

**OFFICE OF INSPECTOR GENERAL  
CITY OF JACKSONVILLE**



**AUDIT REPORT  
2019-AR-0001**

**KIDS HOPE ALLIANCE  
FAITH-BASED PROGRAM AUDIT**

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**LISA A. GREEN  
INSPECTOR GENERAL**

**SEPTEMBER 21, 2020**

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**DATE ISSUED**

*“Enhancing Public Trust in Government Through Independent and Responsible Oversight”*



# EXECUTIVE SUMMARY

*Audit Report 2019-AR-0001*

## Purpose

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The Office of Inspector General (OIG) conducted an audit of the City of Jacksonville's Kids Hope Alliance (KHA), Neighborhood Faith-Based Intervention and Prevention Program (Faith-Based Program) in order to determine if the grant selection process was unbiased and Faith-Based Program Agreements (Agreements) were executed in accordance with the terms of the Agreement for the period September of 2018 to March of 2020 and in accordance with KHA policies and procedures.

The objectives of the audit were to determine whether (1) the vendor selection process was unbiased, free of any conflicts of interest or influence in the selection of vendors; (2) Agreement requirements were fulfilled; and (3) the Faith-Based Program Agreements had proper oversight.

## Findings, Observations and Recommendations

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### **Finding 1: Lack of Agreement Oversight**

Former KHA Senior Management failed to provide oversight for the Faith-Based Program Agreements from October of 2018 to mid-February of 2019, a period of approximately four months. The Audit determined former KHA Senior Management failed to assign case management responsibility for the Faith-Based Agreements until mid-February of 2019.

### **Recommendation 1:**

Update the KHA *Policies and Procedure Manual, Contract Management File Policy* to ensure that oversight of Agreements and/or contracts begins within a set time frame after execution. The updated policy should include a periodic internal compliance review of all active Agreements and/or contracts in order to ensure services are being performed in accordance with the terms and scope of work.

### **Finding 2: Failure to Obtain Monthly Program Reports**

KHA failed to obtain approximately 33 percent of the monthly program reports (25 out of 76) from the participating vendors, as specified in the Agreements. KHA attempted to obtain 17 of the 25 monthly program reports from one vendor, however, the vendor failed to comply. The purpose of the monthly program reports was, in general, to document the Faith-Based Program's efficiency and effectiveness and determine whether the vendors were able to deliver services for the Faith-Based Program.

**Recommendation 2:**

Update the KHA *Policies and Procedure Manual, Contract Management File Policy* to incorporate a periodic supervisory compliance review process to ensure KHA contract managers have obtained all required documents in accordance with Agreements and/or contracts before reimbursements are approved and disbursed.

KHA should periodically, e.g. quarterly or semi-annually, review the KHA *Policies and Procedure Manual, Contract Management File Policy* with the contract managers to ensure proper contract case management.

**Observation 1: Unused Faith-Based Program Funding**

As of July of 2020, approximately \$12,455 of the original \$50,000 of Faith-Based Program funds remained unused. This figure represents approximately twenty-five percent of Faith-Based Program funding. Of note, one vendor did not use any of the \$5,000 Faith-Based Program funds they had been awarded.

**Recommendation 3:**

KHA should coordinate with the Office of Grants and Contract Compliance to ensure that the unused Faith-Based Program funds are returned to the COJ general fund, or where deemed appropriate by the Office of the Mayor's Administration.

Update the KHA *Policies and Procedure Manual, Contract Management File Policy* to ensure that the closeout process is conducted within a set time frame, e.g. within 30 days of the end of the term of an Agreement or contract, in order to identify whether there are any remaining funds and determine the appropriate disposition of those funds.

## Conclusion

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The Faith-Based Program Audit concluded that the vendor selection was unbiased and free of any conflicts of interest or influence. Internal controls over the bid-opening and evaluation process were adequate and functional.

The OIG Audit disclosed that KHA failed to provide oversight of the Faith-Based Program Agreements for approximately four months. In addition, KHA failed to obtain monthly program reports, as required by the Agreements and in accordance with KHA *Policies and Procedure Manual, Contract Management File Policy*.

The Audit determined that approximately \$12,455 in Faith-Based Program funds remained unused as of July of 2020.

