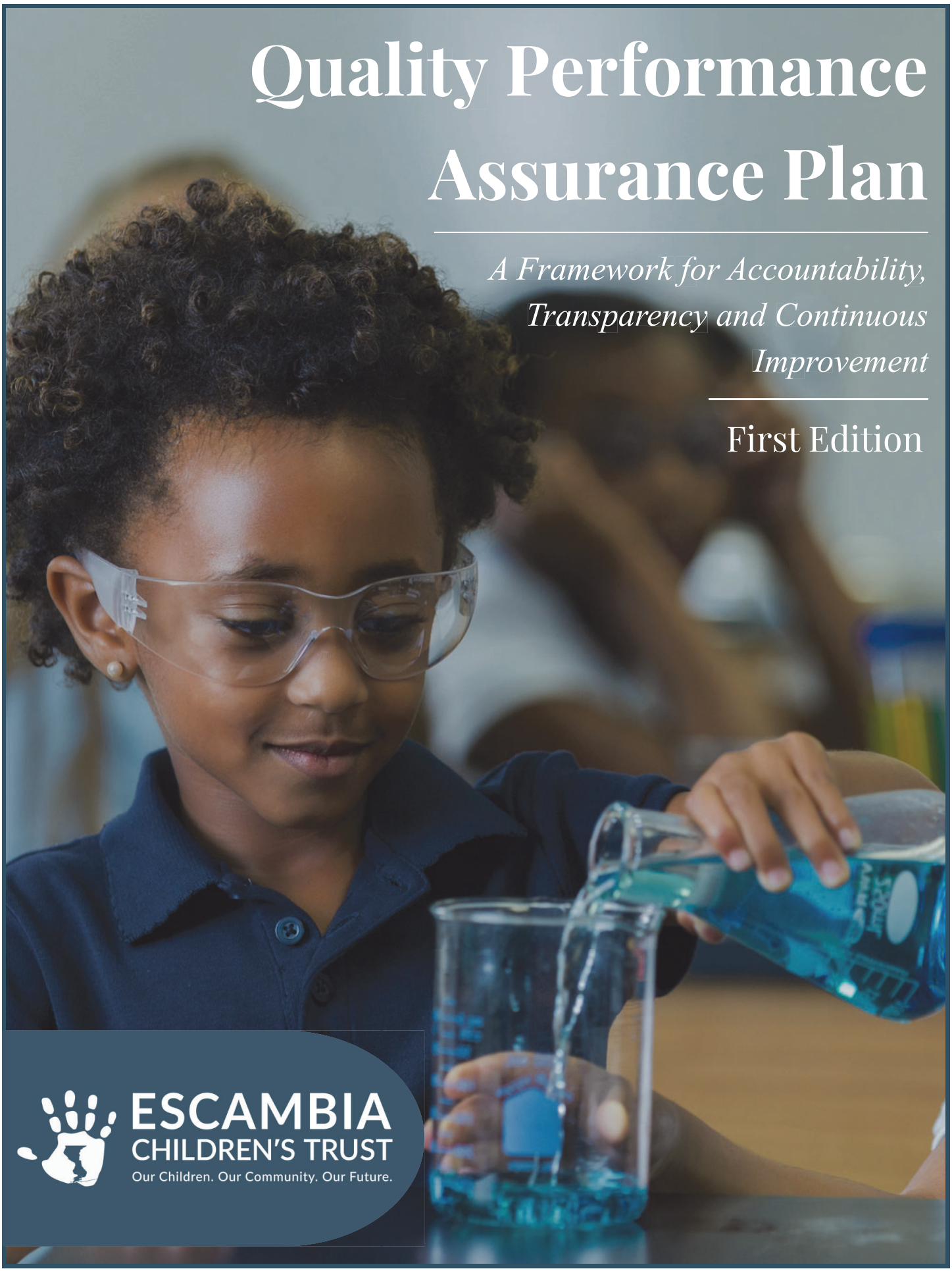
Quality Performance Assurance Plan

A Framework for Accountability, Transparency and Continuous Improvement

First Edition



ESCAMBIA CHILDREN'S TRUST

Our Children. Our Community. Our Future.



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Context and Purpose Behind the ECT Initiative

Mission and Purpose:

The Escambia Children's Trust (ECT) is a Children's Services Council (CSC) that was established to invest in the well-being of children by maximizing resources and ensuring accountability. CSCs do not deliver services; instead, they invest in community provider programs which can demonstrate measurable desired outcomes through a competitive review and accountability process.

ECT provides additional success-based investments in programs to meet the critical needs of our children with evidence-based proven expanded and new programs. ECT also has trained, experienced staff to help coach existing service providers and their staff in creating systems and processes to establish programmatic success metrics and capture the data required to measure and report successes.

ECT is at a significant advantage in that it provides a sustainable revenue stream with a ten (10) year life that is controlled by an Escambia County organization. Its funding comes directly to the Trust and is not dependent upon fluctuating annual governmental appropriations or the strength of the economy, which is particularly important in unstable times like these when contributions to service providers can drop while demand for services increase.

Funding Focus:

ECT's priorities were established by the Trust's governing board with recommendations from the public, following a comprehensive assessment of countywide needs by an independent evaluator. Generally, funding has been targeted to improve outcomes in areas in which Escambia County ranks lower than the state and/or nation overall. Of specific concern in Escambia County, compared to Florida, are these statistics:

- Higher rate of infant deaths and deaths of children ages 5-9.
- Higher percentage of low-birthweight babies.
- Lower rate of Gold Seal (accredited) childcare programs.
- Lower rate of kindergarten readiness.
- Higher overall juvenile arrest rate of children under 18.
- Lowest ranking on the state child well-being index since the index debuted in 2016; in 2019, and 2022, Escambia ranked #45 out of 67 Florida counties.

General areas have emerged based on critical needs and service gaps in Escambia County. These areas are **not listed in order of importance**. Final funding decisions would be made by the Trust governing board with public input.

1. **Children are Healthy**
2. **Children are Ready to Succeed in School and Life**
3. **Children are Safe and Protected from Abuse and Neglect**
4. **Children Have Supports to Help Them to Avoid Risky Behaviors**

Context and Purpose Behind the ECT Initiative (cont.)

The data presented in this indicator report card represents an important update to the Needs Assessment published by the Escambia Children's Trust in September 2022. An indicator report card tracks and reports on key metrics related to child wellbeing and the effectiveness of programs and initiatives aimed at improving outcomes for children and families in our community. Here's why that matters:

- **Accountability**: An indicator report card holds the Escambia Children's Trust and partner organizations accountable to the community for achieving results and making a positive impact. By transparently tracking and sharing outcomes data, we are demonstrating our commitment to continuous improvement and responsible stewardship of resources.
- **Identifying Gaps and Needs**: Comparing indicators to baselines and benchmarks helps identify areas where additional support or different approaches may be needed to address ongoing disparities and gaps in child wellbeing. This guides strategic planning and resource allocation.
- **Measuring Progress**: Tracking indicators over time reveals trends and whether initiatives are moving the needle on improving child and family outcomes. This feedback guides course corrections and enhancements to programs and services.
- **Informing the Community**: Sharing indicator data keeps the community informed about the wellbeing of our children and efforts underway to support them. This awareness is important for maintaining public trust and support.

State statute emphasizes the need for data and evidence of effectiveness to play a significant role in the allocation of CSC funding. All programs funded by the Trust will be expected to collect outcome data and share results with the public. Programs will be required to collect outcome data beyond simple counts of people served. For example, an after-school program that seeks to reduce crime rates and increase school performance will be expected to collect data from participants on police interactions, arrests and school activities such as absences, being tardy, discipline infractions, class participation, and academic performance. These findings could then be compared to similar students not in the program for evidence of effectiveness.

The Escambia Children’s Trust administrative staff have experience in evaluation and measurement. They work directly with applicants and providers to ensure data and outcomes are tracked, and that all recipient organizations are continuously trained on evidence-based program evaluation methods. The staff will oversee evidence-based processes, including RFP proposal development aligned to accountability mechanisms, fiscal and program monitoring and data analysis.

A central goal of the Trust is to increase the ability of our provider community to use and collect evidence of program effectiveness. Technical assistance and training efforts will focus on helping local provider organizations develop outcome measures, collect and report data, implement evaluation plans; and use this information to adjust and improve services continuously.

