency have written policies or procedures for cash-handling and the safeguarding of assets such as cash or cash equivalents. <i>Provide copies of applicable processes or policies</i>	Select from drop down	Attached? Select from drop down
G Travel			Monitor Initials after verification
32	All employees who received mileage reimbursements have required documentation of claim. Document verification by Monitor	Select from drop down	
(A)	The agency's reimbursement for employees' mileage billed is at a rate no higher than the rate designated by the funder for mileage reimbursement. Document verification by Monitor	Select from drop down	
(B)	The agency has evidence of a valid Texas Driver's License for all employees who have received mileage reimbursements. Document verification by Monitor	Select from drop down	

AGENCY:			
PROGRAM (S):		DATE:	
(C)	The agency has evidence of liability insurance for all employees who have received mileage reimbursements. Document verification by Monitor	Select from drop down	
33	The agency obtained prior approval from DHS for out of town travel costs. Document verification by Monitor	Select from drop down	
34	The agency submitted itineraries and attendance certification. Document verification by Monitor	Select from drop down	
35	All travel expenditures reviewed were authorized? (e.g. no unauthorized travel or person charged to the program were not in the budget, etc.). Document verification by Monitor	Select from drop down	
36	The agency provided detailed documentation for all out of town travel costs. Document verification by Monitor	Select from drop down	
37	The out of town travel costs were within the per diem rate. Document verification by Monitor	Select from drop down	
H	Reporting		Monitor Initials after verification
38	The agency submitted all fiscal reports such as monthly invoices, budget revisions, forecasts, supporting documentation for fiscal reviews, etc. in a timely, complete and accurate manner as determined by the contract. Document verification by Monitor	Select from drop down	
I	Sub-Contracting		
39	Does the agency have written prior consent from the City to sub-contractor services for this contract? <i>Please list in Section J: Contractor name, contract amount and services provided. Provide copies of executed sub-contracts & written prior consent.</i>	Select from drop down	Attached? Select from drop down
40	Does agency monitor sub-contractors appropriately? <i>Please list in Section J: a detailed explanation of how the agency manages and provides fiscal oversight of these contracts & the frequency of fiscal monitoring visits performed.</i>	Select from drop down	Attached? Select from drop down
J	Agency's Referenced Explanations:	Prepared by	Agency Initials
10			
11			
12			
39 & 40	Sub-Contractor Name:		
	Contract Amount: \$		
	Services Provided: How does agency manage and provide fiscal oversight of this contract?		
	Frequency of Fiscal Monitoring Visits Performed:		
39 & 40	Sub-Contractor Name:		
	Contract Amount: \$		
	Services Provided: How does agency manage and provide fiscal oversight of this contract?		
	Frequency of Fiscal Monitoring Visits Performed:		
39 & 40	Sub-Contractor Name:		
	Contract Amount: \$		
	Services Provided: How does agency manage and provide fiscal oversight of this contract?		
	Frequency of Fiscal Monitoring Visits Performed:		

AGENCY:

PROGRAM (S):

DATE:

Acknowledgement of Visit:

Agency Contact Signature & Date



End of Contract Review (EOC)

Agency Name _____

Program Name _____

Contract Period _____

Funding Source(s) & Amounts _____

Program Monitor _____

Fiscal Monitor _____

Amount Funded _____

Amount Reimbursed _____

Unduplicated Clients Contracted _____

Unduplicated Clients Served _____

Contracted Performance Measures _____

Contracted Measures Met _____

Remarks (Required for any performance measure not met)

Date of Program Performance Review(s) _____

Recommendations made in PPR _____

PPR recommendations made and action taken by Agency:

Were all deliverables satisfactorily received?	Yes <input type="radio"/>	No <input type="radio"/>
Were all contract terms and conditions met?	Yes <input type="radio"/>	No <input type="radio"/>

Management Analyst _____ **Completion Date** _____

Senior Management Analyst _____ **Date of Approval** _____

Contract Administrator _____ **Date of Approval** _____