## Results

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In response to OIG recommendations, KHA updated its Contract and Grant Management Procedure to include periodic supervisory compliance reviews and provide semi-annual refresher training for contract managers. In addition, KHA will coordinate with the Office of Grants and Contract Compliance to ensure that the unused funds, approximately \$12,455, are returned appropriately as deemed by the Office of the Mayor. KHA also updated procedures to ensure closeout documents for agreements, contracts, and/or grants are submitted within 60 days of the end of the term, to identify any remaining funds and appropriate disposition of such funds.

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# AUDIT REPORT

## Authority

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This audit was conducted pursuant to Section 1.203(c), Charter of the City of Jacksonville, and Section 602.303(a-c), *Ordinance Code*.

## Background

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In August of 2018, the Office of Mayor Lenny Curry (Mayor's Office), City of Jacksonville (COJ), appropriated \$50,000 for the Neighborhood Faith-Based Intervention and Prevention Program (Faith-Based Program). The Faith-Based Program awarded grants to various vendors intended for intervention and prevention programs to address youth violence, providing immediate assistance to youth with pathways out of violence. Each of the Faith-Based Program Agreements (Agreements) had a maximum indebtedness not-to-exceed amount of \$10,000. The Mayor's Office tasked the Kids Hope Alliance (KHA) to assist in the evaluation process and provide overall oversight and contract management for the Faith-Based Program.

The Faith-Based Program's Request for Proposal (RFP) Bid Number ESC-0567-18 was prepared by the Office of Grants and Contract Compliance, Finance and Administration Department, City of Jacksonville. The bid opening was held on September 14, 2018, at 2:00 P.M.

The Grants Administrator and the Chief Strategy Officer (CSO), KHA, evaluated the responsive bids. After the responsive bids were evaluated, the COJ entered into six separate Agreements, four at \$10,000 each and two at \$5,000 each. The Agreements were executed in October of 2018, and the term of the Agreements was in effect until September 30, 2019. In July of 2019, KHA provided the vendors the option to extend the Agreement term to March 31, 2020.

Each Agreement stated that the vendor shall provide services consistent with the scope of work for the Faith-Based Program and budget contained in their respective responses. In addition, the Agreement required vendors submit monthly program reports to KHA, which detailed, "*the status of the Program's goals and objectives and the number of youth served.*"

## Scope, Objectives, and Methodology

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The purpose of the Faith-Based Program Audit was to determine if the vendor selection process was unbiased and Agreements were executed in accordance with governing policies and procedures for the term of the Agreements, September of 2018 to March of 2020. The scope of the audit included:

- Request for Proposal (RFP);
- Selection and Evaluation Process;
- Agreement Execution and Compliance; and
- Agreement Management and Payment Oversight.

The objectives of the audit were to determine whether (1) the vendor selection process was unbiased, free of any conflicts of interest or influence in the selection of vendors; (2) Agreement requirements were fulfilled; and (3) the Faith-Based Program Agreements had proper oversight.

In order to achieve the objectives, the OIG:

- Interviewed the evaluators;
- Recalculated evaluation tabulations;
- Assessed whether the vendors awarded grants met the RFP requirements;
- Determined whether governing laws, policies, and procedures were adhered to; and
- Evaluated whether Agreement requirements were fulfilled.

The OIG reviewed the following governing directives, policies, and procedures:

- City of Jacksonville's *Ordinance Code*, Section 126.106, *Procurement Code*;
- Procurement Division Procurement Manual, dated May of 2018;
- RFP for Neighborhood Faith-Based Intervention and Prevention Program;
- Faith-Based Program Agreements; and
- KHA *Policies and Procedure Manual*.

The OIG interviewed both evaluators of the Faith-Based Program; the Chief of Procurement and a Purchasing Analyst, Procurement Division; various KHA contract management employees; and multiple vendors that had been awarded Agreements.

The OIG reviewed the Faith-Based Program selection process to ensure:

- Vendors signed and submitted all necessary forms on time;
- Vendors met RFP minimum requirements;
- Evaluators independently scored each qualified vendor; and
- Vendors' scores were calculated correctly.

The OIG reviewed the scope of work proposed by the responsive bidders. In addition, the OIG reviewed all KHA contract management folders, which contained supporting documentation and proof of services, including monthly program reports.