Quality Performance Assurance Framework

The Escambia Children's Trust (ECT) Quality Performance Assurance Plan establishes a unified framework for accountability, transparency, and continuous improvement across all ECT-funded programs. This plan outlines newly adopted and updated policies and procedures that govern program performance evaluation, fiscal compliance and reimbursement, and formal program audits. Together, these components ensure that public funds are managed responsibly and that funded programs deliver high-quality, outcome-driven services aligned with ECT's mission to improve the well-being of children and families in Escambia County.

The **Pre-Award Risk Assessment Tool** serves as a foundational component of the Escambia Children's Trust (ECT) Quality Performance Assurance Framework, ensuring that all prospective providers demonstrate the minimum standards of organizational capacity, compliance, and programmatic readiness prior to formal proposal evaluation. Implemented at the point of application intake, this structured screening process utilizes a standardized checklist and scoring rubric aligned to ECT's core quality domains—including governance, health and safety, staffing, child protection, program design, participation, and data management—to identify potential risks and verify readiness for service delivery. Each applicant is assigned a composite risk rating that informs eligibility to advance in the review process, as well as any pre-contract conditions or required corrective actions. By establishing a consistent and objective pre-award review, ECT strengthens accountability, mitigates risk, and ensures that only qualified providers proceed to the program evaluation and funding consideration stages.

The **ECT Program Evaluation System** defines standardized quality expectations and performance measures used to assess program implementation, service delivery, and participant outcomes. Through structured site walkthroughs, data reviews, and ongoing monitoring, this system promotes evidence-based practices, equitable access to services, and continuous quality improvement. Evaluation results inform technical assistance, coaching, and corrective actions when necessary, ensuring programs are supported in meeting both contractual and community standards.



The **ECT Fiscal Compliance and Reimbursement Policies** establish clear requirements for financial management, documentation, and reimbursement of allowable costs. These policies are designed to safeguard public resources, support fiscal integrity, and align expenditures with approved program budgets and scopes of service. Fiscal compliance is assessed throughout the grant lifecycle and is directly linked to monitoring intensity, risk assessment, and program accountability.

The **ECT Program Site Audit** component serves as a formal review mechanism to verify compliance with contractual requirements, policies and procedures, site safety standards, fiscal practices, and human resource safeguards. Audit findings provide an additional layer of oversight and may trigger follow-up actions, corrective plans, or enhanced monitoring to address identified risks.

Collectively, this **Escambia Children's Trust Quality Performance Assurance Plan** provides a comprehensive and integrated approach to program oversight. By aligning quality evaluation, fiscal accountability, and audit processes, ECT reinforces its commitment to responsible stewardship of public funds, strong provider partnerships, and measurable outcomes that positively impact children, youth, and families across Escambia County. **Non-compliance with the components of the framework will result in the initiation of ECT's Program Improvement Plan.**



Pre-Award Screening and Risk Assessment

To ensure that all funded providers demonstrate the foundational capacity to deliver safe, compliant, and high-quality programming, the Escambia Children's Trust (ECT) implements a structured **pre-award screening and risk assessment process** for all submitted applications.

Upon receipt of an application, ECT conducts an administrative and compliance-based review prior to advancing the proposal to the Grants Committee or formal evaluators. This initial screening serves as a critical quality control step designed to verify organizational readiness, identify potential risks, and ensure alignment with ECT Quality Program Assurances.

As part of this process, each applicant is evaluated using the **Pre-Award Risk Assessment Tool**, a standardized checklist and scoring rubric aligned to ECT's core quality domains, including:

- Governance and organizational capacity
- Health, safety, and supervision practices
- Staffing and human resource systems
- Child welfare and protection policies
- Program design and youth engagement
- Attendance, access, and participation structures
- Data collection, reporting, and continuous improvement

Each application is assigned a **composite risk score**, which corresponds to a defined compliance rating (High, Moderate, or Low). This rating informs pre-contract recommendations, including:

- Immediate eligibility for contracting
- Conditional approval with required technical assistance or corrective actions
- Delayed eligibility pending resolution of significant compliance gaps

Applications that do not meet minimum readiness standards may be required to submit a **Corrective Action Plan** prior to advancing the funding process.

This pre-award screening ensures that:

- Only qualified and prepared providers move forward in the review process
- Risk is proactively identified and mitigated
- ECT resources are invested in organizations with the capacity to deliver measurable outcomes for children and families

Scoring Rubric

Scoring Range

0 to 36 points

Overall Risk Rating & Contract Recommendation



High Compliance

Score Range: 31–36
Risk Description: Demonstrates strong fiscal and programmatic capacity with thorough, well-organized documentation. Presents minimal compliance concerns.
Pre-Contract Recommendation: Fully eligible for contracting under standard monitoring procedures.



Moderate Compliance

Score Range: 24–30
Risk Description: Meets core compliance standards but shows minor, manageable gaps that can be addressed through routine oversight.
Pre-Contract Recommendation: Proceed with contracting with specified conditions. ECT may need to provide technical support and guidance on standard reporting expectations.



Low Compliance

Score Range: 0–23
Risk Description: Indicates elevated operational risk due to significant deficiencies identified through the vetting checklist, particularly in fiscal management, human resources, and/or programmatic systems.
Pre-Contract Recommendation: Contracting should occur only after a formal corrective action plan is completed and approved prior to contract execution with ECT. Once programming begins, the project should receive increased monitoring and oversight.

Pre-Award Screening and Risk Assessment Checklist



Quality Area 1: Governance & Organizational Capacity

(Aligns to Program Administration & Compliance)

Checklist

- Legal status verified (nonprofit or business registration)
- Board roster and governance structure (if applicable)
- Conflict of Interest policy
- Financial oversight policy and procedures
- Leadership roles and decision-making authority policies and procedures

Score: 5 points

Quality Area 2: Health, Safety & Learning Environment

(Aligns to Health, Safety & Supervision Standards)

Checklist

- Facility readiness (licensed or compliant space) DCF School Age Handbook
- Emergency response procedures (fire drills, active shooter, inclement weather)
- Supervision and line-of-sight policies and procedures
- Incident and injury response plan policy and reporting procedures
- Safe entry/exit and sign-in procedures

Score: 5 points

Quality Area 3: Staffing & Human Resources

(Aligns to Staffing, Training & Professional Standards)

Checklist

- Job descriptions for all roles and professional credentials of key staff
- Hiring and screening procedures
- Background screening and Drug Free Workplace policies and procedures
- Motor Vehicle eligibility check (CDL and/or appropriate transportation license)
- Staff supervision structure
- Nepotism Policies

Score: 6 points



Quality Area 4: Child Welfare & Protection

(Aligns to Youth Safety & Well-Being)

Checklist

- Child abuse prevention policy
- Mandatory reporting procedures
- Boundaries and conduct policy
- Prohibited practices policy
- Staff acknowledgements completed

Score: 5 points

Quality Area 5: Program Design & Engagement

(Aligns to Program Design & Instructional Quality)

Checklist

- Program model clearly defined
- Daily schedule aligned to age group
- Youth engagement strategies identified
- Activities aligned to stated outcomes
- Materials and curriculum identified

Score: 5 points

Quality Area 6: Attendance, Dosage & Access

(Aligns to Attendance & Participation Standards)

Checklist

- Attendance tracking system
- Dosage expectations defined
- Enrollment and capacity aligned to staffing
- Youth retention strategies
- Accessibility considerations addressed

Score: 5 points

Quality Area 7: Data, Reporting & Continuous Improvement

(Aligns to Accountability & Outcomes)

Checklist

- Data collection tools identified
- Reporting processes defined
- Data accuracy and timelines addressed
- Use of data for improvement described
- Staff responsible for data identified

Score: 5 points



Quality Program Assurances Evaluation System

The **Escambia Children's Trust (ECT) Quality Program Assurances Evaluation System** is designed to ensure that our programs across Escambia County deliver safe, enriching, and developmentally appropriate experiences that support the whole child. Rooted in evidence-based practices and community expectations, this system promotes continuous improvement and equitable access to quality services for all children and families.

The evaluation system is organized into **seven categories of quality standards**, each representing a core component of comprehensive child and family programming. Together, these standards provide a structured framework for assessing program performance, identifying strengths, and targeting areas for enhancement. The system emphasizes not only compliance, but also innovation, engagement, and meaningful outcomes that contribute to youth well-being and long-term success.

