

FAA Comprehensive Administrative Monitoring Tool - FY23

Date:

Agency Operations

Agency Name:		Governing Board			Yes	No	N/A	Comments
1	Is the Agency active in Sunbiz? (Hyperlink to Sunbiz below)	Sunbiz						
2	In general, is the Agency governed by a Board which is representative of the target population they serve and is it demographically reflective of Palm Beach County? (Hyperlink to PBC Planning and Zoning Department's Population and Demographics below)							
3	The Agency has policies that clearly define the Board's and Executive Director's role and responsibilities (Board Manual) which includes a schedule of Board meetings and evidence that Board members received a copy of the manual.	Palm Beach County Population & Demographics						
4	The AGENCY maintained a roster of the Board of Directors, with titles, addresses, phone numbers (Contract Article - Programmatic Requirements).							
5	Were the Board meetings held with a quorum as outlined by their Agency By-Laws?							
6	Were any concerns noted during the review of the Agency's Board minutes? If so, document in the comment section.							
7	Did the Board minutes include financial reporting and have attached supporting financial statements? Were the financials presented reviewed and approved?							
8	Did the agency have a current Board approved strategic plan, that includes goals and objectives?							
9	Did the Agency provide a copy of the Code of Ethics (inclusive of Conflicts of Interest and avoidance thereof) to their board members? Was this document dated and signed?							
10	Did the agency have a Board approved succession plan for Senior Leadership (i.e. CEO, CFO, COO)?							
	Policies & Procedures							
11	Did the agency have written comprehensive policies and procedures describing services, regulations, principles and guidelines of the agency's overall operational processes? Validate by reviewing By-Laws, Policies and Procedural manuals.							
12	Did the Agency's policies outline who had the responsibility for financial management and oversight? (Contract Article - Programmatic Requirements)							
13	Did the Agency have all required insurances? Workers Compensation, Commercial general Liability, Business automobile Liability, and Professional Liability? (PBCC is listed as the certificate holder/additional insured. (List the name of the insurance company) (Contract Article -Insurance)							
14	Did the Agency provide copies of any external programmatic monitoring reports and/or fiscal audits that were conducted by Federal, State or Local Funders? (Contract Article -Warranties and Licensing Requirements)							
15	If findings or concerns were noted in the reports/audits referenced above, were Agency responses/corrective actions approved by the funder?							
16	Did the Agency subcontract services? (Contract Article -Subcontracting)							
17	Did the Agency have an Excellence or Sound Nonprofits First Certificate or will have completed certification within 18 months of their initial County Contract? (Contract Article -Certification/Nonprofits First)							
18	Was the Agency provided a Nonprofit First exemption by the Department of Community Services? If so, was the Agency certified by an oversight body recognized by the Agency's industry or did the Agency receive two (2) consecutive monitoring reports from FAA with no findings?							
19	Does the Agency have policies that comply with Americans with Disabilities Amendment Act (ADAA) and which includes but is not limited to, posting notices to inform clients and staff of their rights to file any complaint of ADAA violations with the Equal Employment Opportunity Commission? (EEOC) (Contract Article -American with Disabilities)							
20	Did the Agency have written policies to ensure employees and clients were treated equally regardless of race, color, religion, disability, sex, age, national origin, ancestry, marital status, familial status, sexual orientation, gender identity or expression, or genetic information. (Contract Article - Non-Discrimination)							
21	Did the Agency have formal or informal collaborative agreements/MOU's with other local agencies to ensure coordination of services? (Review: MOU's Service Agreements, Non-Formal Agreements)							