The OIG reviewed the following financial records maintained by KHA either electronically or in hard copy:

- Vendor Budgets;
- *Financial Accounting Management Information System* (FAMIS) Vendor Summary;
- Grant Advances and Reimbursements; and
- Receipts, Invoices, and Proof of Payments submitted by vendors.

The Faith-Based Program Audit was conducted in accordance with the Institute of Internal Auditor (IIA) Standards (Red Book). In accordance with the standards, the OIG planned and performed the Audit to obtain sufficient, appropriate evidence to provide a reasonable basis for any findings and conclusions based on the Audit objectives.

## Findings

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### **Finding 1: Lack of Agreement Oversight**

Former KHA Senior Management failed to provide oversight for the Faith-Based Program Agreements from October of 2018 to mid-February of 2019, a period of approximately four months. The Audit determined former KHA Senior Management failed to assign case management responsibility for the Faith-Based Agreements until mid-February of 2019.

Based on a review of records and interviews, the Audit disclosed the following:

- Between October 15 and October 18, 2018, KHA entered into six separate Faith-Based Program Agreements.
- On October 24, 2018, the Grant Administrator communicated by e-mail with the former KHA Chief Strategy Officer (CSO) that KHA was to manage the Faith-Based Agreements.
- Between November 8 and November 30, 2018, five of the six vendors requested and received an initial advance of grant funds, as provided for in the Agreements. The Office of Grants and Contract Compliance approved the advances. The advances were processed by the Finance and Administration Department.
- On December 12, 2018, the former KHA Chief Executive Officer (CEO) inquired as to who was managing the Agreements. The Grant Administrator advised that the former KHA CSO was in charge.
- The OIG interviewed multiple vendors who confirmed that KHA contract managers did not reach out until February of 2019, although the Agreements were executed in October of 2018. Five of the six vendors received funds and began performing under the Agreements without any KHA oversight. The sixth vendor did not request any funds.
- On February 21, 2019, KHA conducted an orientation with the vendors who had been awarded Faith-Based Program grants. The orientation included, in part, an explanation of how to submit monthly reports and request expense reimbursements.
- A former KHA contract manager stated that KHA was unable to determine whether vendors properly performed within their scope of work from October of 2018 through mid- February of 2019.



The Audit determined that due to the failure of former KHA Senior Management to properly assign and oversee the Agreements, KHA did not provide a timely orientation to the vendors at the onset of the Agreements. This resulted in the vendors' inability to submit the required monthly program reports and KHA's inability to ensure that the vendors were performing under the terms of the Agreement for a period of approximately four months.

**Recommendation 1:**

Update the KHA *Policies and Procedure Manual, Contract Management File Policy* to ensure that oversight of Agreements and/or contracts begins within a set time frame after execution. The updated policy should include a periodic internal compliance review of all active Agreements and/or contracts in order to ensure services are being performed in accordance with the terms and scope of work.

**Finding 2: Failure to Obtain Monthly Program Reports**

KHA failed to obtain approximately 33 percent of the monthly program reports (25 out of 76) from the participating vendors, as specified in the Agreements. KHA attempted to obtain 17 of the 25 monthly program reports from one vendor, however, the vendor failed to comply. The purpose of the monthly program reports was, in general, to document the Faith-Based Program's efficiency and effectiveness and determine whether the vendors were able to deliver services for the Faith-Based Program.

More specifically, the executed Agreements stated verbatim, in part:

***Required Program Reports: Technical Assistance.** Contractor shall submit monthly program reports in a format approved by the KHA and with such information as requested by KHA regarding the status of the Program's goals and objectives and the number of youth served. Contractor agrees to accept technical assistance related to reporting from the KHA and make any reasonable changes in its reporting procedures, which will better facilitate the documentation of Program efficiency and effectiveness... KHA shall notify the City if sufficient staff, facilities and equipment necessary to deliver the Services for the Program cannot be maintained.*

In addition to the Agreements, KHA's *Policies and Procedures Manual: Contract Management File Policy*, effective date June 1, 2016, review date January 1, 2019, specified how information should be filed within the contract management file, more specifically, under Procedure 4. Section Three: "*Monthly Quarterly or Year End Monthly Reports.*"

