

Policies and Procedures for Grant Administration



ILLINOIS COALITION
AGAINST DOMESTIC VIOLENCE

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Section I: Definitions

RFP (Request for Proposal): The document ICADV distributes to domestic violence agencies to complete for pass through funding.

Proposal: The domestic violence agency's response to the RFP or RFCP. It is the domestic violence agency's grant application for the funded project.

ICJIA: Illinois Criminal Justice Information Authority, state agency who serves as source funder administering VOCA and VAWA dollars.

IDHS: Illinois Department of Human Services, state agency who serves as source funder administering general revenue, fine, Title XX, and FVPSA funding.

FVPSA: Family Violence Prevention Services Act, federal funding for direct client services from the U.S. Department of Health and Human Services.

General Revenue Funding: INSERT IF DHS ADMIN COMES THRU

Fine Funding: INSERT IF DHS ADMIN COMES THRU

Title XX Funding: INSERT IF DHS ADMIN COMES THRU

Subrecipient: Domestic violence agency receiving pass through funding subcontract.

Subcontract: Document/contract ICADV has with subrecipient domestic violence agencies.

Domestic Violence Agency: A service provider that:

- Is a legally incorporated 501(c)(3) or operates within a legally incorporated 501(c)(3) organization and which has a principal mission is to provide services to victims of domestic violence. Services consist of one or more of the following: information, crisis intervention, emergency shelter, referral, counseling, advocacy, or emotional support.
- Has a record of providing effective, victim-centered services for the past two years. Victim-centered services are those that promote empowerment and self-determination of victims and which hold abusers accountable for their behavior.
- Provides services that are free, nondiscriminatory and confidential;
- Provides all staff and volunteers with 40 hours of domestic violence training. Staff trained after July 1, 2004, must be trained by a site approved by the Illinois Certified Domestic Violence Professionals;
- Provides 24 hour telephone accessibility by personnel without requiring the victim to make a second phone call or wait for a return phone call;
- Provides access to safe housing, including access to trained staff and services to effectively meet the needs of victims;
- Has demonstrated ability to utilize an intake assessment to determine eligible clients and uses appropriate service plans for eligible clients;
- Assists victims in seeking available crime victim compensation benefits;
- Promotes coordinated public and private efforts within the local community to aid crime victims;
- Has credibility within their service community regarding provision of services to domestic violence victims.

ICADV Program Council Funding Oversight Committee: The Program Council committee of the Illinois Coalition Against Domestic Violence composed of Program Council member agency delegates. The primary functions of the Committee are to oversee the funding application process, review funding applications, make funding recommendations, and oversee the monitoring of pass through funding. This committee determines how much funding is allocated to priority service areas determined by the Program Council Services Standards Committee. ICADV recognizes the value of regional representation, particularly in the context of fair funding decisions. As such, the Funding Oversight Committee shall strive to maintain regional balance among its members. The committee shall consist of 8-12 number of people. Each committee member will commit to fully participation for a three year term.

ICADV Program Council Services Committee: The Program Council committee of the Illinois Coalition Against Domestic Violence composed of Program Council member agency delegates. The primary functions of the Committee are oversee the development of the Services Guidelines for Domestic Violence Agencies and identify and address emerging trends in service delivery. This committee also determines priority areas for new or significant increases in funding. This committee will oversee the work to strengthen the effectiveness of the resource development and technical assistance.

Section II: New Funds/Projects

Allocation of New Funds

- The Services Committee shall consult with the source funder to consider the restrictions of the source funds and determine how current service needs may fit within those parameters. Services Committee will make recommendations to the Program Council about how to most effectively prioritize new funds. The Funding Oversight Committee shall use those priorities in determining the application process guidelines for allocating those new funds.

Eligibility for funding

- RFPs for new grant funds for new projects will be distributed to currently funded subrecipients and to new domestic violence agencies that are on the ICADV mailing list or that request a RFP.
- A letter of intent will be required from each domestic violence agency prior to submission of a proposal. Letters of intent must be received in the ICADV office no later than 4:00 pm on the due date indicated in the RFP for the given project. Late letters of intent will not be accepted and the agency will not be allowed to submit a proposal for the given project.
- All domestic violence agencies must be in compliance with the ICADV Assurances Agreement in order to be eligible for funding.
- Proposals and/or continuation materials must be received in the ICADV office no later than 4:00 pm on the due date indicated in the RFP for the given project. Late proposals will not be accepted.
 - *Acts of God* If an act of God, such as a hurricane, flood, earthquake or other natural disaster occurs, and this act of God prevents an agency from submitting its proposal materials by the deadline, the domestic violence agency will be allowed to submit its materials as soon as the capability to do so has been restored or within seven (7) days of the deadline, whichever is sooner. Both the act of God and the resulting inability to submit their proposal must occur at the agency submitting the late materials.
 - *Communications Operations Failure* The interruption or failure of electricity, internet or telephone service that is not related to an act of God as described above is insufficient to warrant an extension of a deadline. An agency/organization experiencing failure of electricity, internet or telephone service or any similar occurrence not related to an act of God, must take whatever steps are necessary to meet the submission deadline. Proposals which are late due to failure in communications operations systems at the agency will not be accepted.

