

Policy:

It is the policy of WCSS, in compliance with GS 143B-168.12(3), to ensure program accountability by monitoring all Direct Service Providers during the provision, supervision and evaluation of services to children and families. Monitoring Direct Service Providers is also performed to ensure the fiscal integrity and accountability of State funds. Monitoring is conducted with the intent of supporting provider functioning and service delivery and to provide the most appropriate and comprehensive services possible to improve the lives of the children of Wake County. Programmatic and fiscal monitoring is used by WCSS to ensure Direct Service Providers meet the goals defined by their programs while evaluating the impact on the community.

WCSS Program Coordination and Evaluation and Fiscal staff will monitor all activities to assure compliance with proposal and contract requirements, visit each program site and use consistent monitoring tools to document program activity and compliance, assess and document delivery of services, provide technical assistance in order to achieve expected goals, outputs and outcomes and provide findings from all monitoring activities for consideration in future funding allocations.

A *Risk Assessment* will be completed by WCSS staff each fiscal year which will determine the fiscal monitoring focus.

In the event a project is not implemented according to the proposal and terms of the Contract, a Corrective Action Plan will be developed which will delineate ways in which the Direct Service Provider will target noted areas. If resolution cannot be reached, actions will be taken in accordance with WCSS Policy on Contract Non-Compliance.

Procedures:

A. Legislative Mandates:

The Controller will monitor compliance with legislative mandates to include but not limited to: subsidized child care requirements, child-care related requirements, capital limitations. Compliance with these mandates will be presented to the WCSS Board of Directors on a regular basis.

B. Fiscal monitoring of Direct Service Providers:

On -site visits will be scheduled each fiscal year. Direct Service Providers will receive prior notification of a monitoring visit. Direct Service Providers with whom WCSS has not previously contracted, will receive an on- site visit within six (6) months of the contract date to review fiscal contract requirements.

The site visit will include but not be limited to an examination of internal control, capital assets, allowable costs, payroll, and audit reports. A summary of findings and responses to the findings will be provided to the WCSS Board of Directors for review.

1. Monthly FSRs will be reviewed for unusual fluctuations in spending, trends, spending patterns and questionable costs as well as accuracy. The deviations from the norm will be investigated and resolved prior to reimbursement. Calculation of spending coefficients will be made throughout the fiscal year to minimize involuntary reversions at year-end and to maximize service delivery; significant budget variances will be investigated and resolved.
2. Quarterly reports will be reviewed for accuracy and adequacy of documentation.
3. Technical assistance will be provided to Direct Service Providers in the form of initial and on-going orientation, regular communication of pertinent issues and instruction in specific areas of concern.
4. A partner toolbox delineating all policies and procedures will be available on the WCSS website.

C. Office of the State Budget Non-Compliance Listing

1. The Controller or designee will review the listing of organizations not in compliance with the reporting requirements of NCGS 143-6.1 or NCGS 143-6.2 and any subsequent revisions, by accessing the Office of the State Budget website on a weekly basis.
2. Organizations that are in compliance with WCSS reporting requirements but are identified on the Non-Compliance Listing as recipients of other state or federal funding, will be notified by the Controller or designee of their non-compliance status. The organization will be informed that any future reimbursements by WCSS will be held until the Office of the State Budget removes them from the non-compliance list.

SECTION:	CONTRACTS	SUBSECTION:	CONTRACT NON-COMPLIANCE
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If the monitoring process reveals a need for improvements, changes or evaluation of concerns, a corrective action plan will be put in place as defined in the WCSS policy for Monitoring Direct Service Providers.

In the case where a project is not being implemented according to the terms and conditions of the Contract, including all attachments and amendments, and corrective action has not been taken, the following action plan for contract non-compliance will be observed which may include contract suspension and termination consistent with the WCSS contract documents.

The Direct Service Provider will only be paid for services actually delivered through the termination date.

The WCSS Board of Directors will be kept informed of the activities of the DSPs and will receive notification whenever DSP contracts are suspended or terminated.