By integrating expectations related to program quality, staff capacity, curriculum, youth experience, attendance and dosage, family engagement, and data-driven improvement, the ECT Quality Program Assurances Evaluation System empowers providers to deliver high-impact programming. It also helps guide coaching, technical assistance, and resource allocation to ensure that programs demonstrating need to receive timely support.

Ultimately, this system serves as a collaborative tool—supporting providers, families, and community partners in advancing excellence in direct children services across Escambia County. Through shared commitment to these quality standards, the Escambia Children's Trust strives to foster safe, engaging environments where all children can learn, thrive, and reach their full potential.



Quality Program Assurances - Categories & Standards

The Escambia Children's Trust Quality Program Assurances Evaluation System is organized into **seven key quality categories** that represent the **Key Performance Areas** (KPAS) for high-quality services for children and families. Together, these categories provide a comprehensive picture of how programs operate, engage youth, and support positive outcomes.

Each category or **KPA** focuses on a distinct aspect of program quality, ranging from the safety and structure of the learning environment to the ways programs engage families, use data, and continuously improve. The categories are designed to be clear, observable, and evidence-based, ensuring that evaluations are consistent, fair, and aligned with best practices.

Programs are assessed across all seven **KPAS** to identify strengths and highlight areas where additional support may be needed. This approach allows the Escambia Children's Trust to promote accountability while also offering guidance, coaching, and resources to help programs strengthen quality and better serve children and families.

The following sections describe each category and outline the standards used to evaluate performance within that area.



Quality Category 1

Program Quality & Environment



Description:

Ensures the physical and organizational environment supports safety, positive youth experiences, and operational excellence. Spaces should be welcoming, developmentally appropriate, and conducive to learning.

Standards:

- Program has a clear vision and/or mission statement
- Site is clean, organized, and safe (e.g., no hazards, sanitized materials)
- Emergency protocols posted and accessible (fire drill, contacts)
- Staff actively supervise all areas (indoors and outdoors)
- Physical space promotes engagement (centers, materials, flexible areas)
- Behavior management and positive reinforcement observed (Established Written Code of Conduct)



Quality Category 2

Staff Qualifications & Training



Description:

Focuses on staff preparedness to deliver high-quality programming through professional qualifications, ongoing training, and informed instructional practices.

Standards:

- Staff-to-student ratio is compliant with licensing standards
- Staff have visible credentials/badges
- Staff attended Professional Development (PD) sessions (check logs, quarterly reports or certificates)
- Staff implement strategies learned from training [e.g., Social Emotional Learning (SEL) practices, behavior guidance]





Quality Category 3

Curriculum & Instructional Quality

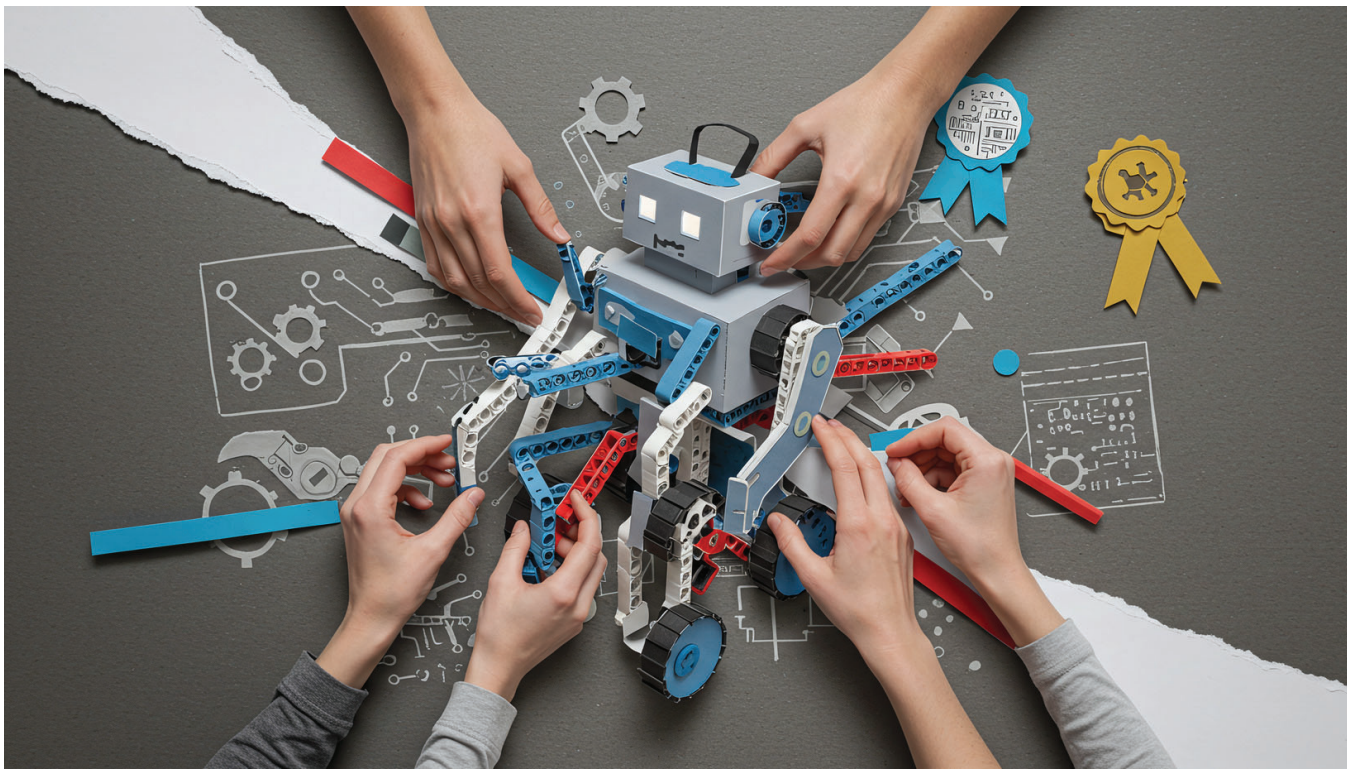


Description:

Assesses implementation of structured, intentional learning experiences that support academic, social, and enrichment goals.

Standards:

- Lesson plans are posted or readily available
- Activities align with curriculum goals [literacy, math, arts, Science Technology Engineering and Mathematics (STEM), etc.]
- Activities are age-appropriate and incorporate differentiated lessons
- Youth are engaged and participating actively, contributing ideas, and completing tasks
- Youth reflect on their experience and able to share insights or feedback about the activity's purpose and/or outcomes



Quality Category 4

Attendance & Dosage



Description:

Monitors enrollment, attendance, and time spent in programming to assess adequate exposure for meaningful participation and outcomes.

Standards:

- Attendance logs are current and accurately maintained
- Program tracks dosage (time per student per week/month); observed attendance complement historical attendance data/trends recorded in SAMIS
- High attendance rates (> = 80% of enrolled students attend 3 + days/week)
- Strategies used to boost consistent attendance (incentives, outreach)



Quality Category 5

Youth Development & Outcomes



Description:

Ensures programs nurture the whole child by supporting social-emotional growth, leadership skills, and measurable academic or enrichment outcomes.

Standards:

- Staff are actively engaged (interact positively and respectfully with youth)
- Youth have opportunities for leadership, voice, and choice
- Evidence of SEL activities (journals, group circles, check-ins)
- Student work or projects are visible/displayed
- Youth outcomes are tracked (e.g., pre/post assessments, goal setting)



Quality Category 6

Family & Community Engagement



Description:

Evaluates how programs build relationships with families and community partners to enrich programming and support student success.

Standards:

- Communication with families is regular and documented (newsletters, texts, calls, social media)
- Family events or workshops have been held this quarter/year
- Families are aware of program goals and offerings
- Community partners are engaged in programming (guest speakers, field trips, council meetings)



Quality Category 7

Data Use & Continuous Improvement



Description:

Measures how programs track and use data to improve quality, inform decisions, and implement targeted supports.