More specifically, the KHA *Policies and Procedure Manual: Contract Management File Policy*, Procedure 2, stated verbatim, in part:

*...The contract file shall maintain the original copies of all contracts, amendments, contract managers (sic) checklist and contract processing checklist, and all supporting documentation for the contract.*

Based on a review of records and interviews the Audit disclosed the following:

- Monthly program reports were required to be submitted by vendors each month per the Agreements. Due to the lack of oversight mentioned above, monthly program reports for November of 2018 through February of 2019 were collected after the orientation and a KHA contract manager had been assigned.
- Based on a review of the KHA case management files, KHA failed to obtain approximately 33 percent of the monthly program reports (25 out of 76).
- As shown in the chart on the following page, vendors did not request reimbursement for incurred expenses until after February 21, 2019.
- Bethel Baptist Institutional Church, Inc. (Bethel Baptist) did not request an advance of funds and was non-responsive to the KHA contract manager. On August 21, 2019, KHA submitted a complaint to the City of Jacksonville's Office of the Ombudsman regarding Bethel Baptist's non-compliance. On September 11, 2019, Bethel Baptist submitted a letter to KHA rescinding acceptance of the Faith-Based Program grant.

The *Faith-Based Program Monthly Program Reports and Funding Analysis* chart on the following page reflects a summary of all monthly program reports collected (and non-collected) and when expenses were incurred and when reimbursements were requested and approved. In addition, the chart highlights that KHA reimbursed Operation Save our Sons, Inc. without obtaining any of the 17 monthly program reports, as required by the Agreement.

Faith-Based Program - Monthly Program Reports and Funding Analysis												
	Don't Miss A Beat		U-Turns, Inc.		Jax Urban League		St. Paul Missionary		Operation SOS		Bethel Baptist	
	Program Report	Received Funds	Program Report	Received Funds	Program Report	Received Funds	Program Report	Received Funds	Program Report	Received Funds	Program Report	Received Funds
Oct-18		F		F		F						No Adv.
Nov-18	✓	Adv.	✓	Adv.	✓	Adv.	✓	Adv.	-	Adv.	~	~
Dec-18	✓		✓		✓		✓	F	-		~	~
Jan-19	✓		✓		✓		✓		-		~	~
Feb-19	✓		-		✓		✓		-	F	~	~
Mar-19	✓		✓		✓		✓		-		~	~
Apr-19	✓		-	E(1), R(1)	✓	E(1)	✓		-		~	~
May-19	✓		-	E(2), R(2)	✓	E(2)	✓		-		~	~
Jun-19	✓		✓	E(3), R(3)	✓	E(3)	✓		-		~	~
Jul-19	✓				✓	E(4)	✓		-		~	~
Aug-19	✓				-	R(1-4)	✓		-	E(1), R(1)	~	~
Sep-19	✓				✓	E(5)	✓		-		~	~
Oct-19	✓	E(1)			✓	R(5)	✓	E(1)	-		~	~
Nov-19	✓	R(1)			-		✓	R(1)	-		~	~
Dec-19	✓	E(2)			-	E(6)	✓	E(2)	-		~	~
Jan-20	✓	R(2)			-	E(7)	✓		-		~	~
Feb-20	✓				-	R(6)	✓		-		~	~
*Mar-20	✓	E(3)			✓		✓	E(3)	-		~	~
Apr-20		R(3)				R(7)		R(2)			~	~
May-20								R(3)			~	~

**LEGEND:**

- Monthly Status Reports were obtained after February 21, 2019.
- The vendor completed their grant program in June of 2019.
- F First expenses incurred by the vendor.
- E(#) Expense(s) submitted for reimbursement by vendor.
- R(#) Reimbursement(s) received by vendor
- Adv. One time advance on grant funds received.
- No monthly report was obtained by KHA.
- ~ Bethel Baptist did not participate in Program.
- \* Grant Programs concluded March 31, 2020.

**Recommendation 2:**

Update the KHA *Policies and Procedure Manual, Contract Management File Policy* to incorporate a periodic supervisory compliance review process to ensure KHA contract managers have obtained all required documents in accordance with Agreements and/or contracts before reimbursements are approved and disbursed.

