

Before Starting

The submission due date in e-snaps for the FY 2017 CoC Program Registration date can be found on the FY 2017 Continuum of Care (CoC) Program Competition: Funding Availability page on the HUD Exchange. Applicants must choose to register as either a Collaborative Applicant (CA) or a Unified Funding Agency (UFA). The UFA forms will be visible only for those Collaborative Applicants who request HUD approval for UFA designation. A Collaborative Applicant that is registering as "CA" will not see the UFA forms. HUD will make the final determination of the Collaborative Applicant's designation as "CA" or "UFA" during HUD's assessment of the Registration process and provide the final determination via e-snaps.

Collaborative Applicants will also be able to request High Performing Community (HPC) designation as outlined in Section III.C.4. of the FY 2017 CoC Program Registration Notice. The HPC forms will only be visible to those Collaborative Applicants that indicate they wish to be considered for this type of designation.

To prepare for the completion and submission of the FY 2017 CoC Program Registration, Collaborative Applicants are strongly encouraged to review the following documents in their entirety BEFORE completing the FY 2017 CoC Program Registration in e-snaps:

- 24 CFR part 578
- FY 2017 CoC Registration Notice
- Instructional Guides (CoC and GIW)
- Detailed Instructions and FAQs

HUD communicates the CoC information via Listserv messages. [Click here to subscribe.](#)

1. Continuum of Care Organization

Instructions:

For additional information see the FY 2017 CoC Program Registration Detailed Instructions and CoC Program Registration Instructional Guide located on the HUD Exchange.

1. Type of CoC: UFA

2. HPC Designation: No

3. CoC Number and Name: FL-603 - Ft Myers, Cape Coral/Lee County CoC

4. Legal Name of Organization: Lee County Board of County Commissioners
(e.g., CoC Lead Agency)

5. Select the State(s) in which the CoC claims geography: Florida
For multiple state selections, hold the CTRL key and select the applicable states.

6. Is the CoC composed of two or more CoCs approved by HUD to merge after the FY 2016 CoC Program Competition or prior to this FY 2017 Competition? No
(If yes, the Merger Worksheet is required.)

2. Continuum of Care Claimed Geographic Area(s)

Instructions:

For additional information see the FY 2017 CoC Program Registration Detailed Instructions and CoC Program Registration Instructional Guide located on the HUD Exchange.

- 1. Select the geographic area(s) claimed by the CoC.** 120966 Ft Myers, 120402 Cape Coral, 129071 Lee County
- To select multiple geographic areas, hold the CTRL key and select the applicable area(s).**

3. UFA Capacity

Any Collaborative Applicant that intends to submit the CoC Registration requesting UFA designation must complete all questions on this form.

Instructions:

For additional information see the FY 2017 CoC Program Registration Detailed Instructions and CoC Program Registration Instructional Guide located on the HUD Exchange.

1. Does the CoC hold meetings of the full membership with published agendas at least semi-annually (24 CFR 578.7(a)(1))? Yes
(If yes, the Collaborative Applicant is required to attach a zip file that contains copies of the published agendas for meetings that occurred January 1, 2016 through February 1, 2017.)

2. Does the CoC have a publicly open invitation process for new members to join within the geographic area that occurs at least annually (24 CFR 578.7(a)(2))? Yes

2a. If yes, indicate the page(s) where this information can be found in the CoC Governance Agreement. (Limit 250 characters)

CoC Governance Charter - Pages 6 and 7 indicate that solicitation for new board members occurs at least twice annually.

3. Has the CoC adopted a written process, to select a board to act on behalf of the Continuum of Care (24 CFR 578.7(a)(3))? Yes

3a. If yes, what date was the written process approved by the Continuum of Care? 05/05/2014

The date that the written process was approved by the Continuum of Care

cannot be later than today's date.

4. Does the CoC Governance Charter list the committees, subcommittees, or workgroups appointed by the CoC (24 CFR 578.7(a)(4))? Yes

4a. If yes, indicate the page(s) where this information can be found in the CoC Governance Agreement. (Limit 250 characters)

CoC Governance Charter - Page 4 outlines the mandatory appointed committees, additional committees are formed as necessary.

5. In consultation with the CoC and HMIS Lead, has the governance charter been developed, followed, and updated annually (24 CFR 578.7(a)(5))? Yes

5a. Does governance charter include all procedures and policies needed to comply with Subpart B of the CoC Program interim rule and with the HMIS requirements (24 CFR 578.7(a)(5))? Yes
If yes, the Governance Agreement must be attached.

6. How has the CoC used performance and outcome data to determine allocation of resources from CoC Program and ESG funds to reduce homelessness for veterans, chronic, family, and youth populations? (Limit 1500 characters)

The CoC Governing Board collaborates with Lee County and the Lee County Homeless Coalition to develop priorities for funding projects and develop application ranking criteria. The CoC Ranking and Review procedures state that CoC project applications will be reviewed and scored based on project performance outcomes, type of projects, the project prioritization to serve special populations, and the results of the most recent project monitoring. Prior to the beginning of each CoC funding competition, Lee County requests funded programs to evaluate project performance and request voluntary reallocation for poor performing projects. If no requests for voluntary reallocation are made, the CoC Ranking and Review Committee reviews project performance, utilization of funds, effectiveness of projects to reduce homelessness, HMIS participation, and other CoC funding priorities to determine if any funds shall be involuntarily reallocated. The CoC Ranking and Review Committee make a recommendation

for reallocation to the CoC Governing Board. The CoC Governing Board reviews all recommendations and issues final approval of the application to be submitted to HUD. In addition, the CoC Governing Board reviews system performance, and the performance of all CoC and ESG funded programs annually, and is consulted during the planning process for the HUD Annual Plan, which includes the HUD ESG allocation.

**7. How has the CoC used a Housing First approach to remove barriers to housing, remove service participation requirements or preconditions to program participation, and prioritized rapid placement and stabilization in permanent housing?
(Limit 750 characters)**

CoC funded projects have made significant strides toward removing barriers to housing, removing service participation requirements, and prioritizing placement and stabilization in permanent housing. In 2014, the CoC recognized the community need for a rapid re-housing project and encouraged the Salvation Army to reallocate funds from their supportive services project to a rapid re-housing project, which prioritizes rapid placement and stabilization in permanent housing. Community Assisted and Supported Living, a CoC funded permanent housing provider, also recognizes the need for a housing first approach, and ensures that participants are not screened out because of income, substance use, domestic violence history, or criminal record.

**8. How does the CoC establish performance targets for the CoC-funded projects?
(Limit 750 characters)**

To establish performance targets for CoC funded projects, the CoC Governing Board evaluates each projects performance in increasing client income, exiting clients to permanent housing, and limiting re occurrences of homelessness. Actual project performance outcomes and overall system performance are considered by the CoC Governing Board. The Board then evaluates the availability of permanent housing and income resources and establishes achievable performance targets for each project. Targets are adjusted annual based on prior year performance, system-wide performance, and resource availability.

**8a. Specifically describe the process used to gather input from recipients and sub-recipients to establish performance targets appropriate for population and program type, monitor performance, evaluate outcomes, and actions against poor performers (24 CFR 578.7(a)(6)):
(Limit 750 characters)**

Two of the three CoC funded sub-recipients are members of the Lee County CoC Governing Board. The Governing Board is responsible for establishing performance target, evaluating project outcomes and recommending actions against poor performers. The sub-recipients who are members of the Board are welcomed to provide input at the meetings. In addition, Lee County held a CoC governing board workshop, which included CoC funded sub- recipients, prior the opening of the 2017 funding competition. At this meeting sub-recipients were encouraged to provide input regarding performance targets, monitoring

requirements, and project outcome evaluations. All input was considered in the development of the ranking and review criteria for the 2017 funding competition.

9. Describe how outcomes for projects funded under the Emergency Solutions Grants and CoC Program are evaluated (24 CFR 578.7(a)(7)): (Limit 750 characters)

The CoC evaluates CoC and ESG funded projects on an annual basis. The most recent monitoring report and performance data are presented to the CoC Governing Board. The Board reviews all monitoring reports and project performance and makes a recommendation for improvement or reallocation for each project, based on the provided information. In addition, the Ranking and Review committee evaluates CoC funded projects annually during the CoC funding competition. Each project is evaluated on achievements toward performance measures, number of clients served, timely spending of funds, and most recent monitoring outcomes. Projects are ranked from highest to lowest performing for CoC funding priority.

10. Does the CoC have a centralized or coordinated assessment system? If yes, attach the protocol for the system. Yes

11. Has the CoC designated a single HMIS for its geographic area (24 CFR 578.7(a)(9)(b)(1))? Yes

12. Name the HMIS lead (24 CFR 578.7(a)(9)(b)(2)): Lee County Board of County Commissioners

13. Of the following HMIS plans, which one(s) have been reviewed and approved by the CoC? For those plans that are approved, indicate the date of approval (24 CFR 578.7(a)(9)(b)(3)):

Plan	Reviewed and Approved	Date Approved
Privacy Plan	No	
Security Plan	No	
Data Quality Plan	No	

14. Describe the process the CoC uses to ensure consistent participation

**of recipients and sub-recipients in HMIS (24 CFR 578.7(a)(9)(b)(4)):
(Limit 750 characters)**

The Department of Human and Veteran Services (DHVS) oversees the implementation, management and maintenance of HMIS, and mandates that all CoC and ESG funded subrecipient utilize HMIS. Monthly HMIS user groups are held to discuss system utilization and updates. In addition bi-monthly coordinate entry meetings are held to prioritize resources for clients. User trainings are conducted to inform users of system changes. Each subrecipient is responsible for abiding by a user policy agreement, which requires minimum data information required for each consenting client. DHVS consistently works with the software vendor to enhance and address system functionality, improve data sharing between agencies, and enhance user experiences and utilization.

**15. Describe the process the CoC uses to ensure HMIS is administered in compliance with the 2014 Data Standards (24 CFR 578,7(a)(9)(b)(5)):
(Limit 750 characters)**

The Lee County HMIS Data Standards Manual provides baseline data collection requirements developed by HUD. This manual is designed for the Lead Agency, System Administrator, and Users to help them understand the data elements that are required in an HMIS to meet participation and reporting requirements established by HUD. The current system is in compliance with current HUD data standards, and all users have receiving training on those standards. Security, confidentiality, and data standards requirements are refreshed at monthly meetings and annual trainings held by agency administrators. The System Administrator conducts data quality checks at least quarterly to ensure APR data level quality and compliance with most recent data standards.

**16. Describe the CoC's coordination efforts to implement a housing and service system within the claimed geographic area(s) that meets the needs of homeless individuals (including unaccompanied youth) and families (24 CFR 578.7(a)(9)(c)(1)):
(Limit 750 characters)**

Homeless service providers, including the RHY funded youth shelter, utilize the coordinated entry to move clients through the service system and reduce new entries into homelessness. The process includes utilizing standardized access and assessment, coordinated referral, and housing placement for immediate and long-term housing and service needs. To further facilitate the engagement and assistance of homeless individuals and families, a Coordinated Assessment Task Force meets twice monthly to review clients who are particularly vulnerable to remaining homeless. The Task Force develops strategies to connect persons with the correct services to reduce the length of time in homelessness and prevent future episodes of homelessness.

17. How frequently does the CoC conduct a sheltered point-in-time count? annually

18. How frequently does the CoC conduct an unsheltered point-in-time count? annually

19. How frequently does the CoC conduct a gaps analysis of homeless needs and services available within the geographic area? annually

**19a. Specifically describe the process utilized by the CoC to conduct the gaps analysis:
(Limit 750 characters)**

After conducting the annual PIT & HIC, resources and utilization of each project type is assessed. The total number of unsheltered homeless persons, plus persons living in emergency shelter, transitional housing, or permanent housing, is compared to the available emergency shelter, transitional housing, and permanent housing beds. The difference between the unsheltered homeless county and the number of available beds is the identified service gap. Data found in the gaps analysis is presented to the CoC Governing Board for consideration during funding decisions.

**20. Specifically describe how the CoC is participating in the Consolidated Plan(s) for the jurisdiction(s) within the CoCs geographic area:
(Limit 750 characters)**

Members of all three consolidated planning jurisdictions (CPJ) are participating members of the CoC Governing Board. All three CPJs are actively involved in coordination and planning at CoC Board meetings, as well as at CoC Board sub-committee meetings. The two CPJs that are not the CoC Lead Agency, the City of Cape Coral and the City of Fort Myers, also consult with the Lead Agency during their own Con Plan cycles and in the development of the regional Assessment of Fair Housing. Both cities actively participate in the Lee County Homeless Coalition, and attend regular meetings. Collaboration among all three CPJs takes place on a daily basis through program referrals and regular meetings for other grant funded programs.

**21. Describe the extent to which the CoC consults with State and local government ESG program recipients within the CoC's geographic area on the plan for allocating Emergency Solutions Grants program funds (for FY2017):
(Limit 750 characters)**

Lee County is the only local ESG entitlement entity and does cover the full CoC geographic area. The CoC and Lee County consult on ESG decisions, which include the utilization of ESG entitlement funds to support the collaboratively-managed Bob Janes Triage Center and Low Demand Shelter. Because the City of Fort Myers and City of Cape Coral participate in the Governing Board and Homeless Coalition, they are also included in the development of performance standards and outcomes evaluation for ESG-funded activities. The CoC Governing Board has also developed written standards for all CoC and ESG-funded activities.

22. Has the CoC and ESG recipient developed a plan for joint reporting guidelines for ESG recipients and sub-recipients? No

23. Has the CoC and ESG recipient developed performance measurements that will be used to measure ESG recipients and subrecipients within the CoC's geographic area? Yes

4. UFA Financial Management

Any Collaborative Applicant that intends to submit the CoC Registration requesting UFA designation must complete all questions on this form.

Instructions:

For additional information see the FY 2017 CoC Program Registration Detailed Instructions and CoC Program Registration Instructional Guide located on the HUD Exchange.

1. Is the Collaborative Applicant that is requesting UFA designation a nonprofit organization or a State or a unit of local government? Unit of Local Government

2. Does the Collaborative Applicant have written policies and procedures to ensure that CoC Program funds are drawn down from LOCCS within 45 days of a sub-recipient providing source documentation of eligible costs/expenditures? Yes

3. Does the Collaborative Applicant have procedures in place to ensure CoC Program funds are drawn a minimum of every 90 days? Yes

4. Does the Collaborative Applicant have an organizational chart that sets forth the lines of responsibility? If yes, a copy of the organization chart must be attached. Yes

5. Does the Collaborative Applicant have written financial management policies and procedures addressing the areas listed below, including an organizational chart Yes

that sets forth lines of responsibility?

**5a. What page(s) of the document include the policy and procedures for ensuring complete disclosure of the financial results of each federally-sponsored project or program (in accordance with state laws, if applicable)?
(Limit 250 characters)**

Grants Admin Handbook-pg18-19-grant reporting procedures to ensure complete disclosure of financial results pg23-responsibilities of the Internal Auditor to disclose reports to the applicable stakeholders pg25-reporting in accordance with the Federal Funding Accountability and Transparency Act

**5b. What page(s) of the document adequately identify the source and application of funds for federally sponsored activities?
(Limit 250 characters)**

Grants Admin Handbook-Pg10-DHVS grant identification, application, renewal, and tracking policy Pg36-37(AC-3-17)-basic procedures related to application for grant funded programs Pgs 31-33-Sources and types of grant funds-Pgs 13-18 in Appendix B—funding sources

**5c. What page(s) of the document include the internal controls that provide effective control and accountability for all funds, property, and other assets?
(Limit 250 characters)**

Grants Admin Handbook
Appendix A – Lee County Admin Codes governing accountability for funds, property and other assets, Pgs 13-19 – Financial Management, Equipment and Real Property Management and and Internal Controls

**5d. What page(s) include a comparison of expenditures with budget amounts for each award?
(Limit 250 characters)**

Grants Admin Handbook
Pg 14-expenditure procedures which ensure funds are properly budgeted at the activity level
Pg 16-reconciliation process which compares expenditures with budget amounts
Pg44-48(AC-3-6)-Budget Amendment, Revenue and Expenditure Authority for all county departments

**5e. What page(s) include the written procedures to minimize the time elapsing between the transfer of funds to the recipient from the U.S. Treasury and the issuance or redemption of checks, warrants, or payments by other means for program purposes by the recipient?
(Limit 250 characters)**

Grants Admin Handbook
Pg 16—timely payment procedures

Pg 63-(Pg 7 of Appendix B)–payment processing procedures

**5f. What page(s) include the procedures that are followed whenever advance payment procedures are used?
(Limit 250 characters)**

Grants Admin Handbook
Pg 16-17 – advanced payment procedures
Pg 38-43(AC-3-20) – Petty cash advance procedures

**5g. What page(s) include the procedures for determining the reasonableness, allocability, and allowability of costs in accordance with the provisions of the applicable Federal cost principles and the terms and conditions of the award?
(Limit 250 characters)**

Grants Admin Handbook
Pg 13 & 17 – Supporting documentation requirements and direct costs policies
Pg 22 – Federal Single Audit policies which review cost reasonableness, allocability, and allowability

**5h. What page(s) include the accounting procedures that include recording cost accounting supported by source documentation?
(Limit 250 characters)**

Grants Admin Handbook
Pg 13 & 16-18–Supporting documentation requirements and direct costs policies
Pg 63(Pg 7 of Appendix B)–payment processing procedures

6. Are there written procurement procedures? Yes
If yes, the document must be attached.

5. UFA Financial Management - Sub-Recipient

Any Collaborative Applicant that intends to submit the CoC Registration requesting UFA designation must complete all questions on this form.

Instructions:

For additional information see the FY 2017 CoC Program Registration Detailed Instructions and CoC Program Registration Instructional Guide located on the HUD Exchange.

1. Does the Collaborative Applicant have written agreements in place with all subrecipients to which CoC funds will be allocated, documenting that each organization will allow the Collaborative Applicant, if designated, to become the recipient of grant funds? Yes

2. Does the Collaborative Applicant have written policies and procedures in place to bring noncompliant subrecipients into compliance? Yes

2a. What page(s) of the document include this information? Limit 250 characters.

Grants Admin Handbook pg 66-68 (Appendix B Pg.10-12) - Details actions taken if significant deficiencies are found & monitoring procedures High Risk Monitoring and Non-Compliance Measures -all attachments in ZIP folder

3. Does the Collaborative Applicant have written procedures to ensure that "high risk" sub-recipients receive proper oversight and monitoring? Yes

4. What plan of action does the Collaborative Applicant have in place for sub-recipient monitoring and how it will determine performance, evaluate

outcomes and take corrective action against poor performers and what will happen if the sub-recipient does not comply with the corrective actions? (A copy of the plan must be attached) (Limit 750 characters)

If a monitoring report contains a finding or concern a response is due from the agency within 30 days from the date the of report. A Corrective Action Plan (CAP) will be emailed w/the report. The agency must reply to email to acknowledge receipt of CAP. A CAP that addresses how the deficiency will be corrected & how future occurrences can be prevented is required for all findings. A written response is due for all concerns which address how issue will be addressed or resolved &/or provides necessary clarification. Failure to submit the Corrective Action Plan within the required time frame or failure to correct and prevent any deficiencies can result in the withholding of payment or termination of the contract. See appendix B in attached Grant Admin Handbook & High Risk Zip folder.

5. Does the Collaborative Applicant review sub-recipients for evidence of conflicts of interest, either between the Collaborative Applicant and the sub-recipient, or between the sub-recipient and its contractor(s) (seek information on the background of staff or the Board of Directors, seek specific assurance from sub-recipients)? Yes

6. What are the Collaborative Applicant's closeout procedures for its sub-recipient grants and the recapture of unspent funds? (Limit 750 characters)

Sub recipients are given 45 days from end of grant period to provide all necessary closeout procedures and input any necessary information into HMIS (Article III. C.2.D of contract), attached. DHVS prepares APR, validates with the sub recipient and submits into system. The CA reviews the following details of contract monitoring and close-out: monitoring dates, HQS inspections performed, date monitoring report was approved by agency and program manager, the status of any corrective action plans, and the date of APR completion. Additional internal closeout procedures can be viewed in the attached Monitoring and Closeout Procedures.

5a. UFA Financial Management - Sub-Recipient

Instructions:

For additional information see the FY 2017 CoC Program Registration Detailed Instructions and CoC Program Registration Instructional Guide located on the HUD Exchange.

Sub-recipient Name	Date Written Agreement was Executed	Date Sub-recipient was Monitored (Assessed)	OMB Circular A-133 Required?	Compliance Date
The Salvation Army	09/08/2016	06/30/2016	No	--
Community Assiste...	02/15/2017	12/06/2016	No	--
SalusCare Inc.	08/11/2016	03/07/2017	Yes	02/27/2017

5a. Sub-Recipient List Details

Sub-recipient Name: The Salvation Army
Date Written Agreement was Executed: 09/08/2016
Date Sub-recipient was Monitored (Assessed): 06/30/2016
OMB Circular A-133 Required? No

5a. Sub-Recipient List Details

Sub-recipient Name: Community Assisted and Supported Living, Inc.,
DBA Renaissance Manor
Date Written Agreement was Executed: 02/15/2017
Date Sub-recipient was Monitored (Assessed): 12/06/2016
OMB Circular A-133 Required? No

5a. Sub-Recipient List Details

Sub-recipient Name: SalusCare Inc.
Date Written Agreement was Executed: 08/11/2016
Date Sub-recipient was Monitored (Assessed): 03/07/2017
OMB Circular A-133 Required? Yes
If OMB Circular A-133 is Required, enter the date compliance was confirmed. 02/27/2017

10. Attachments

Document Type	Required?	Document Description	Date Attached
A-133 Audit	Yes	A-133 Audit Repor...	04/24/2017
Audit Policy and Procedures for Subrecipients	Yes	Monitoring Policy...	04/21/2017
Centralized or Coordinated Assessment System	Yes	Coordinated Entry...	04/21/2017
CoC Governance Charter	Yes	CoC Governance Ch...	04/11/2017
CoC Housing and Services System/Coordination Plan	No		
CoC Meeting Agendas/Minutes	Yes	CoC Meeting Agend...	04/24/2017
ESG-CoC Standards	Yes	CoC Written Stand...	04/11/2017
Financial Management Systems Policies and Procedures	Yes	Grants Admin Hand...	04/21/2017
Grant Inventory Worksheet	No		
List of Board Leaders and Members	Yes	CoC Governing Boa...	04/11/2017
LOCCS Drawdown Procedures	Yes	LOCCS Drawdown Pr...	04/21/2017
Merger Worksheet	No		
Monitoring Guide for Subrecipients	Yes	Monitoring Report...	04/11/2017
Organizational Chart/Policies and Procedures	Yes	Roles and Respons...	04/24/2017
Procedures for High-Risk Subgrantee Management	Yes	High-Risk Monitor...	04/21/2017
Procurement Policy and Procedures	Yes	Lee County Purcha...	04/11/2017
UFA - Other Attachments	No	Contract Template...	04/21/2017

Attachment Details

Document Description: A-133 Audit Reports - FL-603 and SalusCare Inc.

Multiple files may be attached as a single .zip file. For instructions on how to use .zip files, a reference document is available on the e-snaps training site:

<https://www.hudexchange.info/resources/documents/FY2012CreatingaZipFile.pdf>

Attachment Details

Document Description: Monitoring Policy from Contract Management Manual - FL603

Multiple files may be attached as a single .zip file. For instructions on how to use .zip files, a reference document is available on the e-snaps training site:

<https://www.hudexchange.info/resources/documents/FY2012CreatingaZipFile.pdf>

Attachment Details

Document Description: Coordinated Entry and HMIS Policies and Procedures- FL603

Multiple files may be attached as a single .zip file. For instructions on how to use .zip files, a reference document is available on the e-snaps training site:

<https://www.hudexchange.info/resources/documents/FY2012CreatingaZipFile.pdf>

Attachment Details

Document Description: CoC Governance Charter - FL603

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<https://www.hudexchange.info/resources/documents/FY2012CreatingZipFile.pdf>**

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Attachment Details

Document Description: CoC Meeting Agendas and Minutes - FL603

**Multiple files may be attached as a single .zip file. For instructions on how to use .zip files, a reference document is available on the e-snaps training site:
<https://www.hudexchange.info/resources/documents/FY2012CreatingZipFile.pdf>**

Attachment Details

Document Description: CoC Written Standards - FL603

**Multiple files may be attached as a single .zip file. For instructions on how to use .zip files, a reference document is available on the e-snaps training site:
<https://www.hudexchange.info/resources/documents/FY2012CreatingZipFile.pdf>**

Attachment Details

Document Description: Grants Admin Handbook - FL603

Multiple files may be attached as a single .zip file. For instructions on how to use .zip files, a reference document is available on the e-snaps training site:
<https://www.hudexchange.info/resources/documents/FY2012CreatingaZipFile.pdf>

Attachment Details

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<https://www.hudexchange.info/resources/documents/FY2012CreatingaZipFile.pdf>

Attachment Details

Document Description: CoC Governing Board Roster - FL603

Multiple files may be attached as a single .zip file. For instructions on how to use .zip files, a reference document is available on the e-snaps training site:
<https://www.hudexchange.info/resources/documents/FY2012CreatingaZipFile.pdf>

Attachment Details

Document Description: LOCCS Drawdown Procedures - FL603

Multiple files may be attached as a single .zip file. For instructions on how to use .zip files, a reference document is available on the e-snaps training site:

<https://www.hudexchange.info/resources/documents/FY2012CreatingaZipFile.pdf>

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<https://www.hudexchange.info/resources/documents/FY2012CreatingaZipFile.pdf>

Attachment Details

Document Description: Monitoring Report Guide - FL603

Multiple files may be attached as a single .zip file. For instructions on how to use .zip files, a reference document is available on the e-snaps training site:
<https://www.hudexchange.info/resources/documents/FY2012CreatingaZipFile.pdf>

Attachment Details

Document Description: Roles and Responsibilities and Org. Chart - FL 603

Multiple files may be attached as a single .zip file. For instructions on how to use .zip files, a reference document is available on the e-snaps training site:
<https://www.hudexchange.info/resources/documents/FY2012CreatingaZipFile.pdf>

Attachment Details

Document Description: High-Risk Monitoring and Non-Compliance Measures - FL603

Multiple files may be attached as a single .zip file. For instructions on how to use .zip files, a reference document is available on the e-snaps training site:
<https://www.hudexchange.info/resources/documents/FY2012CreatingZipFile.pdf>

Attachment Details

Document Description: Lee County Purchasing Manual - FL603

Multiple files may be attached as a single .zip file. For instructions on how to use .zip files, a reference document is available on the e-snaps training site:
<https://www.hudexchange.info/resources/documents/FY2012CreatingZipFile.pdf>

Attachment Details

Document Description: Contract Template and Close Out Procedures - FL603

Multiple files may be attached as a single .zip file. For instructions on how to use .zip files, a reference document is available on the e-snaps training site:
<https://www.hudexchange.info/resources/documents/FY2012CreatingZipFile.pdf>

Certification

I certify the following:

1. That I have been duly authorized by the governing body of the CoC to register the CoC and submit all required registration and application documentation on its behalf;	<input checked="" type="checkbox"/>
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2. That the statements herein are true, complete and accurate to the best of my knowledge, including that the geographic areas selected are the areas that this CoC serves;	<input checked="" type="checkbox"/>
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and

3. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001).	<input checked="" type="checkbox"/>
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Submission Summary

Before submitting this Registration, please make sure that all information is correct.

Page	Last Updated
1. CoC Organization	04/21/2017
2. CoC Geographic Area(s)	04/21/2017
3. UFA Responsibilities	04/24/2017
4. UFA Financial	04/21/2017
5. UFA Sub-Recipient	04/24/2017
5a. UFA Sub-Recipient	04/24/2017
10. Attachments	04/24/2017
Certification	04/24/2017

Monitoring

The Department of Human Services Contracts staff will regularly monitor all contracts. Reviews may be conducted on a monthly, quarterly and/or annual basis. The purpose of monitoring is to inspect, review and report on the agency's compliance with the terms and conditions of the contract in order to be assured of satisfactory performance. It is a limited scope review of the contract and agency management and does not relieve the agency of its obligation to manage the grant in accordance with applicable rules and sound management practices. Contracts for HUD-funded projects will be reviewed to ensure long-term compliance with program requirements and comprehensive planning requirements.

Various types of monitoring utilized include:

- Desk review of payment requests (invoices) and supporting documentation;
- Desk review of program and beneficiary reports,
- Desk review of Independent Financial audits (CPA) audit
- Desk review of monitoring reports from other funders which are pertinent to the contracted program. The other funding reports should be reviewed to determine if any common issues were identified that could affect contract performance.
- Tracking and receipt of other contract deliverables including Section 3, Davis Bacon and other federal requirements.
- On site monitoring and follow up visits as needed (may be scheduled or unscheduled) including to ensure compliance with federal requirements such as Davis Bacon, Section 3, NSP and HOME rental regulations.
- Desk review to address issues noted in CPA audits or other monitoring reports (an on-site review may be conducted if necessary)
- Technical Assistance
- Annual summary of monitoring activities (desk review summary)

An on-site programmatic monitoring or a desk review summary will be conducted annually of all contracts funded by the Department of Human Services. The Program Manager must authorize that an on-site review is not needed and that a summarization of all monitoring activities/desk review is sufficient. On-site monitoring visits will take place during the term of the contract and prior to contract closure.

Scheduling will be prioritized according to the following considerations:

- Complexity of program/project
- Amount/size of award/spending pattern
- Agency prior experience with funding source or program/project
- Changes in key personnel
- Timeliness and accuracy of reporting if currently funded
- Duration of award
- Previous program monitoring issues
- Program/project schedule
- Issues identified in monitoring reports from other funders

The reviews of Partnering For Results funded and State Mandated contracts should address all components listed on the respective monitoring tools (*Attachment V*) and as referenced in the Monitoring Guide (**Attachment VII**). The review of CDBG funded contracts should address all components listed on the CDBG Monitoring Report (*Attachment VIII-a*). A random selection of client files should be selected for review using a targeted goal of reviewing 10% of clients served (minimum 10, maximum 50 files). Program guidelines and monitoring tools for State or Federally funded projects shall be referred to for additional monitoring requirements.

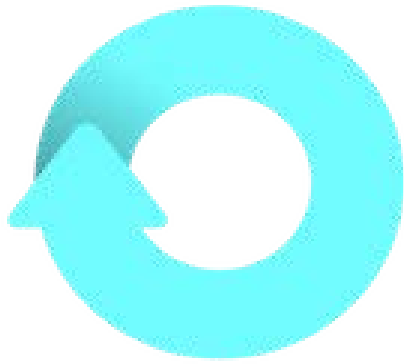
The written monitoring report in accordance with the report format (*Attachment VIII or Attachment VIII-a*) will be issued to the contracted agency. Monitoring reports shall be issued no later than 30 days following the last date of an onsite monitoring visit. Whenever possible the reports shall be issued within two weeks of the onsite visit. If it is discovered when writing the report, that information is questionable or missing, an attempt can be made to contact the agency to resolve the discrepancy. However, this should not result in the report being issued late. If the discrepancy and or questions can not be resolved prior to the issuance of the report, they should be included in the report as either a finding or concern depending on the issue. A desk review summary should be completed within 30 days of the end of the contract term.

Reports from on-site monitoring and desk review summaries will be emailed to the agency Director and copied to the Board Chair. If there is a finding or a concern, a response is due within 30 days from the date the report was sent. A Corrective Action Plan format (**Attachment IX**) should be emailed with the report if appropriate. This format should be used by the agency to respond to a finding and can be used to respond to a concern also. A separate monitoring cover letter is not necessary as long as the email contains pertinent information. See Attachment XIII for email template. Agency should reply to email to acknowledge receipt of the report.

Findings are violations of law, regulation, written proposal/application or contract requirement that can result in a sanction or repayment. It is a serious failure to comply with Federal, State or locally established policies, procedures or directives that may lead to disallowed costs and/or threaten programmatic integrity, performance and possibly future funding. A finding can be issues which identify the provider's failure to comply with specific terms and conditions of the contract which relate to the provider's service delivery, operations, billing practices and/or financial stability.

Concerns are potential problem areas or weaknesses in program operations that may represent non-compliance with application/proposal, established policy and/or processes and which if not corrected, may eventually result in noncompliance, questioned costs or other management issues and lead to larger compliance issues for the program in the future. Addressing concerns are intended to prevent contract violations and to improve program operations.

A concern could be a request for clarification or explanation for details, justification or rationale for a question, uncertainty or reservation that surfaced during the monitoring or other review of documents which relate to program operations.



**Lee County
Continuum of Care**

Governance Charter

Lee County Continuum of Care Governing Board

**Adopted by the Lee County Co Governing Board
on February 8, 2017**

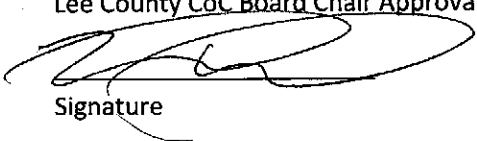
Lee County
of
Continuum of Care

Governance Charter

Lee County Continuum of Care Governing Board

Adopted by the Lee County Co Governing Board
on February 8, 2017

Lee County CoC Board Chair Approval:



Signature

Matthew Visaggio

Printed Name

2-16-17

Date



GOVERNANCE CHARTER OF

THE LEE COUNTY CONTINUUM OF CARE (CoC)

I. Purpose of the CoC and CoC Governing Board

The CoC is a membership, planning, and oversight body for Lee County, Florida. The purpose of the CoC is to develop and implement strategies to help end homelessness in Lee County. The CoC coordinates the community's policies, strategies, and activities toward ending homelessness. Its work includes gathering and analyzing information in order to determine the local needs of people experiencing homelessness, identifying and bridging gaps in housing and services, implementing strategic responses, educating the community on issues related to homelessness, providing advice and input on the operations of homeless services, and measuring CoC performance.

The CoC Governing Board provides ongoing leadership, administrative oversight, and implementation responsibility for fulfilling the purposes of the Lee County CoC, including the responsibilities set forth in Article IV of this charter. Membership on the CoC Governing board is constituted by the completion of a Continuum of Care Board Membership Application and majority favorable vote by the CoC General Membership.

II. Purpose of the Governance Charter

This charter shall provide the structure for the Lee County CoC and outlines the roles and responsibilities of the County, the Coalition, and the CoC Governing Board to effectively operate the CoC and:

1. Ensure that the CoC is meeting all of the responsibilities assigned to it by HUD regulations;
2. Promote the commitment to end homelessness;
3. Represent the relevant organizations and projects serving homeless subpopulations;
4. Support persons who are homeless in their movement from homelessness to economic stability and affordable permanent housing within a supportive community, as well as to promote access to and effective utilization of mainstream programs;
5. Ensure that the CoC is inclusive of all needs of Lee County's homeless population, including the special service and housing needs of homeless sub-populations;
6. Facilitate responses to issues and concerns that affect the agencies funded by the CoC that are beyond those addressed in the annual CoC application process; and
7. Promote funding to achieve CoC goals and objectives.

This Charter and Policies and Procedures shall be maintained and available for review at the offices of the Coalition or the County.

III. Organization

The Lee County Continuum of Care includes:

1. The Lee County Department of Human Services, the Collaborative Applicant for the U.S. Housing and Urban Development (HUD) Continuum of Care (CoC) competitive funding process, and the Homeless Management Information System (HMIS) lead agency, herein after referred to as "County."
2. The Lee County Homeless Coalition, a nonprofit agency that advocates on behalf of the homeless, herein after referred to as "Coalition."
3. The CoC Governing Board, which meets and monitors regulatory compliance of the CoC.
4. The General Membership, paid or unpaid members in good standing of the Lee County Homeless Coalition. Membership include nonprofit homeless assistance providers, victim service providers, faith-based organizations, governments, businesses, advocates, public housing agencies, school districts, social service providers, mental health agencies, hospitals, universities, affordable housing developers, law enforcement, veterans service providers, homeless and formerly homeless individuals, and other relevant organizations.



GOVERNANCE CHARTER OF

THE LEE COUNTY CONTINUUM OF CARE (CoC)

IV. Responsibilities

The following sections outline the specific characteristics and CoC responsibilities of the County, the Coalition, and the CoC Governing Board.