Standards:

- Program staff review and reflect on data regularly (attendance, outcomes, feedback)
- Established program goals are measurable and posted or documented (staff aware of annual goals/objectives)
- Program data/metrics are recorded in SAMIS (Exhibit B, quarterly reports, etc.)
- Program has made adjustments based on data findings (attendance, expenditures, staff/participant retention, family involvement, etc.)
- Site leadership participates in coaching, monitoring meetings, mandatory provider meetings (ECT Monthly Meetings, ECT Quarterly Parade of Provider Meetings)
- Provider has complied with Media and Marketing Plan – ECT logo prominently on organization's website; logo clearly visible on homepage or program-related landing page and should include an active hyperlink directing visitors to the official ECT website



Understanding the Program Rating Scale

The Escambia Children's Trust uses a standardized rating scale to clearly and consistently evaluate the quality of all ECT funded programs. Each program is reviewed across seven key areas that reflect what research and community standards show are most important for safe, engaging, and effective programming for children and youth.

Programs earn points based on how well they meet each standard, with a maximum total score of **34 points**. These points are combined to produce an overall rating that shows how well a program is performing and where additional support may be helpful.

The rating scale is designed not only to measure performance, but also to guide **continuous improvement**. Programs with lower scores are not automatically penalized; instead, the results help identify specific areas where additional coaching, training, or resources can strengthen program quality.

What the Ratings Mean:

- **Exemplary** programs consistently demonstrate strong practices across all quality areas and serve as models of effective programming.
- **High Quality** programs meet most standards and show strong performance, with only minor opportunities for improvement.
- **Proficient** programs meet minimum expectations but may need additional support to strengthen consistency or deepen impact.
- **Emerging** programs partially meet standards and require targeted improvement in several areas.
- **Critical** programs do not meet basic quality expectations and require immediate attention and corrective action.

How Low Performance Areas Are Addressed:

When a program receives an **Emerging or Critical** rating, the Escambia Children's Trust works collaboratively with the provider to develop an improvement plan. Recommended supports may include:

- Targeted coaching or technical assistance
- Required professional development or training
- Increased monitoring or follow-up visits
- An ECT Program Improvement Plan (PIP) with clear timelines and benchmarks

This approach ensures that the rating system is both **transparent and supportive**, helping families understand program quality while giving providers the tools they need to improve outcomes for children.



Performance Rating Scale

Rating	Score Range	Description
Exemplary	31 – 34	Program consistently meets or exceeds all standards; high-quality implementation in all Key Performance Areas (KPAs).
High Quality	26 – 30	Program meets most standards with minor areas for improvement; strong implementation in most KPAs.
Proficient	21 – 25	Program meets minimum expectations; some areas require development or monitoring.
Emerging	17 – 20	Program partially meets standards; significant improvements needed in multiple KPAs.
Critical	0 – 16	Program fails to meet basic standards; immediate intervention is required.

Overall Rating Parameters (34 Possible Points)

- **1 point per item** on the checklist
- The **overall score** is the sum of points across all Key Program Areas (KPAs) (**maximum = 34**).
- This scale aligns with the Quality Assurance tiered support system: lower scores trigger more intensive coaching, interventions, and/or an ECT Program Improvement Plan (PIP).



Performance Improvement Protocol

The Escambia Children's Trust (ECT) utilizes a tiered corrective action and performance improvement process aligned with the Quality Program Assurances Evaluation System rating scale. This protocol ensures accountability for grant-funded programs while providing structured supports to address identified deficiencies and strengthen program implementation.

Corrective actions are based on a program's overall rating and performance within specific Key Performance Areas (KPAs). ECT reserves the right to apply corrective action(s) at any time when compliance concerns, health and safety risks, or material grant violations are identified, regardless of overall rating.

Rating-Based Performance Improvement Levels:

Exemplary (31–34 Points)

Description:

Programs rated Exemplary demonstrate consistent compliance with grant requirements and high-quality implementation across all KPAs.

Monitoring & Response:

- Standard monitoring schedule
- Recognition of effective practices, as applicable
- Optional participation in peer learning or best practice sharing

No corrective action is required

High Quality (26–30 Points)

Description:

Programs rated High Quality meet most grant requirements with minor opportunities for improvement.

Monitoring & Response:

- Standard monitoring schedule
- Written recommendations for continuous improvement
- Voluntary technical assistance, as requested

Formal corrective action is not required unless specific compliance issues are identified



Proficient (21–25 Points)

Description:

Programs rated Proficient meet minimum grant requirements but show inconsistencies in one or more KPAs.

Monitoring & Response:

- Written improvement recommendations
- Targeted technical assistance or coaching
- Follow-up monitoring, as determined by ECT

Programs may be required to submit a brief improvement plan addressing identified gaps

Emerging (17–20 Points)

Description:

Programs rated Emerging partially meet grant requirements and demonstrate significant deficiencies across multiple KPAs.

Monitoring & Response:

- Required Program Improvement Plan (PIP) submitted within 30 calendar days
- Targeted technical assistance and/or required professional development
- Increased monitoring frequency, including follow-up site visits
- Documentation of progress toward corrective benchmarks

Failure to demonstrate improvement may result in escalated corrective actions



Critical (0–16 Points)

Description:

Programs rated Critical fail to meet basic grant and quality standards and may pose risks to service quality, compliance, or child safety.

Monitoring & Response:



- Immediate Program Improvement Plan required within 15 calendar days
- Intensive technical assistance and oversight
- Increased monitoring and reporting requirements
- Potential suspension, reduction, or reallocation of funds
- Possible probation or termination of grant agreement, in accordance with ECT policies

Immediate action is required to address any health, safety, or material compliance concerns







Quality Program Assurances Fiscal Compliance and Reimbursement Policy

The Escambia Children's Trust (ECT) Fiscal Guidelines establish the financial management standards and reimbursement requirements applicable to all funded programs. These guidelines are designed to ensure responsible stewardship of public funds, promote fiscal accountability, and support program sustainability while maintaining compliance with contractual, state, and federal requirements.

Fiscal compliance is a critical component of ECT's Quality Program Assurances framework. Programs are expected to maintain sound financial systems, internal controls, and documentation practices that accurately reflect allowable costs, services delivered, and reimbursement requests. Adherence to these guidelines helps ensure that program expenditures are reasonable, necessary, allocable, and directly aligned with approved budgets and scopes of service.

These Fiscal Guidelines apply throughout the full grant lifecycle, including pre-award readiness, contract execution, reimbursement processing, monitoring, and closeout. They outline expectations related to budgeting, accounting systems, payroll and personnel costs, attendance and dosage verification, reimbursement documentation, cash management, and fiscal record retention.

ECT utilizes these guidelines to assess fiscal capacity, determine risk levels, and guide monitoring activities. Programs that demonstrate consistent compliance may be subject to standard monitoring, while programs with identified gaps may receive technical assistance, increased oversight, or be required to implement a Program Improvement Plan.

The intent of these Fiscal Guidelines is not solely to enforce compliance, but to promote transparency, consistency, and collaboration between ECT and funded providers. By clearly defining fiscal expectations and reimbursement standards, ECT supports programs in strengthening financial practices, minimizing audit risk, and ensuring that resources are used effectively to benefit children and families.



Here is a **Provider Responsibilities** subsection that fits cleanly under the Fiscal Guidelines introduction and aligns with **grant agreements, reimbursement-based funding, and monitoring protocols**.

Fiscal Category 1

Governance & Internal Controls



Description:

Providers must establish and implement board-approved fiscal policies and internal controls that ensure proper oversight and prevent misuse of funds. This includes segregation of duties, procurement standards, conflict of interest disclosures, and routine financial review processes.

Assesses oversight, policies, and fraud prevention

Standards:

- Board-approved fiscal policies are documented
- Provider adheres to ECT Financial Policies and Guidelines
- Current list of Board of Directors is maintained and available
- Board meeting minutes for last 3 meetings are documented and available
- Board meeting dates for current year (2026) are established
- Segregation of duties is defined and implemented
- Conflict of interest policy is in place and signed
- Procurement procedures are documented and followed
- Routine internal financial reviews occur



Fiscal Category 2

Accounting & Financial Management



Description:

Providers must maintain an accounting system capable of tracking program-specific revenues and expenditures, producing accurate financial reports, and supporting reimbursement verification. Records must be current, reconciled, and available for review upon request.