Drafting RFPs

- Staff completes a draft of the RFP and submits it to the Funding Oversight Committee for revisions and approval. After approval by the Funding Oversight Committee, the RFP is sent to the source funder for approval, if necessary. If the source funder requests substantive revisions, staff will consult with the Funding Oversight Committee before making the revisions and submitting the revised RFP to the source funder. The Funding Oversight Committee authorizes staff to make editorial revisions requested by the source funder without prior approval by the Funding Oversight Committee.

RFP Application

- ICADV may require, on occasion, regional Bidder's Conferences (pending funding). The Bidder's Conferences will provide domestic violence agencies with information and technical assistance to complete a proposal in response to an RFP. Domestic violence agencies that are not currently funded must attend the Bidder's Conference to be eligible for funding. Technical assistance will be available for completing the proposal from ICADV staff.

Review of Materials

Proposals

1. A team of readers will be composed of ICADV staff and Funding Oversight Committee members.
2. A minimum of three readers will review each proposal (two ICADV Funding Oversight Committee members, one non-affiliated reader). A non-affiliated reader is an individual not currently employed in the domestic violence community but who has familiarity of the issue of domestic violence. One non-affiliated reader will be recruited as back-up readers in the event a non-affiliated reader's scores are disallowed. These readers will be informed that they will share the reading responsibilities amongst themselves and will have a shorter time frame in which to complete the review and scoring process. All readers must complete and return to ICADV a Conflict of Interest form disclosing any current or potential conflicts of interest regarding agency proposals.
3. In addition to the proposals the readers will be scoring, readers will be given a copy of the RFP instructions that was sent to applicants. This will include a listing of the scoring points that are attached to each section. Readers will also be provided with a score sheet for each proposal.
4. Readers will be given scoring guidelines to ensure uniformity in the scoring process. Readers will also participate in a training session covering proposal application process, requirements of the request for proposal, and scoring guidelines.
5. Score sheets will be collected and compiled by ICADV staff. ICADV staff will average score sheets from each of three readers to determine the final score of each proposal.
6. After final scoring is completed, proposals will fall into one of the following categories:
 - a. 90-100 points: Fund proposal as is. Domestic violence agency may be asked to provide clarification as needed.
 - b. 80-89 points: Fund proposal contingent upon revisions requested by readers
 - c. 79 and below: Proposal shall not be funded.
7. Domestic violence agencies will be notified in writing via e-mail of the status of their proposals (funded or not funded and any clarifications or revisions necessary) within two weeks of final funding decisions. Domestic violence agencies scoring 90 points or below will also receive any list of strengths and weaknesses noted by the readers. For any proposal scoring over 90 points, the domestic violence agencies must specifically request the notes.
8. Revisions for proposals described in 6.B above will be reviewed, rescored and approved accordingly by staff. If necessary, staff will consult with one of the original readers of that proposal. Revisions submitted for proposals described in group 6.C above will be reviewed and rescored by one of the original readers of the proposal.
9. Each reader must submit one score sheet for each proposal s/he was asked to review. Failure of a reader to submit score sheets for each reviewed proposal will result in all scores of that reviewer being disallowed. If a set of scores are disallowed, the Funding Oversight Committee will determine whether it is necessary to repanel the proposals to another reader.
10. If a set of scores from an ICADV Funding Oversight Committee Member disallowed the Funding Oversight Committee will determine whether it is necessary to panel the proposals to another reader. If the scores from the other two readers are substantially similar and no major concerns were noted, the Funding Oversight Committee may choose not to repanel the proposals to another reader and instead average the scores of those two readers. If there is a difference of ten points or more between the two readers' scores and/or major concerns were noted in the scoring by the other two readers, the Funding Oversight Committee may choose to repanel the proposals to another Funding Oversight Committee Member.
11. If a set of scores from a non-affiliated reader is disallowed, the Funding Oversight Committee will call upon the three back-up non-affiliated readers to divide the proposals amongst each other and read and score them.