A. The County

As the Collaborative Applicant and HMIS Lead Agency, the County will be responsible for:

1. Consulting with recipients and sub-recipients of CoC funding to establish performance targets appropriate for population and program type, monitor recipient and sub-recipient performance, evaluate outcomes, and take action against poor performers;
2. Evaluating outcomes of projects funded under the Emergency Solutions Grants program (hereinafter referred to as “ESG”) and the CoC program, and report to HUD;
3. Consulting with recipients of ESG funds to establish and operate a centralized and coordinated assessment system that provides an initial, comprehensive assessment of the needs of individuals and families for housing and service. After the system has been established, a policy to guide the operation of the system will be written, including how the system addresses the needs of individuals and families who are fleeing, or attempting to flee, domestic violence, dating violence, sexual assault, or stalking, but who are seeking shelter or services from non-victim service providers;
4. Consulting with recipients of ESG funds within the geographic area, to establish and consistently follow written standards for providing CoC assistance. At a minimum, these written standards must include:
 - a. Policies and procedures for evaluating individuals’ and families’ eligibility for CoC assistance;
 - b. Policies and procedures for determining and prioritizing which eligible individuals and families will receive transitional housing assistance;
 - c. Policies and procedures for determining and prioritizing which eligible individuals and families will receive rapid re-housing assistance;
 - d. Standards for determining what percentage or amount of rent each program participant must pay while receiving rapid re-housing assistance;
 - e. Policies and procedures for determining and prioritizing which eligible individuals and families will receive permanent supportive housing assistance; and
 - f. When the CoC is designated a high-performing community, policies and procedures for determining and prioritizing which eligible individuals and families will receive Homelessness Prevention Assistance.
5. Operating a single Homeless Management Information System (HMIS) for the geographic area as the eligible applicant, serving as the HMIS Lead;
6. Reviewing, revising, and approving a privacy plan, security plan, and data quality plan for the HMIS.
7. Ensuring consistent participation of recipients and sub-recipients of CoC and ESG funding in the HMIS;
8. Ensuring the HMIS is administered in compliance with requirements prescribed by HUD.
9. Providing information required completing the Consolidated Plan(s) within the CoC’s geographic area;
10. Consulting with state and local government ESG program recipients for allocating ESG funds and reporting on and evaluating the performance of ESG recipients and sub-recipients, as applicable; and
11. Submitting the annual CoC competitive funding application to HUD as the Collaborative Applicant.



GOVERNANCE CHARTER OF

THE LEE COUNTY CONTINUUM OF CARE (CoC)

B. The Coalition

The Coalition will operate many facets of the CoC, and in that capacity, must:

1. Hold meetings of the full membership, with published agendas, at least semiannually;
2. Make an invitation for new members to join publicly available within the geographic area at least annually;
3. Adopt and follow a written process to initially select the first Governing Board members to act on behalf of the CoC. The process must be reviewed, updated, and approved by the full CoC membership at least once every five years;
4. Appoint committees, subcommittees, or task forces/workgroups to address CoC objectives and goals, including but not limited to:
 - a. **Community Awareness and Education Task Force**, whose mission is to provide community awareness and education to the general public, businesses, and government regarding the realities facing the homeless or those at risk of homelessness. In addition to education and awareness activities, objectives include planning and coordination of annual events, including the Stand Down/Service Day, Candlelight Vigil, and activities for National Hunger and Homelessness Awareness Week.
 - b. **Demographics/HMIS User Group Task Force**, whose mission is to develop an accurate picture of the number and characteristics of Lee County persons who are homeless in order to provide targeted assistance. In addition to collecting information and coordinating the point in time count, objectives include developing a provider survey to establish resources and identify gaps, and provide a user group for HMIS users for training and updates.
 - c. **Prevention Task Force**, whose mission is to develop strategies based on research and best practices, which prevents residents from homelessness and supports the Lee County Continuum of Care, and whose objectives include addressing discharge planning and updating resource materials for community use.
5. Plan for and conduct an annual point-in-time count of persons who are homeless within the geographic area that meets the following requirements:
 - a. Persons who are living in a place not designed or ordinarily used as a regular sleeping accommodation for humans must be counted as unsheltered persons who are homeless.
 - b. Persons living in emergency shelters and transitional housing projects must be counted as sheltered persons who are homeless.
 - c. Other requirements established by HUD by Notice.

C. The Coalition and County shall work together to:

1. Collaborate with the Governing Board to develop and adopt a CoC plan that includes coordinating the implementation of a housing and service system within its geographic area that meets the needs of individuals who are homeless (including unaccompanied youth) and families. At a minimum, such system encompasses the following:
 - a. Outreach, engagement, and assessment;
 - b. Shelter, housing, and supportive services;
 - c. Prevention strategies.
2. Conduct an annual gaps analysis of the homeless needs and services available within the geographic area.



GOVERNANCE CHARTER OF

THE LEE COUNTY CONTINUUM OF CARE (CoC)

3. Collaborate with the Governing Board on the process to receive applications for funding to the annual CoC competitive funding application to HUD, to include:
 - a. Development of priorities for funding projects;
 - b. Developing of application ranking criteria;
 - c. Development of a Ranking and Review committee to review and rank applications according to the priorities and criteria;
 - d. Approval of the full application to the annual CoC competitive funding application to HUD.

D. The CoC Governing Board

As the entity meeting regulatory requirements for the CoC, the Governing Board must adhere to the following:

1. The Board shall provide semi-annual reports on activity to the full CoC membership;
2. The Board shall update annually this governance charter and related Policies and Procedures relevant to this charter, which will include all procedures and policies needed to comply with CoC requirements as prescribed by HUD;
3. The Board shall review and adopt performance targets appropriate for population and program type, review monitoring reports and sub-recipient performance, evaluate outcomes, and recommend County action against poor performers;
4. The Board shall review outcomes of projects funded under the ESG program.
5. Administrative duties of the Governing Board shall be shared by the Coalition and County.

V. Board Membership

- A. The Board shall consist of no less than 9 and no more than 35 General Membership approved Governing Board members.
- B. The Board members shall consist of those filling permanently represented seats and those that are not.
 1. The permanently represented seats shall be:
 - a. At least one homeless or formerly homeless individual. This position shall be considered to fill the role of “advocate,” but may also meet the required representation of another community representative, such as a business.
 - b. Lee County Department of Human Services Representative. This position shall be considered to fill the role of “governments,” but also fills the role of “social service provider” in the event that non-permanent seat is vacated.
 - c. Lee County Homeless Coalition Representative. This position shall be considered to fill the role of “advocate.”
 - d. Lee County Housing Authority. This position shall be considered to fill the role of “Public Housing Authority.”
 - e. Housing Authority of the City of Fort Myers. This position shall be considered to fill the role of “Public Housing Authority.”
 - f. SalusCare, Inc. Representative. This position shall be considered to fill the role of “mental health agency,” but also fills the role of “nonprofit homeless assistance provider” and “social service provider” in the event those non-permanent seats are vacated.
 - g. Abuse Counseling and Treatment, Inc. (ACT) Representative. This position shall be considered to fill the role of “victim service providers (private, nonprofit organizations whose primary mission is to provide services to victims of domestic violence, dating violence,



THE LEE COUNTY CONTINUUM OF CARE (CoC)

sexual assault, or stalking, including rape crisis centers, battered women's shelters, domestic violence transitional housing, etc.)."

- h. Lee Health System Representative. This position shall be considered to fill the role of "hospitals."
 - i. Lee County Schools Representative. This position shall be considered to fill the role of "school districts."
2. Other seats not permanently filled by the above mentioned representatives shall represent relevant organizations and projects serving homeless subpopulations, including:
- a. Nonprofit homeless assistance providers;
 - b. Governments;
 - c. Faith-based organizations;
 - d. Businesses;
 - e. Social service providers;
 - f. Universities;
 - g. Affordable housing developers;
 - h. Law enforcement;
 - i. Organizations that service veterans;
- C. No organization may have more than one representative on the Board.
- D. Potential Board Members will be required to submit a Board Member application to the current Board Chair or Co-Chair prior to the February or July General Membership meeting, held in concurrence with the February and July Coalition meetings. Applications for membership will be reviewed and voted upon as specified in article VI of this charter.
- E. All terms of Board Membership shall be 1 calendar year in length. Representatives who vacate a seat during their term will be responsible for replacing their seat with an appropriate board member. Notification of the replacement will be made to Lee County. The seat of any representative that is absent without cause for one meeting of the Board will be declared vacated. The representative who has vacated in this manner may still replace their seat with an appropriate board member.
- F. This process to select Board members shall be reviewed at least every five years.
- G. The officers, consisting of a Chair and a Co-Chair, shall be elected by the Board at the first regular meeting following the July General Membership meeting, held in concurrence with the July Coalition meeting. Nominations will be taken at the beginning of the meeting and a majority vote on the officers shall determine the officers.
1. Officers shall not be compensated for their services as such officers.
 2. Officers may not serve more than two consecutive terms.
 3. Officers are responsible to:
 - a. coordinate with the County and Coalition to review policies, procedures, and project performance;
 - b. lead CoC Governing Board Meetings in accordance with [Robert's Rules of Order](#);
 - c. maintain board member attendance record and notify representatives that have been absent without cause for one meeting;
 - d. provide semi-annual updates to the CoC General Membership;
 - e. solicit new board members;
 - f. sign any required and/or necessary documents on behalf of the Lee County CoC Governing Board.



GOVERNANCE CHARTER OF

THE LEE COUNTY CONTINUUM OF CARE (CoC)

VI. Meetings

- A. General Membership Meetings are held monthly in coordination with monthly Coalition meetings.
 - 1. Available board positions will be outlined and the nomination process for the Board will be explained at each January and June General Membership meeting.
 - 2. A slate of potential Board members will be presented to and voted on by the CoC general membership at each February and July General Membership Meeting.
- B. CoC Governing Board Meetings are held one time per quarter, or more frequently as needed.
 - 1. It is the intent of the CoC Governing Board to be open and transparent in all of its efforts. All CoC Governing Board meetings shall be open to any interested party. Meetings will be noticed a minimum of one week in advance of the meeting through the CoC membership email list. Such notice will include the date, time, and location of the meeting. Meeting agendas shall be sent with meeting notification. These notice and posting timeline requirements shall be waived if the business of the CoC Governing Board or its committees requires a meeting which does not permit such timely notices. In such instances, notice shall be provided as quickly as possible.
 - 2. Meeting minutes shall be taken by a member of the Lee County Department of Human Services Clerical Staff or his/her designee and shall be made available on the Lee County Department of Human Services website.
 - 3. Meeting procedures for CoC Governing Board meetings must provide an opportunity for all Board members present to be heard and for the efficient conduct of business.

VII. Voting

At all Board meetings, business items may be decided by arriving at a consensus. If a vote is necessary, all votes shall be by voice or ballot at the will of the members of the Board.

- A. Each representative will have one vote. No one organization shall have more than two votes.
- B. No member may vote on any item which presents a real or perceived conflict of interest.
 - 1. Representatives from CoC funded agencies must abstain from voting on any funding matters at CoC Governing Board Meetings.
 - 2. Representatives from CoC funded agencies may still vote at CoC General Membership meetings regarding potential Board Members and Officers.
- C. Action that may be taken at any meeting of the Board will be allowable in writing through email or letter only for special circumstances. The County will confer with the Board Chair and Co-Chair regarding the circumstance and to determine if an email vote is allowable in lieu of convening a special board meeting. If approved by the Board Chair and Co-Chair an email vote will be conducted.
- D. A quorum for CoC Board meetings is defined as two-thirds of the CoC Board Membership.
- E. Actions of the CoC Board will be by majority vote 50% +1 of the CoC Board Members present.

VIII. Code of Conduct and Conflicts of Interest

The Board is responsible for the development, update, and adherence to the following code of conduct and conflict of interest processes.



GOVERNANCE CHARTER OF

THE LEE COUNTY CONTINUUM OF CARE (CoC)

A. Conduct and Attendance

Governing Board members, committee members, and other CoC agents and employees must exercise care, diligence, and prudence when acting on behalf of the Lee County CoC. Members must complete work undertaken on behalf of the CoC in a timely manner, attend Board and/or committee meetings, and be prepared to discuss matters presented for deliberation.

Board members must notify, via email, the County or the Board Chair if they are unable to attend a meeting. Absence without notice or explanation for one meeting within a calendar year, or repeated failure to complete work assignments, will be grounds for removal from the Board and/or committee assignments.

B. Conflicts of Interest

1. **Rules Regarding Conflict.** Governing Board members must abide by 24 CFR Part 578.95 as noted in this section to avoid conflicts of interest and promote public confidence in the integrity of the CoC and its processes. Failure to honor these rules will be grounds for removal from the Board and any of its committees.
2. **Conflicts.**
 - a. *Individual conflict.* No Governing Board member may participate in or influence discussions or resulting decisions concerning the award of a grant or other financial benefits to the organization that the member represents.
 - b. *Organizational conflict.* An organizational conflict of interest arises when, because of activities or relationships with other persons or organizations, the recipient or subrecipient is unable or potentially unable to render impartial assistance in the provision of any type or amount of assistance, or when a covered person's (see next section) objectivity in performing work with respect to any activity assisted is or might be otherwise impaired. Such an organizational conflict would arise when a board member of an applicant participates in decision of the applicant concerning the award of a grant, or provision of other financial benefits, to the organization that such member represents. It would also arise when an employee of a recipient or subrecipient participates in making rent reasonableness determinations under 24 CFR Part 578.49(b)(2) and 24 CFR Part 578.51(g), and housing quality inspections of property under 24 CFR Part 578.75(b) that the recipient, subrecipient, or related entity owns.
 - c. *Other conflicts.* For all other transactions and activities, the following restrictions apply:
 1. No covered person, meaning a person who is an employee, agent, consultant, officer, or elected or appointed official of the recipient or its subrecipients and who exercises or has exercised any functions or responsibilities with respect to activities assisted, or who is in a position to participate in a decision-making process or gain inside information with regard to activities assisted, may obtain a financial interest or benefit from an assisted activity, have a financial interest in any contract, subcontract, or agreement with respect to an assisted activity, or have a financial interest in the proceeds derived from an assisted activity, either for him or herself or for those with whom he or she has immediate family or business ties, during his or her tenure or during the one-year period following his or her tenure.
 2. *Exceptions.* Upon the written request of the recipient, HUD may grant an exception to the provisions of this section on a case-by-case basis, taking into account the cumulative effects of the criteria, provided that the recipient has satisfactorily met the threshold requirements:

THE LEE COUNTY CONTINUUM OF CARE (CoC)

- d. *Threshold requirements.* HUD will consider an exception only after the recipient has provided the following documentation:
 - (A) Disclosure of the nature of the conflict, accompanied by a written assurance. If the recipient is a government, that there has been public disclosure of the conflict and a description of how the public disclosure was made; and if the recipient is a private nonprofit organization, that the conflict has been disclosed in accordance with their written code of conduct or other conflict-of-interest policy; and
 - (B) An opinion of the recipient's attorney that the interest for which the exception is sought would not violate State or local law, or if the subrecipient is a private nonprofit organization, the exception would not violate the organization's internal policies.
 - e. *Factors to be considered for exceptions.* In determining whether to grant a requested exception after the recipient has satisfactorily met the threshold requirements, HUD must conclude that the exception will serve to further the purposes of the Continuum of Care program and the effective and efficient administration of the recipient's or subrecipient's project, taking into account the cumulative effect of the following factors, as applicable:
 - (A) Whether the exception would provide a significant cost benefit or an essential degree of expertise to the program or project that would otherwise not be available;
 - (B) Whether an opportunity was provided for open competitive bidding or negotiation;
 - (C) Whether the affected person has withdrawn from his or her functions, responsibilities, or the decision-making process with respect to the specific activity in question;
 - (D) Whether the interest or benefit was present before the affected person was in the position;
 - (E) Whether undue hardship will result to the recipient, the subrecipient, or the person affected, when weighed against the public interest served by avoiding the prohibited conflict;
 - (F) Whether the person affected is a member of a group or class of persons intended to be the beneficiaries of the assisted activity, and the exception will permit such person to receive generally the same interests or benefits as are being made available or provided to the group or class; and
 - (G) Any other relevant considerations.
- 3. Abstention from Decision-Making.** Governing Board members must disclose if they have any conflicts of interest or potential conflicts of interest regarding any business included in the meeting agenda. Any matter in which Governing Board members have an actual or potential conflict of interest will be decided only by a vote of disinterested individuals. If the abstention changes the quorum, additional votes may be accepted by email from disinterested members who are not present. In addition, the minutes of any meeting at which such a vote is conducted must reflect the disclosure of interested directors' and committee members' actual or potential conflicts of interest and their abstention. If email votes have been accepted, the minutes shall reflect the final vote including those votes.
- 4. Annual Conflict of Interest Acknowledgement Form.** Governing Board members must sign a conflict of interest form annually, affirming that they have reviewed the conflict of interest policy and disclosing any conflicts of interest that they face or are likely to face in fulfillment of their duties as board members.



**GOVERNANCE CHARTER
OF
THE LEE COUNTY CONTINUUM OF CARE (CoC)**

Conflict of Interest Disclosure Statement

I have read and am fully familiar with the Lee County Continuum of Care’s Conflict of Interest policy as described in the Governance Charter. Except for the matters listed below, there is no situation in which I am involved in which my decision on behalf of the Lee County Continuum of Care may be influenced by my own gain or advantage, financial or otherwise.

Please describe any existing or potential conflict of interest associated with any particular contract or transaction relating to your role within the Lee County Continuum of Care. If “none,” please indicate in space below.

I agree to promptly, in accordance with the requirements of the Lee County Continuum of Care Governance Charter Section VIII. Code of Conduct and Conflicts of Interest; disclose any additional interest which may arise after the filing of this statement.

Date: _____

Signature

Print Name

Agency Name



LEE COUNTY HOMELESS COALITION

To advocate, educate, and promote awareness of issues and obstacles facing homeless individuals in Lee County through community collaboration, planning and implementing solutions.

AGENDA February 16, 2017

I. CALL TO ORDER

- A. Introductions
- B. Approval of the January 17, 2016 General Meeting minutes

II. COC Governing Board Update: Jeannie Sutton and Matt Visaggio

III. TASK FORCE UPDATES

- A. Joint Meeting: Community Awareness and Education (Jan Frick, Chair) and Demographic Task Force (Eric Pateidl, Chair)
- B. Co-Ordinated Assessment Task Group – Robin Jewett, Chair
- C. Prevention Task Force – Christine Lincoln, Chair

IV. AGENCY SPOTLIGHT – SHANNON CHERIZIER - The Salvation Army General Programs

V. OTHER

- A. Announcements/Celebrations of Success.
- B. The next meeting will be held on March 16, 2017 at 8:30 a.m. at The Salvation Army's Red Shield Lodge on Edison Avenue.

LEE COUNTY HOMELESS COALITION General Meeting

To advocate, educate, and promote awareness of issues and obstacles facing homeless individuals in Lee County through community collaboration, planning and implementing solutions.

February 16, 2017

<http://www.leehomeless.org>

I - CALL TO ORDER

Janet Bartos called the meeting to order at 8:35 a.m. on Thursday, February 16, 2017. The meeting was held at The Salvation Army's Red Shield Lodge located on Edison Avenue in Fort Myers. Introductions were made.

ITEM: Approval of the January 17, 2017 General Meeting Minutes

Janet Bartos requested approval of the January 17, 2017 General Meeting minutes. There being no corrections, the minutes were approved as circulated.

II – COC Governing Board Update (semi annual meeting) : Jeanie Sutton and Matt

Visaggio

The CoC Governance Charter has been revised and will be posted on the website. In addition, the Governing Board is updating the CoC Written Standards. This should be completed in May and then posted on the website.

Eric Pateidl is currently working on changes to the Co-Ordinated Entry process regarding policies and procedures to meet the new HUD guidance.

The Governing Board is accepting applications and elections will be held in August for a new Chair and Co-Chair. A Retreat is scheduled from 10:00a.m.-2:00 p.m. at the Department of Human and Veteran Services on May 10, 2017. Comments are welcome.

III – TASK FORCE UPDATES

A. Joint Meeting: Community Awareness and Education Task Force (Jan Frick, Chair) and Demographics Task Force (Eric Pateidl, Chair)

Janet Bartos reported on the Post Stand Down results: 37 agencies participated, 400 individuals volunteered, 450 meals were served, 24 inoculations and 30-40

haircuts were given. Many thanks to all who participated and volunteered at this event.

At the meeting, Eric Pateidl reported the following: 414 people were served, compared to 416 last year; 153 were Chronic homeless, compared to 150 last year; and 19 were State homeless, compared to 64 last year.

Once the Point-In-Time surveys are entered into the system, Eric Pateidl will report the results at the March 14 Demographics meeting.

The Lee County School District counted 954 homeless children at the start of the school year. However, 573 of those students were living in doubled up housing situations. The early Learning Coalition currently have 83 district children enrolled who are listed as homeless in Lee County.

The Task force reviewed the free Feeding Site 3-fold and will update the document at the March 7 meeting. They examined a template provided by the Florida Coalition for the Homeless, which included question and answers examples when meeting with legislators and discussed challenges the CoC faces, such as affordable housing and the Housing Trust Fund.

B. Co-Ordinated Assessment Task Group – Robin Jewett, Chair

Robin Jewett reported that the meetings are very well attended. Criteria changes will take place the first of the year.

The next meeting will be held on March 2, 2017 at the Triage Center from noon to 1:00 p.m.

C. Prevention Task Force – Christine Lincoln, Chair

Report was provided by Janet Bartos. The Task force reviewed and updated the Re-Entry Resource Guide. They will review the provider surveys at the March meeting.

Janet Bartos reported that she had attended the city of Fort Myers' Affordable housing Committee meeting, where the question was raised: Do we need a new shelter? She will provide updates as they arise.

IV – Agency Spotlight: Shannon Cherizier, The Salvation Army

Shannon Cherizier provided a three-fold on the programs and services offered by The Salvation Army.

She reported on a new Rental Assistance Pre-Screening Requirements and Procedures for a new program serving Lee, Hendry and Glade counties. She distributed information regarding minimum requirements and assistant procedures. This is a two-step program: a client must call 239-628-1415 and leave a message stating their name, phone number, and total amount due for rent/mortgage. Calls must be received by noon on a Friday in order for the call to be returned the following Monday. Assistance is based upon

eligibility and available funding. If eligible, documents will be provided for their landlord to sign, along with various other requirements. It will be the responsibility of the client to return the forms as requested.

Thank you, Shannon, for all you do!

V – OTHER

Major Timothy Gilliam of the Salvation Army expressed his appreciation to everyone present for all they do in this community.

The ECHO program at Lee Health has been renamed Health Community Care.

Robin Jewett reported on TEBRA and shared several success stories!

V – ADJOURN

The meeting adjourned at 9:30 a.m. The next meeting will be held on March 16, 2017 at the Salvation Army's Red Shield Lodge on Edison Avenue.

ATTENDEE LIST

<u>NAME</u>	<u>AGENCY</u>	<u>PHONE</u>	<u>E-MAIL</u>
AYDOGMUS, Monica	Lee Behavioral	343-9180	Monica.aydogmus@LeeHealth.org
BABIC, Millie	City of Cape Coral	579-0596	mbabic@capecoral.net
BARTOS, Janet	Lee County Homeless Coalition	322-6600	leehomeless@gmail.com
B ELL, Carol	TRIAGE		Carol.bell@uss.salvationarmy.org
BRYSON, Victoria	C.A.S.L dba Renaissance Manor	220-5171	Victoria@renaisssancemanor.org
BUSSIERE, Andrea	Lee Health – Health Community Care	410-7855	Andrea.bussiere@leememorial.org
CHERIZIER, Shannon	The Salvation Army	334-3745	Shannon.Cherizier@uss.salvationarmy.org
CONNELL, Ian	DCF Assess	244-0874	ian.connell@myffamilies.com
DINO, Ashley	CCI	332-7687	Ashley@communitycooperative.org
DORSAINVIL, Whienet	Children's Home Society	896-3455	Whienet.dorsainvil@chsfl.org
DORO, Lt. Enrico	Fort Myers Police Dept.	321-7700	edor@fmpolice.com
EPIFANIO, Pat	All Souls Church/LMHS	540-4554	piepif@gmail.com
ERICKSON, Karen	SalusCare	275-3222	kerickson@saluscareflorida.org
FRITH,Ruth	Lee Health	691-9014	rfrith@aol.com
GADSEN, Sabrina	TRIAGE	791-0110	Sabrina.gadson@uss.salvationarmy.org
GRAINGER, Laura	The Salvation Army	314-561-1784	Laura.Grainger@uss.salvationarmy.org
HARRISON, Kwasi	Jewish Family & Children's Services ext.. 628	941-366-222	kharrison@JFCS-Cares.com
JAKACKI, Capt. Brian	Lee County Sheriff	477-1620	bjakacki@SheriffLeeFl.org
JEWETT, Robin	Department of Human Services/LIFT	533-7905	jewettrd@leegov.com
KELLEY, Jacquelyn	Advocate		Jacquelyn.kelley@gmail.com
LANE, Brenda	TSA	Lehigh, FL	
McCORMICK, Tim	TSA		Tim.mccormick@uss.salvationarmy.org
McWHORTER, Kelly	TSA	628-1404	
MORE, Lt. Joseph	Lee County Sheriff	477-1850	jmore@sheriffLeeFl.org
MORELAND, Destiny	Area Agency on Aging ext. 58223	652-6900	Destiny.moreland@aaaswfl.org
NASH, CHLOE	SalusCare	275-3222	cnash@saluscareflorida.org
PEREZ, Vanessa	Health Planning Council	433-6700	vanessaperez@hpcswf.com
PHILLIPS, Sharon	Lee County Homeless Coalition		
POOLE, Murphy	TRIAGE	791-0110	Murphy.poole@uss.salvationarmy.org
RODRIGUEZ, Joanne	Dept. of Human & Veteran Services	533-7900	
RUETHEMANN, April	DOH -Lee	305-731-3757	April.Ruethemann@flhealth.gov
SHERBAFI, Nancy	JFCS-Punta Gorda ext. 625	336-2224	
STANLEY, Carol	The Salvation Army	334-3745	chf11743@aol.com
STRINGER, Ted	Broadway Community Church	810-5917	swfloutreach@comcast.net
SUTTON, Jeannie	Dept. of Human & Veteran Services	533-7958	jsutton@leegov.com
Torres- Nuner,Sheena	LCSD	337-8333	sheenat@leeschools.net
VISAGGIO, Matt	Visaggio Consulting	246-8116	matt@visaggioconsulting.com
YOUNG, Regina	The Salvation Army	791-0110	Regina.young@uss.salvationarmy.org

LEE COUNTY
CONTINUUM OF CARE
GOVERNANCE BOARD
Meeting Minutes for February 8, 2017

Members Present:

Karla Bath, Advocate
Janet Bartos, Lee County Homeless Coalition
Rosemary Boisvert, SalusCare
Sherri Campanale, Housing Authority of the City of Fort Myers
Shannon Cherizier, The Salvation Army
Christine Lincoln, Children's Home Society of Florida
Becky Madsen, Housing Authority of the City of Fort Myers
Connie Myers for Erika Cooks, Lee County Housing Develop. Corp
Carolyn Norris, Home Ownership Resource Center
Beverly Reed, City of Ft. Myers Community Development
Heidi Shoriak, Lee Memorial Director, Care Management
Matt Vissaggio, Visaggio & Co.
Amy Yearsley, City of Cape Coral Depart of Community Develop.

Staff Present:

Julie, Boudreaux, Program Manager, Neighborhood Building
Jeannie Sutton, Grants Coordinator
Sally Flint, Administrative Assistant

ITEM I

Welcome and Introductions:

Mr. Matt Visaggio, Co-Chair, called the meeting to order at 10:35 and welcomed everyone. Introductions were made.

ITEM II

Approval of November 2, 2016 Minutes:

ACTION:

Ms. Janet Bartos made the motion to accept the November 2, 2016 minutes.
Ms. Christine Lincoln seconded the motion. The motion passed unanimously.

ITEM III

Homeless Service Day (Point in Time County) & Public Safety Sub-Committee Meeting Recap

Ms. Janet Bartos, Lee County Homeless Coalition

Ms. Bartos reported on the Point in Time/Stand Down took place on January 21, 2017. Preliminary numbers were reported as follows:

- Stand Down 414 people were surveyed, 153 were homeless (HUD definition) 19 "state homeless" is a broader definition
- 400 Volunteers
- Health Services saw 24 clients and 43 vaccines were given

- 30 haircuts were given
- 460 meals were served
- EMS were on site for the event
- The Housing Authority was present and there were folks who signed up with them
- It was a successful event

There was a discussion regarding the attendance/involvement of employees from the jail and law enforcement for both general coalition meetings and the CoC meetings.

Ms. Bartos also reported on the highlights from the November 9th Public Safety Subcommittee Meeting.

Resolution of Goals:

1. Expand Lee County Triage Center operation – accomplished and **will not** be carried over to new plan.
2. CIT Training – the goal **will be** carried forward
Prevention Task will develop a diversion program – **may be** included as a separate goal
3. Increase Public Safety workers participation - **will be** carried forward
4. Improve discharge planning & case management from jails or prisons – has not been fully executed
5. Increase capacity of mental health and drug courts – accomplished, **will not** be carried over.

ITEM IV

Governance Charter Approval

Matt Visaggio, Board Co-Chair

Mr. Visaggio & the Board thanked Jeannie for her hard work regarding the Governance Charter.

There was a minor change made on page 6 & 7 regarding attendance per discussion at the last meeting. There were no questions or discussion.

ACTION:

Ms. Amy Yearsley made the motion to accept the Governance Charter.

Ms. Carolyn Norris seconded the motion. The motion passed unanimously.

ITEM V

CoC Written Standards - Revised

Ms. Jeannie Sutton, Lee County Human & Veteran Services (DHVS)

Ms. Sutton reported on the changes in the Written Standards.

Going forward, all changes will be reflected on Page 4, signed by the Board Chair, and the specific pages in the Standards will be updated.

Page 6 – Non Discrimination, regarding LGBTQI

Page 7 – VAWA, major changes (The Housing Authority has a webinar on the new VAWA regulations and Sherri Campanale will send out an e-mail with specifics of when they will show the webinar for any of the Board Members who would like to join them)
Pages 19-27 – new information which is copied from HUD and added to the Written Standards

The approval vote of the Written Standards **was tabled** until the next meeting in May. This will give everyone time to read through the changes.

ITEM VI

2016 & 2017 CoC Funding Competition, CoC Board Retreat & Subcommittee Meetings, CoC System Map

Ms. Jeannie Sutton, Lee County Human & Veteran Services (DHVS)

2016 CoC Funding was announced last month. The debriefing was held yesterday, February 7, and Ms. Sutton will send out the DHVS portion to the Board. The median score was 154, highest 187, lowest 79, (total possible points is 200 for CoC application) DHVS score was 141.

SalusCare lost the funding this year for rental assistance in the amount of \$101,220.

2017 CoC Funding - This year DHVS is planning to apply for Unified Funding Agency (UFA) designation. If designated, Lee County will execute a single grant agreement, which will streamline the application process. Admin dollars are also available with a UFA. A request will be submitted, and it would be 3% of our current renewal demand, approximately \$48,000.

Lee County is also planning to apply for the CoC Planning Grant, which may be used to hire someone to analyze CoC data and conduct system planning in general.

The upcoming CoC competition may have another Bonus (new) Project this year, which could be used for permanent supportive housing or rapid re-housing, agencies should keep an eye out for a Request for Proposals (RFP) for this funding.

HUD is requiring us to look at our CoC projects and overall system performance for each funding competition. Low ranking projects need to be reallocated. Projects in the Tier II ranking will most likely not be funded. Ms. Sutton is working with Eric to work to evaluate project and system performance. Reallocation of projects may be the only to keep our current funding level. Ms. Sutton will be scheduling meetings with CoC Funded agencies to speak with them about their projects.

There is a CoC Board Retreat scheduled for May 10, 10:00 a.m. – 2:00 p.m. at DHVS Building, Room #102.

Pizza, coffee, and soft drinks will be served. Contact Jeannie with any dietary restrictions.

Ms. Sutton will forward information in advance of the retreat to support the following objectives:

- Review and update of the ranking procedures, summary sheet, and tools.

- Review and update of the Reallocation procedures, if necessary.
- Review of ESG and CoC Funded Project Performance
- Recommend projects for reallocation, if none are being voluntarily reallocated
- Recommend minimum score for project renewal
- The new 10 Year Plan, setting of the new goals
- Set Performance standards for 2017 funding contracts
- Provide updates for general membership/coalition meeting
- In March, letters will be sent to the Agencies and inquire as to the possibility of them reallocating their project. It would eliminate some processing time at the retreat. The results from the agency's meetings including their rankings and suggestions for reallocations will be sent in advance to advise the project performance rankings.

Ms. Sutton explained how the Projects are ranked 1 thru 7 (% in Tier I and % in Tier II is determined by HUD) according to performance and HUD priorities.

The Agency Providers: SalusCare Inc., the Salvation Army, Community Assisted and Supported Living, Inc

CoC System Map – this is a new organizational plan which will help others to send clients to various resources they need, and hopefully help to explain the role of each piece within the CoC. A copy will be emailed to Board members, and eventually posted on websites

ITEM VII

Adjourn

Mr. Matt Visaggio, Board Co-Chair

Mr. Visaggio asked that the Board Members please sign the Conflict of Interest and turn it in before leaving today.

Election of the Board Chair position will be voted on at the July 12, 2017 meeting.

Rosemary Boisvert motioned to adjourn the meeting.
Carolyn Norris seconded the motion and it passed.

Mr. Visaggio adjourned the meeting at 11:25.

Upcoming Meeting Schedule:

*Housing Sub-Committee Meeting
March 8, 2017 @ 10:30 am*

*Employment, Transportation, Supportive Services & Prevention Task Force Meeting
April 12, 2017 @ 10:30 am*

*CoC Governing Board Retreat
May 10, 2017 from 10 am until 2 pm*

*Public Awareness, Education & Public Awareness and Education Task Force Meeting
June 6, 2017 @ 10:30 am*

*Health Services & Public Safety Sub-Committee Meeting
July 10, 2017 @ 10:30 am*

Lee County Continuum of Care (CoC) Governing Board

Wednesday, February 8, 2017, 10:30 A.M.
Meeting Held at:
Lee County Department of Human Services
2440 Thompson St.
Fort Myers, FL 33901

AGENDA

- I. Welcome and Introductions
Matt Visaggio, Board Co-Chair
- II. Approval of November 2, 2016 Minutes
Matt Visaggio, Board Co-Chair
- III. Homeless Service Day (Point in Time County) & Public Safety Sub-Committee Meeting Recap
Janet Bartos, Lee County Homeless Coalition
- IV. Governance Charter Approval
Matt Visaggio, Board Co-Chair
- V. CoC Written Standards – Revised
Jeannie Sutton, Lee County Human Services
- VI. 2016 & 2017 CoC Funding Competition, CoC Board Retreat & Subcommittee Meetings, CoC System Map
Jeannie Sutton, Lee County Human Services
- VII. Adjourn
Matt Visaggio, Board Co-Chair

Upcoming Meeting Schedule:

*Housing Sub-Committee Meeting
March 8, 2017 @ 10:30 am*

*Employment, Transportation, Supportive Services & Prevention Task Force Meeting
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July 10, 2017 @ 10:30 am*

LEE COUNTY
CONTINUUM OF CARE
GOVERNANCE BOARD
Meeting Minutes for November 2, 2016

Members Present:

Karla Bath, Advocate
Janet Bartos, Lee County Homeless Coalition
Rosemary Boisvert, SalusCare
Sherri Campanale, Housing Authority of the City of Fort Myers
Shaurie Matthews, Housing Authority of the City of Fort Myers
Connie Myers for Erika Cooks, Lee County Housing Develop. Corp
Carolyn Norris, Home Ownership Resource Center
Sharon Rozier, City of Ft. Myers Community Development
Heidi Shoriak, Lee Memorial Director, Care Management
Matt Visaggio, Visaggio & Co.
Amy Yearsley, City of Cape Coral Dept. of Community Develop.

