

Early Childhood Iowa Area Quality Assurance Review of Contract Award & Monitoring

Name of ECIA: Enter text

Contract/Vendor Name: Enter text

Contract Period: Beginning Date: Enter text

Ending Date: Enter text

Options for renewals: Yes No

If Yes, how many: Enter text

Contract Manager: Enter text

Date of QA Review: Enter text

Reviewer(s): Enter text

Section I: RFP/Application for Funding

Yes No N/A

- | | | | |
|--------------------------|--------------------------|--------------------------|---|
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | A. Documentation reflects that the board used a Request for Proposal process to fund this service/program. |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 1. If Yes, the contract file includes the vendor's RFP. |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 2. If No, the contract file includes the process the board used to award the funds. |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | B. RFP/application includes information and procedures on the process to appeal the board's decision. |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | C. Documentation includes a completed scoring rubric for at least two individuals representing the board's interests that reviewed the RFP/application. |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 1. If Yes, the rubric aligns with the required components in the RFP. |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 2. If No, the document reflects that the board used another method of evaluating the RPF/application. Describe method:

<u>Enter text</u> |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | a. If Yes, the method used to evaluate the proposal aligns with the requirements of the RPF/application. |

Comments to strengthen items in this section:

Section II: Contract Language

Yes No N/A

- | | | | |
|--------------------------|--------------------------|--------------------------|--|
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | A. Documentation includes a signed and dated contract/agreement. |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 1. If Yes, contract is signed and dated before the contract start date by all parties. |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | B. Program/service aligns with the board's priorities/strategies. |

Scope of Work/Scope of Service

States the requirements of the work in general terms of what (result) is to be done, rather than how (method) it is done

- | | | | |
|--------------------------|--------------------------|--------------------------|--|
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | C. Stated in clear, concise and easily understood terms. |
|--------------------------|--------------------------|--------------------------|--|

Yes No N/A

1. Based on the scope of work, does the program/service funded potentially create a 'parallel' program/service offered in the area by another organization/agency? (If yes, provide additional information in the comments section below.)

D. Includes detailed outcomes describing the desired result (measureable deliverables).

Performance Measures

Assess a service, product or activity and includes inputs, outputs, quality/efficiency and outcomes measures; helps make better, more informed decisions in determining how well a contractor is fulfilling the work required.

E. Directly linked to the scope of work.

F. Performance targets or standards are established for the performance level required for payments.

Monitoring Clause

Describes the plan or method to oversee contractor's compliance under the contract

G. Plan identifies who collects and/or receives data, who creates and distributes a report, and who receives the report and how often.

H. Plan is appropriate for the contract.

I. Plan includes methods to oversee the provider's compliance with general contract terms, conditions and requirements.

Review Clause

Describes the methods to effectively review performance of the contract quarterly, annually, etc.

J. Identifies the parties involved in the review.

K. Language includes when the review will be conducted and the method that will be used to effectively review performance of the contract.

Payment Clause

Describes the amount and basis for payment to the contractor based on the contractor's performance under the contract.

L. Relates to the targets in the scope of work and performance measures.

M. Includes the process for submitting invoices.

N. Includes incentives and/or disincentives based on contractor performance.

Termination Clause

Describes the terms for ending the contract earlier than the contract end date.

O. Includes a non-appropriation clause to terminate the contract if the Iowa Legislature does not appropriate funding to the board.

P. Includes a default clause that allows the board to terminate the contract when there are performance compliance issues and the contractor has not made changes to remedy the program/service within the timeframes identified.

Q. Includes an immediate termination clause that allows the board to terminate the contract when there is a serious problem associated to the contractor, such as fraud, embezzlement, bankruptcy, suspension/debarment, etc.

R. Includes a termination upon notice clause that allows the board to terminate the contract for any reason or no reason at all after the notice period.

Yes No N/A

Other Clauses and Certifications

Additional clauses and certifications that are required based on the source of the funding.

