

**2018-2019 CSGP Compliance Monitoring Visit Preparation Instructions & Agenda (2.5 hours)**

* *Please have checklist items ready and waiting at the start of the visit per checklist below.*
  + *Hard copies organized in order in a binder are preferable.*
  + *Please mark relevant information (highlight, paperclip, etc.).*
  + *I will view digital items instead if they are similarly organized.*
* *I will have a laptop with me, so please have the wifi password available.*
* *I will be doing most of this work independently, but please have a knowledgeable staff person available during the entirety of the visit in case there are questions, or if additional information is needed.*
* *If there are any new features of your facility, please provide a brief tour at your convenience.*
* *Toward the end of the visit, I will provide you with an overview of compliance monitoring results and describe any items that need correction.*
* *I’ve scheduled 2.5 hours for the visit with the goal of completing associated paperwork during the visit. In some instances it may be necessary to schedule additional time to complete the visit. A well-prepared checklist can make for a shorter visit.*

**Name of Organization:**

**FYE:**

**Date of Compliance Monitoring:**

**2018-2019 CSGP Compliance Monitoring Checklist**

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Documentation needed** | **Compliance item checking** | **All in order?** | **Evergreen item** | **Correction needed?** | **Deadline** | **Correction made?** | **Any additional comment(s)** |
| Corporate Resolution | Correct authorized rep on file |  |  |  |  |  |  |
| Charitable Solicitation Permit from State Dept. of Agriculture & Consumer Services | CURRENT permit or waiver |  |  |  |  |  |  |
| Bylaws & Board List | Minimum of 6 board members |  | Bylaws - YES |  |  |  |  |
| Bylaws & Board List | Board members are not paid; no paid staff on board (as voting member); board employs the CEO |  | Bylaws - YES |  |  |  |  |
| Bylaws & Board List WITH TERM INFO FOR EACH MEMBER | Board terms are of a fixed length and the number of successive terms is limited; board officers rotate regularly |  | Bylaws - YES |  |  |  |  |
| Bylaws | Record retention policy (5 yrs for CSG) |  | YES |  |  |  |  |
| Bylaws | Privacy policy |  | YES |  |  |  |  |
| Bylaws | Grievance policy |  | YES |  |  |  |  |
| Bylaws | Nepotism policy |  | YES |  |  |  |  |
| Bylaws | Conflict of interest policy |  | YES |  |  |  |  |
| Bylaws | Anti-discrimination policy prohibiting discrimination based on City of Jax Human Rights Ordinance |  | YES |  |  |  |  |
| Bylaws | Non-partisan policy |  | YES |  |  |  |  |
| Bylaws & Board meeting minutes for most recent FY | Minimum of four board meetings held per year |  | Bylaws - YES |  |  |  |  |
| Applicable Board meeting minutes | Board approved FY 2018-2019 budget |  |  |  |  |  |  |
| Bylaws & Board attendance records | Expectation of board member participation |  | Bylaws - YES |  |  |  |  |
| Board manual or similar materials | Evidence of board training |  |  |  |  |  |  |
| Liability insurance certificate | Verification of required coverages and amounts, etc.- see insurance checklist  NOTE: Certificates submitted in January 2019 have been thoroughly reviewed and corrected if needed; For monitoring visit, need to see that certificate is CURRENT |  |  |  |  |  |  |
| Organizational chart, job descriptions, time sheets, YTD payroll records, federal quarterly payroll tax forms, performance evaluations, personnel handbook, etc.(as applicable) | Evidence that personnel policies and procedures exist; documentation for any positions paid for with CSG funds |  |  |  |  |  |  |
| List of people who work directly with children or other vulnerable populations and evidence that background checks have been conducted for those employees | Verification of required background checks per City Grant Standards (\*Exhibit C – CSGP contract) |  |  |  |  |  |  |
| Accounting manual; financial accounting records including general ledger detail; invoices, receipts, bank statements | Organization follows generally accepted accounting principles (random samples requested) |  |  |  |  |  |  |
| 3-yr Profit and Loss statement – Oct-Sept (2015-16, 2016-17, 2017-18); presented individually per yr | Verification of revenues that determine CSG request amount – FORM A |  | YES |  |  |  |  |
| Schedule of revenue by source for current FY; copy of board approved budget (2018-2019) | Verification of current year revenues – FORM C; On target to raise required 76% match – FORM C |  |  |  |  |  |  |
| Schedule of fundraising income and expenses for current and previous FY; invoices and contracts for fundraising expenses | Fundraising expenses are justified in terms of fundraising results |  |  |  |  |  |  |
| Listing of CSG expenses; bank statements for CSG funds, or separate cost center; applicable invoices and receipts or other proof of expenses | Verification of CSG expenditures – FORM D; on target to spend grant award by Sept. 30 (can keep up to $500 in account); segregated account |  |  |  |  |  |  |
| Any applicable, current licenses, accreditations, certifications, inspections and/or monitoring reports from oversight agencies | Regulatory compliance |  |  |  |  |  |  |
| Documentation used to track CSGP objectives | Verification of CSGP objectives |  |  |  |  |  |  |
| Participant/audience surveys; program evaluation docs | Evidence of program evaluation |  |  |  |  |  |  |
| Examples – use of City of Jax(Andrew Jackson logo) and Cultural Council logos | CSGP funding acknowledgement |  |  |  |  |  | Cultural Council has switched back to old logo. Please start using asap |
| Emergency plan | Existence of emergency plan |  | YES |  |  |  |  |
| Tour of facilities (if applicable) | Existence of policies and procedures for physical plant |  | YES |  |  |  | Anything NEW? |

*\*The* ***RECIPIENT*** *represents that it will at its sole expense, require all employees, staff and/or volunteers (hereinafter collectively referred to as “RECIPIENT Staff”) who work with juveniles or youth (any unmarried person under the age of 18 years and who has not been emancipated by order of a court of competent jurisdiction) and vulnerable adults (elderly or physically, mentally, or emotionally disabled, including victims of crime.) to submit to a criminal history records check. This applies to all positions involving direct contact with juveniles, youth or vulnerable adults with the exception of special event volunteers. For this purpose, a special event volunteer is defined as a volunteer committed to assist on a specific event/project lasting less than two consecutive weeks and where duties are performed under supervision of staff or certified volunteer leadership. In the event that the RECIPIENT Staff is not required by Florida Law to be screened, as a condition of employment, the screening standards to be used shall be the* ***Level 1 Screening Standards*** *as specified in Section 435.03, Florida Statutes. If, on the other hand, the RECIPIENT Staff, or any part thereof* ***is required, by law to be screened,*** *such RECIPIENT Staff shall submit to the* ***Level 1 or Level 2 Screening Standards, as specified in Sections 435.03 and 435.04,*** *Florida Statutes, depending upon which level is applicable to the RECIPIENT Staff or any part thereof.*