Assesses financial tracking and reporting capacity

Standards:

- Accounting system tracks program-specific revenues and expenses
- General ledger is current and accurate
- Financial reports reconcile to source records
- Bank reconciliations are completed regularly
- Financial records available upon request



Fiscal Category 3

Budget Alignment & Cost Allowability



Description:

Providers are responsible for ensuring that all costs charged to ECT funds are allowable, reasonable, necessary, and allocable to the approved program budget. Shared costs must be supported by a cost allocation methodology, and budget variances must be approved in advance when required.

Assesses allowability and budget compliance

Standards:

- Expenses align with approved ECT budget
- Costs are allowable, reasonable, and necessary
- Shared costs include documented allocation methodology
- Budget modifications approved when required
- No unallowable or unrelated expenses identified
- Inventory list maintained for items over $5,000
- Large equipment purchases (TVs, gaming systems, computers, etc.) are present and in use at program site
- ECT logo is affixed to any vehicles purchased with ECT funds
- Are purchased vehicles registered to the funded agency
- Is ECT on the purchased vehicle(s) title as a lien holder



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Fiscal Category 4

Reimbursement Submission Process



Description:

Providers must submit reimbursement requests in accordance with established timelines and procedures. Reimbursement of claims must be internally reviewed prior to submission and must accurately reflect actual, allowable expenditures incurred during the contract period.

Assesses timeliness and accuracy of reimbursement requests

Standards:

- Reimbursements submitted timely per contract
- Requests reflect actual expenditures incurred
- Internal review conducted prior to submission
- Supporting documentation is complete and accurate
- No duplicate or unsupported charges identified



Fiscal Category 5

Documentation & Fiscal Records



Description:

Providers must maintain complete, organized source documentation supporting all reimbursement claims, including invoices, receipts, payroll records, and contracts. Documentation must clearly identify the program, funding source, dates of service, and cost categories.

Assesses documentation integrity

Standards:

- Invoices, receipts, and contracts are maintained
- Documentation clearly ties to reimbursement requests
- Records include dates, funding source, and cost category
- Documentation is organized and easily retrievable
- No missing or altered documentation identified



Fiscal Category 6

Payroll & Personnel Costs



Description:

Providers must ensure that payroll costs charged to the program are supported by timesheets or Personnel Activity reports and align with the approved staffing plan. Payroll taxes, fringe benefits, and personnel costs must be documented and compliant with grant requirements. Services paid for "staff" that receive a 1099 must be supported with an invoice from that worker and recorded under Professional Services/contract labor. All supporting documentation must include date and times worked.

Assesses labor cost compliance

Standards:

- Timesheets or PARs support all payroll charges
- Timesheets include dates, hours, and signatures
- Payroll aligns with approved staffing plan
- Fringe and taxes are properly calculated and documented
- 1099 contractors supported by invoices and categorized correctly



Fiscal Category 7

Attendance, Dosage & Billing Verification



Description:

Providers must maintain accurate enrollment, attendance, and service dosage records that substantiate services delivered and align with reimbursement requests. Systems must be in place to prevent billing for ineligible participants, undelivered services, or duplicate funding.

Assesses service verification and billing integrity

Standards:

- Enrollment and attendance records are complete
- Attendance aligns with reimbursement claims
- Service dosage is documented
- Controls prevent billing for non-participants or missed services
- No duplication of funding across sources



Fiscal Category 8

Cash Management & Reconciliation



Description:

Providers must implement cash management procedures that ensure timely reconciliation of bank accounts, accurate recording of reimbursements, and appropriate handling of advance or delayed payments.

Assesses cash handling and reconciliation practices

Standards:

- Reimbursements properly recorded in accounting system
- Bank reconciliations completed timely
- No excessive cash drawdowns or advances
- Funds are not commingled with other sources
- Cash flow supports reimbursement-based model



Fiscal Category 9

Monitoring, Audit & Corrective Action History



Description:

Providers must fully cooperate with ECT monitoring, audits, and desk reviews. Identified findings must be addressed through corrective actions or Program Improvement Plans within required timelines, with documentation demonstrating progress and resolution.

Assesses responsiveness to oversight

Standards:

- Prior audit findings addressed and resolved
- Corrective actions implemented timely
- Documentation supports resolution of findings
- Provider responsive to ECT monitoring requests



Fiscal Category 10

Child Welfare & Safety Fiscal Assurances



Description:

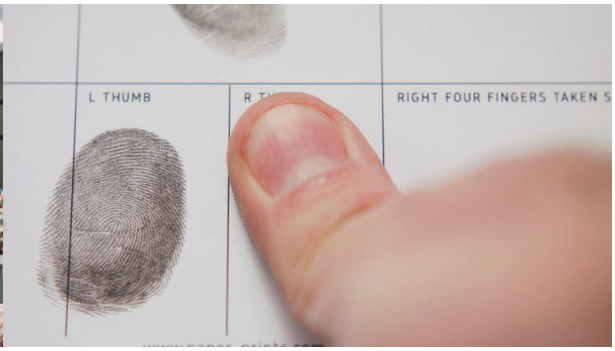
Providers must ensure fiscal resources are allocated to support child safety, including background screenings, staff training, supervision ratios, and required insurance coverage. Fiscal decisions must not compromise the health, safety, or supervision of participating children.

Assesses fiscal support for safe operations

Standards:

- Certificate of Insurance on file showing minimum $1,000,000 General Liability coverage
- Escambia Children's Trust (ECT) listed as Additional Insured on General Liability policy
- Vehicle insurance in place for transporting children or ECT-funded vehicles
- ECT listed as Additional Insured on vehicle insurance (if applicable)
- Budget includes costs for background screenings
- Staff training and supervision costs are funded
- Insurance coverage is current and not expired
- Fiscal decisions support safe staffing ratios





Fiscal Compliance and Reimbursement Policy Rating Scale

Rating	Score Range	Description
Exemplary	55 – 61	Fully compliant; documentation complete, accurate, timely; strong internal controls and proactive fiscal management.
High Quality	50 – 54	Compliant with core requirements; minor gaps exist but do not present fiscal or compliance risk.
Proficient	45 – 49	Some requirements met, but documentation or consistency is insufficient; improvement required.
Emerging	35 – 44	Significant compliance gaps; moderate fiscal or audit risk present.
Critical	0 – 34	Requirements not met or evidence not provided; high risk and unacceptable.

Failure to meet provider responsibilities in any rubric-aligned area may result in reduced fiscal compliance scores, increased monitoring, required corrective actions, or implementation of a Program Improvement Plan. Persistent or high-risk noncompliance may lead to escalation under ECT's progressive discipline framework, including funding restrictions or contract action.

Fiscal Compliance Summation

The Fiscal Compliance and Provider Responsibilities Plan establish clear expectations for the responsible management of public funds across all funded programs. The plan outlines standardized fiscal requirements aligned with reimbursement-based funding, internal controls, documentation, attendance verification, and child safety protections. It is directly tied to ECT's Fiscal Compliance and Reimbursement Rubric to ensure consistency, transparency, and accountability in how programs are reviewed and monitored.

Through this framework, providers are held to clearly defined standards across financial governance, accounting systems, budget alignment, reimbursement practices, payroll documentation, service verification, and audit responsiveness. The plan supports ECT's risk-based monitoring approach by linking provider performance to fiscal scoring, monitoring intensity, and corrective action requirements when needed.

Overall, the plan promotes sound fiscal stewardship, protects children and public resources, and supports continuous quality improvement by clearly outlining provider responsibilities and the consequences of noncompliance, while maintaining a collaborative approach to technical assistance and program improvement.

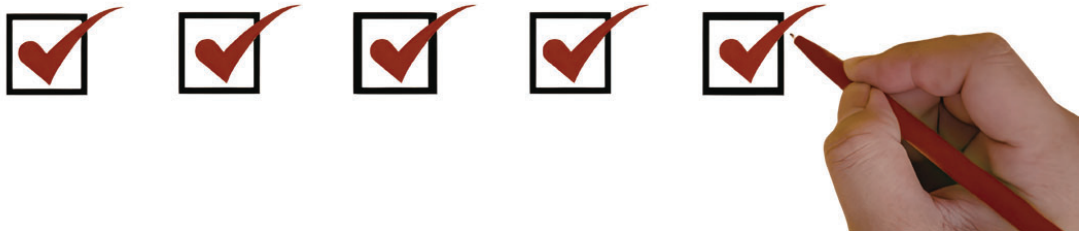
Quality Program Assurances Human Resource Compliance & Program Site Audit

The **Escambia Children's Trust (ECT) Human Resource Compliance & Program Site Audit** serves as a formal oversight mechanism to verify provider compliance with contractual requirements, established policies and procedures, and applicable quality, fiscal, and safety standards. This **two-part audit** process is designed to ensure that ECT-funded programs operate with integrity, transparency, and accountability while safeguarding public funds and promoting safe, high-quality services for children and families.