KHA should periodically, e.g. quarterly or semi-annually, review the KHA *Policies and Procedure Manual, Contract Management File Policy* with the contract managers to ensure proper contract case management.

## Observations

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### **Observation 1: Unused Faith-Based Program Funding**

As of July of 2020, approximately \$12,455 of the original \$50,000 of Faith-Based Program funds remained unused, as highlighted in the *Faith-Based Program Unused Funds Summary* below. This figure represents approximately twenty-five percent of Faith-Based Program funding. Of note, one vendor did not use any of the \$5,000 Faith-Based Program funds they had been awarded.

<b>Faith-Based Program - Unused Funds Summary</b>		
<b>Vendor</b>	<b>Amount Awarded</b>	<b>Unused Funds</b>
St. Paul's Missionary	\$ 5,000.00	\$ 1,663.82
Jax Urban League	\$ 10,000.00	\$ 0.50
U-Turns, Inc.	\$ 10,000.00	\$ -
Don't Miss a Beat	\$ 10,000.00	\$ 4,270.33
Operaton SOS	\$ 10,000.00	\$ 1,519.86
Bethel Baptist	\$ 5,000.00	\$ 5,000.00
<b>Total</b>	<b>\$ 50,000.00</b>	<b>\$ 12,454.51</b>

### **Recommendation 3:**

KHA should coordinate with the Office of Grants and Contract Compliance to ensure that the unused Faith-Based Program funds are returned to the COJ general fund, or where deemed appropriate by the Office of the Mayor's Administration.

Update the KHA *Policies and Procedure Manual, Contract Management File Policy* to ensure that the closeout process is conducted within a set time frame, e.g. within 30 days of the end of the term of an Agreement or contract, in order to identify whether there are any remaining funds and the appropriate disposition of those funds.

## Conclusion

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The Faith-Based Program Audit concluded that the vendor selection was unbiased and free of any conflicts of interest or influence. Internal controls over the bid-opening and evaluation process were adequate and functional.

The OIG Audit disclosed that KHA failed to provide oversight of the Faith-Based Program Agreements for approximately four months. In addition, KHA failed to obtain monthly program reports, as required by the Agreements and in accordance with KHA *Policies and Procedure Manual, Contract Management File Policy*.

The Audit determined that approximately \$12,455 in Faith-Based Program funds remained unused as of July of 2020.

## Economic Impact: \$12,455

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The Audit disclosed that approximately \$12,455 of the original \$50,000 of Faith-Based Program funds remains unused.

## Management's Response

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On August 6, 2020, the Office of Mayor Curry, City of Jacksonville, Florida, was provided the opportunity to submit a written explanation or rebuttal to the findings as stated in the draft Audit, due on or before August 26, 2020. On August 26, 2020, the Office of Mayor Curry requested an extension, which the OIG granted, until August 31, 2020. On August 31, 2020, a written response was received from the Office of Mayor Curry and is attached in its entirety to this report.

In response to OIG recommendations, KHA updated its Contract and Grant Management Procedure to include periodic supervisory compliance reviews and provide semi-annual refresher training for contract managers. In addition, KHA will coordinate with the Office of Grants and Contract Compliance to ensure that the unused funds, approximately \$12,455, are returned appropriately as deemed by the Office of the Mayor. KHA also updated procedures to ensure closeout documents for agreements, contracts, and/or grants are submitted within 60 days of the end of the term, to identify any remaining funds and appropriate disposition of such funds.

Attachment:

1 - Office of Mayor Curry response, dated August 31, 2020

cc: OIG Audit Distribution 2019-AR-0001



ONE CITY. ONE JACKSONVILLE.

# City of Jacksonville, Florida


*Lenny Curry, Mayor*

City Hall at St. James  
117 W. Duval St., Suite 400  
Jacksonville, FL 32202  
(904) 630-CITY  
www.coj.net

## **MEMORANDUM**

DATE: August 31, 2020

TO: Lisa Green  
Inspector General

FROM: Brian Hughes  
Chief Administrative Officer 

RE: 2019-AR-0001 – Draft Report  
Kids Hope Alliance  
Neighborhood Faith-Based Intervention and Prevention Program Audit

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I have reviewed the recommended corrective actions in your report dated August 6, 2020 and offer the following responses:

### **Finding 1: Lack of Agreement Oversight**

**Recommendation 1:** Update the KHA Policies and Procedure Manual, Contract Management File Policy to ensure that oversight of Agreements and/or contracts begin within a set time frame after execution. The updated policy should include a periodic internal compliance review of all active Agreements and/or contracts in order to ensure services are being performed in accordance with terms and scope of work.