Staff Present:

Jeannie Sutton, Grants Coordinator
Sally Flint, Administrative Assistant

ITEM I

Welcome and Introductions:

Mr. Matt Visaggio, Co-Chair, called the meeting to order at 10:35 and welcomed everyone. Introductions were made.

Absentee notifications: Ms. Kaitlin Major, Chairperson, Christine Lincoln and Dr. Thomas Felke.

ITEM II

Approval of August 3, 2016 Minutes:

ACTION:

Ms. Janet Bartos made the motion to accept the August 3, 2016 minutes.

Ms. Amy Yearsley seconded the motion. Motion passed unanimously.

ITEM III

10 Year Plan to End Homelessness, Sub-Committee Meetings, and Opening Doors

Mrs. Jeannie Sutton reported:

There were 3 sub-committee meetings which met on the following dates.

Supportive Services – August 24, 2016

Education – September 14, 2016

Public Awareness – October 12, 2016

She reported on the minutes from the sub-committee meetings. The decision from the Education sub-committee is that it should be merged with Employment services sub-committee since their goals were very similar.

Supportive services felt like many of their goals had been accomplished and there are a few general goals which should continue on as they will still be applicable.

The changes will be incorporated in the new 10 Year Plan which will be put in place the beginning of next year.

Minutes are available for anyone who'd like them, by contacting Jeannie or Sally.

ITEM IV

Governance Charter Update

Mrs. Sutton reported on the changes made to the Governance Charter, the updated copy was handed out at the meeting.

The changes are mainly for the clarification of the CoC: who is the CoC, who makes up the general membership of the CoC, and new specifications for the Governing Board, including:

- Minimum of 9 and 35 maximum number of members.
- Permanent seats are mandated, that number cannot be changed.
- General membership – is comprised of members in good standing at the Lee County Homeless Coalition.
- CoC members are encouraged to invite others to join the Board
- New Board candidate applications need to be brought before the General membership for a vote. Voting will take place twice a year, January & July.

Mrs. Sutton has requested everyone to examine the Charter and be ready to vote on it at the February 8th meeting. Mr. Visaggio requested a Track Changes copy of the updated Governance Charter to highlight the updates.

Discussion was held regarding new board members and suggestions were made to incorporate members from other Boards such as Affordable Housing Committee and the Human Services Council to be more involved with the CoC Board. Mrs. Sutton clarified that current board members can recruit additional members and should ask potential new members to contact her to complete a membership application.

Mrs. Sutton stated the need for law enforcement representation on the CoC Board. Ms. Campanale offered to contact Law Enforcement to see if there is someone who will join the Board, specifically for the Public Safety sub-committee meeting on November 9th.

A Membership Application has been created and was distributed to board members. It will be a formal record of the Board members and who they are representing. These will be updated every year.

Discussion was held regarding page 2 of the Membership Application – Statement of Commitment, regarding absences from meetings. Current practice: if Board members don't attend 2 meetings they are written off the Board. Going forward Mrs. Sutton will keep track of those not in attendance and will send out reminder e-mails. This language is currently in Governance Charter, but suggestions were made to change the verbiage to “missing one meeting” without advance notice.

Current plan is for only 4 meetings per year except in special cases, such as during the preparation of the annual funding application.

Other suggested changes for the Charter:

Page 7 – voting – will be corrected to “funding matters”

Page 5 – V. 1. D, should be 2 separate entities for the Ft. Myers Housing Authority and Lee County Housing Authority. If the merge doesn't go through it does need to be separate.

ITEM V

CoC Written Standards

There were no comments or suggestions.

ACTION:

Ms. Amy Yearsley made the motion that the CoC Written Standards being accepted as written.

Ms. Janet Bartos seconded the motion. The motion passed unanimously.

ITEM VI

2017 Agenda

Mrs. Sutton gave the following list of items that will need to be addressed in the upcoming year:

- The Board will need to reallocate funds for next year. At a recent conference attend by HUD, information was provided that indicated that Tier 2 will not be funded in future competitions. Current plan is to look at relocating portions of projects that have not spent all their money from last year, not whole projects. There will probably be a bonus project again next year for more money.
- Application for Unified Funding Agency status – must meet certain audit requirements, and allows us to take administration dollars from CoC grants. Possibly applying for a Planning Grant, which is for 3% of our CoC renewal amount – allowing the creation of a new project such as hiring a person to look at CoC performance, HMIS Development, or other planning project. This has not been applied for previously. It will be looked at internally and info brought to the February meeting.
- HIMS project was not funded last year and is currently funded out of general fund dollars. If portions of projects are reallocated or the planning project is granted, some of the HIMS expenses can be picked up with CoC.
- February and April meetings will require looking at Scoring and Ranking tools as well as the ranking committee procedures. Currently the ranking committee is the

Homeless Coalition Board. Mrs. Sutton would like to re-evaluate this to see if it is the best option. She would like to pick the most informed and least conflicted group possible for this committee.

- Review of the ESG and CoC project performance that is also the responsibility of the Board on an annual basis will be reviewed by the Board in April.
- February and July meetings will include voting for new CoC Board applicants
- Finalizing the 10 year plan throughout the next year. The Board is to examine the goal of re-tooling the homeless response system. Mrs. Sutton is working on a map to illustrate the CoC and other organizations as a start to finish directory for a homeless person to get help. A barrier to the current system is no wrong door system in Lee County, so there is much confusion between the organizations and frustration. Charlotte County is a good example of a one door theory.
- Meeting schedule for next year, any Wednesday at 10:30 a.m. works for everyone. Ms. Flint will send out the quarterly meeting invites at one time.

Announcements:

Ms. Bartos reported the following: on Nov. 12 there will be a Homeless Challenge – it starts at 10:00 a.m. goes to 8:00 p.m. and takes the participants through steps that a homeless person experiences at the different agencies where they can receive help. This could entail a total of 8 miles walking.

The dinner and auction for the Homeless Coalition will be taking place this coming Saturday, November 5.

The documentary, Tiny: The Life of Erin Blackwell, will be screened at the Imaginarium at 6pm on November 17, 2016. R.S.V.P. online: <http://www.leehomeless.org/event/life-erin-blackwell/>

The annual Homeless Service Day and Point in Time Count will be held on January 21, 2017 at City of Palms Stadium.

ITEM VII

Adjourned at 11:16

Upcoming Meeting Schedule:

Public Safety Subcommittee Meeting – Wednesday, November 9, 2017 – 10:30 a.m.

CoC Governing Board Meeting – Wednesday, February 8, 2017 – 10:30 a.m.

CoC Governing Board Meeting – Wednesday, May 10, 2017 – 10:30 a.m.

CoC Governing Board Meeting – Wednesday, August 9, 2017– 10:30 a.m.

CoC Governing Board Meeting – Wednesday, November 8, 2017 – 10:30 a.m.

Lee County Continuum of Care (CoC) Governing Board

Wednesday, November 2, 2016, 10:30 A.M.

Meeting Held at:

Lee County Department of Human Services

2440 Thompson St.

Fort Myers, FL 33901

AGENDA

- I. Welcome and Introductions
Matt Visaggio, Board Co-Chair
- II. Approval of August 3, 2016 Minutes
Kaitlin Major, Board Chair
- III. 10 Year Plan to End Homelessness, Sub-Committee Meetings, and Opening Doors
Kaitlin Major, Board Chair
- IV. Governance Charter Update
Jeannie Sutton, Lee County Human Services
- V. CoC Written Standards
Jeannie Sutton, Lee County Human Services
- VI. 2017 Agenda
Jeannie Sutton, Lee County Human Services
- VII. Adjourn

Upcoming Meeting Schedule:

Public Safety Subcommittee Meeting – Wednesday, November 9, 2016 – 10:30 am

CoC Governing Board Meeting – Wednesday, February 1, 2017 – 10:30 am

LEE COUNTY
CONTINUUM OF CARE
GOVERNANCE BOARD
Meeting Minutes for August 3, 2016

Members Present:

Karla Barth, Advocate
Rosemary Boisvert, SalusCare
Sherri Campanale, Housing Authority of the City of Fort Myers
Connie Myers for Erika Cooks, Lee County Housing Develop. Corp
Daisy Ellis, Salvation Army
Tony Encalada, Christ Cntr HomeMinistries, Home for the Homeless
Gilbert English, VA
David Justiniano, Homeless Advocate
Christine Lincoln, Bridges, Children's Home Society
Becky Madsen, Housing Authority of the City of Fort Myers
Kaitlin Major, Delta Family Counseling
Carolyn Norris, Home Ownership Resource Center
Sharon Rozier, City of Ft. Myers Community Development
Heidi Shoriak, Lee Memorial
Jennifer Sprague, VA
Matt Vissaggio, Visaggio & Co.
Amy Yearsley, City of Cape Coral Depart of Community Develop.

Staff Present:

Jeannie Sutton, Grants Coordinator
Julie Boudreaux, Program Manager
Sally Flint, Administrative Assistant

ITEM I

Welcome and Introductions:

Chairperson Ms. Kaitlin Major called the meeting to order at 10:30 a.m. Introductions were made.

ITEM II

Approval of May 4, 2015 Minutes:

Ms. Amy Yearsley made the motion to accept the May 4, 2015 minutes. It was seconded by Ms. Karla Barth. The motion was approved unanimously.

Ms. Sherri Campanale gave an overview of the Sub-committee Housing Minutes from the May 25, 2016 meeting.

The sub-committee meetings are to address the specific goals in the 10 Year Plan.

ITEM III

Governance Charter Update, Board Membership, and Election of Officers:

Ms. Jeannie Sutton announced that no changes have been made to the Governance Charter, but the Charter will be emailed to Board Members so they can review and suggest changes.

There are 5 new members joining the CoC Governing Board:

Christine Lincoln of the Bridges, Children's Home Society

Karla Barth, Advocate

Dr. Thomas Felke, FGCU – BSW Program Director

Kerrie Wilson, Lee County Resident & Clinical Coordinator at Veteran's Village in Punta Gorda

Kerry Constantine, Blankets and Blessings

There were no objections to the new members.

As a reminder to all, the purpose of the CoC Governing Board is to review CoC policies and procedures and assist in CoC Planning. . CoC is two fold 1) a planning body that reviews the systemic response to homelessness in the community 2) a funding source through HUD, competitions are held annually for CoC funding, each year HUD publishes new requirements and initiatives with which we must adhere.

Officers for the Board:

Ms. Kaitlin Major has offered to be the Board Chair again this year, and Matt Vissaggio has offered to take the role of Co-chair.

ACTION:

Ms. Sherri Campanale made the motion to approve the election of officers and Ms. Rosemary Boisvert seconded the motion. Motion approved unanimously.

ITEM IV

CoC Funding Competition and Zero: 2016 Update

Ms. Jeannie Sutton announced the 2016 CoC Funding Competition is currently open – much earlier than last year. The complete application is due September 14. Renewal Applications have been submitted and they will be rated by their project performance by the Ranking & Review Committee in a meeting tonight (August 3, 2016).

The policies and procedures are posted on the website and the rankings will be posted on the website this Friday, August 5, 2016. All projects will be Ranked and tiered as per CoC requirements. CoC funding 93% will be going into Tier 1 – the remaining 7% will be in Tier 2.

Renewals this year are:

Salus Care

CASL

Salvation Army

No new projects this year.

Lee County has reached Functional Zero in 2016 –. Functional zero means that there are enough places to shelter all homeless veteran's should they seek assistance. We are waiting on the official letter from USICH before the press release goes out.

ITEM V

CoC Written Standards and Reallocation Procedures

Ms. Sutton proposed the Draft of the Reallocation Policy and Procedure, which is a mandatory attachment this year to the Sept. 14 funding application. She would like the Board to review and vote on them today if possible.

Jeannie explained in detail the changes in the Reallocation Policy and answered member's questions as to how these new policies will work. After the discussion and understanding of this draft, the Board voted with the following wording:

ACTION:

Ms. Sherri Campanale made the motion: ***This Governing Board will vote to approve the Reallocation Policy and Procedure contingent on the Ranking Committee's recommendation for approval, which is meeting tonight Aug. 3, 2016.***

Matt seconded the motion. The motion passed unanimously.

The Ranking Committee is the Lee County Homeless Coalition Board.

Jeannie introduced The CoC Written Standards for Projects to End Homelessness in Lee County.

In order for this CoC Board to have more time to study these standards, she will e-mail the standards to them. HUD is looking for the "housing first" approach.

HUD would like to end chronic homelessness by 2017. Keeping track of chronic homelessness will be harder to track than veterans as in the Zero:2016 initiative. Next year we will be focusing on youth homelessness initiative which is why Educational programs are mentioned in the proposed written standards.

Need official definition of chronic homeless added to the written standards.

Scoring criteria for each renewal project is taken from the HUD requirements. Maximum points will keep the funding in the community.

ITEM VI

10 Year Plan to End Homelessness, Sub-Committee Meetings, and Opening Doors

Our 10 year plan is up in 2018 – This Lee County plan was started before the USICH initiated the Opening Doors plan, and is therefore missing some key elements.

Development of a new plan is beginning and after some discussion, Jeannie announced a decision to make it a 5 year plan might be a better time frame.

Sub-committee meetings are taking place to evaluate what current goals have been met, what goals need to be removed – and begin planning the goals for the next plan. Goals and objectives for the next plan will be zeroed in on at the sub-committee meetings.

Jeannie is asking for those Board members who have expertise in certain areas to volunteer for those sub-committees.

ITEM VII
Adjourned at 12:00

Upcoming Meeting Schedule:

Supportive Services Subcommittee Meeting – Wednesday, August 24, 2016 – 10:30 am

Education Subcommittee Meeting – Wednesday, September 14, 2016 – 10:30 am

Employment Subcommittee Meeting – Wednesday, October 12, 2016 – 10:30 am

CoC Governing Board Meeting – Wednesday, November 2, 2016 – 10:30 am

Public Safety Subcommittee Meeting – Wednesday, November 9, 2016 – 10:30 am

Public Awareness Subcommittee Meeting – Wednesday, December 14, 2016 – 10:30 am

Lee County Continuum of Care (CoC) Governing Board

Wednesday, August 3, 2016, 10:30 A.M.
Meeting Held at:
Lee County Department of Human Services
2440 Thompson St.
Fort Myers, FL 33901

AGENDA

- I. Welcome and Introductions
Kaitlin Major, Board Chair
- II. Approval of May 4, 2015 Minutes
Kaitlin Major, Board Chair
- III. Governance Charter Update, Board Membership, and Election of Officers
Jeannie Sutton, Lee County Human Services
- IV. Continuum of Care Funding Competition and Zero: 2016 Update
Jeannie Sutton, Lee County Human Services
- V. CoC Written Standards and Reallocation Procedures
Jeannie Sutton, Lee County Human Services
- VI. 10 Year Plan to End Homelessness, Sub-Committee Meetings, and Opening Doors
Jeannie Sutton, Lee County Human Services
- VII. Adjourn

Upcoming Meeting Schedule:

Supportive Services Subcommittee Meeting – Wednesday, August 24, 2016 – 10:30 am

Education Subcommittee Meeting – Wednesday, September 14, 2016 – 10:30 am

Employment Subcommittee Meeting – Wednesday, October 12, 2016 – 10:30 am

CoC Governing Board Meeting – Wednesday, November 2, 2016 – 10:30 am

Public Safety Subcommittee Meeting – Wednesday, November 9, 2016 – 10:30 am

Public Awareness Subcommittee Meeting – Wednesday, December 14, 2016 – 10:30 am



LEE COUNTY HOMELESS COALITION ANNUAL MEETING

To advocate, educate, and promote awareness of issues and obstacles facing homeless individuals in Lee County through community collaboration, planning and implementing solutions.

AGENDA - July 21, 2016

I. CALL TO ORDER

- A. Introductions
- B. Approval of the June 16, 2016 General Meeting Minutes

II. BOARD OF DIRECTORS

- A. Confirmation of Board Members and Current Officers
- B. Membership Dues/Annual Survey
- C. Community Grant

III. LEE COUNTY CoC GOVERNING BOARD – Jeannie Sutton & Kaitlin Major

IV. FORCE UPDATES

- A. Fund Raising Task Force – Janet Bartos, Chair
- B. Community Awareness and Education Task Force- Jan Frick, Chair
- C. Co-Ordinated Assessment Task Group – Robin Jewett, Chair
- D. Prevention Task Force – Jeannie Sutton, Chair

V. AGENCY SPOTLIGHT – Be The Light – Megan Estrem, Executive Director

VI. OTHER

- A. **Announcements/Celebrations of Success**
- B. **Adjournment** -The next General Meeting will be held on Thursday, August 18 from 8:30 a.m.-10:00 a.m. at The Salvation Army's Red Shield Lodge on Edison Avenue.

LEE COUNTY HOMELESS COALITION

Annual Meeting

To advocate, educate, and promote awareness of issues and obstacles facing homeless individuals in Lee County through community collaboration, planning and implementing solutions.

July 21, 2016

<http://www.leehomeless.org>

I - CALL TO ORDER

Janet Bartos called the meeting to order at 8:35 a.m. on Thursday, July 21, 2016. The meeting was held at The Salvation Army Red Shield Lodge on Edison Avenue in Fort Myers. Introductions were made.

ITEM: Approval of the June 16, 2016 Meeting Minutes

The June 16, 2016 General Meeting minutes were approved as circulated with the following correction regarding the TBRA Program: *There are ONLY 15 TBRA vouchers. The waiting list will be closed once 15 applications have been received.*

II – BOARD OF DIRECTORS

Janet Bartos requested confirmation of the following Board Members and Officers of the Lee County Homeless Coalition:

- CHAIR - William Rodriguez
- VICE CHAIR – Sharon Weis-Kapp
- TREASURER – Dale Korzec
- SECRETARY – Michelle Smith
- BOARD MEMBERS - Amy Davies, Neil Volz, Carol Robinson and Gwendolyn Howard-Powell

All Coalition members present confirmed the appointments. Janet Bartos congratulated the Board and expressed her gratitude for their commitment and dedication.

The Annual Survey will be emailed to all Coalition members, who are encouraged to complete the survey and list their suggestions and ideas for improvement. Janet Bartos stated that the Coalition was always looking for ways to help the members. Your opinion is valued, so please take a moment to complete and return the survey.

Membership fees are due for the July 1, 2016 – July 30, 2017 calendar year. Thanks to everyone who have already sent in their dues.

Copies of the Annual Report and Green Books were distributed and are also available on our website.

Janet Bartos reported on the \$25,000 Community Grant, which can be used for a variety of activities that will assist in fulfilling gaps in your mission to serve those who are homeless. Proposals are due August 12.

III – LEE COUNTY CoC GOVERNING BOARD

Kaitlin Major and Jeannie Sutton reported that the CoC Governing Board is evolving from the 10-Year Plan into the Opening Doors Federal Strategic Plan Model. They are in the process of reviewing objectives, programs and project measures and developing an accountability tool to help with the HUD process.

Please contact Kaitlin or Jeannie for additional details and if you are interested in joining the Governing Board. The next meeting will be held on August 3rd.

IV – TASK FORCE UPDATES

A. Community Awareness and Education Task Force – Jan Frick, Chair

There was no July meeting due to the July 4th holiday. The next meeting will be held on Tuesday, August 2nd at the Lee County Homeless Coalition office. At that time tarps and insect repellent, in addition to hygiene items, will be distributed to those agencies aiding the homeless.

B. PREVENTION TASK FORCE – Jeannie Sutton, Chair

After reviewing the proposed Prevention Services Bi-Fold, the Task Force determined there was not enough information available to warrant another handout.

Janet Bartos provided information on *Enlisting Mainstream Resources and Programs to End Homelessness*, published by the Interagency Council on Homelessness. After reviewing the information, the Task force determined they were already utilizing the majority of the programs and initiatives listed.

The Task Force reviewed four Memorandums of Understanding in effect from 2007. Jeannie Sutton suggested that members bring the following information to the August meeting for discussion:

- A list of appropriate Mainstream Programs to contact regarding Memorandums of Understanding
- Suggestions for language which would indicate what we are looking for without being overly restrictive
- Discharge Planning information from other organizations

C. CO-ORDINATED ASSESSMENT TASK GROUP – Robin Jewett, Chair

Rob Jewett reported that the Task Group reviewed and accepted the objectives.

The Client Vulnerability Analysis List was reviewed and changes noted.

Robin Jewett provided information on the proposed Housing Assignment Review Panel. She asked the Task Group to review this information and send her their acceptance, changes, or suggestions.

D. FUNDING UPDATE

Janet Bartos reported that the Golf Tournament was very successful, raising approximately \$30,000! Twenty-seven sponsors participated and there were 84 players. Scanlon Auto and Premier Golf sponsored a Hole-in-One Contest. The event featured a Longest Drive Competition, Closest to the Pin, and Ace in the Hole Challenge. The luncheon included raffles and prizes.

V. AGENCY SPOTLIGHT: BE THE LIGHT – Megan Estrem, Executive Director

BE the Light Inc. is a non-profit 501c3 organization and a community of volunteer abolitionists dedicated to providing tangible solutions to human trafficking, who empower communities with education, tools and resources by working through strategic and collaborative outreach initiatives.

Education efforts are also preventative as with our Empowering YOUth Program. Young people are very naïve and not aware that they are targets. Human Trafficking is a supply and demand business. We need to stop the demand and deter youth through encouragement and education.

Be the Light is not currently a point of contact for victims. However, they support and collaborate with agencies providing the necessary rehabilitation and shelter for survivors. They look forward to participating in other agency events. Please contact Megan at (239) 849-7531 or info@bethelightoutreach.com for more details.

IV – OTHER

Liz Stockton spoke on behalf of Central Florida Behavioral Health Network, Inc. They are the managing entity whose primary focus is to develop and manage a community based safety net system of care that provides a continuum of services to sustain and support individuals coping with mental illnesses, substance abuse and co-occurring disorders. CFBHN will be working closely with our CoC. For more info contact Liz at (813) 740-4811.

SalusCare has an Outreach position available. – Visit saluscareflorida.org for details.

Volunteers of America has openings for both males and females. Contact Kerrie Wilson at (941) 505-0421 or kwilson@voa-fla.org for details.

Contact John at Integrity House (774) 316-6940 for details on their seven locations.

V – ADJOURN

The meeting adjourned at 10:00 a.m. The next meeting will be held on August 18, 2016 at 8:30 a.m. at The Salvation Army's Red Shield Lodge on Edison Avenue in Fort Myers.

PLEASE CONTACT JANET BARTOS IF YOU ARE INTERESTED IN ALTERNATING MEETINGS BETWEEN MORNING AND EVENING HOURS,

ATTENDEE LIST

<u>NAME</u>	<u>AGENCY</u>	<u>PHONE</u>	<u>E-MAIL</u>
BABIC, MILLIE	City of Cape Coral	579-0596	mbabic@capecoral.net
BANKS, Tony	INTEGRITY House	244-4394	stepuptony@gmail.com
BARTOS, Janet	Lee County Homeless Coalition	322-6600	leehomeless@gmail.com
BAUER, Tammy	Safe Families for Children	207-4852	tbauer@safefamilies.net
BELL, Denise	Department of Human Services	5633-7900	
BUSSIERE, Andrea	LMHS/ECHO	410-7855	Andrea.bussiere@leememorial.org
BRYSON, Victoria	Renaissance Manor	220-5171	victoria@renaissancemanor.org
CARLSON, Lyn	LMHS/ECHO	810-1037	Lyn.carlson@leememorial.org
CONNELL, Ian	DCF ACCESS	244-0874	ian.connell@myflfamilies.com
CSOTTY, Paul	Midwest Food Bank	265-4161	PCsotty@midwestfoodbank.org
DINO, Ashley	Community Cooperative	332-7687	ashley@communitycooperative.com
DUNN, John	INTEGRITY House	994-3294	faceliftmyhome@gmail.com
EPIFANIO, Pat	All Souls / LMHS	540-4554	piepif@gmail.com
ERICKSON, Karen	SalusCare, Inc.	275-3222	ericksok@saluscareflorida.org
ESTREM, Megan	BE THE LIGHT	849-7531	info@bethelightoutreach.com
FOSSSELLA, Joseph	SVDP Our Lady of Light	477-6795	Joseph.fossella@gmail.com
JEWETT, Robin	Department of Human Services/LIFT	533-7905	jewetrd@leegov.com
KELLEY, Jacquelyn	TRIAGE		Jacquelyn.kelley@gmail.com
JUSTRIAN, David	Homeless Advocate	848-333-4689	
LALOR, Lt. Chris	Lee County Sheriff's Office		clalor@sheriffleefl.org
LeBER, Richard	Harry Chapin Food Bank	334-7007	rleber@harrychapinfoodbank.org
LINCOLN, Christine	CHS/BRIDGES	470-4189	Christine.lincoln@chsfl.org
MAJOR, Kaitlin	Advocate	297-0059	Kmmajor4505@gmail.com
McCORMICK, Tim	The Salvation Army		Tim.Mccormick@uss.salvationarmy.org
MONROE, Kathy	TRIAGE	791-0110	
MYERS, Connie	Lee County Housing Development	510-5275	cmyerslchdcc@yahoo.com
ORENGO, Mariel	McGregor Clinic	334-9555	morengo@mcgregorclinic.org
PELOW, Carolyn	Lehigh Community Services	369-5818	carolynlcs@embarqmail.com
PHILLIPS, Sharon	Lee County Homeless Coalition		leehomeless@gmail.com
POOLE, Murphy	TRIAGE	791-0110	Murphy.poole@uss.salvationarmy.org
RICHARDS, Fred	GOODWILL		fredrichards@goodwillfl.org
RODRIGUEZ, Bill	Board Chair/Florida Rural Legal Services		williamrodriguez@frls.org
RODRIGUEZ, Joanne	DHS	533-7900	
SEBASTIAN, Chris	Community Cooperative	332-7687	
SMITH, Michelle	LCHC Board Member		Btrflight0525@comcast.net
SPRAGUE, Jennifer	Veterans Administration		Jennifer.Sprague3@va.gov
STANLEY, Carol	The Salvation Army	334-3745	Chf11743@aol.com
STOCKTON, Liz	CFBHN	813-740-4811	lstockton@cfbhn.org
STRINGER, Ted	Broadway Community Church	810-5917	swfloutreach@comcast.net
SUAREZ, Ashley	The Salvation Army		Ashley.suarez@uss.salvationarmy.com
SUTTON, Jeannie	Department of Human Services	533-7900	
VAN SVOY, Tonya	Love, Inc.		tvanscoy@loveincswfl
VOLZ, Neil	St. Matthews/LCHC Board Member		Neil.volz@gmail.com
WEISS-KAPP, Sharon	LCHC Board	400-3107	SharonKapp2@2gmail.com
WHIENET, Dorsainvil	CHS/BRIDGES	896-3455	Whienjet.dorsainvil@chsfl.org
WILLIAMS, Jacquie	LSF	217-4453	Jacqueline.matthewswilliams@LSFnet.org
WILSON, Kerrie	Volunteers of America	585-3609	kwilson@voa-fla.org
YOUNG, Regina	The Salvation Army	791-0110	Regina.young@ussvalvationarmy.org



LEE COUNTY HOMELESS COALITION

To advocate, educate, and promote awareness of issues and obstacles facing homeless individuals in Lee County through community collaboration, planning and implementing solutions.

AGENDA June 16, 2016

I. CALL TO ORDER

- A. Introductions
- B. Approval of the May 19, 2016 Meeting Minutes
- C. Jeannie Sutton, Department of Human Services Grant Coordinator

II. TASK FORCE UPDATES

- A. Fund Raising Task Force – Janet Bartos, Chair
- B. Community Awareness and Education Task Force- Jan Frick, Chair
- C. Prevention Task Force- Jessica Shamlall, Chair

III. AGENCY SPOTLIGHT – Department of Human Services: KIM HUSTAD, Program Manager for Family Self- Sufficiency

IV. OTHER

- A. Announcements/Celebrations of Success
- B. Adjournment
- C. The Annual Meeting will be held on Thursday, July 21 2016, from 8:30 a.m. until 10:00 a.m. at the Salvation Army on Edison Avenue.

LEE COUNTY HOMELESS COALITION General Meeting

To advocate, educate, and promote awareness of issues and obstacles facing homeless individuals in Lee County through community collaboration, planning and implementing solutions.

June 16, 2016

<http://www.leehomeless.org>

I - CALL TO ORDER

Janet Bartos called the meeting to order at 8:35 a.m. on Thursday, June 16, 2016. The meeting was held at the Red Shield Lodge (TSA) located at 2440 Edison Street in Fort Myers. Introductions were made. A moment of silence was held for those who lost their lives in the Orlando mass shooting.

ITEM: Approval of the May 19, 2016 Meeting Minutes

Janet Bartos requested approval of the May 19, 2016 meeting minutes. There being no corrections, the minutes were approved as circulated.

ITEM: Jeannie Sutton, Department of Human Services Grant Coordinator

The Lee County Continuum of Care (COC) Governing Board is seeking Board members. The Board must include a cross-section of non-profit providers, government agencies, advocates, and other organizations that in some way help the homeless in Lee County. If you are interested in serving on the COC Governing Board, please contact Jeannie Sutton at jsutton@leegov.com or 533-7958 *no later than Monday, July 25, 2016*. If you are currently serving on the Board, please respond to confirm your continued interest. The Board will meet at least once quarterly. The next Board meeting will be held Wednesday, August 3, 2016 at 10:30 a.m. at the Department of Human Services. A Chair will be selected at that time.

The Governing Board's Annual Meeting will coincide with the Lee County Homeless Coalition's Annual Meeting on July 21.

Applications for the TANF Homelessness Prevention Grant will be accepted until June 22, 2016.

II – TASK FORCE UPDATES

A. Fund Raising Task Force

Janet Bartos reported on the Golf Tournament to be held at the Colonial Country Club on Saturday, June 25, and sponsored by three local legislative delegates.

Please contact Janet if you wish to play in the tournament, (we already have 78 players!) be a sponsor, or are able to provide raffle or 'goodie bag' items.

B. Community Awareness and Education Task Force – Jan Frick, Chair

Revisions were made to the Free Meals Sites brochure and will be available at the August Meeting. (Due to the July 4th holiday, there will NOT be a July meeting.)

Future projects were discussed and the Task Force was asked to provide input and suggestions at the August meeting.

Janet Bartos reported that St. Matthews would be sponsoring a 5K walk on Saturday, November 19th, at Ave Maria. The Homeless Coalition is in the process of organizing the Homeless Challenge, which will take place the prior weekend.

Mosquito Control is no longer able to supply the homeless with bug repellent. Janet Bartos will see if her budget allows her to purchase the repellent.

More TARPS have been donated to the Homeless Coalition. Please contact Janet Bartos if you have a client or know of anyone living in the woods in need of a tarp.

C. Demographics Task Force

The Demographics Task Force is on hiatus until September 2016.

D. Prevention Task Force – Jessica Shamballa, Chair

Jessica Shamlall reported that the Task Force focused on creating a Three-Fold handout listing Prevention Services. They reviewed the Green Book to determine what needed to be included and decided on the following:

- Financial Assistance
- Foreclosure Prevention
- Outreach Workers
- Other Services

A draft of the handout will be available at the July meeting.

Janet Bartos provided information regarding DCF's new contract which requires that we identify, monitor and evaluate two homeless initiatives quarterly. A Report must include a strategy, action steps to accomplish the goal, and which representative organization is responsible for that the lead. In the future, the Prevention Task might be responsible for reviewing this procedure.

III – AGENCY SPOTLIGHT: Robin Jewett, Department of Human Services’ Family Self-Sufficiency.

Robin Jewett reported on Tenant Based Rental Assistance (TBRA), which is similar to the Section 8 Housing Choice Program. TBRA’s target population are homeless households identified as MOST VULNERABLE by utilizing various assessment tools:

- Households scoring 15+ on the Service Prioritization Decision Assistance Tool (SPDAT).
- Those who demonstrate medical vulnerability, have behavioral health conditions, a history of substance abuse, and have experienced homelessness as defined by HUD guidelines.
- Referrals will be accepted on a first come-first serve basis.
- There are ONLY 15 TBRA vouchers. The waiting list will be closed once 15 applications have been received. Once the list is closed the Department of Human Services will not accept any more referrals.

Eligible applicants must be 60% or below the Area Median Income for Lee County; score 15+ on the SPDAT vulnerability scale, and are willing to engage in intensive case management. TBRA vouchers must be used within 90 days from the date of issuance and cannot be used outside of Lee County.

Financial assistance available through the TBRA program will include move in costs: first month’s pro-rated rent, last month’s rent, security and utility deposits. An eligible household may receive a rental subsidy for up to and no more than 24 months.

For additional information, please contact the Department of Human Services’ Family Self-Sufficiency Program at 239-533-7900.

Robin Jewett will be chairing the new task force which reviews coordinated assessments. The first meeting will be Thursday, June 23 @ 1 pm at the Bob Janes Triage Center. The Coordinated entry processes help communities prioritize assistance based on vulnerability and severity of service needs to ensure that people who need assistance the most can receive it in a timely manner.

IV – OTHER

Paul Scotty reported on a “Jet Ski” Poker Run held at the Cape Coral Yacht Club on June 11. Midwest Food Bank teamed with the Cape Coral Caring Center and sponsored the event which included 40 jet skis (locally and from surrounding areas as Miami, Broward, and Orlando) and raised \$15,000. Congratulations!!

He also announced a fund raiser to be held at the Texas Roadhouse at 5:00 p.m. on June 23. Please contact Paul for more details.

The Salvation Army's Repaid Rehousing Program has reached capacity at this time and will re-open for referrals as soon as possible (probably mid-June).

Colleen Henderson announced that a Hispanic Heritage Festival 5K Run will be held at Centennial Park on Saturday, September 24th.

V – ADJOURN

The meeting adjourned at 9:30 a.m. The next meeting will be our Annual Meeting and will be held on July 21, 2016 from 8:30 – 10:00 a.m. at the Salvation Army's Shield Lodge on Edison Avenue

ATTENDEE LIST

<u>NAME</u>	<u>AGENCY</u>	<u>PHONE</u>	<u>E-MAIL</u>
BARTOS, Janet	Lee County Homeless Coalition	322-6600	leehomeless@gmail.com
BAUER, Tammy	Safe Families for Children	207-4852	tbauer@safefamilies.net
BUSSIÈRE, Andrea	LMHS/ECHO	410-7855	andreabussiere@leememorial.org
CSOTTY, Paul	Midwest Food Bank	265-4164	Pcsotty@midwestfoodbank.org
ERICKSON, Karen	SalusCare	275-3222	kerickson@saluscareflorida.org
FOSELLA, Joseph	SVDP Our Lady of Light	477-6795	Joseph.fossella@gmail.com
HELLENBRAND, Rick	Encore Realty Services Inc.	542-4600	rick@encorerealty.com
JEWETT, Robin	Department of Human Services	533-7905	jewettrd@leegov.com
LALOR, Lt. Chris	Lee County Sheriff's Office		clalor@sheriffleefl.org
LINCOLN, Christine	Children's Home Society/BRIDGES	470-4189	Christine.lincoln@chsfl.org
LOPEZ, Peggy	Lifeline Family Center	242-7238	helpnow@lifelinefamily.org
McCORMICK, Tim	The Salvation Army		
McWHORTER, Kelly	The Salvation Army		kellymcwhorter@uss.salvationarmy.org
MURPHY, Poole	TSA/TRIAGE		
MYERS, Connie	Lee County Housing Development Corp.		cmyerslchdc@yahoo.com
ORENGO, Mariel	McGregor Clinic	334-9555	morengo@mcgregorclinic.org
PENA, Mercedes	The Salvation Army		
PEPLOW, Carolyn	Lehigh Community Services	369-5818	carolynlcs@embarqmail.com
PEREZ, Vanessa	Health Planning Council	433-6700	vanessaperez@hpcswf.com
PHILLIPS, Sharon	Lee County Homeless Coalition	332-6600	leehomeless@gmail.com
PENNINO, Sharett	Lutheran Services of Florida		Sharett.pennino@lsfnet.org
RODRIGUEZ, Bill	Florida Rural legal Services/LCHC Board Chair	770-8156	williammrodriguez@frls.org
RODRIGUEZ, Erin	Homeless Advocate	240-205-5711	erinmcadams@gmail.com
SEBASTIAN, Christine	Community Cooperative		Christine@communitycooperative.com
SHAMLALL, Jessica	SalusCare	989-3047	jshamlall@saluscareflorida.org
SHEWEE, Ashley	The Salvation Army		ashleysheewe@uss.salvationarmy.com
STANLEY, Carol	The Salvation Army	334-3745	chf11743@aol.com
SUTTON, Jeannie	Department of Human Service	533-7958	jsutton@leegov.com
WILSON, Kerrie	Volunteers of America	941-585-3609	kwilson@voa-fla.org

**LEE COUNTY
CONTINUUM OF CARE
GOVERNANCE BOARD
Meeting Minutes for May 4, 2016**

Members Present:

Janet Bartos, Lee County Homeless Coalition
Rosemary Boisvert, SalusCare
Dane Brandon, Independent writer
Sherri Campanale, Housing Authority of the City of Fort Myers
Emma Chin, SalusCare
Connie Myers for Erika Cooks, Lee County Housing Development Corp
Suzanne Czarnik, Lee Memorial Health System in for Heidi Shoriak
Kathy Hoffman, Ft. Myers Police Department
David Justiniano, Homeless Advocate
Becky Madsen, Housing Authority of the City of Fort Myers
Kaitlin Major, Delta Family Counseling
Shaurie Mathews, Housing Authority of the City of Fort Myers
Ranice Monroe, Lee County Schools
Beverly Reed, City of Ft. Myers Community Development
Sharon Rozier, City of Ft. Myers Community Development
Amy Yearsley, City of Cape Coral Department of Community Development
Johnnie Terrell, Open Arms Advocacy Foundation

Staff Present: Julie Boudreaux Sally Flint, Administrative Asst.