Late Revisions and continuation for years two and three

- Revisions and/or continuation materials to proposals must be submitted no longer than four weeks after the revisions are requested.
- Two weeks following the request for revisions or continuation materials, ICADV staff will send a courtesy email reminding agencies of the deadline. The agency, however, is responsible for meeting the deadline regardless of whether it receives the email reminder. If an agency has not submitted the revisions and/or continuation materials by the deadline, ICADV staff will email the agency and include information on the deadline and policies.
 - *Agencies submitting revisions and/or continuation materials up to 48 hours late* will be fined \$500. Those received in the ICADV office more than 48 hours after the deadline will not be accepted.
 - *Acts of God* If an act of God, such as a hurricane, flood, earthquake or other natural disaster occurs, and this act of God prevents an agency from submitting its revision and/or continuation materials by the deadline, the domestic violence agency will be allowed to submit its materials as soon as the capability to do so has been restored or within seven (7) days of the deadline, whichever is sooner. Both the act of God and the resulting inability to submit their revisions and/or continuation materials must occur at the agency submitting the late materials. Agencies that are late in their submission due to an act of God are not subject to the fine.
 - *Communications Operations Failure* The interruption or failure of electricity, internet or telephone service that is not related to an act of God as described above is insufficient to warrant an extension of a deadline. An agency experiencing failure of electricity, internet or telephone service or any similar occurrence not related to an act of God, must take whatever steps are necessary to meet the submission deadline. Revisions which are late due to failure in communications operations systems at the agency are subject to the above-referenced \$500 fine.

Unsatisfactory Revisions

- Agencies will be encouraged to contact ICADV staff for technical assistance in completing revisions.
- Unsatisfactory revisions may result in a recommendation by the ICADV Funding Oversight Committee to the ICADV Board of Directors to deny funding of the proposal. See Section VII: Reconsideration Policy

Continuation Materials

- Materials to continue projects funded by the RFP in years two and three must contain a new budget and budget narrative, service and outcome objectives for that year. However, if the project scope or type of services differs significantly from the year one application, more detailed materials will be required. Continuation materials will be reviewed by ICADV staff.

Section III: Allocation of Contracts Annual Timeline

See Appendix A: Grant Administration Timeline.

Section IV: Monitoring of Projects

Subrecipients will be monitored on an ongoing basis, as provided in the contracts between ICADV and source funder(s). In addition to review of statistical accomplishments and fiscal compliance, ICADV completes annual site visits and reports for a percentage of the funded projects as agreed between ICADV and source funders

The ICADV monitoring staff will utilize the Program Monitoring Criteria to determine which subrecipients shall receive a site visit during that fiscal year. The criteria include newness of the grant to the agency, newness or change in key personnel, accuracy of fiscal reports, and a variety of other factors. See Appendix B: Program Monitoring Criteria. In addition, the Coordinators may consider other factors which could indicate that an agency would benefit from technical assistance.

In conducting the site visit, the monitoring staff will utilize the Site Visit Check List Tools to evaluate a subrecipient's projects during a site visit. The tools assess the agency's compliance with ICADV Assurances; Administration, Fiscal Documentation, Personnel, Confidentiality, Safety Procedures, Service Documentation and Program Performance. See Appendix C: ICADV Site Visit Check List Tools -.

Site Visits

Site visits will help monitoring staff identify how well a subrecipient is complying with the Illinois Domestic Violence Services Guidelines Manual and meeting approved service delivery objectives. Review of materials and interviews with staff during a site visit will guide the monitoring staff in the completion of the site visit tool. Any criteria not being executed shall be identified on the site visit tool and a corrective action plan will be required when key criteria are lacking.

- ICADV monitoring staff will report to the Funding Oversight Committee when corrective action plans are required, technical assistance needs are identified, and/or on completion progress of corrective action plans. The Funding Oversight Committee will report on actionable items to the Program Council as needed.
- Subrecipients that receive a corrective action plan will be required to implement that plan in accordance with a timeline for the completion of those steps agreed upon between ICADV and the subrecipient. Failure to complete the corrective action steps will result in a follow-up call from ICADV monitoring staff for explanation and revised plan to complete. If the second deadline is passed, ICADV monitoring staff will conduct an on-site technical assistance visit and complete a site visit report addendum noting agency non-compliance. In addition the agency will be placed on the following year's site visit list and the Funding Oversight Committee will be informed and will provide guidance on next steps.
- Based upon review of materials submitted by staff, the recommendation to terminate or suspend funding for a subrecipient may be made by the ICADV Funding Oversight Committee to the ICADV Board of Directors. The ICADV Board of Directors will notify the source funder and the unfunded agency of recommendations to terminate funding. The unfunded agency shall also be notified of its right of reconsideration of funding recommendations made by the ICADV Board of Directors.

Reporting Requirements: Fiscal Reports, Statistical Reports, Subcontracts, and Audits

Subrecipients will be notified of due dates for fiscal reports, statistical reports, audits, and other required materials at the beginning of the fiscal year. Subrecipients will be notified of due dates for each subcontract in correspondence which accompanies each subcontract.

- Timely receipt of subrecipients' fiscal reports is required. Payments shall not be dispersed by ICADV until fiscal reports are received.
- If, for each project, a subrecipient submits three or more fiscal reports or two or more statistical data reports after their respective due dates in any one fiscal year, the subrecipient will be required to implement specific

corrective action steps in accordance with a timeline for the completion of those steps that is agreed upon between ICADV and the subrecipient. Failure to complete the corrective action steps within the timeline may result in a termination of the subcontract or reduction in funding of the subcontract for that specific project from the date of notice forward.

Based upon review of materials submitted by staff, the recommendation to terminate funding for a project will be made by the ICADV Funding Oversight Committee to the ICADV Board of Directors. ICADV Board of Directors will notify the source funder and the unfunded agency of recommendations to terminate funding.

Suspension of Funds

A suspension of funds is defined as the temporary suspension of payments on an active agreement between a Subrecipient and ICADV. The Funding Oversight Committee may determine a suspension of funds is necessary should ICADV become aware of any of the following scenarios:

1. failure of the subrecipient to pay worker's compensation, unemployment taxes, or other taxes and/or fees required by law;
2. failure of the Board or staff of the subrecipient to exercise due diligence with respect to documented misuse of funds by the subrecipient's Board or staff;
3. loss of the subrecipient's 501(c)(3) status;
4. failure of the subrecipient to meet ICADV assurances/agreements, VOCA eligibility requirements, or other contractual requirements; or
5. other activity, including illegal or unethical acts, serious enough to warrant further investigation.

Subrecipient shall be notified immediately in writing of any suspension of funds. In the event of a suspension of funds, the agency may immediately cease all ICADV funded activities, if they so choose. If the investigation results in the Funding Oversight Committee voting to terminate funding to that subprovider, the Funding Oversight Committee will make a recommendation to the *ICADV Board of Directors for the final decision.

*The ICADV Executive Committee is authorized by the ICADV Board to represent the ICADV Board when a timely response is necessary.

Section V: Notification and Right to Request Reconsideration of Funding Decisions

The ICADV Board of Directors will give subrecipients written notification, sent via “proof of receipt” mail, of decisions to suspend or terminate funding. The ICADV Board of Directors will give applicants written notification of decisions to deny funding of grant proposals. The ICADV Board of Directors will also inform the subrecipient/applicant of the right of reconsideration, as outlined in Section VII: Reconsideration Policy of this manual.

Section VI: Reconsideration Policy

If a subrecipient or applicant domestic violence agency requests reconsideration of an ICADV funding decision, the following procedures are to be followed:

1. The domestic violence agency shall submit a written statement explaining why the domestic violence agency challenges the decision of ICADV to the Funding Oversight Committee and any other relevant information no later than ten working days following the date of notification that the domestic violence agency was not funded.
2. The Funding Oversight Committee shall respond in writing to the request within seven working days following the receipt of the request and may include a request for a meeting to discuss the matter with the applicant domestic violence agency. Response of the Funding Oversight Committee shall include reasons why funding was denied, reduced, terminated, or restored.
3. If the domestic violence agency is not satisfied with the Funding Oversight Committee's response, the domestic violence agency may submit its request to the ICADV Board of Directors* no later than seven working days after the receipt of the Funding Oversight Committee's response.
4. The ICADV Board of Directors* shall respond in writing to the grievance no later than seven working days after the request is received. The decision reached by the ICADV Board of Directors* shall be final. Response of the ICADV Board of Directors* shall include reasons why funding was denied, reduced, terminated, or restored.
5. If the domestic violence agency is not satisfied with the ICADV Board of Directors'* response, the domestic violence agency may submit, in writing, with a copy being sent to the ICADV Board of Directors*, the domestic violence agency's request to the source funder within seven working days of the receipt of the ICADV Board of Directors'* response. The decision of the ICADV Board of Directors* stands firm until the source funder communicates its decision on the request to the domestic violence agency and to ICADV.
6. Funds in dispute shall not be reallocated by ICADV [or source funder] until the reconsideration process is concluded.

*The ICADV Executive Committee is authorized by the ICADV Board to represent the ICADV Board when a timely response is necessary.

Section VII. Allocation of Lapsing Funds

The Funding Oversight Committee delegates to ICADV staff responsibility for making recommendations to source funders about the use and re-allocation of lapsing funds and funds returned from subrecipients during or at the end of the fiscal year, up to \$30,000. ICADV staff shall keep the Funding Oversight Committee informed of the status of any lapsing funds.

When lapsing and returned funds exceed \$30,000, ICADV staff shall make recommendations to the Funding Oversight Committee regarding use and re-allocation. The Funding Oversight Committee may choose to consult with the Services Committee before reallocating lapse funds. The Funding Oversight Committee's decisions about these funds shall be approved by the *ICADV Board of Directors and then provided as recommendations to the source funder.

ICADV staff shall advise the Funding Oversight of agencies who returned money at the end of a fiscal year. The subcommittee will provide timely technical assistance as needed through ICADV staff to assist agencies in spending down their funds. If a program returns \$2500 or more in lapse funds for two consecutive years, that program's award will be reduced in the next funding cycle by the amount returned in the second year. If the program spends the entire reduced award, it will be eligible to receive the full amount in the year following the reduction. This policy is project specific, so the consecutive years are counted within projects. The Funding Oversight Committee will make a final recommendation to the ICADV Board of Directors and then to the source funder.