22	For agencies providing homeless services, did the agency meet HHA attendance requirements? (60% of general meetings/70% of subcommittee meetings) Contract Article-Programmatic Requirements					
23	Has agency submitted to 211 Palm Beach/Treasure Coast, Inc. information regarding available services and related information about Impact Partner and the funded program(s), as requested by 211 Palm Beach/Treasure Coast, Inc.?					
24	Did the Agency review and update policies within the last 5 years?					
Human Resources						
Personnel, Staff, and Volunteer Training						
25	PERSONNEL POLICY: Did the Agency have written personnel policies and procedures for Human Resource Management? Last date of revision (Validate by: Reviewing Human Resources Manual)				N/A	
26	Did the Agency have a process for reviewing personnel files to ensure compliance with training requirements, background screenings, performance evaluations etc					
27	Did personnel records include an original application and/or resume?					
28	If applicable, did personnel records include professional certifications/licenses?					
29	If applicable, did personnel records include a current annual performance review?					
30	Did the personnel records include a level 1 or 2 background screening based on Florida Statutes and the population served (Contract Article-Warranties and Licensing Requirements)? If an individual received an initial exemption for a disqualifying offense, was the exemption renewed? (DCF: 5 years)					
31	Did personnel records include a job description signed and dated by the employee? (Employee's supervisor if required per agency policies)					
32	Did personnel records include employee's date-of-hire?					
33	1. Agency will ensure, during the term of the contract, key personnel (personnel who provide direct services and program supervisors/managers who provide and/or supervise direct services staff) receive the following training: a. Adverse Childhood Experiences (ACEs)- OPTIONAL b. Cultural Competency Training - OPTIONAL c. Motivational Interviewing (MI) - OPTIONAL d. Trauma Informed Care (TIC) - OPTIONAL e. Lesbian, Gay, Bi-Sexual, Transgender, Questioning, (LGBTQ) - OPTIONAL f. Racial Equity Training - OPTIONAL 2. Behavioral Health Agencies Only-Agency shall ensure that staff receive all trainings listed. (a and b below in addition to a d above).					
34	a. Wrap Around Training (if applicable) b. Recovery Capital Index (if applicable)					
35	STAFF TRAINING: Did the Agency have documentation that orientation was provided to new staff and volunteers?					
36	Did the Agency have a volunteer handbook and was there evidence that volunteers received training based upon this handbook?					
37	Volunteer Florida Statute 435: Prior to volunteering, was a Level 1 criminal background screening performed for each volunteer providing less than 20 hours of direct services per month, to vulnerable populations?					
38	Prior to volunteering, was a Level 2 criminal background screening performed for each volunteer providing more than 20 hours of direct services per month, to vulnerable populations?					
39	Did the Agency have a high turnover of agency staff? Defined as 25% or more during the past 12 months or based on national industry standards. Was there a FAA funded staff position vacancy for over 90 days or more?					
40	Did the Agency have written policies in place to address Conflict of Interest and Nepotism? (Chapter 112, Part III Florida Statutes, PBC County Code of Ethics) (Contract Article -Conflict of Interest)					
41	Did the Agency have an organizational chart which was reflective of their staffing pattern?					
42	Did the Agency provide evidence of implementing a drug-free workplace?(Contract Article -Drug-Free Workplace). See employee manual, employee files.					
43	Did the Agency provide a copy of the Standards of Conduct (inclusive of Conflicts of Interest and avoidance thereof) to their employees, volunteers, and sub-contractors/consultants? Was this document dated and signed?					