ITEM

Welcome and Introductions:

Chairperson Ms. Kaitlin Major called the meeting to order at 10:30 a.m., introductions were made.

ITEM

Approval of February 3, 2015 Minutes:

Ms. Janet Bartos made the motion to accept the minutes. It was seconded by Ms. Amy Yearsley. The motion was approved unanimously.

ITEM

Board Membership

Ms. Kaitlin Major reported on the following Board Membership:

She thanked all in attendance, acknowledging the new faces at the meeting. There is still a need for a representative from the Cape Coral Police Department.

Ms. Chris Nesheim has retired from Lee Memorial Health System and Ms. Heidi Shoriak will be her replacement.

Ms. Major also mentioned that if there is anyone who might be interested in joining this Board, contact either herself, Ms. Boudreaux or Ms. Flint.

Ms. Julie Boudreaux noted at the next meeting, August 3, 2016, the Board will vote on the chair & co-chair positions. Mr. Jeremy Gentile, holds the co-chair position at this time. He has taken on a new role at United Way and Julie does not know if he will still be active on this Board.

ITEM

Point in Time

Ms. Janet Bartos handed out copies of Census and Comparison Reports for this presentation. Point in Time is the once a year count of the homeless population. The event was held at the Homeless Service Day and the Veteran's Stand Down on January 23, 2016. The number of homeless can be misleading. However, these are the numbers the Federal government uses to determine our share of funding.

The number this year was 439. The HUD definition of homeless is "on streets or in a shelter". The School Board uses the definition "doubled up", those families who share a home.

There was a 30% decrease in the numbers reported from last year. There was a 50% decrease in the chronic homeless and a decrease of 70% for the Veterans. The economy and the increase in better resources contributed to the drop in numbers.

Dr. Ranice Monroe reported that Lee County Schools on January 29, 2016, had a number of 876 homeless students.

The HUD VASH, geared toward Veterans, helps them find places to live. Discussion ensued regarding the veterans who prefer 2 bedroom homes/apartments – but only have one person living in it. Veterans are given housing vouchers and if the person can afford it, it is their decision on where they want to live. If at a later time, they decide they want to share the place, the second person will need to go through the eligibility process with the Housing Authority.

Mr. David Justiniano, reported on Point in Time from Charlotte County homeless where he was a Plan Coordinator for 3 years. Their numbers were about 500, the double-ups were counted as well. He said there were approximately 40 agencies involved in the 10 Year Plan, in which he helped with their advertising and recruitment. He also reported there were volunteers that partnered with the police to go to the homeless camps in the woods at very early hours to get a head count there. Charlotte County also had a Stand Down, however that was only for vets and the count was about 150.

ITEM

Zero: 2016 Update

Ms. Janet Bartos reported: Zero: 2016 is a national initiative in which Lee County's Homeless Coalition, Dept. of Human Services, Housing Authority and Veteran's Administration are involved. The Federal strategic plan is to end Veteran Homelessness by 2015 and Chronic Homelessness by 2016. 272 Veterans were reported for the year and by last December there were only 2 vets reported as homeless. It should be noted that vets can be offered a place and decline to accept, which takes them off the homeless list. Ms. Bartos explained the term Functional Zero means there are enough resources to meet our needs. Lee County has met this for several months for veterans. To qualify for this, paperwork was submitted for the Mayor's Challenge and also USICH. They check everything in the packets and give us feedback, which we are waiting for. A press release is prepared for the announcement of our accomplishment, however, it will be held until the results from the government confirm the numbers.

There was discussion on how it will be announced. The agencies that are funding the veterans are afraid of their funding being cut. People are working hard and they want to make sure the funding does not go away.

ITEM

10 Year-Plan to End Homelessness

Ms. Major reported on the progress of the 10 Year Plan and the sub-committee meetings that have met so far.

- The **Transportation Meeting** took place on March 2, 2016, very few attendees. Janet has offered to be in contact with Infinity, a group working on community engagement. Specifically community partners working toward transportation.
- The **Health Services Meeting** took place on April 13, 2016, attendance was better, and some goals have been met and other goals combined.
 - Minutes from the Apr 13 meeting:

**Goal: Improve access to and expand community health care services.
Report any ACTIONS that address any of the following OBJECTIVES:**

- 1. Promote the provision of pro-bono “fair share” services. - COMPLETED**
- 2. Increase health services outreach efforts.- COMPLETED**

3. Increase placements in Assisted Living and Skilled Nursing Facilities and medical respite beds.- NOT REALISTIC. HOSPITALS WILL NEED TO REQUEST PAYMENT REMOVE IT?

4. Increase the capacity of existing medical, dental and medical respite beds services. and mental health care sites and services

New #3, combined #3 & #4= Increase the capacity of existing medical sites and services.

5. Increase detoxification and mental health services and beds to meet current and emerging needs.

She reported in further detail on outreach, the timeliness of receiving referrals, healthcare, and Salvation Army handling the dental services.

Ms. Rosemary Boisvert, SalusCare, reported a new goal was established last week to move clients from detox directly to outpatient for substance abuse, as well as the immediate engagement into mental health services for those in need of that service. It is still in the beginning stages so there was no way to tell how successful it will be.

Ms. Major also mentioned that Eric Pateidl, DHS, will be working on the logistics of the chart. Re-arranging some of the information to fit the 10 year plan better and adding stats. Some info should be moved into the correct sections which will also help streamline the goals.

Agencies are being asked to update their specific accomplishments in the goals on the DHS Website. A suggestion was made to send out a yearly update of the goals.

The next sub-committee meeting will be Housing, it was originally scheduled for May 11, however, do to conflicts it is going to be re-scheduled for May 18. (After this CoC meeting, the Housing sub-committee meeting changed to May 25).

Ms. Boudreaux announced that DHS put out a request for applications for the ESG (Emergency Solutions Grant) from the state, due date of May 24, 2016. Approval of the grant would assist the City of Cape Coral and City of Ft. Myers for the homeless.

Tier II funding for CoC, has received \$13,354 for CASL the approximate amount of which they had applied for; there is no funding for HMIS; and no funding for SalusCare.

Ms. Boisvert of SalusCare reported the cuts in their HMIS funding will take away 9 of their chronic homeless beds. This is a problem because their new goal is 18 to 20 beds a month. They will be looking for other funding, possibly from the State. Also the loss in their transitional housing which served 140 homeless individuals a year in mental health & substance abuse services is another area affected. It will be an impact on the community. Meetings are planned to see how this can be sustained.

Ms. Boudreaux introduced Ms. Jeannie Sutton, who has filled the position as Grant Coordinator. Ms. Sutton was out of the office today.

New monthly sub-committee meetings for the 10 Year Plan:

May 25, 2016 at 10:30 a.m. **Housing** meeting

ITEM

Adjourn

Meeting adjourned at 11:50 a.m.

The next Board Meeting will be August 3, 2016 at 10:30 a.m. at the Lee County Human Services.

Lee County Continuum of Care (CoC) Governing Board

Wednesday, May 4, 2016, 10:30 A.M.

Meeting Held at:

Lee County Department of Human Services
2440 Thompson Street
Fort Myers, FL 33901

AGENDA

- Welcome and Introductions – *Kaitlin Major, Board Chair*
- Approval of February 3, 2016 Minutes – *Kaitlin Major, Board Chair*
- Board Membership-*Kaitlin Major, Board Chair*
- Point in Time—*Janet Bartos, Homeless Coalition*
- Zero: 2016 – *Janet Bartos, Homeless Coalition*
- 10 Year-Plan to End Homelessness-*Kaitlin Major, Board Chair*
- Adjourn

Next Meeting: *Strategic Planning: Updating the 10 Year Plan to End Homelessness*

Wednesday, August 3, 2016

Lee County Department of Human Services

2440 Thompson Street

Meetings for the year

August 3, 2016, November 2, 2016

**LEE COUNTY
CONTINUUM OF CARE
GOVERNANCE BOARD
Meeting Minutes for February 3, 2016**

Members Present:

Janet Bartos, Lee County Homeless Coalition
Nancy Beeson, SalusCare
Jessica Shamlall for Rosemary Boisvert, SalusCare
Sherri Campanale, Housing Authority of the City of Fort Myers
Kinga Cook, Advocate
Connie Myers for Erika Cooks, Lee County Housing Development Corp.
Daisy Ellis, The Salvation Army
Becky Madsen, Housing Authority of the City of Fort Myers
Kaitlin Major, Delta Family Counseling
Shaurie Mathews, Housing Authority of the City of Fort Myers
Chris Nesheim, Lee Memorial Health System
Beverly Reed for Sharon Rozier, City of Ft. Myers Community Development
Matt Visaggio, Lee County Homeless Coalition
Amy Yearsley, City of Cape Coral Department of Community Development
Johnnie Terrell, Open Arms Advocacy Foundation

Staff Present: Eric Pateidl Sharon McPherson, Administrative Asst.

ITEM

Welcome and Introductions:

Chairperson Kaitlin Major called the meeting to order at 10:10 a.m., introductions were made. Ms. Chris Nesheim, Lee Memorial Health System, announced she turned in her resignation for April 29, 2016.

ITEM

Approval of November 4, 2015 Minutes

Ms. Chris Nesheim made the motion to accept the minutes, Ms. Janet Bartos seconded. The motion was approved unanimously.

ITEM

Board Membership

Ms. Kaitlin Major reported on the following Board Membership updates:

Johnnie Terrell is a new member from Open Arms Advocacy Foundation.

Kelsey Evanson, Fort Myers Police Department, is interested, however will be out on maternity leave.

Mr. Robert Vega is waiting for approval from Chain of Command.

A Law Enforcement replacement is needed to fill Jerry Mole's spot, Cape Coral Police Department, he is retiring.

Cody Neally is interested in being on the board. He works through VA outreach and is waiting for a verbal approval.

Dr. Renice Monroe, Lee County School District, is interested and information was forwarded.

If anyone has additional suggestions for Board members, please notify Ms. Major. Ms. Campanale will send a letter to the Fort Myers Police Department for possible Board member.

ITEM

Point in Time

Ms. Janet Bartos reported on the following:

The Homeless Service Date and Veteran's Stand-down was held on January 23, 2016 a large event where there were approximately 421 homeless participants and 325 volunteers. The weather was rainy and chilly, which may have impacted the number of participants in attendance.

The Point in Time is a snap shot of the number of homeless for a given night. Since this is a hidden population, it is hard to get an exact count. Mr. Eric Pateidl and Mr. Juan Albino are working on the time and place surveys and will submit to the Board when complete. Mr. Pateidl reported HUD requires this count every 2 years to acquire the demographics of the homeless. The County receives \$2 million from HUD for CoC funding and it is also used for Grant money.

The final report is not due until April; however, it will be distributed when complete. The State requires one set of standards/numbers and the Federal Government want another. Mr. Pateidl stated he will not know what the Federal Government needs until mid March.

ITEM

Zero: 2016 Update

Ms. Janet Bartos reported on the following:

227 veterans were housed in 2015. December 31, 2015 was the goal for reporting the functional Zero announcement. That timeline was extended to verify the Point in Time numbers and meeting with agencies providing services to Veterans to go over their numbers. A "softer" announcement was suggested due to some states receiving backlashes from numbers they reported. There is a limited amount of resources for homeless. It takes longer for a non-veteran to be housed.

The CoC is working on the chronic homeless, trying to reach zero by December 2016. Mr. Eric Pateidl holds a monthly demographics meeting on ending chronic homelessness the second Tuesday of the month at 1:00 p.m. at Lee County Department of Human Services. This meeting covers vulnerability analysis and meets with service providers to collaborate on Zero 2016. The vulnerability analysis prioritizes the most vulnerable individuals in the community to be housed quickly. Anyone providing services are urged to attend this meeting.

ITEM

10 Year-Plan to End Homelessness

Monthly sub-meetings for each of the goals were discussed at the last meeting. An abbreviated goal and provider list was distributed. A leader needs to be assigned for each subcommittee who will organize a group of individuals from the provider list under their goal category. These meetings are to look at the objectives and determine what has been achieved and what still needs to be focused on in the next year to accomplish the goals. These meetings could be conference calls in place of face to face meetings. The first two meetings will be in March and April. The results will be reported at the next CoC meeting May 4th.

Public Awareness - Ms. Janet Bartos, Homeless Coalition, offered to lead the meeting.

Housing - Ms. Sherri Campanale, Housing Authority of the City of Fort Myers, offered to lead the meeting

Health Services – Ms. Daisy Ellis or Ms. Heidi Ruster, Salvation Army, to lead this meeting

Transportation - Salvation Army has a subcommittee "Infinity". They are approximately half way through their goals and will help with this meeting as well. Ms. Daisy Ellis or Ms. Heidi Ruster, Salvation Army, to lead this meeting.

Employment Services – Reach out to Mr. Harold White or someone from Goodwill to lead meeting.

Education - Reach out to Dr. Renice Monroe, Lee County School District or someone from Homeless Families

Public Safety – Reach out to someone in Law Enforcement or Corrections to lead meeting.

Supportive Services – Ms. Kaitlyn Major will take lead of this meeting.

New monthly sub-committee meetings for the 10 Year Plan:

- March 2, 2016 at 10:30 a.m. **Transportation** meeting
- April 13, 2016 at 10:30 a.m. **Health Services** meeting
- May 4, 2016 at 10:00 a.m. **CoC** meeting
- May 11, 2016 at 10:30 a.m. **Housing** meeting

ITEM

Adjourn

Meeting adjourned 11:00 a.m.

Lee County Continuum of Care (CoC) Governing Board

Wednesday, February 3, 2016, 10:00 A.M.

Meeting Held at:

Lee County Department of Human Services
2440 Thompson Street
Fort Myers, FL 33901

AGENDA

- Welcome and Introductions – *Kaitlin Major, Board Chair*
- Approval of November 4, 2015 Minutes – *Kaitlin Major, Board Chair*
- Board Membership-*Kaitlin Major, Board Chair*
- Point in Time—*Janet Bartos, Homeless Coalition*
- Zero: 2016 – *Janet Bartos, Homeless Coalition*
- 10 Year-Plan to End Homelessness-*Kaitlin Major, Board Chair*
- Adjourn

Next Meeting: *Strategic Planning: Updating the 10 Year Plan to End Homelessness*

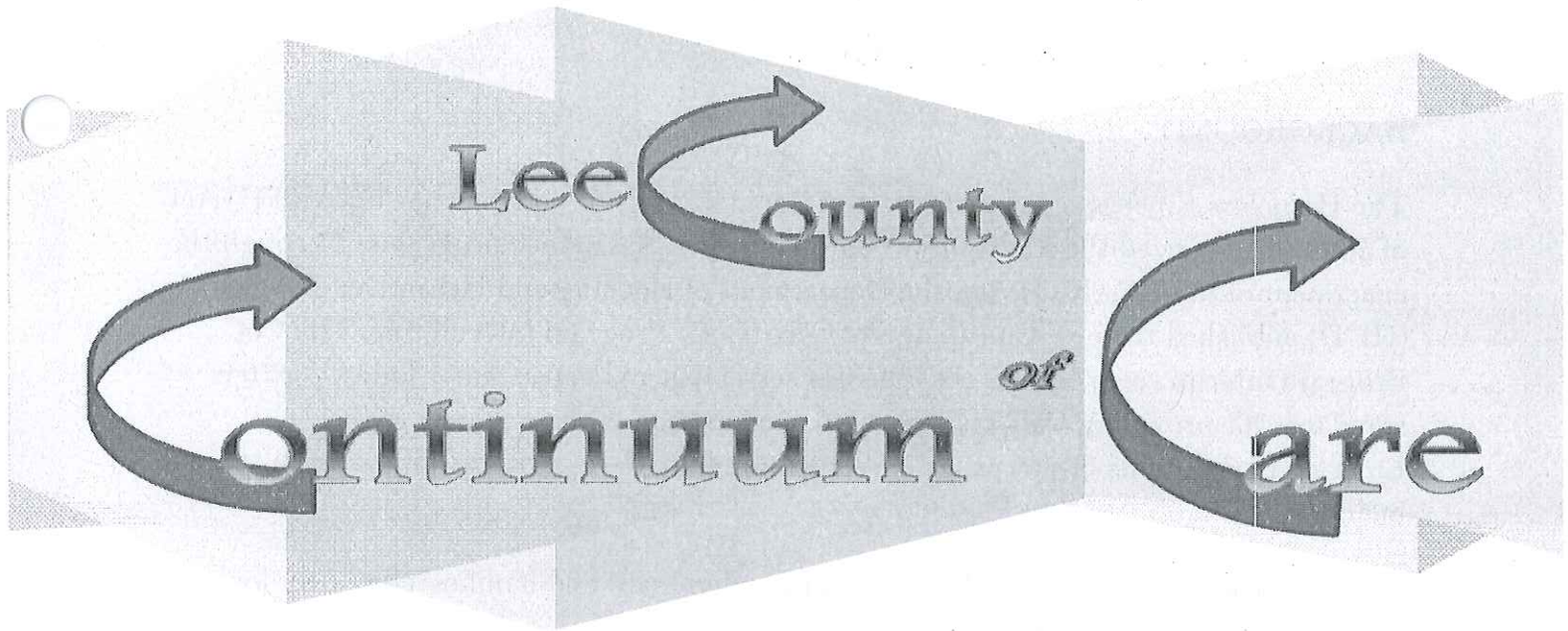
Wednesday, May 4, 2016

Lee County Department of Human Services

2440 Thompson Street

Meetings for the year

May 4, 2016, August 3, 2016, November 2, 2016



Written Standards

Continuum of Care Written Standard for Projects to End Homelessness in Lee County

Approved by the Lee County CoC Governing Board on November 2, 2016

Lee County CoC Board Chair Approval:

Signature

Matthew Visaggio

Printed Name

Nov. 2, 2016

Date

LEE COUNTY CONTINUUM OF CARE
WRITTEN STANDARDS

BACKGROUND

The Homeless Emergency Assistance and Rapid Transition to Housing (HEARTH) Act of 2009 reauthorized the McKinney-Vento Homeless Assistance programs. Through the enactment of the HEARTH Act, the Department of Housing and Urban Development (HUD) published the new Continuum of Care (CoC) Program interim rule. The CoC Program interim rule requires that the CoC establish and consistently follow written standards for providing CoC assistance, in consultation with recipients of the Emergency Solutions Grant program. At a minimum, these written standards must include:

- Policies and procedures for evaluating individuals' and families' eligibility for assistance in the CoC Program.
- Policies and procedures for determining and prioritizing which eligible individuals and families will receive assistance for permanent supportive housing assistance, transitional housing assistance, and rapid re-housing assistance.

The goals of the written standards are to:

- Establish community-wide expectations on the operations of projects within the community.
- Ensure that the system is transparent to users and operators.
- Establish a minimum set of standards and expectations in terms of the quality expected of projects.
- Make the local priorities transparent to recipients and sub recipients of funds.
- Create consistency and coordination between recipients' and sub recipients' projects within the Lee County CoC.

The Lee County CoC agrees that these standards must be applied consistently across the entire CoC defined geographic area. Additionally, Lee County CoC members agree to administer their assistance in compliance with the CoC's written standards on awarding CoC funds. Recipients and sub recipients of CoC and local funds may develop additional standards for administering program assistance, but these additional standards cannot be in conflict with those established by the Lee County CoC or the CoC Program interim rule.

LEE COUNTY CONTINUUM OF CARE
WRITTEN STANDARDS

HOUSING FIRST

The *Housing First* approach is a data driven solution to homelessness. *Housing First* approaches feature direct, or nearly direct, placement of targeted homeless people into permanent housing where supportive services are offered to maximize housing stability and prevent returns to homelessness as opposed to addressing predetermined treatment goals prior to permanent housing entry. *Housing First* approaches ensure that the risk factors that make finding and maintaining housing more challenging are used to screen people into assistance rather than screening them out.

All Lee County CoC service providers are required to implement a *Housing First* approach that ensures low barrier program entry and the provision of optional supportive services, both during and post-housing, that promote housing stability and overall well-being.

NON-DISCRIMINATION

All Lee County CoC service providers must have written non-discrimination policies in place. These policies must outline actions to be taken to ensure outreach to homeless persons with the greatest risk to remaining homeless, and compliance with all federal statutes including, but not limited to, the Fair Housing Act and the Americans with Disabilities Act. Lee County CoC strongly encourages service providers to practice a person-centered model that incorporates participant choice and inclusion of all homeless subpopulations present in Lee County, including homeless veterans, youth, and families with children, individual adults, seniors, and victims of domestic violence. All service providers must ensure that they comply with the HEARTH Act's involuntary family separation provision which ensures that emergency shelters, transitional housing, and permanent housing (PSH and RRH) providers within the CoC do not deny admission to or separate any family members from other members of their family based on age, sex, gender or disability, when entering shelter or housing.

LEE COUNTY CONTINUUM OF CARE
WRITTEN STANDARDS

COORDINATED ENTRY

Coordinated Entry is designed to coordinate housing and services for persons who are experiencing homelessness. Coordinated Entry represents a standardized access and assessment for all individuals, as well a coordinated referral and housing placement process to ensure that persons who are experiencing homelessness receive appropriate assistance with both immediate and long-term housing and service needs.

The Coordinated Entry process has three goals:

- Help people move through the homeless service system faster.
- Reduce new entries into homelessness through prevention and diversion resources.
- Improve data collection and quality to provide accurate information on what assistance consumers need.

All Lee County CoC Homeless Management Information System (HMIS) participating agencies making client referrals into the system will be required to first complete the Coordinated Entry screen. On completion of the screen, the system will notify the user if a Vulnerability analysis is required. Individuals that are determined to be a homeless veteran, chronically homeless, or homeless households with children are required to complete a full vulnerability analysis. The vulnerability analysis score will determine the client's and/or household's needs and eligibility for permanent supportive housing and/or rapid re-housing. *(For more information about Lee County CoC's Coordinated Entry process, please refer to the Lee County Coordinated Entry Policy and Procedures Manual.)*

EDUCATIONAL SERVICES

All Lee County CoC service providers must have written policies in place which ensure that homeless individuals and families who become homeless are informed of their eligibility for and receive access to educational services. These policies should include how homeless families with children will be informed of and referred to the Lee County School Districts homeless students program, A.C.C.E.S.S. Such policies should also include information for all homeless individuals and families regarding local technical schools and universities which may offer programs and assistance for persons who are homeless.

LEE COUNTY CONTINUUM OF CARE
WRITTEN STANDARDS

CHRONICALLY HOMELESS

The definition of “chronically homeless”, as stated in Definition of Chronically Homeless final rule is:

(a) A “homeless individual with a disability,” as defined in Section 401(9) of the McKinney-Vento Homeless Assistance Act (42 U.S.C. 11360(9)), who:

i. lives in a place not meant for human habitation, a safe haven, or in an emergency shelter; **and**

ii. has been homeless and living as described in paragraph (a)(i) continuously for at least 12 months or on at least four separate occasions in the last 3 years, as long as the combined occasions equal at least 12 months and each break in homelessness separating the occasions included at least 7 consecutive nights of not living as described in paragraph (a)(i). Status in institutional care facilities for fewer than 90 days will not constitute as a break in homelessness, but rather such stays are included in the 12-month total, as long as the individual was living or residing in a place not meant for human habitation, a safe haven, or an emergency shelter immediately before entering an institutional care facility;

(b) An individual who has been residing in an institutional care facility, including a jail, substance abuse or mental health treatment facility, hospital, or other similar facility, for fewer than 90 days and met all of the criteria in paragraph (a) of this definition, before entering the facility;

(c) A family with an adult head of household (or if there is no adult in the family, a minor head of household) who meets all of the criteria in paragraph (a) or (b) of this definition (as described in Section I.D.2.(a) of Notice CPD-16-11), including a family whose composition has fluctuated while the head of household has been homeless.

LEE COUNTY CONTINUUM OF CARE
WRITTEN STANDARDS

PERMANENT SUPPORTIVE HOUSING

PSH can only provide assistance to individuals with disabilities and families in which one adult or child has a disability. Supportive services designed to meet the needs of the program participants must be made available to the program participants, but should not be required as a condition to remaining in housing.

ELIGIBILITY

For permanent supportive housing programs, households must meet both the HUD definition of homelessness under Category 1 or Category 4, and have a disability, as defined in Section 401(9) of the McKinney-Vento Homeless Assistance Act (42 U.S.C. 11360(9)). For beds prioritized for Chronically Homeless individual and families, the head of household must have a qualifying disability and meet all of the criteria required as defined in 24 CFR 578.3. Once meeting the Category 1 or Category 4 and disability requirements, households are then prioritized by Lee County's target populations. Programs may not establish additional eligibility requirements beyond those specified in Category 1 and Category 4 and those required by funders.

Category 1: Literally Homeless

Households qualify as Category 1 if they are:

- Sleeping in a place not designed for or used as a regular sleeping accommodation, including the street, a car, park, abandoned building, bus or train station, airport, camping ground etc.;
- Living in a shelter designed to provide temporary living arrangements (including emergency shelter, congregate shelters, transitional housing, hotels and motels paid for by charitable organizations or by government programs); **or**
- Exiting an institution where they resided for ≤ 90 days, **and** were residing in an emergency shelter or place not meant for human habitation immediately prior to entering the institution.

Category 4: Fleeing/Attempting to Flee Domestic Violence

Households qualify as Category 4 if they:

- are fleeing, or attempting to flee domestic violence;
- have no subsequent residence; **and**
- have no resources or support networks to obtain other permanent housing.

LEE COUNTY CONTINUUM OF CARE
WRITTEN STANDARDS

PRIORITIZATION

Of those eligible households the populations must be prioritized in accordance with:

- The U.S. Interagency Council on Homelessness (USICH) plan, *Opening Doors*
- HUD's guidance on prioritization of chronically homeless households and policy brief on coordinated entry systems

The most severe service needs will be determined by the household's Coordinated Assessment and VI-SPDAT, and will prioritize those with the highest scores within each category first. The Lee County CoC has established that individuals and families scoring 10 or above on the VI-SPDAT will be recommended for placement into permanent supportive housing. These priorities have been established to ensure that Lee County's most vulnerable people and high users of resources are quickly transitioned into permanent supportive housing.

The following types of homeless individuals and families must be prioritized primarily in the following order, and then by severity of service needs as identified below.

1. Chronically homeless individuals and families with the most severe service needs.
2. Chronically homeless individuals and families with the longest history of homelessness.
3. All other chronically homeless individuals and families.
4. Homeless individuals and families with a disability, as defined in Section 401 of the McKinney-Vento Homeless Assistance Act as amended by S.896 the HEARTH Act of 2009, and with the most severe service needs.
5. Homeless individuals and families with long periods of continuous or episodic homelessness.
6. Homeless individuals and families coming from places not meant for human habitation (such as emergency shelters, streets, safe havens, etc.)

LEE COUNTY CONTINUUM OF CARE
WRITTEN STANDARDS

Lee County's coordinated entry system identifies the severity of service needs (only going to the next level as needed to break a tie between two or more individuals):

1. **Medical Vulnerability:** The first prioritization criteria will expedite placement into housing for individuals with severe medical needs who are at greater risk of death. This score would be based on questions 22-34 of the vulnerability analysis, with a maximum score of 5.
2. **Overall Wellness:** The second prioritization factor targets individuals with similar medical needs as criteria number 1, who will be prioritized when they have behavioral health conditions or histories of substance use, which may either mask or exacerbate medical conditions. This score will be based on questions 21 through 50 of the vulnerability analysis (i.e., the "Wellness Domain").
3. **Unsheltered Sleeping Location:** The third prioritization criteria are the location where the individual sleeps, based on question 13 of the vulnerability analysis. Unsheltered individuals will be given priority over sheltered individuals.
4. **Length of Time Homeless:** The fourth prioritization factor is the length of time an individual has experienced homelessness, giving priority to the person that has experienced homelessness the longest (based on question 1 of the vulnerability analysis).
5. **Date of vulnerability analysis assessment:** The final prioritization criteria will be the date of the individual's assessment, giving priority to the earliest date of assessment.

MINIMUM STANDARDS

All referrals to permanent supportive housing will be made through the coordinated entry system. The following minimum standards will be applied to all permanent housing programs:

- Support services must be made available throughout the duration of stay in housing.
- Program participants must enter into a lease agreement for a term of at least one year, which is terminable for cause. The lease must be automatically renewable upon expiration for terms that are a minimum of one month long, except on prior notice by either party.
- There is no designated length of stay for program participants.

LEE COUNTY CONTINUUM OF CARE
WRITTEN STANDARDS

RAPID RE-HOUSING

Continuum of Care funds may provide supportive services, as set forth in § 578.53, and/or short-term (up to 3 months) and/or medium-term (for 3 to 24 months) tenant-based rental assistance, as set forth in § 578.51(c), as necessary to help a homeless individual or family, with or without disabilities, move as quickly as possible into permanent housing and achieve stability in that housing. When providing short-term and/or medium-term rental assistance to program participants, the rental assistance is subject to § 578.51(a)(1), but not § 578.51(a)(1)(i) and (ii); (a)(2); (c) and (f) through (i); and (l)(1).

ELIGIBILITY

For rapid re-housing programs, households must meet the HUD's definition of homelessness under Category 1, any subsequent CoC Program Notice of Funding Availability (NOFA) eligibility requirements, and any additional funder eligibility requirements. Once meeting the rapid re-housing eligibility requirements, households are then prioritized by Lee County's target populations.

Category 1: Literally Homeless

Households qualify as Category 1 if they are:

- Sleeping in a place not designed for or used as a regular sleeping accommodation, including the street, a car, park, abandoned building, bus or train station, airport, camping ground etc.;
- Living in a shelter designed to provide temporary living arrangements (including emergency shelter, congregate shelters, transitional housing, hotels and motels paid for by charitable organizations or by government programs); **or**
- Exiting an institution where they resided for ≤ 90 days, **and** were residing in an emergency shelter or place not meant for human habitation immediately prior to entering the institution.

LEE COUNTY CONTINUUM OF CARE
WRITTEN STANDARDS

PRIORITIZATION

Of those eligible households the populations must be prioritized in accordance with:

- The U.S. Interagency Council on Homelessness (USICH) plan, *Opening Doors*
- HUD's guidance on prioritization of chronically homeless households and policy brief on coordinated entry systems

Programs may not establish additional eligibility requirements beyond those required by funders.

Lee County CoC has established the following priority populations for rapid re-housing for individuals and families. These priorities have been established to ensure that Lee County's most vulnerable people and high users of resources are quickly transitioned into rapid re-housing. The Lee County CoC has established that individuals and families scoring 5 to 9 on the VI-SPDAT will be recommended for placement into rapid re-housing.

The following types of homeless individuals and families must be prioritized primarily in the following order, and then by severity of service needs as identified below.

1. Households with children (under 18 years of age).
2. Households with the longest history of homelessness.
3. Household who are homeless for the first time.

Lee County's coordinated entry system identifies the severity of service needs (only going to the next level as needed to break a tie between two or more individuals):

1. **Date of Assessment:** The first prioritization criteria will be the date of the individual's assessment, giving priority to the most recent date of assessment.
2. **Unsheltered Sleeping Location:** The second prioritization criteria are the location where the individual sleeps, based on question 13 of the vulnerability analysis. Unsheltered individuals will be given priority over sheltered individuals.
3. **Length of Time Homeless:** The third prioritization factor is the length of time an individual has experienced homelessness, giving priority to the person that has experienced homelessness the longest (based on question 1 of the vulnerability analysis).
4. **Overall Wellness:** The fourth prioritization factor targets individuals with medical needs, who will be prioritized when they have behavioral health conditions or histories of substance use, which may either mask or exacerbate medical conditions. This score will be based on questions 21 through 50 of the vulnerability analysis (i.e., the "Wellness Domain").

LEE COUNTY CONTINUUM OF CARE
WRITTEN STANDARDS

5. Medical Vulnerability: The final prioritization criteria will expedite placement into housing for individuals with severe medical needs who are at greater risk of death. This score would be based on questions 22-34 of the vulnerability analysis, with a maximum score of 5.

MINIMUM STANDARDS

All referrals to rapid re-housing will be made through the coordinated entry system. The following minimum standards will be applied to all rapid re-housing programs:

- Support services must be made available throughout the duration of stay in housing.
- Program participants must enter into a lease agreement for a term of at least one year, which is terminable for cause. The lease must be automatically renewable upon expiration for terms that are a minimum of one month long, except on prior notice by either party.
- Maximum participation in a rapid re-housing program cannot exceed 24 months.
- Program participants must be re-evaluated not less than once annually to ensure that the type and amount of assistance being received is necessary to retain housing.
- Program participant must meet with a case manager not less than once per month to assist the program participant in ensuring long-term housing stability. The project is exempt from this requirement if the Violence Against Women Act of 1994 (42 U.S.C. 13925 et seq.) or the Family Violence Prevention and Services Act (42 U.S.C. 10401 et seq.) prohibits the recipient carrying out the project from making its housing conditional on the participant's acceptance of services.
- Supportive Services may not be received for longer than 6 months after rental assistance has ended.
- Depending on the program model, rental assistance will be either a fixed rate (e.g. \$400 per month) or based on household income (e.g. 30% of the household's monthly adjusted income).

LEE COUNTY CONTINUUM OF CARE
WRITTEN STANDARDS

Lee County does not currently feature any Continuum of Care funded transitional housing programs. The following standards outline the basic requirements for homelessness prevention programs funded with funds other than the Continuum of Care, such as ESG, TANF, and Challenge Grant, and for future reference should a transitional housing program be funded in Lee County.

TRANSITIONAL HOUSING

Transitional housing (TH) facilitates the movement of homeless individuals and families to Permanent housing (PH) within 24 months of entering TH. Grant funds may be used for acquisition, rehabilitation, new construction, leasing, rental assistance, operating costs, and supportive services.

ELIGIBILITY

For transitional housing programs, households must meet the HUD's definition of homelessness under Category I or IV, any subsequent CoC Program Notice of Funding Availability (NOFA) eligibility requirements, and any additional funder eligibility requirements. Once meeting the transitional housing eligibility requirements, households are then prioritized by Lee County's target populations. Programs may not establish additional eligibility requirements beyond those required by funders.

Category 1: Literally Homeless

Households qualify as Category 1 if they are:

- Sleeping in a place not designed for or used as a regular sleeping accommodation, including the street, a car, park, abandoned building, bus or train station, airport, camping ground etc.;
- Living in a shelter designed to provide temporary living arrangements (including emergency shelter, congregate shelters, transitional housing, hotels and motels paid for by charitable organizations or by government programs); **or**
- Exiting an institution where they resided for ≤ 90 days, **and** were residing in an emergency shelter or place not meant for human habitation immediately prior to entering the institution.