- **Part One** of the audit focuses on human resources compliance and evaluates program governance and policies, human resource practices, fiscal management, and document integrity. Compliance activities are conducted at the business offices of funded programs, where auditors review governance and policy documentation, required employee and volunteer records, file security protocols, and documentation and recordkeeping practices.
- **Part Two** consists of program site audits that assess whether participants are receiving services in a safe, structured, and supportive environment. This component is critical to the monitoring of after-school and child-serving programs, as it provides direct, real-time verification that policies, procedures, and safety practices are actively implemented. Areas of focus include site safety precautions and participant protection measures, hazard-free learning and play spaces, and facilities that provide clean, functional, and appropriate accommodations.

ECT's Human Resource Compliance and Program Site Audit is designed to align with and support compliance with standards set forth by the **Florida Department of Children and Families (DCF)**, with specific focus on the following areas:

- Child supervision and ratios
- Health and safety compliance
- Background screening and staff qualifications
- Mandatory reporting and child abuse prevention



Quality Program Assurances Human Resource Compliance & Program Site Audit (cont.)

Through on-site visits, monitoring staff can identify risks that may not be evident through documentation review alone, including supervision gaps, environmental hazards, and noncompliance with child protection standards. This proactive oversight enables early intervention, helps reduce organizational liability, and ensures programs operate in accordance with applicable child welfare laws and Florida Department of Children and Families (DCF) licensing or regulatory requirements. Findings from both audit components are documented using standardized tools to promote consistency, objectivity, and fairness across all funded programs.

Ultimately, site visits protect:

- Children's health and safety
- Program integrity
- Public trust and funding accountability

The ECT Human Resource Compliance & Program Site Audit is not intended solely as a compliance exercise, but as a component of ECT's broader Quality Performance Assurance framework. By integrating audit findings with program evaluation and fiscal compliance processes, ECT supports continuous improvement, responsible stewardship of public resources, and consistent delivery of safe, effective, and outcome-focused services across Escambia County.



Human Resource Compliance Checklist



Section 1: Policy Requirements



Checklist

- Sign-In/Out Policy
- Daily Inspection Policy
- Hiring/Recruitment Policy
- Drug-Free Workplace Policy
- Background Screening Policy
- Incident Reporting Policy
- Behavioral Management Policy
- Medication Administration Policy
- Universal Sanitary Precautions Policy
- Transportation/Field Trip Policy
- Vehicle Check Procedure
- Missing Child Policy
- Fire Safety Policy
- Evacuation Procedures Policy
- Unknown Person on Premises Policy

Score: 15 points

Section 2: Forms & Documentation

A. Enrollment & Participation

Checklist

- Facility readiness (licensed or compliant space) DCF School Age Handbook
- Emergency response procedures (fire drills, active shooter, inclement weather)
- Supervision and line-of-sight policies and procedures
- Incident and injury response plan policy and reporting procedures
- Safe entry/exit and sign-in procedures

Score: 5 points



Section 2: Forms & Documentation (cont.)







B. Reporting Forms

Checklist

- Daily Facility Inspection Form
- Accident / Incident Reporting Form
- Behavioral Management Reporting Form
- Medication Administration Reporting Form

Score: 4 points

C. Training Documentation

Checklist

- Sign-In / Sign-Out Training
- Daily Inspection Training
- Transportation Training
- Emergency Policy Training
- Universal Sanitary Precautions Training

Score: 5 points

D. Compliance Records

Checklist

- Background Screening Form
- CPR / First Aid Certificate
- Drug-Free Workplace Acknowledgement

Score: 3 points

E. DCF Certifications

Checklist

- CANN Certification
- AMAP Certification
- HSAN Certification
- RNRF Certification
- SAPR Certification
- UDAP Certification
- Transportation Certification (if applicable)

Score: 7 points

Investing in higher-quality certifications and training is essential for building a successful and sustainable program.

Section 3: File Requirements

A. Participant Files

Checklist

- Files stored securely (locked)
- Enrollment Form on file
- Transportation Form current
- Incident Reports properly filed
- Behavioral Reports on file

Score: 5 points

B. *Participant PHI Files*

Checklist

- Stored securely & separately
- Health Form updated annually
- Medication Authorization Form
- Medication Logs maintained

Score: 4 points

C. *Employee & Volunteer Files*

Checklist

- Files stored securely
- Job Description
- Application/Resume
- Credentials/Licenses
- Background Screening
- CPR/First Aid Certificate
- Moral Character Form
- Drug-Free Acknowledgement

Score: 8 points

D. *Training Documentation*

Checklist

- Sign-In Training
- Inspection Training
- Medication Training
- Behavioral Training
- Incident Reporting Training
- Emergency Training



Section 3: File Requirements (cont.)

D. Training Documentation

Checklist

- Sanitary Precautions Training
- DCF CANN
- DCF AMAP
- DCF HSAN
- DCF RNRF/SAPR/UDAP

Score: 11 points



Section 4: Transportation Requirements

Checklist

- Transport Certification
- Driver's License
- Driving Record Check
- DCF transport training
- Vehicle alarms installed
- Vehicle inspections documented
- Vehicle first-aid kits
- Vehicle fire extinguishers

Score: 8 points

Human Resource Compliance Rating Scale

75 possible points

Exemplary	70 – 75
High Quality	65 – 69
Proficient	55 – 64
Emerging	45 – 54
Critical	0 – 44

Program Site Audit



Facility Inspection

A. Access & Supervision

Checklist

- Doors/exits marked & unobstructed
- Active supervision observed
- Sign-in / Sign-Out sheet present
- Sign-in matches attendance
- ECT logo displayed
- Facility inspection logs available

Score: 6 points

B. Interior Safety

Checklist

- No safety/fire hazards
- Rugs/mats safe
- HVAC serviced
- Furniture stable
- Shelves anchored
- Equipment in good condition
- No cord hazards
- No ceiling leaks
- No exposed wiring
- Adequate lighting
- Windows secure
- Proper temperature

Score: 12 points



C. Emergency & Fire Safety

Checklist

- Emergency plan in place
- CPR/First Aid staff present
- Evacuation routes posted
- Fire inspections documented
- Fire extinguishers compliant

Facility Inspection (cont.)

C. Emergency & Fire Safety

Checklist

- Extinguisher within 75 ft
- Drill records maintained
- Smoke detectors working
- CO detectors (if applicable)

Score: 9 points

D. Health & Basic Needs

Checklist

- Restrooms clean/stocked
- Plumbing functional
- First-aid kit accessible
- Telephone accessible

Score: 4 points

E. Exterior Safety

Checklist

- Outdoor equipment safe
- Play areas hazard-free
- Gates secured/supervision

Score: 3 points



Program Site Audit Rating Scale

34 possible points

Exemplary	32 – 34
High Quality	28 – 31
Proficient	23 – 27
Emerging	18 – 22
Critical	0 – 17

Quality Program Assurances Human Resource Compliance & Program Site Audit Summation

The **Quality Program Assurances Human Resource Compliance and Program Site Audit** is a set of standardized compliance and quality assurance instruments utilized by the Escambia Children's Trust (ECT) to evaluate funded afterschool programs against Florida Department of Children and Families (DCF) requirements. The audit applies a **scoring framework** with defined performance tiers (Critical to Exemplary) to ensure consistent, objective assessment across providers.

The tool measures compliance across core domains including **health and safety, supervision, emergency preparedness, transportation, governance, documentation, and staff qualifications**. Data collected through site visits, documentation reviews, and direct observation are used to validate adherence to regulatory standards and contractual obligations.

Audit results are used to:

- Identify **compliance deficiencies and risk levels**
- Trigger **corrective actions and Program Improvement Plans (PIPs)**
- Inform **funding decisions and ongoing contract monitoring**
- Support **system-wide quality assurance and accountability**

This process ensures that all ECT-funded programs maintain **safe environments, qualified staff, and compliant operations**, while advancing continuous quality improvement across the network.