*The ICADV Executive Committee is authorized by the ICADV Board to represent the ICADV Board when a timely response is necessary.

APPENDIX A: GRANT ADMINISTRATION TIMELINE

Grant Administration Timeline for the Following ICJIA/ICADV Contracts:

VOCA Adult Services

VOCA Child Services

VOCA Child Therapy Reimbursement Services

VAWA STOP Services

| | July | August | September | October | November | December |
|--------------------------------------|------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------|-------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------|
| Funding Oversight Committee | | | Review policies and procedures manual | | Review/Approve RFP/RFCP— changes approved by chair after meeting | Review source funder requested revisions to RFP/RFCP that are substantial |
| Services Funding Oversight Committee | | Review Coordinators' 4 th quarter report | | | Review Coordinators' 1 st quarter report | Review Coordinators' monthly report |
| ICADV Staff | | Review common problems apparent in last year's proposal submissions. These suggested revisions can be taken to Funding Oversight Committee in September. Ask source funders if there are any major changes that must be implemented in RFP/RFCP | Rewrite RFP/RFCP | Submit rewritten RFP/RFCP to Funding Oversight Comm. | Implement changes in RFP/RFCP Send RFP/RFCP to Funding Oversight. Comm. Chair for approval Submit RFP/RFCP to source funder as needed for approval | Implement source funder requested changes to RFP/RFCP (substantial revisions taken to Funding Oversight. Comm.) |
| Other Notes | | ICADV staff will send subcontracts, requests for closeouts, new fiscal reports to subrecipients in June/July ICADV staff will review number of late reports submitted during current fiscal year in January and June | | Services Standards Oversight Committee will consult with source funders for funding priorities of new funds | | |

| | January | February | March | April | May | June |
|-----------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Services Committee | Approve RFP/RFCP: changes necessary approved by chair | | Set meeting/conf. call proposal readers to discuss proposal/scoring Solicit readers: agency members and independent General funding recommendations to ICADV Board | | Make final funding recommendations to the ICADV Board of Directors | |
| Funding Oversight Committee | Review Coordinators' monthly report | Review Coordinators' monthly report Review site monitor's 2 nd quarter report | Review Coordinators' monthly report | Review Coordinators' monthly report | Review Coordinators' monthly report Review Coordinators' 3 rd quarter report | Review Coordinators' monthly report |
| ICADV Staff | Incorporate changes in RFP/RFCP required by Funding Oversight Committee Send changes to chair for approval Send changes to source funder for approval | Send RFP/RFCP/Cont. materials out to domestic violence agencies (due April) Request letters of intent Prepare preliminary reading instructions | Provide Funding Oversight Committee with prospective list of independent readers Draft source funder proposals Collect Letters of intent | Collect agency proposals/cont materials – these materials should be due on a Monday, Tuesday or Wednesday Send instructions and agency proposals to readers Coordinate meeting or conf call with readers/Funding Oversight. Comm. to discuss agency proposals Any issues in Subcontracts that need to be addressed by Funding Oversight Committee can generally be addressed via email. If an issue of concern requires a conference call, the Services Committee will be convened via phone. Submit subcontracts for source funder approval Send source funder proposals to ICJIA with nine months of accomplishment data and preliminary budget | Make any additional revisions to source funder proposals requested by source funder | Send revised source funder proposal with final budget and clarifications to source funder after award letter is received Send signed contract including exhibit A to source funder |

| | | | | | | |
|-------------|--|----------------------------------------------------------------------------------------------------------------|--|----------------------------------------------------|--|--|
| | | | | Make source funder requested Revisions to proposal | | |
| Other Notes | | Hold a bidder's conference in March to provide technical assistance for preparing proposals if funding permits | | | | |