Category 4: Fleeing/Attempting to Flee Domestic Violence

Households qualify as Category 4 if they:

- are fleeing, or attempting to flee domestic violence;
- have no subsequent residence; **and**
- have no resources or support networks to obtain other permanent housing.

LEE COUNTY CONTINUUM OF CARE
WRITTEN STANDARDS

PRIORITIZATION

The process for prioritizing households for transitional housing first includes eligible households based on HUD's homeless definition, and then secondly based on the below prioritization. Transitional Housing facilitates the movement of homeless households to permanent housing within 24 months of entering transitional housing.

Lee County CoC permits each transitional housing program to establish its own eligibility criteria. If multiple household meet the transitional housing programs individualized eligibility criteria, then prioritization will take place in the following order:

1. Households with the highest service needs will be prioritized first as per the VI-SPDAT score
2. Length of time homeless
3. Within one of the target populations for transitional housing:
 - a. Family with head of household between ages 18-24 years of age
 - b. Households with behavioral health needs
 - c. Household fleeing domestic violence

MINIMUM STANDARDS

All referrals to transitional housing must be made through the coordinated entry system. The following minimum standards will be applied to all transitional housing programs:

- Maximum length of stay cannot exceed 24 months.
- Assistance in transitioning to permanent housing must be made available/provided.
- Supportive services must be provided throughout the duration of stay in transitional housing.
- Program participants in transitional housing must enter into a lease, sublease or occupancy agreement for a term of at least one month. The lease, sublease or occupancy agreement must be automatically renewable upon expiration, except on prior notice by either party, up to a maximum of 24 months.

LEE COUNTY CONTINUUM OF CARE
WRITTEN STANDARDS

Lee County is not currently designated as a high-performing community and therefore does not feature a homelessness prevention program. The following standards outline the basic requirements for homelessness prevention programs funded with funds other than the Continuum of Care, such as ESG, TANF, and Challenge Grant, and for future reference should Lee County be designated as a high-performing community.

HOMELESSNESS PREVENTION

Funds may be used by recipients in Continuums of Care- designated high-performing communities for housing relocation and stabilization services, and short- and/or medium-term rental assistance, as described in 24 CFR 576.105 and 24 CFR 576.106, that are necessary to prevent an individual or family from becoming homeless.

Individuals and Families defined as Homeless under the following categories are eligible for assistance in homelessness prevention projects:

- **Category 2 –Imminent Risk of Homeless**

(1) Individual or family who will imminently lose their primary nighttime residence, provided that: (i) Residence will be lost within 14 days of the date of application for homeless assistance; (ii) No subsequent residence has been identified; and (iii) The individual or family lacks the resources or support networks needed to obtain other permanent housing.

- **Category 3 – Homeless Under Other Federal Statutes**

(2) Unaccompanied youth under 25 years of age, or families with Category 3 children and youth, who do not otherwise qualify as homeless under this definition, but who: (i) Are defined as homeless under the other listed federal statutes; (ii) Have not had a lease, ownership interest, or occupancy agreement in permanent housing during the 60 days prior to the homeless assistance application; (iii) Have experienced persistent instability as measured by two moves or more during in the preceding 60 days; and (iv) Can be expected to continue in such status for an extended period of time due to special needs or barriers.

- **Category 4: Fleeing/Attempting to Flee Domestic Violence**

(3) Households who: are fleeing, or attempting to flee domestic violence; have no subsequent residence; **and** have no resources or support networks to obtain other permanent housing.

Individuals and Families who are defined as At Risk of Homelessness are eligible for assistance in homelessness prevention projects.

Homelessness prevention projects have the following additional limitations on eligibility with homeless and at risk of homeless:

- Must only serve individuals and families that have an annual income below 30% of AMI



Grants

Administration Handbook

Human and Veteran Services

Last Edited April 19, 2017

**Human and Veteran Services
Grants Administration Handbook**

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**Human and Veteran Services
Grants Administration Handbook**

This document is the Grants Administration Handbook prepared by the Lee County Department of Human and Veteran Services (DHVS). DHVS is the Lee County Continuum of Care (FL-603) Collaborative Applicant and the U.S. Department of Housing and Urban Development (HUD) Urban County entitlement grantee for HOME, Community Development Block Grant (CDBG), and Emergency Solutions Grant (ESG) funds. This handbook addresses the Board of County Commissioners (BOCC) policy, federal and state laws and regulations, and other relevant information pertaining to grants administration processes for DHVS staff engaged in grants administration.

DISCLAIMER

This handbook is not intended to be an exhaustive listing of all rules, regulations, or laws relating to grants administration, but is a guide of standardized procedures to direct County personnel in the pursuit, application, and management of grant proposals and awards.

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CHAPTER 1: PURPOSE, SCOPE, AND AUTHORITY

The purpose of this handbook is to establish uniform guidelines instructing Lee County Department of Human and Veterans Services (DHVS) personnel in the pursuit of grant funding and the management of grant awards. The handbook describes the grants administration policy and procedures of Lee County DHVS associated with:

- Grant Identification, Application, and Tracking
- Grant Award Notification, Review, and Acceptance
- Grant Oversight and Monitoring
- Grant Accounting and Reporting
- Grant Sub-recipient Monitoring
- Grant Close-Out

Support and Control

It is the responsibility of the DHVS to provide procedures that detail the grant proposal seeking process and the proper execution, management, and close-out of the County's grant awards; and report on the submission and status of grants in a manner that assures transparency and accountability to the Board of County Commissioners, grantors, and the public. These grant administration procedures apply to all grants pursued by DHVS personnel and awarded to the Lee County DHVS.

This handbook is not a comprehensive listing of all rules, regulations, or laws relating to grants administration, but is a guide of standardized procedures to direct DHVS personnel in the pursuit, application, and management of grant proposals and awards. All respective program areas are responsible for the creation and maintenance of procedures that will be used in conjunction with these standards and the requirements of the awarding agency.

Definition of a Grant

A grant is a multi-defined instrument used by government or private entities to subsidize programs and projects that fit within the funding criteria of each respective grantor. Due to their multi-defined characteristic, "grants" can be awarded in the form of: loan contracts, loan guarantees, cooperative agreements, joint participation agreements, contract for services, private contributions, interlocal agreements, and other types of contractual documents. For the purposes of this handbook, a grant is defined as financial assistance awarded to the County from an external entity to carry out a public purpose of support or stimulation, or when specifically identified by the awarding agency as a "Grant" at the time of award.

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Governing Laws and Regulations

Federal

- Federal Grant and Cooperative Agreement Act of 1977, as incorporated in Title 31 Section 6304 of the U.S. Code.
- 2 CFR Chapter I, and Chapter II, Parts 200, 215, 220, 225, and 230 - Uniform Administrative Requirements, Cost Principles, and Audit Requirements for federal Awards (a.k.a. the “Omni Circular”).
- Single Audit Act of 1984 as amended in 1996.
- OMB Circular A-133 and compliance supplements.
- Other CFR’s governing specific funding

State

- Florida Statutes
- Florida Administrative Code
- Rules of the Auditor General, Chapter 10.550, Local Governmental Entity Audits.
- Florida Single Audit Act, Florida Statutes 215.97.

County

- BOCC Administrative Codes
- DHVS Contract Management Manual & Policies & Procedures

Updates and Revisions

This document is a living document, and contains federal, state, and county policy that by its nature may be revised over time as regulations change, new tools emerge, new processes are designed, and risks change. DHVS will annually review the procedures described herein and in continued collaboration with the personnel it serves update this document as necessary or as circumstances dictate.

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CHAPTER 2: LEE COUNTY DHVS GRANTS ADMINISTRATION POLICY

The intention of this handbook is to optimize how DHVS pursues and administers externally funded grants. Its adoption helps ensure that DHVS follows all applicable budgetary and regulatory grant regulations of federal, state, and non-profit grantors. Adherence to this policy and the procedures found herein will promote efficiency, better transparency, greater accountability, a strategic approach to funding opportunities, and generally place the County in a more competitive position for securing grant funds.

It is the policy of DHVS to seek grant funding for activities and assets that are determined to further the core DHVS functions, or that provide for activities and assets that are in the best interest of the County and its residents.

Grants Identification, Application, and Tracking: Grants pursued by DHVS must be consistent with the DHVS's and the County's mission, strategic priorities, or adopted business plans, and no grant shall be submitted without signature approval of the County's authorized organizational representative or designee, as per County Administrative Code AC-3-17. All grants will be recorded and tracked in a manner that assures transparency and accountability to the Board, grantors, and the public, as per County Administrative Code AC-3-17.

Funding Analysis: Grants that align with the strategic priorities of the County and DHVS shall be analyzed to examine the total effects and costs to the County due to matching requirements or new operating costs; allowance of indirect costs; whether General Fund revenues are necessary to cover the gap between cash expended and revenues received; and whether County General Fund revenues are necessary to support the project after the expiration of the grant.

Analysis of Grant Renewals and Continuations: At the end of the initial grant period, all grants shall be evaluated to determine the extent to which the grant project has produced desired benefits. Such an analysis shall include a review of actual costs to determine whether using General Fund revenues associated with the grant could be used for other purposes that are better aligned with the DHVS or the County's mission, priorities, and business plans. Grants awarded on a multi-year basis shall be evaluated through a cost effectiveness analysis that relates the project's cost to its key outcomes or benefits to determine the extent to which they have produced positive, meaningful outcomes that provide cost effective services or improvements.

Responsibility

It is the responsibility of DHVS to implement this policy and to provide procedures that detail the grant proposal seeking process and the proper execution, management, and close-out of grant awards; and report on the submission and status of grants in a manner that assures transparency and accountability to the Board, grantors, and the public.

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CHAPTER 3: ROLES AND RESPONSIBILITIES

All DHVS personnel engaged in preparing grant proposals and administering grant awards or responsible for grant funded assets serve an important role in the success of project outcomes and objectives and ensuring that all grant terms and conditions and budgetary and regulatory requirements are met.

Below are the “key players” in the management and administration of grant funded projects received by the County and a representational list of the responsibilities.

The Board of County Commissioners (BoCC)

Some grant applications and other grant documents may require authorization by the BOCC for submission. The Chair of the BOCC will sign as the Authorized Representative (AR) on behalf of the BOCC.

Lee County Clerk of Court - Finance

The Finance Department provides accounts payable, payroll, revenue/investments and financial reporting services for the Board of County Commissioners.

The Department of Human and Veteran Services (DHVS)

The DHVS shall implement the grants administration policy and provide process and procedures for the preparation of grant proposals and the management of grant awards in accordance with Lee County BoCC Administrative Codes and DHVS policies. DHVS will report on the submission and status of grants in a manner that assures transparency and accountability to the BOCC, grantors, and the public.

Department personnel include the director, program managers, grants coordinator, contract specialists, and fiscal officers whom are responsible for providing the essential support and control to DHVS and agencies to see that grantor and County regulatory and budgetary policy and procedures are followed and grants awarded to the County end successfully with outcomes that are meaningful to our constituents.

- **Grants Coordinator (GC)**

- The GC is responsible for establishing and maintaining policy and procedures to identify and assess grant programs, analyze funding opportunities, and develop grant seeking strategies relevant to the mission and priorities of Lee County and DHVS. The Grants Coordinator organizes the planning and submission of grant proposals that are on regular cyclical schedules.

- **Contract Manager (CM) & Contract Specialist (CS)**

- Although some tasks may be delegated, the CM is the chief accountable person for the overall administration of the grant award and meeting the terms and conditions of the award, and for representing the project to the grantor.

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The CS is responsible for developing and implementing controls and systems that assure compliance with applicable statutes, regulations, policies, procedures and contracts on awarded grants, and to provide strategic information and underlying detail to agencies in order to monitor grant applications, draw-downs, reporting, and performance activities for all grant programs managed.

- **Fiscal Manager (FM), Fiscal Officers (FO), & Account Clerks (AC)**

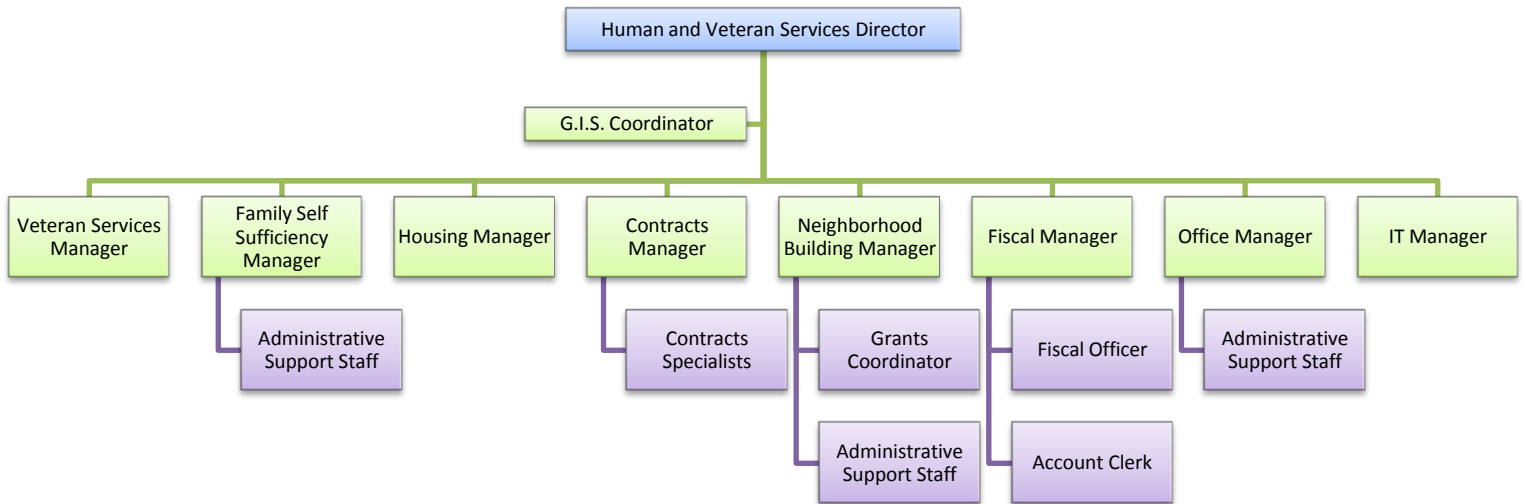
The FM hold fiscal responsibilities for DHVS. The FM, FO, and AC ensure adequate resources are provided to staff for the appropriate conduct of project management duties and grant award management.

The FM, FO, & AC are responsible for managing the financial requirements and maintaining the award record in the County’s financial system. Although some tasks may be delegated, the FM is the chief accountable person for the overall fiscal conduct of the grant award and meeting the budgetary terms and conditions of the award, and for representing the fiscal accounting of the project to the grantor.

- **Support Staff**

Support staff members are a critical element in the successful management of grant awards, and will typically provide certain delegated duties to assist project execution.

DHVS Key Grant Staff Organizational Chart



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CHAPTER 4: GRANT IDENTIFICATION, APPLICATION, AND TRACKING

Grant Identification

The Grants Coordinator, in coordination with DHVS Program Managers and Department Director, evaluates available funding opportunities to determine the reasonableness of application, program design, and grant administration requirements. If the funding opportunity is determined to be within the mission of DHVS and the County, the application is reasonable, and the program design and grant administration requirements are allowable, the Grants Coordinator will pursue the application.

Each grant proposal will be reviewed and analyzed by the following factors:

Financial

1. Total anticipated project cost
2. Match requirements and sources
3. Project income considerations
4. Staffing requirements
5. Cash flow needs
6. A continuation plan for sustaining grant funded programs if funding is reduced or terminated prior to applying for grants

Programmatic

1. Alignment with County strategic priorities and department business plans
2. Provision or expansion of services to address critical needs and core services
3. Capacity to administer the financial and administrative aspects of the grant

Funding opportunities are identified through Agency Websites and Listservs. Some specific sources of funding opportunities include:

- Grants.gov: <https://www.grants.gov/web/grants/search-grants.html>
Grants.gov is the clearinghouse for all federal grant opportunities, and allows organizations to electronically find and apply for more than \$400 billion in federal grants and ultimately manage grant funds online through a common web site.
- My Florida Market Place – Vendor Bid System:
http://www.myflorida.com/apps/vbs/vbs_main_menu
My Florida Market Place – Vendor Bid System is the clearinghouse for all state of Florida grant opportunities, and allows organizations to electronically find and apply for State grants.
- U.S. Department of Housing and Urban Development (HUD) Exchange ListServ:
<https://www.hudexchange.info/maillinglist/>
The HUD exchange listserv provides direct emails regarding funding opportunities available.

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Application Preparation

Preparing the application is primarily the responsibility of the Grants Coordinator and/or Contracts Program Manager, with the assistance of the agency, Contract Specialist, Contract Manager, or other program managers, as necessary.

Writing the Proposal

The grant guidelines will be followed thoroughly. Structure, attention to specifications, concise, enthusiastic and persuasive writing and a reasonable budget with justification narrative are critical elements that will be utilized during the writing stage.

Grant guidelines typically identify:

- Submission deadlines
- Grantee eligibility
- Funding goals, priorities, and ceilings
- Proposal format: forms to use, page limitations, page margins, line spacing, etc.
- Budgets and budget justification narrative
- Proposal evaluation process, criteria, timetables
- Point(s) of contact
- Allowable supplemental materials, such as Letters of Support
- Any and all other submission requirements

A draft version of the grant application will be reviewed by the applicable program manager, CoC Board, Lee County BoCC, the public, and or other applicable bodies as necessary, and if practicable.

Submitting the Grant

The following process standardizes DHVS operations for internal routing of the grant application and outlines the deadlines for review and approval to submit the application:

1. Per BOCC Administrative Code AC-3-17 (**Appendix A**), no grant shall be submitted without signature approval of the County's authorized representative or designee. The submission of grant proposals for BoCC review shall be coordinated via bluesheet according to the BoCC Regular Meetings Dates, and in accordance with applicable SIRE deadlines.

NOTE: SIRE Deadlines are typically 2 – 3 weeks prior to regular Board meeting dates. The Grants Coordinator must establish timelines that allow for review of the proposal by all necessary parties prior to BoCC review and signature.

2. Grant proposals must never be submitted without having been internally approved and signed by the authorized representative, and shall be submitted prior to the proposal deadline.
3. A copy of the complete proposal package shall be kept on file at DHVS and posted on the appropriate DHVS webpage, if necessary.

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Award Notification and Grant Debriefings

Granting agencies routinely provide review comments or telephone debriefings for proposals. The Grants Coordinator will attend any grant debriefing and report information to applicable parties.

Agencies who have submitted projects for inclusion in a grant proposal will be notified of the award information by Grants Coordinator via email. Award information will be posted on the applicable DHVS webpage, and if necessary notified in a press release.

Upon receipt of a grant or contract award, the Contract Manager will coordinate with the Contract Specialist, and other applicable parties, to execute the grant agreement and any necessary contracts. All contracts will be executed and managed in compliance with the DHVS Contract Management Manual. **(Appendix B)**

BoCC Acceptance

The Contract Manager will ensure that BoCC approval to accept the award is completed by the date required by the grantor for full execution. Upon BoCC approval the Contract Specialist shall prepare and maintain a file for each award that will be available for inspection by any state and federal auditors, the County's independent auditor, and the County Auditor.

Fiscal Acceptance

The Contract Manager and/or Contract Specialist will coordinate with DHVS Fiscal Officers to establish the appropriate fiscal tracking for the grant award.

NOTE: No grant funds shall be disbursed until the grant is accepted and appropriated by the BoCC and a fund and project numbers have been created.

CHAPTER 5: GRANT SUBCONTRACTING AND SUBRECIPIENT MONITORING PROCEDURES

Grant funds must be properly received and managed by DHVS. All contracts and grant funds will be executed and managed in compliance with the DHVS Contract Management Manual. **(Appendix B)**

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CHAPTER 6: FINANCIAL MANAGEMENT

Receipt and Use of Grant Funds

1. No grant funds shall be disbursed until a BOCC agenda item and budget resolution request have been approved by the BOCC, an award and project has been established in Enterprise 1, and required documentation is complete.
2. Grant funds may only be used for grant related expenses and expended within the period of performance identified in the grant agreement.
3. Modifications or reallocations to the awarded budget that alters the grant amount or moves funds from one budget line item to another must adhere to grantor and County policy and procedures.
4. Grant funds awarded to DHVS shall not be used to supplant an existing expense so that current funds can be diverted to another use, unless such use of grant funds is explicitly identified as allowable in writing by the grantor in the grant award.
5. All income resulting from a grant funded project or program shall adhere to DHVS and grantor revenue and grants policies, and managed and maintained as established in the grant agreement.
6. All procurement activity associated with grant funded projects or programs shall follow the grantor and County policy and procedures for procurement of goods (AC-4-1).
7. All property and equipment acquired through grant funds shall follow the grantor and County policy and procedures for property or inventory control (AC-3-14).
8. All grant and related matching revenues and expenditures shall be recorded by Fiscal staff.
9. All Fiscal personnel responsible for generating and approving vouchers and draw downs shall follow appropriate protocols for IDIS, DRGR, and eLOCCS.
 - a. Draws will be made at least one time per every 30 days.
 - b. Draws will be made within 45 days from the date of documentation and invoice approval.

Supporting Documentation

Costs claimed by DHVS under its grants must be allowable, allocable, and reasonable, and adequate documentation to support charges to the grant must be maintained. Expenditures under most cost reimbursement grants are governed by the cost principles established by 2 CFR Part 200 and federal, state, and other grantors, and must conform to respective policies, grant special provisions and DHVS policies (**Appendix B**).

1. Typical grant transactions may include: personnel costs, purchase of equipment and supplies, costs for contracted services, grant income or revenue, etc. Grantees must submit documentation of eligible expenses and proof of payment for expenses incurred during the reporting period.
2. Documentation of eligible expenses may include copies of invoices, receipts, payroll or labor reports, or other proof that complies with federal and state audit standards. Proof of payment of expenditures may include a copy of a credit card receipt, receipt showing cash payment, cancelled checks, bank statements, or other proof that complies with federal and state audit standards. A supplemental accounting record may accompany the receipts and cancelled checks.

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- 3. Invoices are expected to be submitted no more than weekly and no less than semi-annually unless otherwise noted by the grantor.**

Expenditures

It is critical to the overall success of a project that grant funds are expended accurately and timely.

Drawdowns

A drawdown - also called a voucher - is a record of payments made for specific activities. Two fund types that can be included in a voucher: program funds (grants) and program income.

Before a grantee can drawdown funds from a grant:

1. The activity must have enough funds budgeted and obligated at the activity level.
Funding sources can be program funds (grant funds) or program income.
2. At least one user creates drawdowns and another user approves drawdowns.

Internal Controls/Separation of Duties

To ensure effective control and accountability for all funds, property, and assets, DHVS has separated the duties of each fiscal staff member so that no one individual has authority over an entire financial transaction. Separate fiscal staff members are responsible for (a) authorization to execute a transaction, (b) recording of the transaction, and (c) custody of the assets involved in the transaction. In addition, physical access to records, blank forms, cash, and other assets are limited to authorized fiscal staff only. DHVS has strict internal controls for HUD and other grant funded programs, as outlined on page 15.

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Department of Human and Veteran Services Internal Controls Chart

Task	Grants Coordinator	Account Clerk	Fiscal Officer	Fiscal Manager	DVHS Director	Lee County Clerk Finance	Board of County Commissioners	Program Managers & Staff
Develop Action Plan - Listing projects and budget amounts	X			X				X
Adopt Action Plan					X		X	
Fund Projects in IDIS (Integrated Disbursement & Information System)	X							
Review Supporting Documentation and Authorize Payables		X						X
Drawdown Amount Prepared - Based on Authorized Payables			X					
Create Drawdown in IDIS			X					
Approve Drawdown in IDIS				X				
Check account for receipt of drawdown prior to disbursing checks						X		
Prepare Cash Transaction Report to Match Finance Accounts				X				
Approve Cash Transaction Report					X			
Reconcile Accounts - Monthly		X	X					
Authorize users in external financial systems (i.e. IDIS, DRGR, eLOCCS)					X			

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Timely Payment

To minimize the time elapsing between the transfer of funds to DHVS from the U.S. Treasury and the issuance of a payment to a service provider, in accordance with the Florida Prompt Payment Act, DHVS has implemented an internal draw schedule, which provides for a maximum of three business days for payment processing.

1. Draw request packages are created and provided to the County Finance department weekly.
2. Draws are made from the applicable U.S. Treasury system one day after the draw package was delivered to finance.
3. The amount requested is deposited into the appropriate County account within 3 business days.
4. Payments are issued the day after the draw has been deposited.

Reconciliation

After initial setup, grant awards will be reconciled at minimum on a monthly basis to ensure:

1. Expenditures are allowable, allocable, necessary, and reasonable based on terms and conditions of the grant award.
2. Expenditures are adequately supported by documentation.
3. Expenditures are charged to the correct project.
4. Award spending is commensurate with the project timeframe.
5. Award spending is commensurate with the project budget.

Reconciliation will be completed by Fiscal staff, and will include a complete review of individual transactions as well as a comparison of expenditures and budgeted amounts using internal tracking spreadsheets and trial balances reports run from the County financial tracking system. Any discrepancies identified during reconciliation are corrected through a cost transfer prior to the end of the fiscal year.

Cost Transfers

1. Incorrectly posted charges to grant funded projects must be fixed within regulated time-constraints, which is why routine account reconciliation is critical. Failure to transfer incorrectly posted charges in a timely manner may result in the expense being disallowed for grant reimbursement.
2. All cost transfers moving an expenditure from one grant funded project to another grant funded project should be made prior to the end of the fiscal year in which the transaction appears.
3. Any cost transfer requiring the removal of expenses from a grant funded project to a non-grant funded project must be made without regard to a time limit.
4. Fiscal staff may periodically review awards to monitor expenditure spending. If there are any doubts or concerns regarding award expenditures or in fulfillment of award requirements, the appropriate Program Manager will be contacted.

Advanced Payments

Lee County Finance allows advanced payments in limited circumstances, which include, but are

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not limited to: registration fees, rent payments, and membership fees. Acceptable instances for advanced payments are processed on a case-by-case basis by DHVS fiscal staff and paid by Lee County Finance.

Cost Sharing/Matching

1. The source of match funds must be identified at award setup and tracked for reporting.
2. Cost matching is provided either through cash or expenditures, in-kind services, or via a third party commitment.
3. Match must fit the same definition of eligible grant expenditures in order to be charged against a grant award.

Indirect Costs

Indirect costs are costs incurred for facilities and administrative operations in accordance with 2 CFR Part 200.414. DHVS has negotiated an indirect cost rate through a private consultant. The negotiated rate that is accepted by HUD annually is reflected on each year's HUD grant agreement. Payments for indirect costs are made on an annual basis.

Direct Costs

Direct costs are those costs that can be identified specifically with a particular final cost objective, such as a Federal award, or other internally or externally funded activity, or that can be directly assigned to such activities relatively easily with a high degree of accuracy. (2 CFR Part 200.413) Direct costs are billed to the grant, as allowable by grant terms, and include the actual cost of a supplied service or material. Direct costs are substantiated by source documentation such as invoices, bills or other appropriate documentation. The allow-ability and reasonableness of each direct cost is assessed by program management staff.

Program Income/Recaptured Funds

Some grant programs contain tasks or objectives that may result in program income (PI). Typically, PI could come from fees collected, services performed, or registration fees for conferences or workshops. Such fees can also be generated through sub-awardees and must be accounted for in the same manner. PI may be used for a project in several ways:

- Additive: PI is added to funds committed to the project by the grantor and used to fulfill eligible project or program objectives.
 - Match: PI is used to finance a share of the project or program.
 - Deductive: PI is deducted from the total project or program budget.
1. It is important that PI be anticipated and disclosed in the grant proposal budget, which should include a plan for utilization that identifies the method of use. The plan should also include use of income collected in excess of expenditures.
 - a. If PI is not disclosed at the proposal stage, the grantor must be promptly notified that the project will generate PI to determine how PI is to be used.
 2. All PI must be accounted for during the performance period of the award and be reported per the method of utilization approved by the grantor. Failure to disclose program income may require that all PI be treated as Deductive.

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Support of Salaries and Wages

1. Compensation for personnel services on federal grants must be based on payrolls documented through standard DHVS policy and procedures. The consequences of noncompliance with employee time and effort certification may be the disallowance of such charges to a federal grant program.
2. Salaries and wages of employees used in meeting cost matching requirements of federal awards must be supported in the same manner as those claimed as allowable costs under federal awards. The consequences of noncompliance with employee time and effort certification may be the disallowance of such charges to a federal grant program.
3. Where an employee works on a single federal award, charges for their salaries and wages must be supported by periodic certification that the employee worked solely on that program for the period covered by the certification. Such certification must be prepared at least semi-annually and must be signed by the employee and supervisor, or designee, *who has first-hand knowledge of the work performed by the employee*.
4. Where an employee works on multiple awards (including federal and non-federal), a distribution of their salaries and wages must be supported by a timecard that:
 - a. Reflects an after-the fact distribution of the actual activity of the employee.
 - b. Accounts for total compensated activities.
 - c. Must be prepared bi-weekly.
 - d. Must be signed by the employee and supervisor, or designee, *who has first-hand knowledge of the work performed by the employee*.

Equipment and Real Property Management

1. Equipment purchased with grant funds shall be used exclusively for the project or program for which it was acquired, unless otherwise allowed by the grant.
2. Grant purchased equipment must be properly maintained and safeguarded, and equipment records must be maintained per County inventory policy and procedures.
3. After the grant award is closed and equipment is no longer needed for its originally authorized purpose, the project manager shall request disposition instructions from the grantor and follow County policy and procedures for property and inventory control (AC-3-14).

Grant Reporting

Every award has reporting requirements specified in the grant agreement. It is critical that all reports are complete, accurate, and submitted per the specified dates outlined in the agreement. Accurate and timely reporting is critical to maintaining a good relationship with the grantor. Requirements and procedures are established to ensure that grant funds are expended and accounted for in a method that provides accuracy, uniformity, and consistency. Late or inaccurate reports may negatively impact current or future funding and result in Single Audit findings.

Types of Reports

- *Performance*: DHVS is required to regularly submit and retain performance reports that reflect grant funded operational progress as required by the grant agreement.
- *Financial*: DHVS is required to regularly submit and retain financial reports that reflect a grants fiscal health as required by the grant agreement.

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- *Close-Out:* Per grantor award terms and conditions, including time frames for action, the recipient department is required to submit all financial, performance, and other reports required in the grant conditions.
 - a. DHVS staff are responsible for coordinating the timely and accurate preparation and submission of all reports per the grant agreement.
 - b. DVHS management may periodically review any programmatic reports for content and quality and address any issues.
- All reports are reviewed by the DHVS Director or designee, or the Lee County BoCC, in accordance with internal policies and procedures, which are grant/report specific.

File Management and Retention

Grant files must be properly organized and maintained by DHVS. All contracts and grant files will be created, managed, and retained in compliance with the DHVS Contract Management Manual. **(Appendix B)**

Grant Closeout

The grant closeout is a critical piece in the life cycle of a grant, and is the process by which DHVS performs all necessary administrative and financial actions to satisfactorily complete all requirements set forth in the grant agreement, and generally addresses the physical completion of work, and the administrative and financial requirements for closeout. DHVS staff and management shall work with the grantor to close out the grant in accordance with grantor and DHVS guidelines (AC-3-17).

Grant Modifications, Extensions, or Cancellations

During the course of a grant cycle, changes may be necessary to either the budget or the project scope-of-work. Most of these changes, typically called grant amendments, are allowable, but it is important to follow the procedures written in the grant agreement or in the guides provided by the grantor. These changes must be approved by the BoCC. All contract amendments will be completed in compliance with the DHVS Contract Management Manual. **(Appendix B)**

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CHAPTER 7: GRANT SUBCONTRACTING AND SUBRECIPIENT MONITORING PROCEDURES

DHVS regularly utilizes other entities to perform certain functions and projects funded through grants received by DHVS. These activities will be obligated in the form of a contract. All DHVS contracts will be awarded and monitored in compliance with the Contract Management Manual & Policies & Procedures (**Appendix B**).

It is important that subrecipients and vendors be defined accurately, as there are specific requirements DHVS must comply with based on the designation. Accurate classification of subrecipients and vendors is critical to a program's success and integrity.

Vendor

A vendor is defined as “A dealer, distributor, merchant or other seller providing goods or services that is required for the conduct of the grant funded program. These goods or services may be for an organization’s own use or for the use of beneficiaries of the project.”

A vendor agreement is issued for obtaining routine commercial services, supplies, and equipment that require no special handling or prior approvals, and are issued as standard purchase orders.

Characteristics of a vendor:

- Provides the goods and services within normal business operations.
- Provides similar goods or services to many different purchasers.
- Operates in a competitive environment.
- Provides goods or services that are ancillary to the operation of the program.
- Is not subject to the compliance requirements of the program.

Subrecipient

A subrecipient is a non-federal entity that expends federal funds received from a pass-through entity to carry out a federal program, but does not include an individual that is a beneficiary of such a program. A subrecipient is an external entity with special expertise or resources that the DHVS does not possess, but are necessary to fulfill the overall objectives of the project.

A contract is issued for financial or other support from a qualified organization known as a subrecipient for the performance of a substantive portion of the programmatic effort under the prime award. A contract usually requires prior approval of the grantor and is subject to subrecipient monitoring.

Characteristics of a subrecipient:

- Receiving entity determines who is eligible to receive financial assistance.
- Has its performance measured against whether the objectives of the program are met.
- Has responsibility for programmatic decision making.
- Has responsibility for adherence to applicable programs compliance requirements.
- Uses the funds to carry out a program of the organization as compared to providing goods or services for a program of the pass-through entity.

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Subrecipient Monitoring

All grant requirements placed upon DHVS will flow-down to any subrecipient, and it is the prime grantee's responsibility to ensure contract compliance with the prime grant provisions. All subawards issued under federal grants must contain language requiring subrecipients to fulfill the prime grant requirements. All DHVS contracts will be awarded and monitored in compliance with the Contact Management Manual & Policies & Procedures (**Appendix B**).

Subrecipient Closeout

An integral part of subcontract monitoring is close-out of the subcontract at the end of the project period. In general, a subcontract is closed when all deliverables have been met and the final payment has been made. All DHVS contracts will be awarded and monitored in compliance with the Contact Management Manual & Policies & Procedures (**Appendix B**).

Procurement/Suspension/Debarment

No grant assistance will be awarded to applicants that are debarred or suspended, or otherwise excluded from or ineligible for participation in Federal assistance programs under Executive Order 12549. It is the responsibility of the DHVS to ensure that any subcontractor or subrecipient that will be funded through a grant award is not prohibited from receiving federal or state funds due to suspension or debarment. A person or entity debarred or suspended is excluded from federal financial and non-financial assistance and benefits under federal programs and activities.

Debarment or suspension of a participant in a program by one agency has government-wide, reciprocal effect. Contact the Lee County Procurement Department for assistance in determining suspended or debarred contractors.

DHVS will verify the federal System for Award Management (SAM) site prior to entering into any contractual relationship or use of services. The System for Award Management (SAM) is the now the official federal system that consolidated the capabilities of CCR/FedReg, ORCA, and EPLS. It is accessed at: <https://www.sam.gov/portal/SAM/##11>

All procurement will be conducted in accordance with the Lee County Purchasing and Payment Procedures Manual as specified in AC-4-1 (**Appendix A**).

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CHAPTER 8: AUDITS

Federal Single Audit Act (2 CFR Part 200)

Federal audit and annual reporting requirements are contained in 2 CFR Part 225 (Cost Principles) and 2 CFR Part 200 (Compliance and Audit Requirements). Non-federal entities expending \$750,000 or more in a year in federal awards are required to have a single or program-specific audit conducted for that year, performed by an outside auditor. It is important that all grant activity and any changes to the grant are well documented to facilitate any audit. Audit findings made during the 2 CFR Part 200 audit are provided to the grantor, which could prompt an audit by the grantor.

