

**DOEA Corrective Action Plan Response for
Department of Financial Services'
Review of Selected DOEA Service Contracts/Grant Agreements
Effective on or After July 1, 2010**

INSTRUCTIONS: WRITE YOUR RESPONSE ONLY IN THE HIGHLIGHTED AREAS.

Issue #	1
Issue Title	<u>Scope of Work and Deliverables</u> <i>Four of the six grant agreements executive on or after July 2, 2010, did not contain deliverables that reflect the services required in the scopes of work. Section 215.971(2), Florida Statutes, became effective on July 1, 2010, and requires agreements with recipients to contain a provision dividing the agreement into quantifiable units of deliverables that must be received and accepted in writing by the Department before payment. Additionally, each deliverable must be directly related to the scope of work and must specify the required minimum level of service to be performed and the criteria for evaluating the successful completion of each deliverable.</i>
Report Date	July 27, 2011
Contact Person	Richard Prudom, CFO
Program/Unit	Division of Financial Administration
Phone Number	414-2077
Recommendation	<i>Please provide the Department's corrective action plan which addresses how these deficiencies will be corrected for future contracts. This plan should include steps the Department will take to provide a system of quality control, including training, periodic management review, and feedback to Departmental staff that develop and manage contracts and grants.</i>
DOEA Corrective Action Response	The Department will ensure a system of quality control for contracts as follows: 1. The Department will develop contracts and agreements with recipients which include quantifiable units of deliverables that shall be received and accepted in writing by the Department's contract manager before payment. Additionally, each deliverable will be directly related to the scope of work and will specify the required minimum level of service to be performed and the evaluation criteria for successful completion. 2. The Department will require all contract administration and contract management staff members to attend Department of Financial Services "Advancing Accountability" or other recommended training and to seek technical assistance for application of training information to programs and services contracted by the Department of Elder Affairs. 3. The Department will measure contract compliance and contract performance through review and approval of contract deliverables and contract monitoring, including review of service provision, service utilization, and client satisfaction.

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Issue #	2
IssueTitle	<u>Other</u> <i>One grant agreement provided for the reimbursement of Class C meals related to travel, however, state law currently prohibits the use of state funds for this purpose.</i>
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Recommendation	<i>Please provide the Department's corrective action plan which addresses how these deficiencies will be corrected for future contracts. This plan should include steps the Department will take to provide a system of quality control, including training, periodic management review, and feedback to Departmental staff that develop and manage contracts and grants.</i>
DOEA Corrective Action Response	The Department will ensure that Contract Managers provide the Department of Elders Affairs Travel Policy and Procedures as well as a copy of F.S. 112.061 (15) to all Contractors.

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Issue #	3
Issue Title	<u>Contract/Grant Management</u> <i>Our review disclosed that the grant management activity for two grant agreements was not sufficient. The grant manager did not document verification that services were delivered satisfactorily prior to approving invoices for payment. These grant agreements were not included in the yearly monitoring activities performed by the Department and contract managers relied on provider generated data to verify service delivery.</i> <i>The validation process should include reconciling provider-generated data to source documentation such as client records, documentation generated by third parties, and/or Departmental staff observation.</i>
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Recommendation	<i>Please provide the Department's corrective action plan which addresses how these deficiencies will be corrected for future contracts. This plan should include steps the Department will take to provide a system of quality control, including training, periodic management review, and feedback to Departmental staff that develop and manage contracts and grants.</i>
DOEA Corrective Action Response	The Department will ensure verification of services delivered prior to invoice payments by documenting and approving satisfactorily deliverables identified in the respective program contract. The Department will also ensure deliverables are implemented according to contract guide-lines and documented in yearly monitoring reports.

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Issue #	4
Issue Title	<u>Other</u> <i>Monitoring results for years 2008, 2009, and 2010 indicate that one provider is consistently failing to comply with program and administrative requirements. We credit the Department for their monitoring and corrective action efforts to bring this service provider into compliance and recommend these efforts be continued.</i>
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Contact Person	Richard Prudom, CFO
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Phone Number	414-2077
Recommendation	<i>Please provide the Department's corrective action plan which addresses how these deficiencies will be corrected for future contracts. This plan should include steps the Department will take to provide a system of quality control, including training, periodic management review, and feedback to Departmental staff that develop and manage contracts and grants.</i>
DOEA Corrective Action Response	The Department will continue to provide frequent and continuous oversight through annual on-site quality assurance reviews, desk reviews and technical assistance of each respective contract. These deficiencies will be corrected in future contracts through routine technical assistance and monitoring. The Department will continue to disseminate monthly Technical Assistance Bulletins with various programmatic tips and provide telephonic and electronic technical assistance. The Department will also continue to conduct on site reviews annually, send out extensive corrective action reports, receive corrective action plans, demonstrating actions taken to address concerns, and host annual training workshops. The Department will require creditable evidence of immediate measures implemented to address findings and observations identified in our annual program reviews. Steps taken to ensure quality control will be as follows: 1. Monthly desk reviews of programmatic and financial documentation. 2. Telephone interviews of participants and host site supervisors 3. Annual programmatic and financial quality assurance reviews 4. Annual mandatory Technical Assistance workshop 5. Monthly Technical Assistance Bulletins 6. Customer Satisfaction Surveys 7. Random reviews of participant files 8. Eligibility and performance data validation 9. Frequent staff meetings to review issues of concern and best practices for dealing with untimely corrective actions. 10. Increase efforts to bring new providers into the SCSEP Network.