Quality Program Assurances Program Improvement Plan (PIP)

The Escambia Children's Trust (ECT) Quality Assurances **Program Improvement Plan (PIP)** is a structured and integrated corrective action framework designed to address identified deficiencies in program quality, fiscal compliance, and operational accountability across all ECT-funded programs. The PIP serves as a formal mechanism to support improvement, protect public funds, and ensure that services delivered to children and families meet established ECT standards and contractual requirements.

The Program Improvement Plan is directly informed by findings from three core oversight functions: the ECT Quality Program Assurances Evaluation System, the ECT Fiscal Compliance and Reimbursement Procedures Policy, and the ECT Program Audit. Together, these systems provide a comprehensive view of program performance by assessing service quality and outcomes, fiscal integrity and reimbursement accuracy, and compliance with operational, safety, and contractual standards. When results from any of these processes indicate underperformance, non-compliance, or elevated risk, the PIP is used to formally document required corrective actions and improvement strategies.

The PIP outlines specific, measurable, and time-bound actions that providers must implement to address identified gaps. Corrective actions may relate to program design and delivery, staffing and training, data collection and reporting, fiscal management and documentation, reimbursement practices, or audit findings related to site safety, human resources, or internal controls. The plan establishes clear expectations, responsible parties, documentation requirements, and timelines for achieving compliance and demonstrating improvement.

While the PIP is an accountability tool, it is grounded in ECT's commitment to continuous quality improvement and provider support. ECT works collaboratively with funded programs by offering technical assistance, coaching, targeted monitoring, and guidance throughout the improvement process. The level of oversight and intervention is aligned with the severity and persistence of identified issues, using a tiered approach to protect children, families, and public resources while supporting provider success.

Through the integration of evaluation, fiscal compliance, and audit processes, the Quality Assurances Program Improvement Plan ensures consistency, transparency, and fairness in corrective actions. It reinforces ECT's responsibility as a steward of public funds and affirms its commitment to strengthening program quality, improving outcomes, and maintaining public trust across all funded services.

- Programs receiving an **Exemplary** or **High Quality** rating demonstrate strong alignment with quality standards and typically do not require a Program Improvement Plan. These programs may receive recommendations for continuous improvement but remain on a standard monitoring schedule.

Quality Program Assurances Program Improvement Plan (cont.)

- Programs rated **Proficient** meet minimum expectations but may show inconsistencies across one or more components. In these cases, ECT may require targeted improvement actions to strengthen implementation and prevent performance decline. The PIP serves as a proactive tool to support continued progress and sustainability.
- Programs receiving an **Emerging** rating are required to enter the Program Improvement Plan process. These programs partially meet standards and require structured, time-bound actions to address identified gaps across multiple areas. The PIP outlines specific strategies, timelines, and documentation requirements to support measurable improvement and progress toward compliance.
- Programs rated **Critical** require immediate and intensive intervention. A Program Improvement Plan is mandatory and may be paired with enhanced monitoring, temporary suspension, or other corrective measures. In these cases, the PIP establishes clear expectations for urgent corrective action and determines whether the program can return to acceptable performance levels or whether further contractual action is necessary.

Across all applicable rating levels, the Program Improvement Plan is grounded in a **transparent and collaborative improvement model**. Programs are informed of their rating, the evidence supporting identified concerns, and the specific actions required for improvement. ECT works in partnership with providers by offering technical assistance, coaching, and monitoring support to promote successful implementation.

The Program Improvement Plan reflects ECT's commitment to accountability, continuous quality improvement, and responsible stewardship of public funds. By aligning improvement expectations directly to program ratings, the PIP ensures clarity, consistency, and fairness while supporting providers in delivering high-quality services to children and families.



PIP Progressive Discipline Process for Funded Programs

The Escambia Children's Trust (ECT) utilizes a **progressive discipline process** to address non-compliance, underperformance, or failure to meet Quality Program Assurances standards. This process is designed to promote accountability, encourage corrective action, and protect the effective use of public funds, while providing programs with reasonable opportunities to improve.

Progressive discipline consists of **three escalating levels**, applied based on the severity, frequency, and impact of identified issues. ECT reserves the right to bypass levels when immediate action is required to protect child safety, fiscal integrity, or contractual compliance.

Level 1: Notice of Concern and Improvement Support

(Least Severe)

Purpose:

To formally notify the program of minor or initial deficiencies and provide guidance for improvement.

T**riggers may include:**

- Minor compliance issues
- Isolated performance gaps
- Inconsistencies in documentation, reporting, or implementation
- First-time findings during monitoring or evaluation

Actions may include:

- Written Notice of Concern
- Required corrective actions or improvement recommendations
- Targeted technical assistance or coaching
- Follow-up monitoring or documentation review

Expected Outcome:

Program addresses identified issues within established timelines and returns to full compliance without further escalation.



Level 2: Formal Corrective Action and Enhanced Monitoring

Purpose:

To address significant or repeated deficiencies that impact program quality, compliance, or outcomes.

Triggers may include:

- Failure to resolve Level 1 concerns
- Multiple deficiencies across Key Performance Areas (KPAs)
- Emerging or borderline Critical evaluation ratings
- Ongoing data, attendance, or reporting issues

Actions may include:

- Required Program Improvement Plan (PIP) with defined timelines
- Increased monitoring frequency (desk reviews and/or site visits)
- Required professional development or training
- Probationary status or conditional funding continuation

Expected Outcome:

Program demonstrates measurable progress and sustained improvement aligned with ECT standards.

Level 3: Severe Corrective Action, Suspension, or Contract Termination

(Most Severe)

Purpose:

To address serious, unresolved, or high-risk issues that threaten child safety, compliance, or public trust.

Triggers may include:

- Failure to implement or complete a required PIP
- Persistent non-compliance after Level 2 intervention
- Critical evaluation rating
- Health or safety violations
- Fraud, misuse of funds, or material contract violations
- Loss of licensure or operational capacity

Actions may include:

- Immediate corrective directives
- Temporary suspension of services and/or funding
- Accelerated monitoring or audits
- Reduction or reallocation of funds
- Termination or non-renewal of the grant agreement

Expected Outcome:

Resolution of issues through reinstatement under strict conditions or orderly termination of the contractual relationship.

Purpose of the Program Improvement Plan

This Program Improvement Plan (PIP) is required for programs identified as **Emerging or Critical**, or for any program with significant deficiencies identified during monitoring. The PIP outlines specific actions the program will take to address areas of non-compliance or underperformance, strengthen implementation, and align with ECT Quality Program Assurances standards.

All corrective actions must be **measurable, time-bound, and supported by documentation**.

Monitoring & Follow-Up

- **Follow-Up Review Date(s):**
- **Monitoring Method:**
  □ Desk Review □ Site Visit □ Data Review □ Documentation Check
- **Expected Outcome:**
  Program demonstrates measurable improvement and compliance with ECT standards.

Emergency Circumstances and Contract Action Provision

Notwithstanding the standard corrective action and performance improvement processes outlined in this document, the Escambia Children's Trust (ECT) reserves the right to temporarily suspend services, modify monitoring requirements, or terminate a contract when emergency circumstances arise that significantly impact a provider's ability to operate safely, compliantly, or in accordance with grant requirements.

Emergency circumstances may include, but are not limited to:

- Public health emergencies or natural disasters
- Facility closures due to safety concerns or damage
- Sudden loss of licensure or required approvals
- Immediate health, safety, or welfare risks to children or staff
- Fraud, misuse of funds, or material grant violations
- Organizational dissolution or loss of operational capacity

In such cases, ECT may implement immediate actions without following the standard corrective action timeline in order to protect children, families, public funds, and community interests. Actions may include:

- Temporary suspension of program operations or funding
- Accelerated monitoring or reporting requirements
- Modification or waiver of certain performance expectations, as appropriate
- Termination or non-renewal of the grant agreement, in accordance with applicable policies and contractual terms

When feasible, ECT will notify the provider in writing of the nature of the emergency action and any conditions required for reinstatement or resolution. Providers may be afforded the opportunity to submit documentation or corrective information once the emergency condition has stabilized, at ECT's discretion.

This provision ensures ECT maintains the flexibility necessary to respond to urgent or unforeseen circumstances while continuing to uphold its commitment to child safety, accountability, and responsible stewardship of public funds.