The following activities are the types of compliance requirements considered in every audit conducted under 2 CFR Part 200, Subpart F—Audit Requirements, and are found highlighted throughout this manual:

- 1 - Activities Allowed or Unallowable
- 2 - Allowable Costs/Cost Principles
- 3 - Cash Management
- 4 - Davis-Bacon Act 5 - Eligibility
- 6 - Equipment and Real Property Management
- 7 - Matching, Level of Effort, Earmarking
- 8 - Period of Availability of Federal Funds
- 9 - Procurement, Suspension and Debarment
- 10 - Program Income
- 11 - Real Property Acquisition and Relocation Assistance
- 12 - Reporting
- 13 - Subrecipient Monitoring
- 14 - Special Tests and Provisions

Florida Single Audit Act

The Florida Single Audit Act establishes uniform audit requirements for state financial assistance, and follows the same cost principles and requirements established in the Federal Single Audit Act.

Granting Agency or Pass-Through Agency Audits

Each grantor and/or pass-through agency may use different terms when conducting reviews of funded programs. However, no matter the term used, the agency is reviewing documentation that substantiates whether the DHVS is in compliance with the terms and agreements associated with the specific grant or subaward. These reviews are usually more programmatic in nature although the associated fiscal monitoring can be more detailed. The fiscal monitoring is usually more specific than the single audit in that the reviewing agency requests a number of individual client files and all related programmatic and fiscal documentation to determine allowable services as well as costs.

County Audit

The County Audit Department is an entity under the Lee County Clerk of the Circuit Court. The Audit Department is responsible for conducting independent, objective reviews and evaluations of all relevant activities under the Lee County Board of County Commissioners (BOCC).

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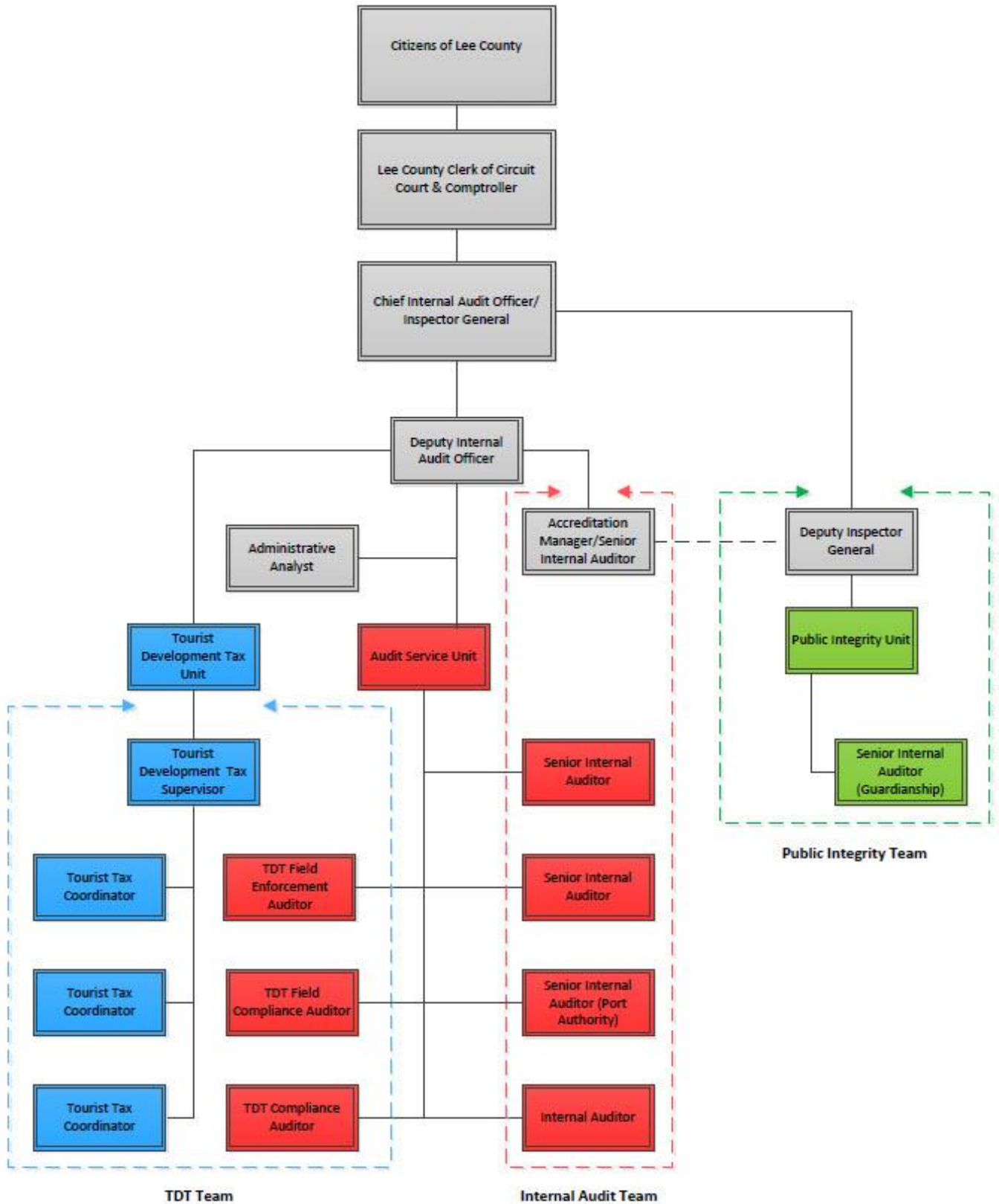
The Audit Department specifically examine the controls, procedures, and finances of an organization, which then results in a written report to the BOCC and management. All reports are also filed with the applicable federal, state, or local funding agencies. These audits assist management in achieving efficient and effective administration of their areas of responsibility, improving county operations and fulfilling its stewardship of taxpayer dollars.

County Internal Audit Department

By authority of the Constitution of the State of Florida, Article VIII, Section 1. (d), "...the Clerk of the Circuit Court (Clerk) is the ex-officio clerk of the Board of County Commissioners, auditor, recorder, and custodian of all county funds." The Constitution of the State of Florida, Article V, Section 16, also specifies that the Clerk of the Circuit Court shall have the duties quoted above. Pursuant to the legal authority and responsibility cited above, the Clerk has established the Internal Audit/Inspector General Department to fulfill the responsibilities of the office as they relate to investigations and the auditing functions other than the pre-audit of disbursements from BoCC funds. The Finance Department of the Clerk's office performs the pre-audit function. The IA/IG Department responsibilities include a post-audit review of that function as well. The Clerk has delegated responsibility for the management of the internal audit function to the appointed Chief Internal Audit Officer/Inspector General. The Internal Audit/Inspector General Department (Department) reports directly to the Clerk. The Internal Audit/ oversee the Internal Auditor and the functions of the IAD on behalf of the BOCC.

The Department is responsible for performing independent, objective assurance and consulting activities designed to add value and improve operations by bringing a systemic, disciplined approach to evaluating and improving the effectiveness of risk management, controls, and governance processes. These reviews and evaluations may include performance, operational, compliance, management and other audits intended to provide assurances as outlined in the Internal Audit/Inspector General Department Charter.

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Internal Audit/Inspector General Organizational Chart**



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CHAPTER 9: OTHER IMPORTANT FEDERAL GUIDELINES AND NATIONAL POLICY GUIDANCE

DUNS Number

The Federal government requires that all applicants for Federal grants, cooperative agreements, and subawards, with the exception of individuals other than sole proprietors, have a Data Universal Numbering System (DUNS) number to better identify Organizations that are receiving funding under grants and cooperative agreements, and to provide consistent name and address data for electronic grant application systems. The Contracts Program area maintains a list of DUNS numbers for DHVS subrecipients.

Federal Funding Accountability and Transparency Act (FFATA)

As of October 1, 2010, all federal grants of \$25,000 and over are subject to the FFATA subaward reporting requirements. Prime awardees are required to upload the subrecipient information in the FFATA Sub-Award Reporting System (FSRS (<https://www.fsrs.gov/index?&>)). Subrecipients must maintain an active registration in the System for Award Management (S.A.M.) in order to receive federal funding.

DHVS staff shall complete all FFATA Subaward Reporting requirements for all applicable subaward obligations in the amount of \$25,000.00 or more. Per the Act, a prime awardee must provide:

1. The prime awardee DUNS number and the DUNS number of any sub-awardee(s)
2. The names and total compensation of the five most highly compensated officers of a prime or sub-awardee entity, if the entity in the preceding fiscal year:
 - a. (1) Received 80 percent or more of its annual gross revenues in federal awards and \$25,000,000 or more in annual gross revenues from federal awards; and
 - b. (2) the public does not have access to this information about the compensation of the senior executives of the entity through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. §§ 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. See FFATA § 2(b)(1).

DHVS staff ensure reports are completed in the FSRS system as soon as practicable after grants are posted within the system. Program managers verify reporting completion.

CHAPTER 10: FEDERAL REQUIREMENTS FOR CONSTRUCTION PROJECTS

It is the responsibility of DHVS to ensure compliance with the following federal requirements involving construction related projects.

Davis-Bacon Act

The Davis-Bacon Act of 1931 is a federal law that established the requirement for paying prevailing wages on public works projects. All federal government construction contracts, and most contracts for federally assisted construction over \$2,000, must include provisions for paying on-site workers no less than the locally prevailing wages and benefits paid on similar projects.

Uniform Relocation Assistance Act

The Uniform Relocation Assistance Act (a.k.a. Uniform Act) of 1970 is a federal law that establishes minimum standards for federally funded programs and projects that require the acquisition of real property (real estate) or displace persons from their homes, businesses, or farms. The Uniform Act's protections and assistance apply to the acquisition, rehabilitation, or demolition of real property for federally funded projects.

When conducting a program or project under the Uniform Act specific legal responsibilities to affected property owners and displaced persons must be addressed. The following must be considered prior to property acquisition:

For Real Property Acquisition

- Appraise property before negotiations.
- Invite the property owner to accompany the appraiser during the property inspection.
- Provide the owner with a written offer of just compensation and a summary of what is being acquired.
- Payment for property before possession.
- Reimburse expenses resulting from the transfer of title such as recording fees, prepaid real estate taxes, or other expenses.

For Residential Displacements

- Provide relocation advisory services to displaced tenants and owner occupants.
- Provide a minimum 90 days written Notice to Vacate prior to requiring possession.
- Reimburse residents for moving expenses.
- Provide payments for the added cost of renting or purchasing comparable replacement housing.

For Non-residential Displacements (businesses, farms, and nonprofits)

- Provide relocation advisory services.
- Provide a minimum 90 days written Notice to Vacate prior to requiring possession.
- Reimburse for moving and re-establishment expenses.

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Conflict of Interest

As a part of the grant application process, the grant preparer must positively state on any grant form, when asked, that there is an absence of a financial or other interest or affiliation held by them or a member of their immediate family in the funding agency or in companies from which goods and services will be obtained under the supported activity. Should there be a conflict of interest within DHVS, the initiating department shall ensure that the procedures outlined in the DHVS Conflict of Interest Policy (**Appendix C**) are followed.

National Policy Requirements

DHVS staff shall also adhere to National Policy Requirements affecting grants. A sample of these policies are named below. It is also the responsibility of DHVS staff to ensure that subgrantees adhere to these applicable policies.

Civil Rights

Title VI of the Civil Rights Act of 1964, 42 U.S.C. 2000d, et seq. and its implementing regulations provide that no person shall be subjected to discrimination on the basis of race, color, or national origin under any program or activity that receives federal financial assistance. In most cases, when a recipient receives Federal financial assistance for a particular program or activity, all operations of the recipient are covered by Title VI, not just the part of the program that uses the Federal assistance.

Equal Services Provider

Lee County is an equal employment and services provider. All grant decisions are based on merit and program need, and not on race, color, citizenship status, national origin, ancestry, gender, sexual orientation, age, weight, religion, creed, physical or mental disability, marital status, veteran status, political affiliation or any other factor protected by law.

Limited English Proficiency (LEP)

Language for individuals who are LEP can be a barrier to accessing important benefits or services, understanding and exercising important rights, complying with applicable responsibilities, or understanding other information provided by federally funded programs and activities. Title VI and Title VI regulations require that recipients take reasonable steps to ensure meaningful access to the information, programs, and services they provide. DHVS will follow accommodation procedures outlined in the DHVS Language Access Plan.

American with Disabilities Act (ADA)

In the broadest sense, it requires that state and local governments be accessible to people with disabilities. For additional information regarding statutes and regulations visit <http://www.ada.gov/> or contact the respective Assistant County Attorney.

Other National Policies - Miscellaneous

Additional national policies maybe applicable depending on grant sources. These policies include, but are not limited to: Age Discrimination Act, Section 504 of the Rehabilitation Act, Fair Labor Standards Act, Davis- Bacon Act, Contract Work Hours and Safety Standards Act, Anti-Kickback (Copeland) Act, Lobbying Restrictions, Debarment and Suspension,

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Freedom of Information Act, Drug-Free Workplace Act.

The following generally relate to construction grants:

National Environmental Policy Act, Federal Water Pollution Control Act, Clean Air Act, National Historic Preservation Act, and Contract Work Hours and Safety Standards Act.

GLOSSARY

Accounts Receivable: costs that are billed to the grantor agency for which the County has not yet received payment.

Allowable / Eligible Cost: expenses that can be charged directly to the grantor agreement and is not specifically excluded by government regulations or by the grant agreement.

Application/Offer: formal request of agency approval for funding of cost objectives based upon the County's project accomplishments.

Authorized Representative (AR): The administrative official who on behalf of the County is empowered to make certifications and assurances and can commit the organization to the conduct of a project for which funding is being sought, as well as adhere to various grantor policies and grant requirements. For the County, this person is the Chair of the BoCC or his or her designee documented in writing. The AR has the authority to sign grant applications and the required certifications and/or assurances that are necessary to fulfill the requirements of the application process.

Budget: a financial plan that lists the type of expenditures and the dollar amounts required to carry out project objectives.

Budget Period: an interval of time in which the project is divided for budgetary purposes.

Carryover: the remaining budget balance available from a project that may be continued into subsequent budget periods of the next fiscal year or budget period. Carryovers are not always automatic or allowed by all funding agencies.

Catalog of Federal Domestic Assistance (CFDA): a database of all federal programs available to state and local governments.

CFR: Code of federal Regulations

Cost Overruns: allowable costs incurred in excess of funding by the granting agency and required matching by the County.

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Deliverables: Agreed upon tasks that are completed and submitted within a scheduled time frame. A written report is typically required to accompany each deliverable.

Disallowed/Ineligible Costs: costs that are not reimbursable by the granting agency.

Effective Date: the date specified in the grant agreement on or after which, except for fixed price awards, expenditures may be charged to the grant. The Effective Date clause sets the date when the rights and obligations under the agreement become operational. The Effective Date need not be the same as the execution date. The effective date is the date that the agreement becomes effective and can be a specified date other than the date the agreement was signed. In the absence of an effective date, the terms of the agreement become operational upon execution.

Execution Date: the date that the final party signs the document. If no other date is specified, the contract is effective on the execution (signing) date.

Expiration Date: the date specified in the grant agreement after which expenditures may not be charged against the grant except to satisfy obligations to pay allowable project costs committed on or before that date.

Grant Period: the period of time between the effective date and the expiration date of a grant.

Electronic Grants: the administration of a grant using the electronic media which may not result in official hard-copy documents.

Encumbrances/Obligations: the amount of items ordered, services rendered, contracts awarded, or similar transactions that are outstanding or unpaid at the end of the accounting period.

Equipment: items non-expendable in nature- such as furniture, instruments, or repairable machines with a useful life of more than one (1) year, with a single unit cost in excess of \$1,000.

Federal Pass-Through: an award that comes from a state or non-federal source, but the prime source of funding originally came from a federal source.

Fiscal Year: the County's fiscal year is October 1 - September 30, the State's fiscal year is July 1 – June 30, and the Federal fiscal year is October 1 – September 30.

Florida Single Audit Act: to establish uniform state audit requirements for state financial assistance provided by state agencies to non-state entities.

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Fully Executed Agreement: an agreement that is signed by all parties involved.

Grants/Award: a grant agreement shall be used as the legal instrument whenever its principal purpose is the transfer of money, property, services, or anything of value to the state, local government or other recipient in order to accomplish a public purpose of support or stimulation authorized by federal statute.

Matching/Cost Sharing: the sharing of costs of a grant agreement by the County. Matching or cost sharing can be in the form of in-kind, cash, or a combination of both.

OMB: Federal Office of Management and Budget; issues Circulars that are instructions or information issued by OMB to federal agencies, which are then passed down to grant recipients.

2 CFR Part 200 :

- Establishes principles and standards for determining costs for federal awards carried out through grants, cost reimbursement contracts, and other agreements with State and local governments and federally - recognized Indian tribal governments.
- Establishes consistency and uniformity among federal agencies in the management of grants and cooperative agreements with State, local, and federally – recognized Indian tribal governments.
- Establishes audit requirements for federally granted awards and defines federal responsibilities for implementing and monitoring higher education and other non-profit institutions that receive federal awards.

Period of Performance: Period of time in which the project performance and related costs are incurred. The start date is the first day that activity and reimbursement of costs begin. Likewise, the end date is the last day that activity and related costs can be incurred.

Point of Contact: An individual who is designated as the person responsible for coordinating communication among the various parties associated with grants, i.e. granting agencies, auditors, program managers, third parties, sub recipients, and other interested parties.

Procurement Contract: used when the principal purpose of the transaction is the acquisition of property or services for the direct benefit or use of the awarding entity.

Program Income: gross income received by the recipient or a sub recipient directly generated from the use of CDBG funds, except as provided in paragraph (a)(4) of this section.

Project Award: the approval and funding of a project as detailed in the official award document that specifies the amount of funding, project period, and any special requirements or restrictions.

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Sources of Funding:

Federal: grantor agreements funded directly by United States federal government departments, such the U.S. Department of Housing and Urban Development, the U.S. Department of Health and Human Services, or the U.S. Department of Energy.

Federal Pass-Through: grantor agreements where the County is not the prime recipient from the United States federal government, but is acting in the capacity of a sub recipient.

State: grantor agreements funded directly by State of Florida government department, such as the State of Florida Department of Children and Families or the Florida Department of Economic Opportunity.

State Pass-Through: An award that comes from a non-federal, non-state source, but the prime source of funding originally came from a State of Florida source.

Supplies: Supplies are expendable items that are consumed, worn out, or otherwise deteriorated in less than two years and having a purchase price of less than \$ 1,000.

Subcontracts: A subcontract is a contract that assigns some of the obligations of a contract to another party. The terms of the obligations are outlined in the same manner as described under contracts.

Sub recipient: A sub recipient is an organization that receives federal or state financial assistance to carry out a program from a primary recipient or another subrecipient. Such an organization is therefore subject to certain federal and /or audit requirements.

Third-Party Administrator: This is an individual or firm hired by the County to handle the program manager's functions associated with a particular grant. The responsibilities and duties are identical to those of a County employee in the capacity as a project manager.

Total Project Cost: The cost of a grant project is comprised of allowable direct costs of the program, plus its allocable portion of allowable indirect costs, less applicable credits. This includes both the grantor's share and the County's share if applicable.

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Types of Grants:

Block Grants: a broad intergovernmental transfer of funds or other assets by the U.S. Congress to state or local governments for specific activities such as secondary education or health services, but with few restrictions attached. Block grants are distributed according to legal formulas defining broad functional areas such as health, income security, education, or transportation. Block Grants are used for a variety of activities, largely at the recipient's discretion.

Competitive (Discretionary) Grants: an award of financial assistance in the form of money, or property in lieu of money, by the federal Government to an eligible grantee, usually made based on a competitive review process.

Continuation Grant: a continuation grant provides additional funding for budget periods subsequent to the initial budget period also referred to as a Renewal Grant.

Conditional Grant: a conditional grant involves one grant maker seeking the involvement of others by making their grant (only a part of the total costs of a project) conditional upon the remainder of the cost being funded from another source.

Cooperative Agreements and Contracts: a type of grant assistance awarded by a federal agency when it anticipates having substantial involvement with the grantee during the performance of a funded project.

Corporate Grants: a grant made by a corporate foundation.

Cost Reimbursable Grant: A cost reimbursable grant provides for payment to the County based on the County's actual cost experience in performing and completing the grant.

County Grants: a grant made by County Government.

Earmark: refers to a provision in legislation requiring that a portion of a certain source of revenue be designated for specific projects usually at the request of a legislator.

Federal Grants: a grant made by the federal Government.

Formula Grants: a grant that the federal agency is directed by Congress to make to grantees, for which the amount is established by a formula based on certain criteria that are written into the legislation and program regulations; this funding is directly awarded and administered in the federal agency's program offices.

Foundation Grants: a grant made by a philanthropic foundation.

Pass-thru: grant funds received from one grantor, but passed through another grantor or funding source.

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Reimbursement Programs: a type of funding program under which the grantee is reimbursed for qualifying expenditures already incurred, as specified in the terms of the grant agreement.

Renewal Grant: a renewal grant provides additional funding for budget periods subsequent to the initial budget period. (Also referred to as a Continuation Grant)

State Grants: a grant made by State Government.

Unallowable Cost: Unallowable costs are costs that cannot be charged directly or indirectly to a grant.

USEFUL MANAGEMENT LINKS

General Services Administration (GSA) website <https://www.gsa.gov/portal/category/100000> for the purpose of disseminating information on parties that are excluded from receiving federal contracts, certain subcontracts, and certain federal financial and non-financial assistance and benefits, pursuant to the provisions of 31 U.S.C. 6101, note, E.O. 12549, E.O. 12689, 48 CFR 9.404, and each U.S. agency's codification of the Common Rule for Non-procurement suspension and debarment.

Federal Government Contracting Regulations <http://acquisition.gov>
Home to federal acquisition regulations (FARS) and other federal contracting opportunities and regulations.

Florida Department of Financial Services <https://apps.fldfs.com/fsaa/>
FDFS site has information on the Florida Single Audit Act and other important state grant related sites.

Grants.gov <http://www.grants.gov>
Grants.gov is the source to find and apply for federal government grants. Grants.gov is a central storehouse for information on over 1,000 grant programs and access to approximately \$400 billion in annual awards from the 26 federal agencies.
MyFlorida.com <http://www.myflorida.com/>
My Florida is the state of Florida portal for all state related matters. This link conducts a search for Florida state grants of any kind.

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Office of Management and Budget

http://www.whitehouse.gov/omb/grants/grants_circulars.html

The Office of Management and Budget (OMB) leads development of government-wide policy to assure that grants are managed properly and that federal dollars are spent in accordance with applicable laws and regulations. Their site contains links to OMB Circulars, grant forms, important policy documents and other useful grant links. Municipal grants are governed by OMB A-87, A-102, and A-133.

USA.gov <http://www.usa.gov>

USA.gov provides the public with easy, one-stop access to all online U.S. federal Government resources.

US Dept of Labor: Davis-Bacon Act <http://www.dol.gov/compliance/guide/dbra.htm>

Federal Act that regulates the rate of wages for laborers and mechanics employed by contractors and subcontractors for construction, alteration, and/or repair, including painting and decorating, of public buildings or public works within the geographical limits of the States. The Act requires that laborers on federally funded construction projects more than \$2000 shall be paid the minimum wage determined by the Secretary of Labor to be prevailing for laborers employed on projects of a similar nature in the County, town, village, or other civil subdivision of the State in which the work is to be performed.

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APPENDIX A

LEE COUNTY ADMINISTRATIVE CODES

ADMINISTRATIVE CODE
BOARD OF COUNTY COMMISSIONERS

CATEGORY: Financial/Fiscal/Budget

CODE NUMBER: AC-3-17

TITLE: Grant Program Administrative Procedures

ADOPTED: 8/8/90

AMENDED: 4/28/93; 09/12/00; 11/15/02; 01/24/12

ORIGINATING DEPARTMENT: County
Administration/Budget Services

PURPOSE/SCOPE:

The purpose of this Administrative Code is to establish the responsibilities for and basic procedures related to the application for, the administration of, and the coordination of grant funded programs.

POLICY/PROCEDURE:

I. DEPARTMENTAL RESPONSIBILITIES

Each Department/Division (collectively referred to as "Department") will be responsible for the following grant activities:

- A. Manage the grant activities for their respective departments.
 - 1. Maintain current and accurate financial accounts, records, and reports.
 - 2. Ensure compliance with all grant terms and requirements.
 - 3. Provide the proper closeout and retention of required records at the conclusion of each grant.
- B. Designate a Grant Administrator to ensure grant contract compliance, monitor proper use of grants funds and appropriate budget accounts on all grant-related documents and expenditures; i.e., quarterly reports, purchase orders, etc. The Grant Administrator or designee will become a member of the Grants Committee and attend meetings as notified.
- C. Initiate all grant applications, identifying the purpose, scope of work, requirements and sources of matching funds or in-kind services. A bluesheet is required for a grant application if an enabling resolution is required. A bluesheet must also be prepared for applications wherein the grantor agency requires Board approval for grant application.
- D. Prepare a bluesheet to request the Board of County Commissioners' approval for all grant awards.

In those cases wherein the grantor agency requires both a "Certificate of Acceptance" and the agreement executed by an official, it is only necessary to bluesheet the agreement. Any Certificate of Acceptance should be forwarded to the County Manager for signature, accompanied by a memorandum that summarizes the assurances of the Certificate and grant agreement. However, in the event the Certificate of Acceptance is the only binding documentation, a bluesheet and Board approval is required for the grant award.

- E. Prepare a bluesheet to request Board approval to amend existing grants.
 - 1. In the event the grant specifies that the designated Grant Administrator has the authority to amend an existing grant, then Board approval is not necessary as long as no additional County funds are committed.
- F. Prepare a property control form for all capital purchases made with grant funds that equal or exceed the current capitalization threshold provided by Finance.
 - 1. The correct source code should be used to indicate what portion of the purchase was made with state, federal, or County match funding.
 - 2. The grant title and/or agreement number should be indicated in the description field.
 - 3. Most grantor agencies require that a grantee seek permission to dispose of capital purchases made with grant funding. This requirement is for all purchases. It is important to review grant agreements carefully, and discuss this issue with the agency program administrator.

II. BUDGET SERVICES RESPONSIBILITIES

Budget Services will be responsible for the following activities:

- A. Coordinate with departments to ensure adherence to grant related County policies.
- B. Provide budgetary account codes for all grant awards.
- C. Maintain a central grants inventory.

III. RISK MANAGEMENT

Assess during the planning phase, the potential liability to the County pursuant to any grant-funded activity.

IV. FINANCE AND RECORDS DEPARTMENT

The Finance and Records Department will coordinate the preparation of the Single Audit Financial Assistance Report.

V. COUNTY ATTORNEY

Review all grant awards to assess legal liability, legal sufficiency and form.

ADMINISTRATIVE CODE

BOARD OF COUNTY COMMISSIONERS

<u>CATEGORY:</u> Financial/Fiscal/Budget	<u>CODE NUMBER:</u> AC-3-20
<u>TITLE:</u> Change Funds/Petty Cash/ Imprest Accounts	<u>ADOPTED:</u> 4/7/93
	<u>AMENDED:</u> 9/21/94 3/27/96 3/20/01 3/16/04
	<u>ORIGINATING DEPARTMENT:</u> County Administration
Purpose/Scope: The purpose of this code is to describe the procedures for establishing a Change Fund, Petty Cash and Imprest Fund (Funds) as well as the responsibilities of the fund's custodian, restrictions for use, changing custodians, revocation and/or closing of the accounts.	
Policy/Procedure: The definition of Change Funds, and Petty Cash and Imprest Accounts for the purpose of this policy follows: <ul style="list-style-type: none">a. <u>Change Funds</u> are used in conjunction with cash receipting activities represented by payments from the public. Change funds are committed to cashiers or placed in change machines for the purpose of supplying change to customers. Change funds, in this context, are defined as a control medium for the safeguard of cash (checks, bills, or coin) received during the conduct of daily activities of a unit. At the close of each business day the total amount of cash received during the day should be deposited and the original amount of the change fund retained.b. <u>Petty Cash</u> is a relatively small amount of cash on hand available for minor (\$200 & under) disbursements. The fund should be reimbursed at least quarterly.c. <u>Imprest Fund</u> is a fixed fund in the form of a checking account maintained for pre-defined expenditures that must be made in cash at the time of purchase or incurring the liability. The fund is from time to time restored to its original amount by a transfer from general cash of a sum equal to the aggregate of the disbursements. Implicit in the concept is a review by a higher authority of the propriety of the expended amounts before reimbursement.	

Policy/Procedure: (continued)

The integrity of Petty Cash, Imprest Accounts and Change Funds is the responsibility of Department heads and under the control of designated, qualified individuals, known as the fund's custodians. The procedures outlined below were developed to provide a uniform and systematic method for the establishment and maintenance of the Funds

Establishment of Cash Drawer/Change Funds/Petty Cash and Imprest Accounts

Funds may be requested by any area within Board government that has need of such, providing it receives all required authorizations and approvals. The amount of a fund will vary depending on the needs of the user and the physical security within the department. Any future increase in a fund must also have the same authorizations and approvals.

All Petty cash and change funds will be established through the Clerk's Finance Department. Written requests for the establishment of these funds are to be sent to the Department Director for approval, and action using the "Petty Cash/Change Fund Action Request Form" provided by Finance.

Imprest Accounts are considered and approved on a case-by-case basis. The basic policies and procedures identified for petty cash will be included in the development of each imprest account. Written requests for the establishment of imprest accounts are to be sent to the County Manager or designee for approval. The Clerk's Finance Department will open a bank account and coordinate with the appropriate department personnel.

As part of the original Petty Cash Action Request form there will be a "Custodian's Statement of Responsibility." This must be completed and signed by the designated custodian of the change fund, petty cash or Imprest account prior to approval of the fund. Any change in custodianship will require a new form.

The approved Petty Cash/Change Fund Action Request form will be submitted to Finance for processing; Finance will then complete the process and make the disbursement to establish or increase the fund. Request for these accounts should contain: (1) Reason for the fund; (2) Amount requested; and (3) Individuals assigned custodianship for the fund.

Custodian's Responsibilities

- a) The custodian(s) of the fund is fully responsible for its safekeeping and for its proper usage (see section on use criteria and restrictions). The custodian must exercise caution in the administration and protection of the fund in his/her possession.
- b) The fund should be locked at all times (e.g., cash drawer, strong box or a cash register), and the key should be kept in the custodian's possession. Any discrepancies in the fund are the responsibility of the custodian.
- c) Funds lost due to the custodian's improper safeguarding, or due to misuse are the liability of the custodian(s) and must be repaid by the custodian(s). Funds lost due to circumstances beyond the control of the custodian(s) must be repaid from the unit's monies or other available operating monies.
- d) Overages in the fund must be deposited separately from daily revenues. Shortages in the fund must be replaced in an amount equal to the authorized amount of the Fund (see (c) above).
- e) Authorized custodian(s) shall be verified annually with the Finance Department using the "Custodian's Statement of Responsibility".

Use Criteria and Restrictions

Change Funds

The following are the criteria for which Change Funds are to be used:

- a) Change funds are to be used in conjunction with daily cash receipting activities and for making change as the occasions arise.
- b) Change funds should not be co-mingled with other funds, such as petty cash.
- c) No expenditures or advancements will be made from change funds.
- d) Change funds should not be used to offset cash overages or shortages of other receipting activities.
- e) After the day's close of business and after the reconciliation of the day's cash receipts, change funds will be re-established to the original authorized amount in preparation for the beginning of the next day's business.

Change Funds (continued)

- f) Independent random cash counts may be conducted periodically by a department individual other than the individual designated to control respective change fund.
- g) Change funds will be subject to periodic audits by the Clerk of Courts, Internal Audit Department.

Petty Cash

It is recommended that each Department/Division Director, authorizing a petty cash fund, establish internal control procedures for making and approving petty cash expenditures. A Department/Division Director and/or Custodian shall have the authority to disallow any expenditure not made in accordance with its internal policy and/or County policies and procedures.

Petty Cash may be used for, but not limited to the following:

- a. The purchase of goods and/or services (per single vendor transaction) up to \$200 that has not been identified as an item for which petty cash may NOT be used.
- b. Bridge and roadway tolls
- c. Fuel and Lube purchases up to \$40 (to assist employee when NO other County source is available; please note: This limit of \$40 does NOT apply to purchase of fuel for County aircraft).
- d. Food supplies, etc. for County-sponsored functions under Ordinance #90-18 that have received Department Director approval.
- e. Reimbursement of (or) Advance of "Local" and "In State" travel expenses: Travel must still be approved, appropriate forms must be completed and submitted with the petty cash request. Total cost of all transactions connected with the same trip cannot exceed \$200.00 limit and cannot be split between petty cash and direct vouchers.

Petty Cash may NOT be used for:

- a) Any item available on an annual quote.
- b) Internal Service Charges.
- c) Contracted or Professional Services (requiring written contracts or agreements).
- d) Any purchase or service requiring Board approval.

Petty Cash (continued)

- e) Any "Personnel" services type of activity (Object codes 501XXX or 502XXX).
- f) Advertising required through statute, ordinance, etc.
- g) Utility Services
- h) Fuel and Lube purchases in excess of \$40 (except for County aircraft purchases). "Out-of-State" and "International" travel expenses and related seminar registration fees. EXEMPTION: EMS Personnel as per Resolution #79-12.
- i) Reimbursement of Safety Shoe purchases by employees.
- j) Loans

Imprest Accounts

- a) Each Imprest Account will be created by the Clerk's Finance Department per statute guidelines, and all communication with the bank officers shall be directed to the Clerk's Finance Department's Revenue Office.
- b) Each Imprest Account will be reconciled monthly by the Finance Department and all unreconciled items will be resolved with the Imprest Account's custodian.
- c) Check registers will be maintained in a locked facility under the control of the custodian.
- d) Consideration should be given to proper segregation of duties related to the account. Clerk's Internal Audit and Finance Department will assist in each case as needed.
- e) Reimbursement will be handled in the same manner as Petty Cash.
- f) A standardized Petty Cash "Voucher/Reimbursement Request" form will be required by all departments; these forms will be numbered, and letter size. The petty cash custodian will be responsible for the completion, processing, and maintenance of these forms. It is recommended the Department's COPY be kept in a three-ring binder for easy reference. All ORIGINAL receipts/invoices should be kept in the petty cash box until the petty cash reimbursement is requested.

Imprest Accounts (continued)

- g) The account is to be used for the specific purpose identified at time of creation.

Replenishing Petty Cash and Imprest Accounts

To replenish petty cash and imprest accounts, the custodian of the fund must complete the "Petty Cash Voucher/Reimbursement Request" section of the petty cash report form, obtain the custodian and a witnessing signatures, attach vendor's invoice/receipts and submit all ORIGINALS to Finance. Receipts for the same vendor during the same calendar week (Monday-Friday) may be added and submitted as one item on the Petty Cash report form provided the account is the same. A copy of the report form should be kept by the custodian, in addition to any copies of vendor invoices that may be needed by the department.

Changing Custodian of Funds

In the event of a change in custodianship, the former custodian must submit a reimbursement request for any Petty Cash or Imprest Account vouchers not yet reimbursed. A new "Custodian's Statement" of the Fund Action Request form should also be completed and sent to Finance at that time. The reimbursement check will then be made payable to the new custodian of the fund.

Revocation of a Fund

If the Finance Department or Internal Audit Department determines that a Fund is being misused or not properly accounted for, the fund will be closed or custody transferred to another individual. The Department Director may close Funds at any time without reason.

Closing Funds

Departments wishing to close Funds should send the exact cash amount of the approved fund along with an Action Request form to the Finance Department stating their intention to close the fund.

The "Petty Cash/Change Fund Action Request" and "Custodian's Statement of Responsibility" forms will be provided via the Finance Department.

**ADMINISTRATIVE CODE
BOARD OF COUNTY COMMISSIONERS**

CATEGORY: Financial/Fiscal/Budget	CODE NUMBER: AC-3-6
TITLE: Budget Amendment, Revenue and Expenditure Authority	ADOPTED: 01/23/85
	AMENDED: 10/14/92; 09/21/94; 07/24/96; 08/09/05
	ORIGINATING DEPARTMENT: County Administration/Budget Services

PURPOSE/SCOPE:

The budget the Board adopts at the beginning of the fiscal year is a policy plan. The implementation of that policy plan is the responsibility of the County Manager and the management employees of the Board. The Board recognizes that the details of the budget plan may need to be adjusted during the fiscal year in order to respond to changing conditions. It is the intention of the Board that these guidelines provide the County Manager and the management employees of the Board (1) the maximum authority and flexibility to administer and amend the annual budget that is consistent with Florida law and (2) the accomplishment of the Board's policies as adopted in the budget.