**Response:** The Contract Management File Policy has been amended to be more inclusive of other Contract Management requirements and renamed as the Contract and Grant Management Procedure. It includes requirements to assign a Contract Manager upon receipt of approval or award of a grant or contract by the appropriate Essential Services Category Director within one (1) week after award or approval to ensure oversight of the grant or agreement begins in a timely manner. In addition, a compliance function will be added to the organization. The Compliance function will review each new grant/agreement six months after a new program begins and then

each program will be reviewed on an annual basis after the initial review to ensure services are being performed in accordance with the terms and scope of work.

**Finding 2: Failure to Obtain Monthly Program Reports**

**Recommendation 2:** Update the KHA Policies and Procedures Manual, Contract Management File Policy to incorporate a periodic supervisory compliance review process to ensure KHA contract managers have obtained all required documents in accordance with Agreements and/or contracts before reimbursements are approved and disbursed.

**Response:** The Contract and Grant Management Procedure has been amended to include that the appropriate Essential Services Category Director will conduct periodic supervisory compliance reviews to ensure the contract managers have obtained all required documents in accordance with the agreements, contracts and/or grants before reimbursements are approved and disbursed. In addition, the procedure has been revised that Contract Administration will semi-annually provide a Contract Manager Refresh Review Training of the grant and contract management and process procedures.

**Observation 1: Unused Faith-Based Program Funding**

Recommendation 3: KHA should coordinate with the Office of Grants and Contract Compliance to ensure that the unused Faith-Based Program funds are returned to the COJ general fund, or where deemed appropriate by the Office of the Mayor's Administration.

Update the KHA Policies and Procedure Manual, Contract Management File Policy to ensure that the closeout process is conducted within a set time frame, e.g. within 30 days of the end of the term of an Agreement or contract, in order to identify whether there are any remaining funds and determine the appropriate disposition of those funds.

**Response:** KHA will coordinate with the Office of Grants and Contract Compliance to ensure that the unused Faith-Based Program funds are returned appropriately as deemed by the Office of the Mayor's administration. In addition, the Grant and Contract Management procedure has been amended to include language that the Essential Services Director, Contract Manager, and Finance Director will submit the closeout documents to City Accounting for an agreement, a contract and/or a grant within sixty (60) days of the end of the term in order to identify whether there are any remaining funds and to determine the appropriate disposition of the funds.

Please let us know if you have any questions or require additional information.

Attachments: KHA Procedure AD033





**POLICIES AND PROCEDURES MANUAL  
CONTRACT AND GRANT MANAGEMENT PROCEDURE**

<b>Section:</b>	Administration	<b>Procedure #:</b>	AD033
<b>Subject:</b>	Contract and Grant Management		
<b>Effective Date:</b>	6/1/2016	<b>Revised/Review Date:</b>	08/01/2020
<b>Approver:</b>	Michael Weinstein, Chief Executive Officer		

**PURPOSE:** The purpose of this procedure is to outline procedures for contract management, ongoing review, and the organization of contract files.