- S. Includes requirements for the contractor to purchase an insurance policy that covers the contractor’s negligent acts.
- T. Includes a provision that protects the board from legal issues related to the contractor performing the contract. (indemnification)
- U. Includes a provision that protects confidential information from disclosure by the contractor.
- V. Identifies how long the contractor must keep the records and who may have access to the records. This clause may also identify how the contractor must store the records (example, locked cabinet) and appropriate disposal of confidential records when the record retention period is over.
- W. Includes a provision that grants property rights to the board for anything developed using funds under the contract.
- X. Includes a provision requiring the contractor to notify the board when an audit is conducted and requires the contractor to send a copy of the final audit report to the board.
- Y. Includes a provision that states that if any state or federal funds are deferred and/or disallowed as a result of any audits or expended in violation of the laws applicable to the expenditure of the funds, the contractor is liable to the board for the full amount of any claim disallowed and for all related penalties.

Comments to strengthen items in this section:

Section III: Amendments to the Contract

Yes No N/A

- A. The contract file includes one or more amendments.
 - 1. If No, go to Section IV.
- B. Each amendment is signed and dated.
- C. Amendment language is clear and understandable.

Comments to strengthen items in this section:

Section IV: Claims and Invoices (random selection from all claims/invoices)

Claims selected:	Date: <u>Enter text</u>	Amount: <u>Enter text</u>	Date: <u>Enter text</u>	Amount: <u>Enter text</u>
	Date: <u>Enter text</u>	Amount: <u>Enter text</u>	Date: <u>Enter text</u>	Amount: <u>Enter text</u>
	Date: <u>Enter text</u>	Amount: <u>Enter text</u>	Date: <u>Enter text</u>	Amount: <u>Enter text</u>

Yes	No	N/A	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	A. Claims/invoices meet the requirements outlined in the contract.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	B. Claims/invoices have the signature/initials of the individual/organization submitting the claim/invoice.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	C. Documentation includes time studies if funding less than 100% of a person's time, if appropriate.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	D. Supportive documentation for claims/invoices provide enough detail to confirm items the contractor is requesting reimbursement for.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	E. Items reimbursed are an appropriate use of the ECI funding stream (Early Childhood and/or School Ready).
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	F. Claims/invoices have signatures based on the board's approval process for payment of the claim/invoice.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	G. There is regular and consistent monitoring of financial documents and tracking of expenditures. (Documentation evidenced by spreadsheets, tracking forms, etc.)
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	H. Payment process adheres to adopted policies and procedures.

Comments to strengthen items in this section:

Section V: Monitoring and Review

Yes	No	N/A	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	A. Documentation shows the identified person(s) that did the monitoring.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	B. Monitoring documentation is signed by the person(s) that did the monitoring.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	C. Monitoring criteria included a review of deliverables to determine if the contractor is meeting performance requirements in the contract scope of work.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	D. Monitoring identified follow up activities for specific items/issues the contractor must address.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	1. If Yes, there is a performance improvement plan or corrective action plan in the contract file.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	a. If Yes, The plan identifies specific items/issues the contractor must correct or improve.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	b. For each item, the plan identifies the person responsible for completing and a deadline to complete.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	c. Supportive documentation indicates that the contract manager is monitoring completion of the plan.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	d. Deadlines identified in the plan met.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	E. Documentation showed monitoring of other general contract terms, conditions and requirements (i.e., required licensing, staff qualifications, performance according to industry standards, notice of contractor changes, receipt of an annual audit as required, etc.)
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	F. Contract monitoring was completed and happened within the stated timeframes.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	G. Documentation shows that monitoring activities for services, products, results, etc. and overall contractor performance are reviewed with the board.

Comments to strengthen items in this section:

Section VI: Policies and Procedures

Written policies and procedures for the following board operations.

- | Yes | No | N/A | |
|--------------------------|--------------------------|--------------------------|---|
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | A. Process for awarding ECI funds and how the board connects its' priorities to funding decisions |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | B. Monitoring contractors (programmatically) |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | C. Monitoring contractors (fiscally); Does the policy/procedure include a 'checklist' of items to review for a submitted claim/invoice? |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | D. Appeals process |

Comments to strengthen items in this section:

Reviewer's Overall Comments:

TA Requests: