

Early Learning Coalition of Florida's Heartland, Inc.

Attachment 1.1.8

Subject: Oversight and Monitoring of Vendors		Policy/Procedure # FM-13	
Page: 1 of 2		Adoption Date: 4.2.08	Revision Date:
Approved by: ELCFH Board		Title: Andrew Bible, Chair	
Distribution: Upper Administrative staff; Finance staff		Authority References: Executive Director, Associate Director: Finance	

Policy

The ELCFH as the full agency entity contracts with child care providers for the School Readiness and VPK programs. Since vendors are not subject to federal grant regulations, the ELCFH instead has a plan of action for on site vendor monitoring and compliance monitoring through regular attendance vs. payment monitor.

Reference

- Federal Single Audit requirements, OMB circular A-133
- 45CFR, Part 99.90 and 91
- OMB Circular A-110
- ELCFH SR/VPK #2 Administrative Sanctions Policy

Procedure

Oversight and Monitoring of Service Vendors

1. Monitoring of Child Care Service Providers:

The COALITION is responsible for monitoring all child care service provider contractors and programs. Monitoring services are accomplished by COALITION staff who will conduct site visits and evaluations on an as needed basis.

The COALITION monitoring staff will monitor each child care service provider at least once during the Fiscal Year for compliance with the School Readiness Contract. Initial monitoring visits will be made within four months of the start date of each service provider contract, or on their prior year monitoring anniversary date. On Site environmental assessments will also be scheduled once annually. The Monitoring and environmental observation reports identifying findings, observations, and recommendations will be generated at the completion of each monitoring visit. The COALITION and its monitoring staff develop monitoring tools which meet the expectations of each contract. Monitoring visits to child care service providers will include a full compliance review of all contractual requirements, as well as a review of programmatic and fiscal procedures and records, training quality, performance/outcomes, cost effectiveness, and value of program to the community. Monitors will also conduct interviews with clients and providers. Eligibility, assessment, performance, and other case management documentation will also be reviewed during the contract monitoring visit.

A monitoring and environmental observation schedule will be developed which specifies areas to be

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monitored and their frequency. The monitoring schedule will be updated and expanded as new programs/contracts are added during future planning cycles. This schedule does not contain corrective action and follow-up visits or periodic spot checks. These are completed as the situation dictates and may be performed by COALITION monitoring staff.

Each child care service provider is also contractually required to provide a monthly attendance request for School Readiness and VPK payment, with supporting documentation by the first working day of each month. Late submission will be processed in the next month, with notification to the child care service provider.

2. Corrective Action Plans:

Monitoring and Environmental Observation reports filed by the Associate Director: Quality Programs will be reviewed by the Executive Director. Every effort will be made to submit reports to each child care service provider within 20 working days of the monitoring visit. The report will outline the results of the monitoring/environmental review and any corrective action necessary. Child care service providers will be required to respond in writing to the findings and/or observations with a Corrective Action Plan, which must be provided within 30 days of receipt of the report.

The Executive Director and Associate Director: Quality Programs will review all service provider responses and internal Corrective Action Plans to ensure that appropriate corrective actions have been planned and/or taken and are in compliance with all contract agreements. The monitoring staff will complete a follow-up visit/telephone interview within the following quarter to ensure that corrective actions have been implemented and a follow-up report of their findings will be issued to the Associate Director: Quality Programs.

A copy of all monitoring reports, corrective action plans, and related correspondence will be maintained in file for five years.

3. Technical Assistance/Guidance to Service Providers:

Each child care service provider will be provided an initial orientation and training session which will include laws/requirements, local policies, and other technical assistance to ensure that the service provider fully understands the procedures for accomplishing service requirements identified in the contractual agreement.

Technical Assistance Training may be provided on an as needed basis to service providers upon their request, or as a result of deficiencies identified during monitoring visits.

4. Withdrawing Obligation of Funds/Cancellation of Contracts:

Child Care Service Providers who are not in compliance with contractual agreements, and who have failed to take necessary corrective action, will be referred to the Executive Director for appropriate action. On individual cases, the Executive Director and Associate Director: Quality Programs will work with the child care provider to resolve the issues and may recommend to the Board appropriate corrective action or sanctions up to and including cancellation of the contractual agreement.

Procedures for withdrawing the obligation of funds or cancellation of contract are included in each executed contractual agreement.