

## COMPLIANCE IN CONTRACTS POLICY

- I. The purposes of defining a procedure for detecting and correcting non-compliance in contracts with grantees of the Commission are:
  - A. To most effectively assist grantees to achieve success in their endeavors to improve the lives of young children and their families through the contracted services and activities they carry out with Commission funding;
  - B. To provide an opportunity to resolve issues as they arise during the contract period through a process that leads to the successful completion of the grant in question; and
  - C. To protect the Commission, Solano County, and the grantee from avoidable delays, liabilities, and failure to achieve the agreed-upon outcomes of the grant.
  
- II. Identification and Documentation:
  - A. First 5 Solano grant contracts will contain a clearly defined scope of work and a timeline that identifies specific performance goals and measures (measurable service outcomes expected to be reached by a specified time) to be submitted, along with regular progress reports.
  - B. Unless otherwise stated in the contract, service targets shall be reported monthly and performance measures reported quarterly in the manner prescribed by the contract.
  - C. Grantees are required to promptly notify the Commission in writing when service targets and/or performance measure goals are not achieved. First 5 Solano contract monitoring and program support staff are also responsible for identifying instances in which service targets and/or performance goals are not achieved. This may be done through review of data, review of progress reports, Evaluator/data collection vendor input and site visits.
  - D. In addition, any information received by Commission staff that suggests that a problem might be occurring that could adversely affect the capacity of the grantee to meet the requirements of the contract will be investigated.
  
- III. Process for Correcting Non-Compliance:
  - A. When specified expected service targets and/or performance goals are not *achieved*, the following steps will be taken:
    1. First 5 staff will contact the grantee in question and assess whether corrective action is necessary by meeting with the grantee, identifying and discussing the cause of the problem, and determining if a compliance action plan and/or minor contract modification is needed.
    2. If staff determines a compliance action plan is needed, the written compliance action plan will be drafted and signed by the grantee, the Executive Director and Policy and Oversight Committee Chair. A copy of the agreement will be included in the contract folder.
    3. A report that briefly describes action taken will be submitted to the Policy and Oversight Committee at their regularly scheduled meetings and forwarded to the full Commission as

recommended.

**NOTE:** A compliance action plan, in and of itself, does not indicate the need for action by the full Commission and does not reflect negatively on the grantee if the problem is resolved through this process.

- B. Any contract in which the process described above does not resolve the issues raised, or in which a clear pattern of non-compliance occurs, or in which a significant contract revision (i.e., new contractors, 15% deviation from budget, etc.) is the proposed solution, or in which a significant liability to the Commission or the County is identified, the following steps will be taken:
1. The Executive Director will promptly notify the Commission Chairperson and, in the case of potential liability, County Counsel. Staff will notify other individuals as directed by the Chairperson. Staff will document the issues, potential liabilities, and possible course of action including alternatives in a report to the Commission Chair, who shall direct distribution to the appropriate Committee(s) and/or the full Commission for further review and action.
  2. Staff will follow Solano County contracting rules and policies and the terms of the contract in question if further action is needed.
  3. Staff will maintain summary records for contract compliance issues, including copies of reports and other pertinent documents.