APPENDIX B: SAMPLE PROGRAM MONITORING CRITERIA

Illinois Coalition Against Domestic Violence

PROGRAM MONITORING CRITERIA

| Factors | <i>Reason</i> | <i>Parameters</i> |
|-------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Newness of grant to grantee organization | Inexperience on the part of the grantee with new regulations and/or requirements may lead to errors | Site visit required → Organization has at least one grant that it has never had before and has had the grant for less than two years. 3→ Organization has had its grant(s) for three to five years. 1→ Organization has had its grant(s) for six years or more. |
| Newness of administrative personnel at grantee organization | Individuals who do not have grant administration experience or who are new to their organization could be more apt to make errors in the use of grant funds and implementing a DV program | 5 → Executive director or dv program director is new (one year or less). 4-2 → Executive director or dv program director have some experience running a dv program 1 → Executive director or dv program director have been with the Agency for 4 years or more |
| Amount of funds designated | The larger the grant(s) amount, the greater the risk of inappropriate or unallowable use of funds | <i>VAWA/VOCA</i> 5 → \$80,000 + 4 → \$60,000-\$79,999 3→ \$35,000-\$59,999 1 → \$0 - \$34,499 |
| Major changes in program | Personnel turnover and/or significant shifts in objectives are often precursors to more significant problems | 5 → Key staff turnover frequently, and/or numerous program/budget adjustments requested 4-2 → Some key program staff turnover or program/budget adjustments 1 → No changes in key program staff or requests for adjustments |
| History of accuracy of fiscal reports | Grantees with difficulty completing the fiscal reports may not be keeping the appropriate documentation to calculate and/or support the figures entered on the reports | 5 → Grantee appears to have difficulty in completing fiscal activity report 4-2 → Grantee shows some difficulty (i.e., errors in calculations) in completing fiscal activity report 1 → Fiscal reports are generally completed accurately |
| Results of previous programmatic site visits | Issues found during monitor site visits may require further follow-up to ensure that the situation has been corrected. | Site visit required→ Agency was unsuccessful in executing a corrective action plan or was untimely in doing so. Agency has difficulty meeting ICADV Assurances. Agency has not had a site visit in the previous two years. 5-4-> Funded projects who successfully completed recent corrective action plans or corrective action plans are currently being implemented. 3-2 → No correction action plan required but areas of suggested improvement were identified. 1 → No corrective action plans, no areas of improvement were identified. |
| Rating of RFCP | Grant proposal revealed weaknesses. | Site visit required → Proposal required re-writing and was re-scored at or above 70 pts. |

| | | |
|-----------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Results of independent audit reports, if applicable | Grantees with findings should be followed up on to ensure the situation has been corrected rather than continuing to exist | 5 → Most recent independent audit did not meet compliance requirements of A-133, or significant material findings are in the most recent audit. 4-3 → Some material findings in most recent audit 2 → Some immaterial findings in most recent audit 1 → Most recent audit had no material or immaterial findings |
|-----------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

A minimum of 50% of funded programs/organizations will be visited annually. Priority will be given to agencies where site visit is required, followed by those with highest scores.

APPENDIX C: SAMPLE ICADV SITE VISIT CHECK LIST TOOL

| | | |
|------------------------------------|--|-------------------------|
| Agency: | | Fiscal Year: |
| Monitoring Staff: | | Site Visit Date: |
| Staff Interviewed at Visit: | | |
| | | |
| Agency Grants: | | |
| ICADV Assurance Met? | | |

| ICADV Assurances | | | | |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|----|-------------|-------|
| | YES | NO | Field Notes | Dispo |
| Has provided ICDVP certified 40 hour training to direct service staff /volunteers hired after July 1, 2004. | | | | |
| Utilizes volunteers. | | | | |
| Assists victims in seeking crime victim compensation benefits? | | | | |
| Promotes coordinated public/private efforts with community to assist survivors? | | | | |
| Provides 24 hour telephone accessibility by 40 hour trained staff/volunteers without survivor having to make a 2nd phone call or wait for a return phone call. | | | | |
| Provides access to safe housing for victims of domestic violence including access to trained staff. | | | | |
| Provides all survivors of domestic violence free, nondiscriminatory, confidential services. | | | | |
| Acts on behalf of individual survivors with other social services/criminal justice agencies (as needed by survivor). | | | | |
| Provides ongoing training and education to community groups. | | | | |

AGENCY REVIEW

| Agency Administration | | | | |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|----|-------------|-------|
| | YES | NO | Field Notes | Dispo |
| Agency is operating under board approved policies. Indicate the last time policies were reviewed by the agency Board of Directors. | | | | |
| a) Personnel Policies | | | | |
| b) Client Confidentiality/Appeal | | | | |
| c) Safety and Security | | | | |
| d) Fiscal | | | | |
| Agency is in compliance with policies and procedures as required in the Services Guidelines Manual (see separate tool for list of required policies and procedures). | | | | |
| Board of Directors (BOD) does not consist of anyone who may have a conflict of interest. | | | | |
| Members of BOD sign conflict of interest statements. | | | | |
| Agency provided a list of the BOD. | | | | |
| Agency provided minutes for BOD meetings. | | | | |

| Agency Fiscal Documentation | | | | |
|-----------------------------------------------------------------------------------------------------------------------------|-----|----|-------------|-------|
| | YES | NO | Field Notes | Dispo |
| Fiscal documentation provided indicates the agency is segregating dollars by funder AND by project. | | | | |
| Fiscal documentation provided demonstrates that required match funds on grants are accounted for and segregated by project. | | | | |
| Agency's procurement procedure meets requirements for all funding sources: | | | | |
| VOCA - minimum of 3 bids for all | | | | |
| VAWA | | | | |
| Other | | | | |
| Agency's hiring procedures are competitive. | | | | |
| Agency's VOCA Child Therapy program has provided the required documentation: | | | | |
| a) Therapist's resume | | | | |
| b) Rate of Pay Certification (if subcontracting) | | | | |
| c) Documentation of other therapists' fees in same county (if subcontracting) | | | | |