**PROCEDURE:**

1. This policy is applicable to all assigned personnel, temporary and permanent, appointed, and civil service employees of the City of Jacksonville, Kids Hope Alliance (KHA).
2. Within one (1) week of an approval of a grant or an award of a contract, the Essential Services Director will assign a Contract Manager to a specific grant or contract.
3. Within two (2) weeks of an approval of a grant or an award of a contract, the Essential Services Director and Contract Manager, along with an individual assigned from the accounting office, will create a deliverable and monitoring checklist to correspond with the request for proposal (RFP) and contract requirements to document the contractor's compliance.
4. The Contract Manager should not send reimbursement requests to the individual assigned from the accounting office for payment until all Deliverables have been met up until the date requested for payment. Contract Manager should indicate in their correspondence with accounting that all deliverables have been satisfied so that payment can be issued.
5. Each new grant/agreement will be reviewed for compliance by an appropriate assigned individual (not one of those mentioned above) six months after a new program begins; after which it will be reviewed on an annual basis. Recommendations for improvement will be reported to the Contract Manager's supervisor. Correction to the findings of the review should be completed within seven (7) business days of notification. Those corrections will be reviewed by the assigned individual for compliance. The Chief Executive Officer will be notified of any failure to bring a contract file into compliance within seven (7) business days.
6. The Essential Services Directors will periodically conduct supervisory compliance reviews to ensure the contract managers have obtained all required documents in accordance with the agreements, contracts and/or grants before reimbursements are approved and disbursed. The supervisory compliance reviews will be documented and maintained in the contract file.
7. The Essential Services Director, Contract Manager, and Finance Director in collaboration, will submit the closeout documents to City Accounting for a contract and/or a grant within sixty (60)





days of the end of the term in order to identify whether there are any remaining funds and to determine the appropriate disposition of the funds. All records related to the agreement, contract or grant will be retained in accordance with Florida Statute once the close out of funds is completed.

8. Contract Administration will provide semi-annually Contract Manager Refresh Review Trainings of the contract management and process procedures to ensure proper contract case management.
9. For all KHA funded contracts/programs, one file shall serve as the official contract file. The contract file shall be stored in a centrally located place available to all departments involved in monitoring and administering the contract. The contract file shall maintain the original copies of all contracts, amendments, contract managers checklist and contract processing checklist, and all supporting documentation for the contract. This file may be an electronic file containing all the required documents referenced below.
10. Each new contract year is maintained in a separate file with six sections. All materials should be filed upon receipt and kept in chronological order. Contract. The Information in the file should be filed at the corresponding tabs as follows:

**Section One:**

- Contract File Checklist (See Exhibit A)

**Section Two:**

- Certificate of Insurance (COI)
- Proof Sunbiz
- Contract Letter
- Procurement Award
- Budget/Narratives
- Application/ Responses
- W-9 if applicable
- Contract Manager's checklist
- Contract Processing checklist

**Section Three:**

- Monthly Quarterly or Year End Reports
- Dosage reports (i.e. ADA/UOS Reports)

**Section Four:**

- Introduction Letters
- Letter of intents, termination
- Notes from meeting site visits
- Monthly contract logs

**Section Five:**

- Site monitoring reports
- Programmatic reports
- Corrective Action Plans
- Contract File Review Results
- Supervisory Compliance Reviews
- Incident reports

**Section Six:**

- Final Payment Activity Log/Ledger
- Advance Payment Form
- Copies of invoice and supporting documentation
- Written documentation of payment problems and resolutions
- KHA audit reports
- Copy of Closeout Document (Copy of letter, final payment and/reimbursement)

11. Upon the full execution of a contract or contract amendment, supporting documents are turned over to the Contract Manager for filing and distribution of the executed contract to contractor. Upon receipt, Contract Managers are required to sign the Contract/Amendment Attestation Form (See Exhibit B) to properly track the movement of records from one department to another.

**Kids Hope Alliance  
Contract Manager's Checklist**

<b>Agency / Vendor:</b>	
<b>Program (s) Site Location (s):</b>	
<b>Contract Manager:</b>	
<b>Contract Number:</b>	
<b>Amendment Number:</b>	
<b>Contract Type (Circle One):</b>	Contract, Grant, MOA, MOU, Other
<b>Contract Administrator (Circle One)</b>	Watson or Newby