44	Is the Agency registered with E-Verify? Have new hires after January 1, 2021 been verified using this system? If applicable, were subcontractors registered and verifying new hires by January 1, 2021? (Article - Everify Employment Eligibility)						
Facilities Management							
Facility Management							
45	Were there any violations regarding fire, health and safety codes?	Yes	No	N/A			Comments
46	Were the Agency's facilities accessible to individuals with disabilities?						
47	Did the Agency have a current fire inspection (completed within the past 12 months)? Were there any violations? If violations were noted, were they corrected and approved by a County or Municipal Fire Rescue?						
48	Did the facility and/or sites have a housekeeping/maintenance process in place to ensure the building(s) is clean, safe, and repairs are made in a timely manner? (Validate by: Seeing the housekeeping/maintenance plan and/or inspection reports)						
49	<u>Behavioral Health Only:</u> Is Agency up-to-date with behavioral health/substance use facility licensure requirements?						
50	Did the Agency have an Emergency Management Plan and a Hurricane Preparedness Plan?						
Tracking							
Tracking							
51	Did the Agency have an internal tracking system in place to track the clients served under the FAA Contract?	Yes	No	N/A			Comments
52	Did the Agency submit the Quarterly/Annual Utilization and Outcome Reports?						
Communication							
Communication							
53	Did the Agency have a policy/procedure for communicating critical and/or unusual incidents in accordance with the FAA contract? Contract Article-Programmatic Requirements	Yes	No	N/A			Comments
54	Did the Agency submit an Incident Notification Form in a timely manner, notifying the County of incidents outlined in the FAA contract (i.e. FAA client incidents, key staff resignations, change in services or locations that could impact service delivery, etc.)?						
Quality Assurance							
Quality Assurance							
55	Partnership Agreement: If applicable, were there any unresolved issues from prior year? If so, what is the status on the unresolved issues (i.e. findings) from the last monitoring report?	Yes	No	N/A			Comments
56	Did the Agency have written policies and procedures that outlined their Q. A. process? Did this policy include the review of client files and describe a process for correcting client file documentation? Was the Agency in compliance with this policy?						
Fiscal							
Fiscal							
57	Did the Agency have a Financial Reconciliation Statement? (Contract Exhibit C-Financial Reconciliation Statement)	Yes	No	N/A			Comments
58	Did the Agency submit monthly reimbursements in accordance with the contract? (Contract Article - Programmatic Requirements)						
59	Did the Agency have separate financial ledger for the Program expenditures including direct and indirect cost allocations in accordance with GAAP by individual services categories and by administration and program costs? (Contract Article - Programmatic Requirements)						
60	Did the Agency properly maintained books, documents and records for costs of services to individuals expended in the performance of this contract for a period not less than five years? Agency had a Financial Audit report with Schedule for Financial Assistance. (Contract Article - Programmatic Requirements)						
61	Agency had a Financial Audit report with Schedule for Financial Assistance? (Contract Article-Programmatic Requirements)						
62	Did the Agency provide the Final Reconciliation-Exhibit H of contract within 30 days of contract end date? (Contract Article Programmatic Requirements)						
63	No Contingent fees. (Contract Article - Contingent Fees)						
64	Did the Agency maintain a copy of the fully executed contract within its records?						
65	Has the Agency been previously monitored? (List date)						

66	Were there any findings?				
67	Were the findings recertified?				
68	When was the independent audit completed?				
69	Did the Agency obtain non profits first certification the previous calendar year? (Obtain copy)				
70	Is the Agency currently in the process of being certified for current calendar year? (Obtain Self-Assessment and/or Executed Agreement with NPF)				
71	Was a budget provided and approved by the County?				
72	What is the budget make up? (Personnel/operating-program/admin)				
73	Are administrative/Indirect Costs within the 15% cap?				
74	Did the Agency provide a staff allocation sheet?				
75	Did the personnel expenses reflect the allocations?				
76	Were timesheets kept for each employee? Were the timesheets signed by the employee and his/her supervisor?				
77	Were expenses allowable per the approved budget?				
78	Did the revenues match County records?				
79	What is the net revenue or deficit to date? If net revenue, why? How will these funds be used?				
80	What are the other funding sources? (If applicable)				
81	What documentation was reviewed? (By service)				
82	What was the total number of clients/units served? (By service)				
83	What was the sample size? (By service)				
84	List the clients reviewed.				
85	Were there any discrepancies?				
86	The Agency has not pledge County's credit, or made it a guarantor of payment or surety for any contract, debt, obligation, judgment, lien or any form of indebtedness. (Contract Article -Arrears)				
87	Did the Agency provide unit of service as defined in contract? (Contract Exhibit B-Units of Service Rate)				
88	Payments to Financially-Assisted Agencies, Non-profit agencies seeking County Assistance (FAA) must be chartered or registered with the Florida department of State, have been incorporated for at the least one agency fiscal year and have pointed services for at least six months. County assistance shall not exceed 25 % of the agency's total operating budget, unless otherwise approved by the Board of County Commissioners. If approved for funding, a formal agreement shall be executed, and payment will be made by reimbursement of documented expenses. The County Administrator shall establish additional procedures to clearly descry. (Administrative Code 305.07)				