POLICY/PROCEDURE:

WHEREAS, the Lee County Board of County Commissioners recognizes that its annual budget appropriation is a plan for revenue and expenditure that may need to be adjusted during the fiscal year in order to keep pace with changing conditions, and the Board wishes to eliminate unnecessary delays or procedures in the process of adjusting the budget; and

WHEREAS, a concise statement of roles, responsibilities, and authority in administering and amending the County's budget that conforms to and clarifies Florida law can be used by the County Manager and management employees, the Clerk to the Board, and the County's auditors to guide them in the performance of their duties;

NOW, THEREFORE, BE IT RESOLVED, that the Board of County Commissioners of Lee County, Florida does hereby establish the following guidelines for administering and amending the County's annual budget:

1. **ROLES AND RESPONSIBILITIES**

The Board of County Commissioners adopts the budget as the annual appropriation of the County. The budget is a plan for revenues and expenditures that is adopted in order to provide specific services and thereby implement policies of the Board.

- A. The County Manager and the management employees of the Board manage the receipt of revenues and the expenditure of funds in order to deliver the services and thereby implement policies of the Board.
- B. Budget Services supervises the preparation of the budget, and acts for the County Manager in administering and amending the budget after its adoption. Budget Services is authorized to develop procedures and forms, and their use is hereby authorized and required.
- C. The Purchasing Division maintains lists of vendors, assists in acquiring all goods and services, and creates encumbrances; the requirements of the Purchasing Manual, adopted separately by the Board, are incorporated in these guidelines by this reference.
- D. Budget Services and the Clerk to Board record, monitor and maintain the revenue and expenditure transactions conducted by the County Manager and the departments in such a manner as to conform with the State's uniform accounting system.

The Clerk to the Board, as custodian of County funds, maintains the bank accounts and manages the investment of County funds, and makes payments of the County funds upon the authorization of the Board, the County Manager, or authorized department personnel, as authorized in these guidelines.
- F. The auditors audit the financial reports and statements of the County and offer their opinion as to fairness of presentation of the financial statements.
- G. Each year Budget Services, in conjunction with an independent consultant, will (1) prepare an indirect cost allocation plan which conforms to generally accepted accounting principles and to federal guidelines for grant reimbursement of administrative costs, and (2) will bill departments for indirect cost charges where funds are available and such charges are appropriate.

2. **LEGAL APPROPRIATION AND MANAGEMENT INFORMATION**

The legal appropriation of the County is by fund as adopted in accordance with Chapter 129, Florida Statutes. Detailed line-item information is prepared by the departments and Budget Services in order to improve the accuracy of budget planning and implementation. Detailed line-item information is not part of the legal appropriation, but it may be required by the County Manager to manage the administration and amendment of the budget.

3. **ADMINISTRATION AND AMENDMENT AUTHORITY**

The County Manager and authorized department personnel may expend funds as appropriated by the Board in the annual budget. The following guidelines for administering and amending the budget apply to activities within any single fund or single subfund, recognizing that the budget of each fund or subfund is independent and self balancing and must be amended in such a manner so that each fund's or subfund's budget remains in balance.

- A. Changes in the adopted total budget of a fund or subfund will be made only with Board approval of a budget amendment resolution.
- B. The following guidelines are to be applied according to a hierarchy, with each level of hierarchy empowered to exercise the authority granted to all levels below it within the restrictions imposed on each of the expenditure object groups in the policy.

<u>Level of Hierarchy</u>	<u>Scope of Authority Within Funds or Subfunds</u>
Board of County Commissioners	Constitutional Officers, & County & Circuit Courts
County Mgr. & Budget Director	All departments under the BOCC
Directors of Departments	Within Depts. (Except between capital projects
Directors of Divisions	and as noted elsewhere in this policy)
Directors of Divisions	Within Divisions (Except between capital projects)

- C. Each Department and Division Director has the authority to transfer budget within his/her operating budget that is within the same fund or subfund. No transfers may be made by departments between capital projects (except as noted under Paragraph F.3. below) or between various funds or subfunds or from Reserve accounts without Board review and approval.
- D. Personnel services expenditures are primarily controlled by the authorization of positions. Establishment of permanent part-time or full-time positions may only be authorized by Board approval.
- E. All budget transfers and amendments are to be processed through Budget Services for review, approval, and implementation. Budget Services and the Clerk's Finance Department will process transfers and amendments to update the adopted budget.
- F. In the categories listed below, the italic headings are expenditure object groups which appear in the budget. Any references to an expenditure object group includes, by inference, all line-items within that group, unless otherwise stated. In the guidelines below, the authority to expend or transfer appropriations includes the authority to amend the budget. In order to minimize delays and increase flexibility, the County Manager and the Budget Director are specifically empowered to authorize expenditures in excess of budgeted line items and to

amend the budget after the date of the expenditures (but before the end of the fiscal year) as long as the “over-expenditure” and subsequent amendment would otherwise have been within the authority granted to them in these guidelines. Department Directors may authorize expenditures within the limits of budgeted line items and may make transfers as authorized elsewhere in this code.

Transfers among expenditures or revenue accounts may be made during the fiscal year by the County Manager or the Budget Director if reallocations within a fund are determined to be needed, provided no transfers will be made between capital projects (except as noted under Paragraph F.3. below or between various funds or subfunds or from Reserves. (However, the County Manager is authorized to transfer from Reserves up to \$25,000). Other restrictions apply as noted in Paragraph F.1. and F.2. below.

1. *Personnel Services - Accounts 501000-502999*

Creation of permanent part-time or full-time positions requires approval of the Board. Action which changes the function or purpose of authorized positions or involve the simultaneous abolition of one position and the creation of another do not require Board approval. Actions in which a full-time position is created from an existing part-time position requires Board approval. Actions to abolish permanent positions authorized in the budget require the Board, County Manager or Budget Director approval. Temporary overhiring of existing positions and labor pool positions may be authorized by Directors, dependent upon budget availability. Departments may not make transfers of funds as it relates to the following Personnel Services object codes: Workers Compensation – 502410, Sick Leave Buy Back – 501260, Performance Pay – 501280.

2. *Operating Expenses - Accounts 503000-505999*

Department Directors may make transfers among any operating expense line items within divisions and programs in their department as long as the transfers remain within the same fund or subfund. Division Directors may make transfers among any operating expense line items within programs in their division as long as the transfers remain within the same fund or subfund. Department and Division Directors may not, however, make transfers as it relates to any operating IGS (Intergovernmental Services) object code or Indirect Cost – 504950.

3. *Capital Outlay - Accounts 506000-506999*

Fund balances carried forward to a new fiscal year in amounts greater than the adopted budget will be transferred upon Board approval to capital construction (6500 series) unless such transfers are prohibited by law, contractual agreement, or administrative requirements. No transfers may be made between “Master” capital projects without Board review and approval with the following capital project exceptions: 204683 – Road

Resurface/Rebuild Program, 206713 – Traffic Signal/Intersection Improvements, 205714 – Master Bridge Project.

4. *Debt Service - Account 507000-507999*
The County Manager or Budget Services may transfer debt service line items to any other expenditure object group or may make transfers among any debt service line items. All debt service schedules are in each Official Statement of all debt approved and issued by the Board of County Commissioners. These debt service schedules are to act as authorization in lieu of budget for the Clerk's Finance Department to insure the debt principal and interest payments are made timely. Payments are made according to these debt schedules except in those cases where principal has been called early using an extraordinary mandatory redemption feature. If principal is called early, the debt service schedule is revised to show the decrease in both principal and interest owned.
5. *Grants and Aids - Accounts 508000-508999*
The County Manager or Budget Services may transfer grants and aids line items to any other expenditure object group. The County Manager, Budget Services, or departments may make transfers among any grants and aids line items.
6. *Non-Operating - Accounts 509000-509999*
Non-operating appropriations are interfund transfers or reserves. Transfers to reserve accounts may be made during the fiscal year by the County Manager or Budget Services without Board approval if allocations to expenditure accounts are determined to be unneeded and will be processed administratively. Transfers from reserves of \$25,000 or below may be authorized by the County Manager; transfers from reserves of more than \$25,000 require approval of the Board. The County Manager or Budget Services may increase or decrease any interfund transfer appropriation by transfers from any other expenditure object group (excluding Reserves, excepting County Manager authorization of up to \$25,000 as noted elsewhere within this policy). Interfund transfers will be processed administratively by Budget Services and the Clerk's Finance Department.
7. *Revenue and Fund Balances*
To increase or decrease budgeted total fund revenue (to reflect actual revenue collected) and to amend budgeted fund balance (to reflect actual beginning fund balance) requires the approval of the Board. The County Manager or Budget Services may reclassify revenue between revenue codes to reflect a more appropriate classification if it does not change the total budget of a fund. Any amendment which changes the total budget of a fund must be approved by the Board of County Commissioners as required by Chapter 129, Florida Statutes. Fund balances carried forward to a new fiscal year in amounts greater than the adopted budget will be transferred upon Board approval unless such transfers are prohibited by law, or restricted by contractual agreement or administrative requirement.

ADMINISTRATIVE CODE BOARD OF COUNTY COMMISSIONERS	
CATEGORY: Financial/Fiscal/Budget	CODE NUMBER: AC-3-14
TITLE: Policy on Tangible Personal Property Owned by Local Governments (FS 274)	ADOPTED: 05/23/90
	AMENDED: 06/03/93; 09/29/93; 12/15/93; 03/23/94; 04/09/97; 01/09/01; 07/24/01; 08/09/05; 09/25/07; 10/14/08; 01/24/12
	ORIGINATING DEPARTMENT: County Administration
PURPOSE/SCOPE: This code will define the County’s policy on the recording and disposal of the County’s tangible personal property of a nonconsumable nature. In all cases, Florida Statutes will govern.	
DEFINITIONS: The following definitions will apply for the purpose of this Administrative Code: COUNTY: Board of County Commissioners, Hearing Examiner, County Attorney, Port Authority, Clerk of Courts, Property Appraiser, Supervisor of Elections, Tax Collector, Medical Examiner, Health Department, Court Administration, Public Defender, State Attorney, Guardian Ad Litem, Criminal Conflict and Civil Regional Counsel and their associated departments and divisions. CONSTITUTIONAL OFFICERS: Clerk of Courts, Property Appraiser, Supervisor of Elections, and Tax Collector.	
POLICY/PROCEDURE: <i>A. RECORDING OF TANGIBLE PERSONAL PROPERTY</i> The Board of County Commissioners (Board) is required by Chapter 274, Florida Statutes, to maintain fixed asset records on tangible personal property of a nonconsumable nature, in accordance with Florida Administration Code- Rule Chapter 69I-73, except for land which	

AC-3-14 (Continued)

will always be capitalized at amount expended. Additionally, when the fixed asset is acquired with federal grant monies, compliance by the department with Federal regulations identified in the grant contract must be maintained.

In order to comply with the Florida Administration Code, the Board has established a fixed assets system in cooperation with the Finance Department (Finance) of the Clerk of Circuit Courts. Finance has developed a record keeping system and an associated Fixed Asset User Guide to comply with the Florida Administration Code and to maintain adequate fixed assets records for control and financial statement purposes. All County departments, divisions and Constitutional Officers will follow the procedures in the Fixed Asset User Guide.

1. All tangible personal property obtained by the County through the use of federal grants will be controlled under the property management standards of the appropriate Federal regulations governing the grant regarding the acquisition, record keeping, use and disposal of the asset, in addition to the procedures outlined in this administrative code.

2. Donations to the County will be reported to Finance through the procedures in the Fixed Asset User Guide. Donated items are subject to the same rules as all other property of the County. The value to be reported on donated fixed assets is the appraised or estimated value at the time of the donation.

3. Constructed assets will be recorded to the fixed assets inventory by the County's property control clerk via the fixed assets property control form upon substantial completion of the project (for example, issuance of certificate of occupancy for a building; park, bridge, or road opened for public use).

- a. Capitalized costs do not include cost of grand opening ceremonies, machinery, furniture, or any item that is not considered permanently attached to the building, bridge, or other improvement.
- b. The Board has adopted the policy of capitalizing infrastructure constructed or purchased through either a governmental or proprietary fund with a minimum \$100,000 threshold. Infrastructure is defined as public domain fixed assets such as roads, bridges, curbs and gutters, streets and sidewalks, drainage systems, lighting systems, and similar assets that are immovable and of value only to the government unit.

4. Pursuant to Chapter 274.03, Florida Statutes, the Board has delegated the custodian function to the County Manager, Hearing Examiner, County Attorney, Port Authority Executive Director, Medical Examiner, Health Department Director, Court Administrator, Public Defender, State Attorney, Guardian Ad Litem Director, Criminal Conflict and Civil Regional Counsel Director and the Constitutional Officers who will be referred to as Custodians.

AC-3-14 (Continued)

- a. The Board also allows the Custodians to designate their custodianship to a Division/Department Director/Manager.
- b. The Board also allows for further delegation by the Custodian to assist with the custodial function. For property purposes only, the assistant shall be referred to as the Property Control Clerk.
- c. Custodians will notify Finance upon change of either position.

B. DISPOSAL OF PROPERTY – AUTHORITY

Pursuant to Chapter 274.07, Florida Statutes, the Board has delegated authority of all disposal of property through the Custodian or designee.

1. Authority for the disposal of property shall be by resolution of the Board and recorded in the minutes of the Board of County Commissioners. Such authority is specified in this administrative code.

2. The following applies for the disposal of fixed assets:

- a. Approval of the Custodian or designee must be obtained prior to the sale, donation, abandonment, trade-in, or destruction of fixed assets with an original value equal to or greater than the amount specified in the Florida Statutes.
- b. All items which are lost or stolen shall be reported to the Custodian or designee for approval to be removed from the fixed assets inventory per the procedures set forth in the Fixed Asset User Guide.
- c. Property purchased by an enterprise or internal service fund will be controlled under the fixed assets system. All transfers of assets to or from the proprietary funds will have approval of the Custodian or designee for the transfer of the asset and the amount to be paid.
- d. The department or division having custody of fixed assets acquired through the use of federal grant monies must follow the disposal procedures outlined in the appropriate Federal regulations listed in the grant contract governing the acquisition, use, and disposition of assets in addition to the procedures outlined in this administrative code.

3. The Board delegates authority of all disposal of property utilized by a Constitutional Officer to that Constitutional Officer, however, the Constitutional Officers are responsible for reporting the disposal of their assets to the Board according to the Fixed Asset User Guide.

*C. DISPOSAL OF PROPERTY UNDER THE BOARD OF COUNTY COMMISSIONERS
AND THE PORT COMMISSIONERS*

No property will be received or released without a completed fixed assets property control form.

1. TRADE-IN

The department or division will request approval from the Custodian or designee to use the trade-in procedure. When trade-in (exchange of property with the seller, with the exchange allowance being applied to the cost of the property being acquired) is authorized, the specifications should be written to include a trade-in price as an alternate which may or may not be selected when awarding the quote. Regardless of the disposal method utilized, it will be the department or division's property control clerk's responsibility to have the item removed from their inventory per procedures set forth in the Fixed Asset User Guide.

2. LOST OR STOLEN ITEMS

After all efforts have been exhausted to locate lost or stolen items, they will be reported and removed from inventory per the procedures in the Fixed Asset User Guide. All stolen items will be verified by providing a police report, all lost items require a certified affidavit by the reporting property control clerk.

3. SURPLUS PROPERTY

The Custodian or designee shall determine the method of disposal of all surplus property. (Property that is 1) obsolete, 2) uneconomical or inefficient, 3) of no useful purpose, or 4) is considered scrap.) In all instances, the best interests of the County, the value and condition of the property classified as surplus, and the probability of such property being desired by prospective bidders will be considered. Mobile equipment, including but not limited to trucks, automobiles, trailers, tractors, and riding lawn mowers will not be cannibalized for spare parts until they have been declared junk by the Custodian or designee.

4. SURPLUS VEHICLES

a. Procedure

Vehicles placed into County surplus will be evaluated by the Fleet Manager to determine an estimated value. Value will be determined by using the Kelley Blue Book or National Automobile Dealers' Association (NADA). Based on that value, the proper method of disposal will be determined.

AC-3-14 (Continued)

b. Value > \$5,000

Vehicles whose retail value is estimated to be \$5,000 or more “.....can only be sold to the highest responsible bidder or at public auction...” in accordance with Chapter 274.06, Florida Statutes.

Value < \$5,000

The method for disposal of vehicles whose retail value is less than \$5,000 according to Kelley Blue Book or National Automobile Dealers' Association (NADA) will be determined by the Fleet Manager. These methods may include trade-in, sale at public auction or competitive bid. This equipment may be offered for sale only to other local governmental units within Lee County prior to auction at prices determined by the above methods. Prior sales history may be used to determine selling price if no listing is available through Kelley Blue Book or NADA. Private individuals or other local non-profit agencies will be allowed to bid on equipment at the County's public auction.

c. General

Funds received from the sale of equipment will be deposited into each department's Vehicle Replacement Fund account and used to offset the replacement costs of that equipment. Deposited funds will be less the costs of conducting the auction (auctioneer's fees, advertising, etc.)

Donations of County equipment to outside agencies must meet all of the following criteria:

1. Majority vote of the Board of County Commissioners; and
2. Alternative funding source identified to replace lost departmental revenues

5. JUNK PROPERTY

Junk property (property without commercial value or which is unable to function as intended without repair, the cost of which exceeds its book value) may be donated, destroyed, or abandoned. The procedures for disposing Junk property are set forth in the Fixed Asset User Guide.

6. DONATIONS

All donations of County property will be made in compliance with Florida Statutes and will be approved by the Custodian or designee.

**ADMINISTRATIVE CODE
BOARD OF COUNTY COMMISSIONERS**

CATEGORY:
Purchasing/Contracts

CODE NUMBER:
AC 4-1

TITLE:
Lee County Purchasing and Payment
Procedures Manual

ADOPTED: 9/1/87

AMENDED: 10/13/92; 4/7/93; 5/17/95; 3/21/00; 7/9/02;
2/11/03; 10/18/05; 3/14/06; 10/31/06; 8/13/10;
10/9/12; 3/5/13

ORIGINATING DEPARTMENT:
Procurement Management

PURPOSE/SCOPE:

The purpose of this Purchasing Manual is to serve as a guide to all County departments, divisions, and employees regarding the purchasing policies and procedures of Lee County, Florida.

- a) The adoption of this Purchasing Manual, and the approval of any subsequent revisions to such, by the Board of County Commissioners of Lee County, Florida shall authorize the policies and procedures contained herein for official use in County business.
- b) The Board of County Commissioners has authorized the County Administrator or, in his absence, the Deputy County Administrator, to approve procedural revisions to this Purchasing Manual.

The scope of this manual, and the policies and procedures contained herein, governs all departments and divisions under the jurisdiction of the Board of County Commissioners, as well as all purchasing transactions which are paid for directly from County funds under the control of the Board of County Commissioners. The contents of this manual preempt all previously existing purchasing manuals, policies, and procedures.

POLICY/PROCEDURE:

Specific purchasing policies and procedures will vary depending on the type and cost of the item or service being purchased. This manual is organized into a number of sections describing policies and procedures applicable to different purchasing transactions and controls. A complete copy of the manual (also known as Appendix "D") is available at:

<http://www.leegov.com/gov/BoardofCountyCommissioners/Administrative%20Codes/AC-4-1.pdf>

**ADMINISTRATIVE CODE
BOARD OF COUNTY COMMISSIONERS**

CATEGORY: Financial/Fiscal/Budget	CODE NUMBER: AC-3-3
TITLE: Handling of Unclaimed and Uncashed County Warrants	ADOPTED: 09/21/89
	AMENDED: 09/21/94; 08/09/05
	ORIGINATING DEPARTMENT: Clerk of Circuit Court/Finance Department

PURPOSE/SCOPE:

To authorize the Clerk of Circuit Court, Finance Department (Finance), to dispose of unclaimed and uncashed County Warrants.

POLICY/PROCEDURE:

County Warrants which remain unclaimed, uncashed for a period of six month are to be treated as “**voided**” checks.

Banks are to be notified in writing, and on the face of all checks that **any warrant** which carries an issuance date *greater* than six months are invalid and are not to be honored for payment(s).

Funds resulting from such “voided” checks shall remain with the county as provide in Chapter 717, Florida Statues, and shall be promptly remitted to the State of Florida in compliance with the laws of Florida.

Finance is hereby directed to file such reports with the Department of Financial Services, State of Florida, Bureau of Unclaimed Property as may be prescribed by applicable Florida Statue.

Should a person, firm or entity make a claim against the County for the amount which has not previously been remitted by Finance to the State of Florida, then:

- a. Finance shall obtain an Affidavit of Certification from the person, firm, or entity making the claim which essentially sets forth the fact that payment has never been received. Said Affidavit shall be notarized.
- b. Finance shall make every reasonable effort to determine that payment has never been received by the person, firm, or entity requesting payment for goods or services. The Finance Director shall have authority to require such other reasonable supporting documentation as may be deemed necessary in order to adequately audit and ascertain the proprietary of the claim being made.
- c. Upon determining to its complete satisfaction that the claim is in order and appropriate for payment, Finance shall make the appropriate disbursement of the claim.

**Department of Human and Veteran Services
Grants Administration Handbook**

**APPENDIX B
CONTRACT MANAGEMENT MANUAL
POLICIES & PROCEDURES**

Contract Management Manual

Policies & Procedures

Lee County
Department of Human Services

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Purpose

The Department of Human Services (DHS) Contract Management Manual establishes a framework for operations and procedures related to contracts with not-for-profit and governmental agencies. The purpose of such contracts is to facilitate the delivery of social service programs for the residents of Lee County in accordance with the applicable funding source.

Types of Contracts

There are two types of contracts the Contracts staff utilizes: unit rate and line item.

Unit Rate Contract - Contracts which purchase units of service in whole or in part. Contract payment structure is reimbursement of a negotiated unit rate (used primarily for Partnering for Results(PFR) and State Mandated contracts).

Line Item Contract - Contracts which reimburse for a budgeted expense related to capital construction or service delivery (used primarily for government contracts).

Types of Providers

Contracts are executed with two types of providers: not-for-profit organizations and local governmental entities.

Not-for-Profit - Corporation, trust, association, cooperative, or other organization that:

- Is operated primarily for scientific, educational service, charitable, or similar purpose in the public interest;
- Is not organized primarily for profit;
- Uses net proceeds to maintain, improve, or expand the operations of the organization;
- Has no part of its income or profit distributable to its members, directors, or officers; and
- Has official tax-exempt status issued by Internal Revenue Service.

Local Governmental Entity - County agency, municipality, special district or any other entity (other than a district school board or community college) however styled, which independently exercises any type of governmental function.

(Above definitions are excerpts from Florida Statute 215.97 Florida Single Audit Act).

Standard Contract Language

The County standard contract language will be used as the template for all contracts. Each contract will have specific exhibits for reporting purposes. Program guidelines specific to the funding source will be attached (i.e. SHP, S+C, CDBG, HOME). The templates are updated annually and approved by Risk Management, County Contracts and Legal.

One contract template (*Attachment I*) is used for all types of contracts (Line Item; Unit Cost;) individualized with specific requirements as appropriate. One exception is the State Mandated contract with the Health Department, which is a state formatted document.

CONTRACT MANAGEMENT RESPONSIBILITIES

Contract management responsibilities include both Pre-Award and Post-Award Activities. Pre-Award activities are conducted prior to the actual funding being awarded and may include issuing a Request for Proposal (RFP), reviewing proposals according to funding guidelines, selecting provider(s), and negotiating a contract(s). Post award activities are those processes and activities that take place after the funding has been awarded to the provider and may include contract preparation, review, negotiation, execution, payment processing, receipt of contract deliverables and program monitoring. Both pre and post award activities are program specific and therefore may vary depending on type of funding source.

Contract Negotiation

Sometimes it is necessary to discuss contract terms and conditions with a provider before contract execution. PFR and State Mandated contracts are the most typical agreements to be negotiated as other contracts are often restricted by State and Federal regulations. Negotiations typically take place during the summer months and contracts are effective October 1st. Issues that could be negotiated include but are not limited to the following:

- Budget details to include acceptance of a final unit rate or number of units purchased if agency is not awarded full funding or if unit rate report from prior year reflects a substantial variance (<> than 10%) from proposal. Review of line item budget for final acceptance.
- Outcomes are reviewed to ensure that they reflect the desired benefit to clients and are measurable.
- Special Provisions may be required based on prior year performance or other applicable factors.

Contract Preparation, Review, and Execution

Contracts are prepared utilizing the standard contract template (*Attachment I and Attachment I(A), and Instructions*) with specialized requirements included for the specific type of funding being expended. The standard contract template is not utilized for the State Mandated/Dept. of Health (DOH) and the Department of Children & Families (DCF) contract as the state generates this format.

In general the following steps for routing contracts apply:

1. Three original contracts and all appropriate exhibits and attachments relative to the funding source are sent to the provider for completion and signature.
2. Upon receipt of the signed originals from provider, the contracts are reviewed for completion and insurance compliance.
3. Three originals are submitted to the Fiscal department for routing to the Board of County Commissioners (BOCC) for approval. If the award was previously approved by the BOCC, the fiscal department routes the contract to Public Resources, along with

the blue sheet for signature by the BOCC Chairperson. If the award was not previously approved, the contract is routed to the BOCC with the Blue sheet. All contracts to be executed are submitted to the Fiscal department for appropriate routing.

Fully executed contracts shall be distributed to the following:

- Provider organization
- Contract file
- Lee County Clerk of Courts Minutes Department (Public Resources distributes)

The DOH and DCF contracts have a different routing sequence:

1. Contract staff submits originals to the BOCC with a Blue Sheet for signature.
2. Upon receipt of the BOCC signed original, Contracts staff forwards all originals to DOH/DCF for final approval.
3. Upon receipt of the executed contract from DOH/DCF, Contract staff provides copy to fiscal and routes an original to
 - Contract file
 - Lee County Clerk of Courts Minutes Department

Specific steps for completing and routing contracts based upon the funding source are outlined in Attachment I(B) - Contract Routing Checklist.

The agency should return signed contracts to DHS within 30 days.

Request for BOCC Agenda Item (Blue Sheet) Preparation

Any time an issue needs to be reviewed by the Board of County Commissions, a Blue Sheet must be prepared and submitted utilizing the SIRE Blue Sheet on line system. Attachment II is a PDF formatted Blue Sheet System Training Guide. The last several pages of this training guide include “Important Deadlines” and other valuable information. When appropriate, utilize the prior year’s Blue Sheet as an example and for specific language.

Reasons for submitting Blue Sheets include but are not limited to the following:

- PFR - to have BOCC allocate set aside amount at the beginning of calendar year.
- PFR- to authorize contract negotiations and to authorize chairperson to sign contracts when funding has been approved as part of the budget process.
- Federal and State Grants (SHP, S+C, Challenge, HHAG) - upon award from the Department of Housing and Urban Development (HUD) or DCF request BOCC to accept funds and authorize chair to sign contracts, approve a budget resolution, and provide Budget Services with a Grants at a Glance (GAG). Refer to prior year’s Blue Sheet for example and specific language.
- State Mandated - to authorize Chairperson to sign the contracts for state mandated mental health services, substance abuse services and initial medical exams for allegedly abused children as adopted at the final budget hearings.
- Contract amendments for the following reasons: increases or decreases in contract funds per guidelines under Contract Amendment section of this guide; changes to program design including outcomes or target population; changes or additions to the

standard provider contract language not for the purpose of correcting original omissions or clarifications of original contract intent

- Termination of a Contract

File Organization

Contracts that are open (have funds remaining to expend) will be maintained in notebooks by the Contract Specialist who is responsible for managing the contract.

The **CONTRACT FILE** should be organized with the following sections:

- **Grant Agreement** - include Federal or State funding award and amendments
- **Contract** - include notice of funding and amendments (if applicable)
- **Proposal** - or Letter of Request and budget projection (state mandated)
- **Payment Requests** - include backup documentation
- **Program Reports** - include outcomes, demographics, and annual progress reports
- **Correspondence** - include emails or faxes that are non-specific to other categories
- **Construction** - if appropriate, include environmental assessments, labor relations
- **Program Monitoring** - include monitoring report, agency response or corrective action plan (if applicable) and any other back-up information. A separate file can be established if the back-up information is extensive, however at a minimum the monitoring report, agency response, and corrective action plan should be included in the Contract File.

A separate Agency Organization file will be kept in the contracts lateral file for all contract providers and will be maintained by the Program Manager.

The **ORGANIZATION FILE** should be organized with the following sections:

- **Articles of Incorporation/501(c)3**
- **Board Roster/Meeting Minutes/By-laws** (Reviewed for conflict of interest issues)
- **Insurance**
- **Other Monitoring Reports** - monitoring reports issued by other funders
- **Correspondence** - Correspondence, publications and/or reports from the organization
- **CHDO Certification** - if applicable, current back up documentation on CHDO certification

A **FINANCIAL FILE** is established for all providers and organized as follows:

- Independent Financial Audit completed by a qualified auditor.
- Checklist (desk review) completed by Program Manager
- Correspondence relating to any issues identified in the audit.

Record Retention

All records will be retained for a minimum of five years from the contract end date or longer if required by funding source.

The **PROVIDER** shall retain all financial, client demographics, and programmatic records, supporting documentation, statistical records, and other records, which are necessary to document service provision, expenditures, income and assets of the

PROVIDER by funding source, program, and functional expenses category during the term of this contract and five (5) years from the date of contract expiration. Retention period may be longer depending on funding source. If any litigation, claim, negotiation, audit, or other action involving the records has been initiated before the expiration of the specified retention period, the records shall be retained for one (1) year after the final resolution of the action and final resolution of all issues that arise from such action.

CONTRACT DELIVERABLES

Payment Processing/Authorization

Upon receipt of a request for payment the Contract Specialist must determine the following:

- Is the payment request in the proper format, mathematically correct, and does it contain all the necessary back-up information as required?
- Are expenditures allowable according to the contract budget, term, and program guidelines?
- Is adequate back-up documentation included to support the request?
- Do disbursements balance to the database?
- Is request signed by person authorized in the contract and is it original signature?
- Is organization or contract currently suspended?

If corrections need to be made to a payment request, the contract specialist will contact the provider and notify of errors and modifications that need to be made. Errors and action taken are noted in writing and added to the Notes section in the CSN database. Payment requests may be processed with corrections that decrease the amount payable to the requesting agency, but not if the corrections increase the amount payable. If corrections are extensive or increase the amount payable, the provider will be required to submit a corrected payment request. Re-submittals should be noted in the database. On the Disbursement Screen, the “Rec’d” date should be the original date the payment request form is received; the “Re-submit” date should be the date that all appropriate supporting documentation and/or corrected payment request is received and the “To Fiscal” date is the date it is approved and submitted to Fiscal for payment processing.

Payment requests are reviewed and approved within five working days of receipt. The contract specialist’s signature and date on the payment request indicates that expenditures are allowable and in compliance with the contract terms and authorizes payment. The approved original payment request is given to fiscal for processing. A copy of the payment request is attached to the support documentation received and placed in the contract file. Payment requests are filed in chronological order by month. Payment requests receipt, authorization dates and disbursement information are input in CSN database.

Payment requests for suspended organizations or suspended contracts shall not be processed until suspension is lifted. If agency is suspended for non compliance with an organizational requirement no payment for any contract will be authorized. If agency is suspended for non compliance with a specific contract requirement, payment for that contract will not be authorized.

Program Reports

Program reports such as outcomes, demographics, beneficiary reports and annual progress reports (APR) are reviewed for completion, noted in the database and placed in the contract file. Either an email or hard copy of reports is acceptable.

Annual Progress Reports for homeless programs are submitted in ESNAPS per HUD regulations.

Other Contract Deliverables

Insurance, Audits, and other deliverables must be submitted by the date specified in the contract and recorded in the database. If an agency requests a waiver of a specific type of insurance, Attachment III or email detailing same information should be completed and submitted to Risk Management. The approved waiver should be filed in the appropriate file. Upon receipt documents will be noted in the database and placed in the appropriate file (contract, organization or financial file).

Organizations that fail to submit any required documents by the due date can be suspended and payment withheld until all requirements are satisfied.

Fixed Asset Policy

If a sub recipient receives funds to purchase real property or equipment with a life of more than one year and an acquisition cost of \$1,000 or more the following applies:

- Include an Exhibit 8 in the contract.
- Add due date in CSN for Exhibit 8 to be received within 30 days of purchase and then annually by October 1st and thereafter for five years after the grant funds are expended or other retention period as defined by funding source.
- Record receipt of the forms in CSN
- Submit copy of completed form to fiscal. Include a note on the original indicating date it was forwarded to fiscal.
- Contracts will remain active until the five year period has been completed.

Per Lee County Administrative Code 3-14, all tangible personal property obtained by the County through the use of federal grants will be controlled under the property management standards of the appropriate Federal regulations governing the grant regarding the acquisition, record keeping, use and disposal of the asset, in addition to the procedures outlined in the administrative code. The Federal monetary threshold is \$5,000 or more.

Contract Amendments

All contract changes must be in accordance with the amendment provision (Section V) of the contract.

Amendment requests must be submitted in writing by the provider detailing the nature of and the justification for the change, and the desired effective date of the change. Upon review by the contract specialist, a contract amendment form will be completed (**Attachment IV - Amendment Format**). As a general rule, the effective date of an amendment shall be the first of the month of the request and the request must be requested during the term of the contract or prior to the final month of the contract.

Routing sequence for amendments follows:

1. Three original amendments and all appropriate exhibits and attachments relative to the funding source and reason for the revision are sent to the provider for signature.
2. Three originals are submitted to the Department Director or BOCC for signature depending on reason for the amendment as further identified.

The Department Director may approve amendments, which do not substantially change the original contracted scope of service and statement of work, such as:

- term extensions
- reallocation of funds between existing or new expense categories
- increases or decreases in total budgeted contract funds if 10% or less of original amount
- changes to the legal name of the organization
- minor adjustments to contract language to correct original omissions
- clarifications to the original contract intent

The Board of County Commissioners (need Blue Sheet) must approve the following types of amendments:

- increases in total budgeted contract funds
- decreases in total budgeted contract funds if more than 10% of original amount
- changes to program design including outcomes or target population
- changes or additions to the standard provider contract language not for the purpose of correcting original omissions or clarifications of original contract intent.

Fully executed amendments shall be distributed to the following:

- Provider organization
- Contract file
- Lee County Clerk of Courts Minutes Department (Public Resources distributes)
- Copy to Fiscal Department

HUD amendments

HUD must approve (24 CFR 583.405), in writing, any **significant** changes to an approved Homeless Continuum of Care program prior to initiating a contract amendment.

Significant changes include, but are not limited to:

- change in the recipient/sponsor,
- change in the project site,
- additions or deletions in the types of activities listed
- shift of more than 10 percent of funds from one approved type of activity to another
- change in the category of participants to be served.

Depending on the nature of the change, HUD may require a new certification of consistency with the consolidated plan. (Refer to 24 CFR 583.405 & 582.40)

Prior HUD approval is required for amendments to CDBG, HOME, or ESG which involve new or alteration of existing activities that will significantly change the scope, location, or objectives of the approved activities or beneficiaries. If a major change is requested, the projects will be reviewed with the Neighborhood Relations Coordinator to determine whether a Consolidated Plan amendment is required prior to initiating a contract amendment. Upon approval by HUD, a contract amendment will be processed if required.

Any changes to an approved program that do not require prior HUD approval must be fully documented in the Contract File and requires HUD notification.

Board approved amendments are distributed to the following:

- Lee County Clerk of Courts Minutes Department
- Provider
- Contract file
- Fiscal

Director approved amendments are distributed to the following:

- Fiscal
- Provider
- Contract file

Suspensions

Funding can be suspended for failure of a sub recipient to comply with the requirements of a contract and can be imposed by either the Contract Specialist and/or Program Manager. Prior to suspension of a contract, the reasons should be discussed with the Program Manager to ensure that suspension of funding is the appropriate response. A suspension should be imposed within 2 business days after non compliance with contract deliverable requirement. A suspension letter will be sent to the agency. Reasons for suspension can include but are not limited to the following:

- Failure to return Independent Financial Audit
- Failure to return documentation of insurance
- Failure to provide other contract deliverables in a timely manner
- Significant deficiencies or issues identified in Independent Financial Audits, monitoring reports, and/or information received from other Auditors or investigations which causes concern for the financial stability or ongoing operations of the agency.