<b>Action / Location of Information</b>	<b>Mark ✓ for Yes or ✗ for No, &amp; Date</b>	<b>Comments</b>
1. Is the full legal name of the agency correct as listed on Sunbiz, state, and IRS records? Check Sunbiz		
2. Is the phone number, business address and email address of the agency point of contact listed and correct? Is the address of the program location listed and correct?		
3. Is the Title of the person authorized to sign the contract on behalf of the agency (President, CEO, or Owner)? If not, is there a Corporate Resolution attached?		
4. Is the amount of funding listed correctly on the procurement award or Schedule?		
5. Is the program's ADA and/or UOS correct? (Contract or Application)		
6. Is the correct attachments included (Scope of Services and/or Applications for Funding? Exhibits _____)		
7. Is the proof of insurance coverage (Certificate of Insurance) attached and up to date?		
8. Is this a new provider? If yes, attach a copy of a completed W-9 form. Has anything changed above from the previous contract? If yes, attach an updated W-9 Form completed		
9. Has the Provider submitted a completed ACH form and submitted to COJ Treasury Department?		
10. Does the budget and budget narrative balance and is each amount listed correctly? Does the budget match the budget entered in SAMIS?		
11. Has the budget been reviewed and approved by KHA Finance? Attach email confirmation and a copy of the Budget/Narrative approved by KHA Finance		
12. Is the Provider required to have a DCF License or Provisional, or Exemption? If so, please attach		
13. List Name of agency's Contract Manager (Email, Phone #)		

Signature of Contract Manager: \_\_\_\_\_

**Kids Hope Alliance  
Contract Manager's Checklist**

	Ensure Agency Name, Site Location, Contract Number and Amendment Number (if applicable) are listed on the checklist, circle administrator name <b>(Refers to the top of form.)</b>
1.	Sunbiz report can be obtained from Sunbiz.org. Sunbiz report should be included in packet , and Legal Name should match state and IRS Records, Contract Manger can obtain IRS Letter from the Agency. <b>(Refers to box 1.)</b>
2.	Ensure the principal location (site), business location (corporate), phone number, email address, and agencies point of contact is correct on application/site profile/ Scope of Service etc <b>(Refers to box 2)</b>
3.	The Authorized signer should be listed on Sunbiz as either a President, Owner, CEO of the Organization. If someone other than the authorized signer is going to sign the contract, a Corporate Resolution must be completed. The Corporate Resolution must be signed by the Corporate Board Secretary and a copy of the meeting minutes must be attached. <b>(Refers to box 3.)</b>
4.	Contract Managers should check the funding amount from their approved Procurement Award, Legislation/ Budget Ordinance. These documents can be obtained from your Essential Services Director of your Division <b>(Refers to box 4).</b>
5.	Check the program's ADA, UOS, Unit Cost to ensure it matches the application for funding and approved awarded amount <b>(Refers to 5)</b>
6.	The Contract Manager should ensure that the correct attachments are included in the packet (Scope of Service, application for funding, Letter of Intent, budgets and budget narratives.) <b>(Refers to 6).</b>
7.	The Contract Manager should check Letter of Intent, Budget, Budget Narrative etc. to ensure that they all match. <b>(Refers to box 7)</b>
8.	Certificate of Insurance (COI) must be included and should be approved by the City Risk Management Department. <b>(Refers to box 8).</b>
9.	If Provider is new to contracting with the City of Jacksonville (COJ) a W-9 must be completed by the provider. If an existing provider has any changes to their W-9 (such as address, phone number, etc.), an updated W-9 should be submitted <b>(Refers to 9).</b>
10.	The new provider must also complete an ACH Form and submit it to the City's Treasury Department. If any changes to the Provider ACH information, an updated form must be submitted to the City's Treasury Department <b>(Refers to box 10).</b>
11.	Check the budget and the narrative to ensure they both match and match the awarded procurement amount, check Unit of Service (UOS), unit cost, cost per child (if applicable) <b>(Refers to boxes 11).</b>
12.	If Provider is required to have a DCF License or Provisional, or Exemption? If so, please attach a copy of the appropriate document (Afterschool only) <b>(Refers to box 12).</b>
13.	Provide the name, email address, and phone number for the Contract Manager for the agency.



**KIDS HOPE ALLIANCE  
CONTRACT ATTESTATION FORM  
(Type or Print in Ink)**

**This form serves as an attestation that the following executed contract/amendment has been received and accepted by the Contract Manager.**

<b>Organization:</b>	<b>Contract #:</b>	<b>Amount:</b>

**PLEASE NOTE: It is the Contract Manager's responsibility to ensure that all contractual documents are placed in the contract file and that a copy of the fully executed contract and/or amendment is sent to the Contractor.**

<b>Contract Manager Printed Name:</b>
<b>Essential Service Category:</b>
<b>Date:</b>

**Contract Manager Signature: \_\_\_\_\_ Date: \_\_\_\_\_**