

Attachment 3. Evaluation Plan (Section 15 in the Table of Contents)

Public notices about SILC board meetings are widely disseminated both electronically and through regular mail. At these quarterly board meetings, goals and objectives of the SPIL are reviewed. Periodic written status reports are provided with a “results” component under each goal. The SPIL and the status reports are available in alternate formats and are disseminated as requested.

The SILC does not participate in RSA on site compliance reviews unless asked by the CIL. The SILC does, however, annually review its contracts with local programs in accordance with the following policy adopted by the SILC Board in July 2000:

Purpose: *The purpose of this policy is to assure (1) that SILC contractors provide the services as specified in the contracts; (2) that consumers’ lives are positively impacted by those services; (3) that consumers are satisfied with the services delivered and that (4) relevant state and federal financial management requirements are met.*

Policy:

1. *All SILC contractors will have annual contract evaluations. This process may include any or all of the following activities:*
 - ✓ *Site visits.*
 - ✓ *Consumer Service Record Reviews.*
 - ✓ *Telephone or personal interviews with consumers.*
 - ✓ *Review of financial records.*
2. *Programs receiving in excess of \$75,000 per year in all state fund sources must submit an annual audit meeting the standards required by State law. A copy of this audit must be provided to the SILC within 180 days after the close of the contractor’s fiscal year.*
3. *Programs receiving in excess of \$300,000 per year in federal funds must submit an annual audit meeting the standards required by Federal law. A copy of this audit must be provided to the SILC within 180 days after the close of the contractor’s fiscal year. Contact the SILC office for applicable audit standards.*

Procedures:

1. *During the contract year, the SILC will schedule contract evaluation visits.*
2. *The evaluator will summarize/clarify the contract deliverables with the contractor.*
3. *A sample of consumers will be selected for visits and/or telephone interviews.*
4. *The evaluator will determine (a) if the specified service was delivered, (b) what impact the service had on the consumer and (c) if the consumer was satisfied with the service.*
5. *If the contract is an expense reimbursement contract, the evaluator will conduct a desk audit, i.e., determine that financial documentation supports the amount of the invoice to the SILC.*

6. *If the contract is for general operations, the evaluator will assure that there is an adequate accounting system in place, i.e. one that provides adequate back up documentation for any transactions and that these transactions are in accordance with Generally Accepted Accounting Principles as well as any relevant law.*
7. *Within 30 days, the evaluator will provide a report to the contractor and to the SILC.*
8. *The report from the evaluator will contain items 2 through 6 above as well as recommendations for improvement (a) in the contract document itself, (b) in the services provided by the contractor and/or (c) in financial record keeping.*
9. *If there are recommended improvements, the contractor must submit a written plan for improvement for (b) or (c) above within 21 days or prior to execution of the next Fiscal Year's contract whichever is sooner.*
10. *Contractors that satisfactorily deliver the services specified and that maintain adequate financial records can expect their contract to be renewed as long as the SILC receives the necessary funding.*
11. *Contracts will be immediately terminated if it is determined that the contractor did not, in fact, deliver the service for which they were paid. Should this circumstance occur, the contractor is required to reimburse the SILC for any and all fraudulent claims.*
12. *Contracts may be terminated if a significant portion of consumers express dissatisfaction or if services are determined to be inadequate and there is no significant improvement as per #9 above.*

The contract monitoring policy and process implemented in '00 will be continued through the next SPIL unless the CILs and SILC design a more satisfactory process. The process described above allows the Director of each program to select a contract monitor who serves two purposes:

- 1) To review the contract deliverables and results. Reviewers ask the following questions of a sample of consumers: Was the service delivered? Did it make a positive difference in the consumer's life? Was s/he satisfied with the service?
- 2) To provide technical assistance to the CIL on a matter of importance to them.

The SILC is monitored by the DSU as well. The SILC provides the DSU with monthly expenditure and activity reports. Both are reviewed before contract payments are approved and issued.