| | | | | | |
|--|----------------------------------------------------|--|--|--|--|
| | d) Memorandum of Understanding (if subcontracting) | | | | |
|--|----------------------------------------------------|--|--|--|--|

| | | | | | |
|--|--------------------------------------------------------------------------------------------------------------|--|--|--|--|
| | All subcontractor agreements are on file (includes subcontract, amount, and budgets for each subcontractor). | | | | |
| | Agency has a process for monitoring subcontractor performance, expenditures and reporting. | | | | |

| Agency Personnel | | | | |
|------------------------------------------------------------------------------------------------------------|-----|----|-------------|-------|
| | YES | NO | Field Notes | Dispo |
| PERSONNEL FILES | | | | |
| Files are kept on each employee. | | | | |
| Job descriptions for each DV position are on file. | | | | |
| Application for employment is on file. | | | | |
| Background checks are on file. | | | | |
| 40 hour documentation on file. | | | | |
| Volunteer files contain background checks/40 hour certificates. | | | | |
| Signed confidentiality agreements for staff/volunteers are in personnel file. | | | | |
| Staff/volunteers are aware they are legally responsible and liable for maintaining client confidentiality. | | | | |
| Sanctions are defined for noncompliance by staff/volunteers. | | | | |

| Agency Confidentiality | | | | |
|-----------------------------------------------------------------------------------------------------------------|-----|----|-------------|-------|
| | YES | NO | Field Notes | Dispo |
| Staff/volunteers are required to keep identities and communications of client confidential. | | | | |
| Staff are to obtain a signed, written release from client for all releases of any confidential communication. | | | | |
| Clients are aware that the identity and communications of other clients is to remain confidential. | | | | |
| Adult clients are informed of their rights to confidential communications and the agency policy. | | | | |
| Adult clients' signed confidentiality agreements are placed in the client files. | | | | |
| Confidentiality agreements contain disclaimers explaining what would force the agency to break confidentiality. | | | | |
| Client files are kept locked at all times or specified times of the day. | | | | |
| Agency has policy outlining staff access to client files. | | | | |

| Agency Safety Procedures | | | | |
|-----------------------------------------------------------------------------------------------------------------------|-----|----|-------------|-------|
| | YES | NO | Field Notes | Dispo |
| Entrances are secured and persons are screened before entering the agency or program location (as appropriate). | | | | |
| Procedures for answering the door and phone are included in the policy. | | | | |
| Procedures for responding to abusers who telephone or come to shelter or program location are included in the policy. | | | | |
| Written emergency procedures are in place. | | | | |
| Staff/volunteers are informed of need for security and are required to follow the written procedures. | | | | |
| Clients are informed of need for security and are required to follow the written procedures. | | | | |

| Agency Service Documentation | | | | |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|----|-------------|-------|
| | YES | NO | Field Notes | Dispo |
| INFONET | | | | |
| Staff has the most current version of the InfoNet Service Definitions. | | | | |
| Staff has been trained on the current version of the InfoNet Service Definitions. | | | | |
| Staff, supervisors, directors routinely monitor progress on service goals and objectives and/or for other uses in the agency like case management and staff supervision. | | | | |
| The agency uses Exception Reports and/or other methods to routinely monitor accuracy of data entry. | | | | |
| SHELTER LOGS | | | | |
| Shelter log includes client's identification number and date(s) client was sheltered. | | | | |
| Staff/volunteer names are present for each shift change. | | | | |
| Payroll and volunteer rosters verify the staff/volunteer listed was documented for the program. | | | | |

| | | | | | |
|---------------------------------------------|-------------------------------------------------------------------------------------------------------------|-----|----|-------------|-------|
| | Turn away list (if applicable for review month) reflects reason shelter was denied. | | | | |
| OTHER DOCUMENTATION | | | | | |
| | For those clients in shelter more than 45 days, documentation is in file explaining continued shelter stay. | | | | |
| Agency Service Documentation (cont.) | | | | | |
| | | YES | NO | Field Notes | Dispo |
| | Male victim files are consistent with agency's Program Plan description for services. | | | | |
| | If client is ineligible, "Notice of Ineligibility" and reason(s), and right of fair hearing were given. | | | | |