Temporary Suspension and Reinstatement Process

The Escambia Children's Trust (ECT) may initiate a temporary suspension of program operations or funding when emergency or extraordinary circumstances compromise a provider's ability to operate safely, compliantly, or in alignment with grant requirements. This process balances **child safety, fiscal stewardship, and operational flexibility**, while providing a clear pathway for reinstatement when appropriate.

1. Grounds for Temporary Suspension

ECT may impose a temporary suspension when one or more of the following conditions are identified:

- Immediate health or safety risks to children, youth, or staff
- Loss or suspension of required licensure, certifications, or approvals
- Facility closure due to damage, unsafe conditions, or emergency orders
- Verified misuse of funds, fraud, or material grant violations
- Inability to deliver contracted services due to staffing, operational, or organizational failure
- Public health emergencies, natural disasters, or other force majeure events

Temporary suspension may occur with or without prior corrective action, depending on the urgency and severity of the issue.

2. Notice of Temporary Suspension

When a temporary suspension is initiated, ECT will provide written notice to the provider that includes:

- Reason(s) for the suspension
- Effective date of suspension
- Scope of suspension (e.g., funding, enrollment, service delivery)
- Conditions required for reinstatement, if applicable
- Reporting or documentation expectations during the suspension period

In urgent situations, verbal notification may be provided initially, followed by written confirmation.

3. Suspension Period Requirements

During the suspension period, the provider may be required to:

- Cease all or specified program activities funded by ECT
- Secure and maintain required documentation and records
- Submit corrective documentation or a remediation plan
- Cooperate with monitoring, audits, or site reviews
- Maintain communication with ECT regarding status updates

Funding disbursements may be paused or adjusted during the suspension period.

4. Reinstatement Eligibility and Request

A provider may be considered for reinstatement when the conditions leading to suspension have been resolved or sufficiently mitigated. To request reinstatement, the provider must submit written documentation demonstrating:

- Resolution of the identified issue(s)
- Restoration of compliance with applicable standards and grant requirements
- Implementation of safeguards to prevent recurrence
- Updated policies, licenses, staffing records, or facility approvals, as applicable

ECT reserves the right to require a site visit, desk review, or additional verification prior to reinstatement.

5. Reinstatement Review and Determination

ECT will review the reinstatement request and determine whether the provider:

- Is eligible for full reinstatement
- Requires conditional reinstatement with enhanced monitoring
- Remains suspended pending additional corrective action
- Is subject to contract termination or non-renewal

Reinstatement decisions will be communicated in writing and may include:

- Revised performance expectations or timelines
- Increased monitoring or reporting frequency
- Probationary status for a defined period

6. Failure to Meet Reinstatement Conditions

If a provider fails to meet reinstatement conditions within the timeframe established by ECT, the Trust may:

- Extend the suspension period
- Reduce or reallocate funding
- Initiate termination of the grant agreement
- Decline future funding eligibility

These actions will be taken in accordance with ECT policies and contractual provisions.

7. Discretion and Authority

ECT retains sole discretion in determining when a temporary suspension is warranted and whether reinstatement is appropriate. Nothing in this process limits ECT's authority to take immediate action to protect children, ensure compliance, or safeguard public funds.

8. Purpose of the Process

This Temporary Suspension and Reinstatement Process is intended to provide clarity, consistency, and fairness while allowing ECT to respond effectively to emergency or extraordinary circumstances. The process reinforces ECT's commitment to safety, accountability, and the continuity of high-quality services whenever possible.

Program Improvement Plan Summary

The Escambia Children's Trust (ECT) Quality Assurances Program Improvement Plan (PIP) is a structured, tiered corrective action framework used to address program performance deficiencies, fiscal non-compliance, and operational risks identified through ECT's evaluation, fiscal monitoring, and audit processes. The PIP supports accountability while promoting continuous quality improvement and responsible stewardship of public funds.

The PIP is triggered when a program receives an Emerging or Critical rating under the ECT Quality Program Assurances Evaluation System, demonstrates significant fiscal compliance issues, or fails to meet contractual, safety, or audit standards. It may also be applied to Proficient programs when persistent gaps or elevated risk factors are identified. Corrective actions are aligned with documented findings and are designed to be specific, measurable, and time-bound.

Through the PIP, providers are required to implement targeted corrective actions addressing identified deficiencies across program quality, staffing, attendance and outcomes, data reporting, fiscal management, reimbursement practices, and audit findings. ECT establishes clear expectations for improvement, assigns timelines, and defines required documentation to verify progress and resolution. Monitoring intensity and technical assistance are scaled based on the severity and persistence of identified issues.

ECT administers the PIP using a progressive discipline and risk-based oversight approach. Programs demonstrating timely and sustained improvement may return to standard monitoring, while programs that fail to meet improvement benchmarks may be subject to enhanced monitoring, funding restrictions, temporary suspension, or contract termination in accordance with ECT policies.

Overall, the Program Improvement Plan reinforces ECT's commitment to transparency, fairness, and continuous improvement. By integrating quality evaluation, fiscal compliance, and audit findings into a single improvement framework, the PIP ensures that funded programs are supported in delivering safe, compliant, and high-quality services that achieve measurable outcomes for children and families in Escambia County.

Overall Summary of the ECT Quality Program Assurances Plan

The **Escambia Children's Trust (ECT) Quality Program Assurances Plan** establishes a comprehensive, integrated system for monitoring, evaluating, and strengthening the performance, fiscal integrity, and operational compliance of all ECT-funded programs. The plan solidifies ECT's commitment to accountability, transparency, continuous quality improvement, and responsible stewardship of public funds while ensuring that funded services deliver safe, effective, and outcome-focused support to children and families across Escambia County.

The **ECT Quality Program Assurances Plan** is built upon four interconnected components: *the ECT Quality Program Assurances Evaluation System, the ECT Fiscal Compliance and Reimbursement Procedures, the ECT Human Resource Compliance & Program Site Audit, and the ECT Program Improvement Plan (PIP)*. Together, these components provide a unified framework that assesses program quality and outcomes, verifies fiscal compliance and reimbursement accuracy, ensures adherence to contractual and safety requirements, and establishes a structured response when performance or compliance deficiencies are identified.

The **Pre-Award Risk Assessment Tool** within the Quality Program Assurances framework establishes a critical safeguard in ECT's commitment to accountability, quality, and responsible stewardship of resources. By systematically evaluating provider readiness prior to formal review and contracting, ECT ensures that potential risks are identified early and addressed proactively. This approach not only strengthens the integrity of the funding process but also promotes consistency, transparency, and equity in provider selection. Ultimately, this front-end due diligence supports stronger program implementation, reduces the likelihood of compliance issues, and positions funded providers for success in delivering high-quality outcomes for children and families across the community.

The **Evaluation System** defines clear quality standards and performance expectations across key program areas, including program environment, staffing, instructional quality, attendance and dosage, youth development and outcomes, family engagement, and data use. Evaluation results inform technical assistance, guide monitoring efforts, and determine when corrective actions are necessary to support program improvement and sustainability.

The **Fiscal Compliance and Reimbursement Procedures** establish standardized financial management and documentation requirements aligned with ECT's reimbursement-based funding model. These procedures ensure that public funds are used appropriately, costs are allowable and verifiable, and financial systems support transparency, audit readiness, and long-term program stability. Fiscal performance directly informs risk assessment, monitoring intensity, and corrective action decisions.



The **Human Resource Compliance & Program Site Audit** serves as an independent verification mechanism that assesses compliance with contractual obligations, policies and procedures, site safety, human resources practices, and fiscal controls. Audit findings provide an additional layer of oversight and are integrated into ECT's risk-based monitoring and corrective action framework.

When deficiencies are identified through evaluation, fiscal monitoring, or audit activities, the Program Improvement Plan provides a structured, tiered corrective action process. The PIP outlines specific, measurable, and time-bound actions required to restore compliance, strengthen implementation, and mitigate risk, while offering technical assistance and support tailored to the severity of identified issues.

Collectively, the ECT Quality Program Assurances Plan ensures consistency, fairness, and alignment across all oversight functions. By linking quality expectations, fiscal accountability, audit verification, and corrective action into a single system, ECT reinforces public trust, protects children and families, and supports funded providers in delivering high-quality services that achieve measurable and lasting outcomes for the community.