PROGRAM REVIEW

| | |
|--------------------------|-------------------------|
| PROGRAM REVIEW | |
| Agency: | Program: |
| Monitoring Staff: | Site Visit Date: |

| Program Performance | | | | |
|----------------------------------------------------------------------------------------------------------|-----|----|-------------|-------|
| | YES | NO | Field Notes | Dispo |
| Number of staff working in the DV program is consistent with the Program Plan. | | | | |
| Number of clients served for reporting quarter is consistent with InfoNet reports. | | | | |
| Agency utilizes a self monitoring management evaluations system which reviews client files. | | | | |
| Agency provides ongoing training opportunities for staff. | | | | |
| Agency reports (fiscal, InfoNet, administrative) have been submitted on a timely basis this fiscal year. | | | | |
| Agency reports (fiscal, InfoNet, administrative) are accurate upon submission. | | | | |
| Agency is on target for meeting service objectives. | | | | |
| Agency is on target for meeting outcome objective/outcome measures. | | | | |
| Agency is on target to spend all grant funds by the end of the grant period. | | | | |
| Agency is addressing weaknesses of program they indicated in their RFP/RFCP. | | | | |
| Agency has corrected issues identified in previous site visit reports. | | | | |

| | |
|------------------|-------------------------|
| Agency: | Program: |
| Client #: | Site Visit Date: |

| Program Service Documentation | | | | | |
|--------------------------------------|-------------------------------------------------------------------------|-----|----|-------------|-------|
| | | YES | NO | Field Notes | Dispo |
| INTAKE | | | | | |
| | a) Eligibility determined. | | | | |
| | b) Intake dated. | | | | |
| | c) Intake form completed within 24 hours of intake. | | | | |
| | d) Intake signed by client and worker. | | | | |
| RELEASE OF INFORMATION | | | | | |
| | Release(s) are in client file. | | | | |
| | Client ID is present. | | | | |
| | Release is dated. | | | | |
| | Release is signed by client. | | | | |
| | Indicates specified person/agency to whom disclosure is to be made. | | | | |
| | Indicate specified purpose for disclosure. | | | | |
| | Indicates specified materials to be released. | | | | |
| | Includes client's right to inspect written information to be disclosed. | | | | |
| | Includes consequences of refusal to disclose, if any. | | | | |
| | Includes expiration date. | | | | |
| | Includes revocation information. | | | | |
| | Was information released without consent? | | | | |
| DOCUMENTATION OF SERVICE | | | | | |
| | IDVA services are documented. | | | | |
| | Length of services are apparent. | | | | |
| | Contacts are dated. | | | | |
| | Service contacts are initialed by service provider. | | | | |

| | | | | | |
|--|------------------------------------------------------------------------------------------------------------|--|--|--|--|
| | Staff accurately document work in appropriate categories. | | | | |
| | File is set up to flow from staff to staff. | | | | |
| | Information critical to what is done/needs to be done is indicated. | | | | |
| | Client service plans are present and regularly updated. | | | | |
| | Service plans and client services can be linked to show objectives were met and/or progressing as planned. | | | | |
| | Referrals for services reflect goals listed in service plans. | | | | |

APPENDIX D: SAMPLE ICADV SITE VISIT REPORT

**Illinois Coalition Against Domestic Violence
Site Visit Report**

Agency: _____

For Fiscal Year: FY16

Monitor Submitting Report: A. Wilson

Site Visit Date: _____

Staff Interviewed At Visit:

ICADV Assurances Met? YES NO

AGENCY UPDATE

REPORTS ATTACHED

VOCA (Victims of Crime Act)

_____ Adult Services
 _____ Child Services
 _____ Child Therapy Reimbursement Services

VAWA (Violence Against Women Act)

_____ Latina Services
 _____ Rural Satellite
 _____ Chemical Dependency

Information About the Site Visit Report

Performance expectations that are considered at the site review:

- ❖ *Does the staff demonstrate knowledge and expertise? Are they trained?*
- ❖ *Is your project making sufficient progress toward its goals & objectives?*
- ❖ *Do you regularly monitor the project? Are adjustments made to your activities in order to reach your objectives?*
- ❖ *Is your project providing a sufficient scope and level of services? Is it reaching the target population?*
- ❖ *Does your dv program provide systems advocacy, education, and training to increase the effectiveness of your individual advocacy for clients?*
- ❖ *How do you respond to internal & external changes and new challenges?*
- ❖ **Any special accomplishments?**

**Illinois Coalition Against Domestic Violence
Site Visit Report**

Agency:

For Fiscal Year: FY16

REPORT FOR GRANT:

VOCA (Victims of Crime Act)

- Adult Services
- Child Services
- Child Therapy Reimbursement Services

VAWA (Violence Against Women Act)

- Latina Services
- Rural Satellite
- Chemical Dependency

A. AGENCY SITE VISIT REPORT SUMMARY

Recommendations

Corrective Actions

B. AGENCY PROGRESS SUMMARY

Insert summary here

C. SERVICE DOCUMENTATION / CONFIDENTIALITY

Client Files Contain:

- Completed Intakes
- Appropriate releases of information and signatures
- Service hours are documented and dated
- Narrative shows interventions and case progressions
- Staff signatures

Data:

- Agency generates statistical reports
- Uses statistical reports to monitor progress on project

D. FISCAL INFORMATION

- Grants are segregated by funding source (by funder and by project)
- Match funds account is segregated.
- Fiscal reports are consistently submitted in a timely manner.