If sub recipient has more than one contract with DHS and suspension is for failure to comply with an organizational requirement, all contracts will be suspended. If reason pertains to only one contract, only that contract will be suspended.

The reason for the suspension should be included in the “Notes” section of the CSN database. The “Status” of the contract in CSN should be changed to “Suspended”. This will alert anyone accessing the contract that the contract and/or agency is suspended.

Monitoring

The Department of Human Services Contracts staff will regularly monitor all contracts. Reviews may be conducted on a monthly, quarterly and/or annual basis. The purpose of monitoring is to inspect, review and report on the agency's compliance with the terms and conditions of the contract in order to be assured of satisfactory performance. It is a limited scope review of the contract and agency management and does not relieve the agency of its obligation to manage the grant in accordance with applicable rules and sound management practices. Contracts for HUD-funded projects will be reviewed to ensure long-term compliance with program requirements and comprehensive planning requirements.

Various types of monitoring utilized include:

- Desk review of payment requests (invoices) and supporting documentation;
- Desk review of program and beneficiary reports,
- Desk review of Independent Financial audits (CPA) audit
- Desk review of monitoring reports from other funders which are pertinent to the contracted program. The other funding reports should be reviewed to determine if any common issues were identified that could affect contract performance.
- Tracking and receipt of other contract deliverables including Section 3, Davis Bacon and other federal requirements.
- On site monitoring and follow up visits as needed (may be scheduled or unscheduled) including to ensure compliance with federal requirements such as Davis Bacon, Section 3, NSP and HOME rental regulations.
- Desk review to address issues noted in CPA audits or other monitoring reports (an on-site review may be conducted if necessary)
- Technical Assistance
- Annual summary of monitoring activities (desk review summary)

An on-site programmatic monitoring or a desk review summary will be conducted annually of all contracts funded by the Department of Human Services. The Program Manager must authorize that an on-site review is not needed and that a summarization of all monitoring activities/desk review is sufficient. On-site monitoring visits will take place during the term of the contract and prior to contract closure.

Scheduling will be prioritized according to the following considerations:

- Complexity of program/project
- Amount/size of award/spending pattern
- Agency prior experience with funding source or program/project
- Changes in key personnel
- Timeliness and accuracy of reporting if currently funded
- Duration of award
- Previous program monitoring issues
- Program/project schedule
- Issues identified in monitoring reports from other funders

The reviews of Partnering For Results funded and State Mandated contracts should address all components listed on the respective monitoring tools (*Attachment V*) and as referenced in the Monitoring Guide (**Attachment VII**). The review of CDBG funded contracts should address all components listed on the CDBG Monitoring Report (*Attachment VIII-a*). A random selection of client files should be selected for review using a targeted goal of reviewing 10% of clients served (minimum 10, maximum 50 files). Program guidelines and monitoring tools for State or Federally funded projects shall be referred to for additional monitoring requirements.

The written monitoring report in accordance with the report format (*Attachment VIII or Attachment VIII-a*) will be issued to the contracted agency. Monitoring reports shall be issued no later than 30 days following the last date of an onsite monitoring visit. Whenever possible the reports shall be issued within two weeks of the onsite visit. If it is discovered when writing the report, that information is questionable or missing, an attempt can be made to contact the agency to resolve the discrepancy. However, this should not result in the report being issued late. If the discrepancy and or questions can not be resolved prior to the issuance of the report, they should be included in the report as either a finding or concern depending on the issue. A desk review summary should be completed within 30 days of the end of the contract term.

Reports from on-site monitoring and desk review summaries will be emailed to the agency Director and copied to the Board Chair. If there is a finding or a concern, a response is due within 30 days from the date the report was sent. A Corrective Action Plan format (**Attachment IX**) should be emailed with the report if appropriate. This format should be used by the agency to respond to a finding and can be used to respond to a concern also. A separate monitoring cover letter is not necessary as long as the email contains pertinent information. See Attachment XIII for email template. Agency should reply to email to acknowledge receipt of the report.

Findings are violations of law, regulation, written proposal/application or contract requirement that can result in a sanction or repayment. It is a serious failure to comply with Federal, State or locally established policies, procedures or directives that may lead to disallowed costs and/or threaten programmatic integrity, performance and possibly future funding. A finding can be issues which identify the provider's failure to comply with specific terms and conditions of the contract which relate to the provider's service delivery, operations, billing practices and/or financial stability.

Concerns are potential problem areas or weaknesses in program operations that may represent non-compliance with application/proposal, established policy and/or processes and which if not corrected, may eventually result in noncompliance, questioned costs or other management issues and lead to larger compliance issues for the program in the future. Addressing concerns are intended to prevent contract violations and to improve program operations.

A concern could be a request for clarification or explanation for details, justification or rationale for a question, uncertainty or reservation that surfaced during the monitoring or other review of documents which relate to program operations.

Specific Contract Requirements (Policies & Procedures) and Funding Sources

County General Fund

County Funds. The Contracts staff manages funds that the Board of County Commissions (BOCC) allocates from the general revenue budget.

Partnering for Results (PFR)

Purchase of services from not-for-profit agencies that address one of the following three outcomes:

- Supportive Living - Special populations will attain, restore or preserve their highest potential level of functional abilities, independence and remain living in the least restrictive setting.
- Activities for Children & Youth - Youth achieve their highest potential by improving their abilities to make safe, responsible decisions and reduce safety risks.
- Emergency Needs - Families and individuals meet their emergency needs for food and shelter.

The BOCC allocates an amount to fund non-profit organizations to provide direct human service needs within the community. This is usually completed at the beginning of the year (January) however due to budgetary concerns process may take place later in the year. A Blue Sheet is submitted using the SIRE Blue Sheet system following established time frames. The prior year's Blue sheet can be referenced for specific wording but add additional information if necessary.

A "Request for Proposal" (RFP) process is utilized to obtain proposals from non-profit organizations for direct services. The Notice of Funding Availability (NOFA) at a minimum must be advertised in the News-Press. The public notice must include the following:

- eligibility,
- proposal release date,
- letter of intent to bid,
- total available funding if known and
- proposal due date.

Technical assistance workshops for interested providers are conducted prior to the proposal due date to review guidelines, the overall process, the on-line proposal, and answer questions.

A mandatory letter of "intent to bid" with supporting documentation must be submitted for the proposal(s) to be considered. Letters of intent to bid must be submitted by the specified due date and must include required documentation. Staff reviews the letters of intent and supporting documentation to ensure that all required qualifications have been satisfied. If any required information is missing, the agency is given 3 working days to

submit the missing items. If a letter of intent is not received, the bidder is not eligible to submit a proposal.

Proposals must be received in the DHS office by the established deadline. Staff reviews the proposals for bidder qualifications and to ensure that minimum requirements are met and that there are no disqualifying events. Non-compliant bidders are notified by certified mail. If qualifications and fatal criteria are met and all documentation is received by due date, proposals are forwarded to the review panel for consideration.

A BOCC appointed citizen Review Panel evaluates proposals and makes funding recommendations to the board. Proposals are scored based on content, quality of services, need and the most cost effective rate. Review teams are assigned specific proposals to individually read and score in accordance with the established evaluation criteria. Teams meet as needed to determine a team score and rank proposals. The Review Panel summarizes the team scores and finalizes overall funding recommendations. As with grant submissions to any other funding entities, once the proposal is submitted, there is no direct dialogue with reviewers, however due to Sunshine Law the public (including applicants) must be allowed to be present at all review panel and team meetings. Applicants are notified by email of the Panel's preliminary recommendations.

Staff submits a memo and spreadsheet regarding the funding recommendations of the Review Panel to the BOCC prior to budget hearings in September.

A Blue Sheet with the recommendations (Attachment II) authorizing the Chairperson of the BOCC to sign the contracts/sub recipient agreements is then submitted using the SIRE Blue Sheet system utilizing the established time frames.

The Board votes on funding allocations at the final budget hearing held in late September.

Contracts are negotiated and executed with an October 1st effective date.

Set Aside Funds - County general funds with special set aside levels for specific projects:

- Child Care - A set aside approved by the BOCC outside of the Partnering for Results process to provide local match to the lead agency providing the State program for low-income household child care needs.
- 10-Year Plan to End Homelessness Project Implementation funding - A set aside of the Partnering for Results funding approved by BOCC to implement recommended projects from the Plan.
- United Way 211 - Informational and referral system. A set aside of the Partnering for Results funding approved by BOCC to provide service to County residents.

State Mandated Services

County general funds provided for services that are mandated by Florida Statute.

- Public Health (Statute 154.00)
- Mental Health (Statute 394.76 & Ch. 65-E.14, FL Admin. Code)
- Substance Abuse (Statute 394.76 & Ch. 65-E.14, FL Admin. Code)

- Medical Exams for abused children (Statutes 39.303, 39.304)

Florida Statute mandates that certain services which include public health, mental health, substance abuse services and medical exams for abused children be funded by local counties. In February, a budget proposal for the upcoming fiscal year is requested from the providers, which is used to develop the Department's budget. Once the amount of funding has been established by the BOCC, DHS Contract Staff prepares and manages the contracts.

Federal and State Funds

The Department of Human Services acts as the Lead Agency, applicant and administrator for the US Department of Housing and Urban Development (HUD) and Florida Department of Children & Families, State Office on Homelessness (SOH) grants. The Neighborhood Relations Coordinator (not in Contracts unit) for DHS prepares and submits the applications for such funding. Once funding has been secured, the Contracts unit is responsible for creating, executing and managing the Agreements/Contracts both with HUD/DCF and the sub recipients. For these types of funding, DHS acts as both grantee and grantor in that there is an Agreement/Contract with HUD/DCF and DHS, who in turn sub contracts with not-for-profit agencies and local government entities to distribute the funds for the direct services. In this capacity DHS serves as lead agency between HUD/DCF and the sub-recipients.

Federal Funds

The Contracts staff manages funds the County receives from the United States Department of Housing and Urban Development (HUD).

Federal Homeless Continuum of Care (COC)

Homeless Continuum of Care (COC)_ Lee County serves as the lead agency for this annual competitive process.

- **Coc Program CFDA 14.267 - 24 CFR Part 578** - Eligible activities funded under CoC include: permanent supportive housing, transitional housing, rapid re-housing, rental assistance, support services, operating of transitional and permanent housing, grant administration, construction and related relocation costs. All eligible funding costs, except leasing, must be matched with no less than 25% cash or in-kind contribution as described in 24 CFR part 578.73.

Upon notification from HUD that a new project has been conditionally awarded funding, a technical submission is required for all Supportive Housing projects, except Rental Assistance projects. A technical submission is a detailed explanation of the project which includes specific data regarding budget, goals, proposed services, and match requirements (actual format is dictated by HUD). The sub recipients submit the technical submissions to Contracts staff for review, approval, and submission to HUD by the stated deadline.

For all awards, a contract between BOCC and the sub recipient is prepared and managed by Contracts staff. New projects may also require environmental review, site control, and a relocation plan prior to final project approval. Contracts staff is responsible for monitoring for compliance with all Federal and State requirements, including housing quality inspections. Recipients or subrecipients must retain documentation to demonstrate compliance with the housing standards at 24 CFR part 578.75(b). These standards require the recipient or subrecipient to inspect housing units leased with CoC Program funds and units for which rental assistance payments are made with CoC Program funds to ensure the assisted units meet the applicable housing standards. Before any assistance is provided on behalf of a program participant, the recipient, or subrecipient, must physically inspect each unit to assure that the unit meets HQS. Assistance will not be provided for units that fail to meet HQS, unless the owner corrects any deficiencies within 30 days from the date of the initial inspection and the recipient or subrecipient verifies that all deficiencies have been corrected. Recipients or subrecipients must inspect all units at least annually during the grant period to ensure that the units continue to meet HQS.

Entitlement Funds (CDBG, ESG, HOME) -

Entitlement programs through HUD which includes CDBG, ESG and HOME funding provides annual grants on a formula basis to entitled cities and counties to develop viable urban communities by providing decent housing and a suitable living environment, and by expanding economic opportunities, principally for low- and moderate-income persons. The program is authorized under Title 1 of the Housing and Community Development Act of 1974, Public Law 93-383, as amended; 42 U.S.C.-5301 et seq.

HUD awards grants to entitlement community grantees to carry out a wide range of community development activities directed toward revitalizing neighborhoods, economic development, and providing improved community facilities and services.

Every 5 years a Consolidated Plan identifying County needs, objectives, and goals is completed and submitted to HUD. An Annual Action Plan which provides a concise summary of the actions, activities, and the specific federal and non-federal resources that will be used each year to address the priority needs and specific goals identified by the Consolidated Plan is also submitted to HUD. At the end of each program year grantees report on accomplishments and progress toward Consolidated Plan goals in the Consolidated Annual Performance and Evaluation Report (CAPER) detailing progress made in addressing the needs, objectives, and goals along with a description of activities completed during the year is submitted to HUD.

Community Development Block Grant (CDBG)

CFDA 14.218 - 24 CFR Part 570 - Eligible activities include capital projects, public/social services, or economic development activities that benefit low- and moderate-income residents of Lee County.

The HUD CDBG entitlement program allocates annual grants to larger cities and urban counties to develop viable communities by providing decent housing, suitable living environments, and opportunities to expand economic opportunities, principally for low-and moderate-income persons. DHS receives funds from HUD and then contracts with sub

recipients for specific services through a variety of avenues. Contracts staff is responsible for monitoring for compliance with all Federal and State requirements.

- **Urban County Agreements** - Urban county agreements exist to manage funding for the City of Bonita Springs, the City of Sanibel, and the Town of Fort Myers Beach. Cities are notified annually of the amount of award and submit a detail of activities to be performed either by the municipality or an independent provider usually by late summer. Once the plan is received and accepted from the City, Contract staff prepares and manages the contract.

Home Investment Partnership Program (HOME)

The HOME program is governed by the HOME Investment Partnerships Act at title II of the Cranston-Gonzalez National Affordable Housing Act, as amended and 24 CFR Par 92. HUD allocates formula grants to States and local governments to strengthen public-private partnerships and to expand the supply of decent, safe, sanitary, and affordable housing for low-income families.

Within 24 months after the date of execution of the HOME Investment Partnerships Agreement with HUD, not less than 15 percent of HOME funds must be set aside for use by Community Housing Development Organizations (CHDOs). This set aside must be reserved for investment in housing developed, sponsored, or owned by the CHDO. Funds are reserved when a written agreement is executed and committed to a specific CHDO project at the identification of a viable project and confirmation of CHDO capacity to complete the project. It is the policy of Lee County Human Services to evaluate projects which utilize HOME funds in combination with other governmental and/or private assistance to ensure that no more than the necessary amount of HOME funds is invested in any one project to provide affordable housing.

PER CFDA 14.239 - 24 CFR Part 92 - Eligible HOME activities include acquisition, construction, or rehabilitation of affordable housing benefiting low-income and very-low-income residents of Lee County.

Nonprofit agencies may qualify as CHDO's by meeting specific legal, capacity, organizational, and other requirements according to the CHDO Checklist (Attachment X). Completed CHDO Checklist packets are submitted to DHS for review and qualification. Re-qualification is conducted in the same manner and on an annual basis. DHS will qualify that the CHDO meets the regulatory thresholds and has the development capacity to complete, own, develop, or sponsor housing projects. CHDO's role as owner, developer, or sponsor must be in accordance with 24 CFR 92.300 and, as required, CHDO must have paid staff demonstrating required capacity.

Although an organization can be designated as a qualified CHDO which meets CHDO requirements, actual certification will occur prior to commitment of HOME funds at the time that a viable project is identified. A RFP process is utilized to obtain proposals from sub recipients, developers, and CHDOs. Completed proposals are submitted to DHS for review and award. At a minimum the proposal review process includes assessment and evaluation

of (1) project underwriting; (2) agency capacity and fiscal soundness; (3) current market demand in the neighborhood; (4) subsidy layering and reasonable costs; and (5) firm written financial commitments. This requirement applies to all HOME funded development activities involving acquisition, construction, rehabilitation of rental or homebuyer projects, or down payment assistance. Reviewing CHDO proposals also includes completion of CHDO Capacity Checklist (Attachment XI) to ensure the CHDO staff has knowledge, skills, and experience developing projects of the same size, scope and level of complexity. Funds will be committed to a specific project upon receipt and review of a proposal which identifies a specific property location and DHS is able to certify that the CHDO satisfies the regulatory thresholds; has capacity to own, develop, or sponsor housing projects of similar size, scope, and level of complexity; has financial funding secured and a complete underwriting analysis has been finalized.

Emergency Solutions Grant (ESG)

CFDA 14.231 - 24 CFR Part 576 - Eligible activities include renovations, equipment, or operation for homeless facilities and services to prevent homelessness.

Contracts staff utilizes a RFP process to request proposals for emergency solutions grant funds. Proposals are reviewed and ranked according to the department approved process, and then awarded by Contract staff that also prepares and manages the contract with the sub recipient.

State Funds

Department of Children and Families

The Contracts staff manages funds the County receives from the State.

State Office of Homeless (SOH)

The Neighborhood Relations Coordinator (not in Contract unit) for DHS prepares and submits the applications for such funding through an annual competitive process. Contract staff reviews applications for the Challenge Grant and the Homeless Housing Assistance Grants prior to submission to verify administrative capacity of agency, accuracy of proposal content, project feasibility, and consistency with prior years' goals if project is a renewal. Upon approval from the state office, Contract staff prepares and manages the contract with the sub recipient. The Challenge Grant (CSFA 60.014 and Statute 420.622) provides homeless services and the Homeless Housing Assistance (CSFA 60.015 and Statute 420.622) provides funds for construction.

Criminal Justice, Mental Health, and Substance Abuse Local Matching Grant

DHS staff in partnership with SalusCare, Salvation Army, Lee Memorial Health Systems, Law Enforcement agencies and other community partners submits an application for a Criminal Justice, Mental Health, and Substance Abuse Local Matching Grant, which is a competitive process resulting in funding of a low demand shelter project (Triage Center). Upon approval from the state, Contracts staff prepares and manages the contract(s) with the sub recipient(s) as identified in the application.

Computer Systems

Client Services Network (CSN) - The unit utilizes a database which is specifically designed to aid in the tracking and reporting of sub recipient agencies' activities. Agency organizational information and specific contract data is input into the system. All monthly, quarterly and annual deadlines and any other important mile stones are entered into the system. The system is utilized to generate reminder notices for the contract specialist, Program Manager and the sub recipients. The timeliness of the sub recipients returning required information is tracked and included as a topic in the monitoring reports. Examples of requirements that are entered and tracked in the system are listed under Database Maintenance - Contract Requirements section.

Database Set Up

All contracts will be input into CSN in accordance with the users guide. Organizational information, contract information, and all requirements (Organizational and Contract) shall be input upon execution of a new contract. (*Users Guide - Attachment XII*)

Contract Initiation Set Up - At contract execution the following is input by Contract Specialist

Organizational information - input or updated with each new contract

Organizational Requirements - enter corresponding due dates. At a minimum organization requirements include:

- Due on a quarterly basis - Changes to Corporate Legal Documents, Changes to Current Board Roster, Monitoring Reports from other funders;
- Due at expiration of coverage period - insurance certificate for the following required coverage: general liability, directors & officers, business auto liability, fidelity bonding, & workers' compensation;
- Due 180 days after end of fiscal year for non profits and 270 days after end of fiscal year for governments - Audited financial statement.
- Due 180 days after end of fiscal year for non profits - 990 (not applicable for governments).

Contract Information - enter contract information including funding source and year, contract terms, etc.

Contract Budget - enter applicable budget information.

Contract Requirements - enter corresponding due dates according to requirements identified in the contract.

Ongoing Database Maintenance -

Reminder Letters - are standard form letters that are generated through a merge process from the database to communicate with agencies about contract deliverables due the following month. Monthly email notices are sent around the end of each month or first of the month (last working day or 1st working day).

- Organizational Requirements - completed *by designated staff*
- Contract Requirements - completed *by Contract Specialist*

Suspension, Re-instatement Letters - letters can be generated to the agencies notifying them of a contract suspension and subsequent re-instatement. These can be input by either the *Contract Specialist or Program Manager* depending on reason for suspension.

Contact History Screen - input pertinent notes regarding contract compliance and other ongoing issues. This information is input by both Contract Specialist and Program Manager.

Organizational Requirements - monitored and updated upon receipt *by designated staff*.

The following are input by the Contract Specialist.

Contract Requirements - Are monitored and logged upon receipt.

Examples of some of the requirements included in drop down menu include:

- Annual Housing Quality Standards Inspections
- Annual Progress Report
- Beneficiary Report
- Close Out Report
- Corrective Action Plan
- County Monitoring
- Demographics Report
- Environmental Review
- Payment Request
- Performance Outcomes
- Property Inventory
- Signed Monitoring Report
- Special Requirements
- Unit Cost Analysis Report

Budget - information is updated if contract amendment affecting the budget is approved.

Disbursements - entered into CSN as part of the processing of payment requests.

Outcomes and Demographics - entered per CSN users guide and per contract requirements.

Amendments - must be entered in all applicable sections of database. Verify that database balances to the agency's revised budget.

Integrated Disbursement Information System (IDIS)

Set Up - CDBG, HOME, and ESG projects require activity set up and funding in IDIS in accordance with the Consolidated Plan. The IDIS form is completed by Contract staff and submitted to IDIS Administrator, who inputs set up information into IDIS and returns form to the Contracts unit. Contracts staff updates IDIS on a quarterly basis and at closeout.

Glossary

ACTIVITIES	Service(s) provided that make up the total program. Each activity should contribute to the program outcomes.
BUDGET	Projection of total annual revenue and expenses for a specific program. (Budget should be approved by Agency’s Board of Directors.) To determine total operating costs and unit cost for the program, budget must include costs for entire program, not just the portion that Lee County will be funding.
CLIENT SERVICES NETWORK	A database utilized by the contract unit to track and report contract deliverables.
COMMUNITY DEVELOPMENT BLOCK GRANT (CDBG)	Eligible activities include capital projects or public/social services that benefit low-income residents or areas of Lee County. (CFDA 14.218 - 24 CFR Part 570)
COUNTY FUNDS	The Contracts staff manages funds that the Board of County Commissions (BOCC) allocates from the general revenue budget.
EMERGENCY SHELTER GRANT (ESG)	Eligible activities include renovations, equipment, or operation for homeless facilities and services to prevent homelessness. (CFDA 14.231 - 24 CFR Part 576)
ENTITLEMENT FUNDS	Federal funds awarded by HUD on an annual basis to provide services that benefit low-income residents or areas of the County, homeless population and provide affordable housing. Includes the CDBG, ESG, and HOME programs.
FEDERAL FUNDS	Funds received from the United States Department of Housing and Urban Development (HUD). Includes Homeless COC; CDBG; ESG; and HOME.
FTE	Full-time equivalent (example: 3 half-time employees equal 1.5).
HOME PROGRAM	Federal formula grants allocated from HUD to States and localities that communities use—often in partnership with local nonprofit groups—to fund a wide range of activities that build, buy, and/or rehabilitate affordable housing for rent or homeownership or provide direct rental assistance to low-income people. Eligible activities include new construction of affordable housing through Community Housing Development Organizations (CHDOs) or not-for-profit agencies. (CFDA 14.239 - 24 CFR Part 92)

HOMELESS CONTINUUM OF CARE (COC)	Federal funding awarded on an annual competitive process. Includes the Supportive Housing and the Rental Assistance Programs.
INTEGRATED DISBURSEMENT INFORMATION SYSTEM (IDIS)	A database required to be utilized by the federal government which tracks funding and performance requirements.
IN-KIND	Non-cash goods or services that support the program.
PARTNERING FOR RESULTS (PFR)	County general revenue funds used to purchase services from not for-profit agencies that address identified human service needs.
PROGRAM	An activity or set of activities to achieve agency's outcomes.
PROGRAM EXPENSES	Direct and Indirect Costs that can be clearly identified and accounted for in the operation of a specific program.
PROGRAM REVENUE	All funds received or anticipated to support the operation of program
RENTAL ASSISTANCE	Eligible activities include rental assistance and grant administration, which requires support services match. (CFDA 14.238 - 24 CFR Part 582)
STATE MANDATED SERVICES	County general funds used to purchase services that are mandated by Florida Statute.
SUPPORTIVE HOUSING PROGRAM	Eligible activities include direct services such as supportive services, operating of transitional and permanent housing, grant administration, construction and related relocation costs. (CFDA 14.235 - 24 CFR Part 583)
UNIT OF SERVICE	An episode of program service delivery to client (i.e., meal, hour of counseling, trip, night of shelter, etc.)
UNIT COST	Program expenses, including overhead, divided by number of units provided.
UNIT RATE	Compensation for a unit of service that is agreed upon in the contract.
OUTCOMES	Measurable benefits or changes for persons participating in program activities. Measuring and reporting outcomes gives programs an opportunity to clarify what they are trying to do, measure how well they have succeeded, improve their performance, and communicate their goals and accomplishments to others.

Attachments may be viewed on the Lee County Human & Veteran Services Shared Drive

ATTACHMENTS (S:\INTSVCS\ADMIN-INT.SVCS\CONTRACTS MANUAL\Manual ATTACHMENTS.doc)

- I Standard Contract Template**
- I(A) Instructions for Completing Contracts**
- I(B) Contracts Routing Checklist**
- II SIRE Blue Sheet System Training Guide 2007 (pdf format)**
- III Insurance Waiver**
- IV Contract Amendment Format**
- V Monitoring Tools**
- VII Program Monitoring Guide**
- VIII Monitoring Report Format**
- IX Corrective Action Plan Format**
- X CHDO Certification Checklist**
- XI CHDO Capacity Checklist**
- XII Users Guide - Client Services Network (CSN)**
- XIII Monitoring Email Format Template**

**Department of Human and Veteran Services
Grants Administration Handbook**

**APPENDIX C
CONFLICT OF INTEREST POLICY**

**DEPARTMENT OF HUMAN SERVICES
OPERATING PROCEDURE**

CATEGORY:
Departmental

INDEX NUMBER:

TITLE: Conflict of Interest

ADOPTED:
May 19, 2010

Approved



Roger Mercado, Director

9.14.16

Date

AMENDED:
September 20, 2010, February 1, 2012,
February 9, 2016, August 23, 2016

ORIGINATING DEPARTMENT:
Human Services

PURPOSE/SCOPE:

To standardize a department-wide policy and procedure for real and perceived conflicts of interest regarding federal funding allocated to Lee County from the U.S. Department of Housing and Urban Development (HUD). As referred to in this policy and regarding conflicts of interest, "Lee County" herein refers to the Lee County Board of County Commissioners and its organizational structure, and not to any constitutional department or other unrelated public or private entity containing "Lee County" in the name of the organization. Policy and procedure contained herein is above and beyond requirements set forth in Lee County Employee Policy Number 206, Code of Ethics, which applies at all times to Lee County employees and other stated officers and/or appointees.

RESTRICTED PERSONNEL:

Persons who have a real or perceived conflict of interest are employees, agents, consultants, officers, elected or appointed officials of any Lee County public agency or of any subrecipient performing administrative functions under this code who:

- exercise or have exercised any functions or responsibilities with respect to HUD-funded activities; or
- are in a position to participate in the decision making process or gain inside information regarding such activities.

Should those circumstances exist, that person cannot:

- obtain personal or financial interest or benefit from the activity;
- have any financial interest in any contract, subcontract, or agreement with respect to a HUD-funded activity or with respect to the proceeds of a HUD-assisted activity, either for themselves or those with whom the person has family or business ties during their tenure or for one year thereafter.

Persons meeting these standards are therefore excluded from participating in the federally-funded activity or activities, **unless an exception to the federal regulations is requested.** Exceptions **must be pursued** for all Human Services, County Administration, and County Attorney employees, as well as County Commissioners and their Executive Assistants.

CONFLICTS PROHIBITED:

These procedures apply to the procurement of supplies, equipment, construction, and services. Procurement with federal funds by Lee County and sub-recipients will also be governed by 2 CFR 200. Procurement with county funding shall be governed by applicable Statute and/or Lee County Employee Policy Number 206, Code of

Ethics. In addition to procurement, covered activities may include acquisition of real property, disposition of real property, and the provision of assistance by Lee County or its sub-recipients for eligible activities.

In addition to employees listed in and covered by Lee County Employee Policy Number 206, Code of Ethics, no subrecipient shall participate in the selection, or in the award or administration of a contract supported by Federal funds if a conflict of interest, real or apparent would be involved. Such a conflict would arise when the employee, officer or agent, any member of their immediate family, his or her partner, or an organization which employs or is about to employ any of the above, has a financial or other interest in the firm selected for the award. Adherence to this policy will be required of sub-recipients at the execution of contracts or other programmatic agreements and verified by subrecipient monitoring.

EXCEPTIONS

The Department of Human Services Director may accept requests for exceptions to the exclusion referenced on a case-by-case basis. An exception may be considered only after:

- A disclosure of the nature of the conflict (attached) is provided and that the interest for which the exception is sought would not violate federal, state, or local laws.
- The exception request has been publicly disclosed and documentation of the public disclosure is available. Disclosure will consist of publication of an advertisement in the News-Press in the format attached as well as posting on the Department’s website; documentation will consist of an affidavit of publication of the advertisement.
- An opinion by the Lee County Attorney stating the conflict does not violate state or local law has been written.

A determination by HUD that the exception will serve to further the purposes of existing program statutes, laws, and/or regulations, and after taking into account the cumulative effect of the following information and factors:

- The name, title, classification of the person, and a brief description of the person’s position as it relates to the assisted project or contract award.
- Whether the exception will provide a significant cost benefit or an essential degree of expertise to the program or project that would otherwise not be available.
- Whether an opportunity was provided for open competitive bidding or negotiation.
- Whether the person affected is a member of a group or class of low or moderate income persons intended to be the beneficiaries of the assisted activity, and the exception will permit such person to receive generally the same interests or benefits as are being made available or provided to the group or class.
- Whether the affected person has withdrawn from his or her functions or responsibilities, or the decision making process with respect to the specific assisted activity in question.
- Whether the interest or benefit was present before the affected person was in a position as previously described.
- Whether undue hardship will result either to Lee County or the person affected when weighed against the public interest served by avoiding the prohibited conflict.
- And any other relevant considerations.

All of this will be forwarded to HUD for final determination.



CONFLICT OF INTEREST POLICY ACKNOWLEDGEMENT

By signing below, I acknowledge receipt of the conflict of interest policy and procedure for the Lee County Department of Human Services. I further acknowledge it is my responsibility to read, understand, and follow the policy and procedure. A complete, signed, dated copy of this document must be returned to your supervisor for placement in your personnel file.

Employee Signature

Date

Employee PRINTED NAME

CONFLICT OF INTEREST DISCLOSURE

I understand that I must disclose information regarding my relationship with Lee County or with other persons who may be associated within the County if there is a real or perceived conflict of interest due to employment, financial interests, or familial or business relationship. I, therefore, attest to the following:

- I am a current Lee County Board of County Commissioners' official, employee, board member, commissioner, agent and/or other representative of the County.

Position/Title: _____

- I am a former Lee County Board of County Commissioners' official, employee, board member, commissioner, agent and/or other representative of the County.

Position/Title: _____

Date Employment/Term Ended: _____

- I am related to or have a business relationship with a current Lee County Board of County Commissioners' official, employee, board member, commissioner, agent and/or other representative.

His/her name is: _____

The person is associated with the County in the capacity as: _____

The relationship of the person is as follows:

- Parent; Spouse; Immediate family; Business associate; Other: _____

- To the best of my knowledge, I am not aware of any current Lee County Board of County Commissioners' official, employee, board member, commissioner, agent and/or other representative of the County who is related to me or with whom I am a business associate.

Name (Print)	Signature	Date
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Name (Print)	Signature	Date
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Warning: Florida Statute 817 provides that willful false statements or misrepresentation concerning income, asset or liability information relating to financial condition is a misdemeanor of the first degree, punishable by fines and imprisonment provided under Statutes 775.082 or 775.83.

FOR STAFF USE ONLY

In accordance with Federal regulations, this employee: **Does** **OR** **Does Not** exercise or has exercised any functions or responsibilities with respect to HUD-funded activities,

and **Is** **OR** **Is Not** in a position to participate in the decision making process or gain inside information regarding such activities. Therefore,

No conflict exists, or

Exception to a real or perceived conflict exists and an exception will be filed.

Signed by: _____ Date: _____

SAMPLE

**Public Notice
Lee County Public Disclosure of Conflict of Interest**

In accordance with Federal Regulations published for Title 24, Housing and Urban Development, which governs the funding sources of the Community Development Block Grant and Neighborhood Stabilization Program (Chapter 570) and the HOME Program (Chapter 92), Lee County is disclosing the following conflict of interest.

The County has received (an application for assistance/notification of a business relationship and/or financial benefit) from (name), who is an employee of Lee County, working in the capacity of (title) in the Department of (name).

Should a conflict of interest be determined by legal counsel, an exception to this conflict may be reviewed by the U.S. Department of Housing and Urban Development. Public comment will be taken at the next meeting of the Community Action Agency/Neighborhood District Committee on (insert date and time), at the Lee County Department of Human Services, 2440 Thompson Street, Fort Myers, Florida, 33901, or sent in writing to RMercado@leegov.com by (date and time).

**Department of Human and Veteran Services
Grants Administration Handbook**

APPENDIX D

LOCCS Drawdown Procedures

**Department of Human and Veteran Services
Grants Administration Handbook**

Steps for Completing E-LOCCS Drawdowns

1. Contract Specialist shall review payment request and all required supporting documentation to ensure expenditures are allowable.
2. Payment requests shall be prepared and given to the Fiscal Officer with a “Request Voucher for Grant Payment Form” for review.
3. After Fiscal Officer review, a drawdown packet is completed. Drawdown packet shall include:
 - a. monthly salaries from the Kronos payroll system,
 - b. payment request line item expenditure report, and
 - c. revenue transmittal.
4. Fiscal officer shall approve and initial the “Request Voucher for Grant Payment”
5. Salaries and expenditures shall be posted to the grant’s internal tracking spreadsheet.
6. Fiscal Officer shall provide drawdown packet to Fiscal Manager for approval and signature.
7. After Fiscal Manager approval, the drawdown shall be completed in the e-LOCCS system.
8. Fiscal Officer shall log-in to HUD REAC home page, via individual username and password
9. Choose – *Line of Credit Control System (LOCCS)*
10. Select *SNAPS* program area to access next menu
11. Select – *Payment Voucher*
12. Select the appropriate grant number for the grant from which the draw is being completed
13. Select – *Submit*
14. The *Payment Voucher Entry* form will populate.
 - a. All line item amounts from the “Request Voucher for Grant Payment” form must be entered on this screen.
 - b. Verify all amounts are correct and select – *submit*.
15. The completion screen will indicate is entry was approved/accepted and the date of deposit.
 - a. If screen indicates review and approval by the local HUD office is requested, the Fiscal Officer shall e-mail the local HUD office with grant information, amount of draw, and a copy of the E-LOCCS Payment Voucher Entry screen.
 - b. A printed copy of the Payment Voucher Entry shall be made.
16. Once completed user must log-out.
17. Fiscal officer shall place a signed copy of the Payment Voucher Entry with the drawdown packet.
18. A copy of the revenue transmittal and E-LOCCS Payment Voucher Entry shall then be scanned and e-mailed to the Lee County Finance Department.
19. After revenue is received, a copy of the blank revenue deposits shall be e-mailed to the Fiscal Officer
20. Fiscal Officer verifies revenue amount with drawdown amount and posts to grant’s internal tracking spreadsheet.

**Lee County Continuum of Care Governance Board
Effective August 2016**

Name	Organization	Email Address	Sector or Subpoulation Represented
Benton, Jennifer	ACT	jbenton@actabuse.com	Victim Service Provider, Social Service Provider
Bath, Karla	Advocate	karlasbath@gmail.com	Formerly Homeless, Advocate
Constantine, Kerry	Blankets and Blessings	kerryconstantine@yahoo.com	Nonprofit Homeless Assistance Provider, Social Service Provider
Lincoln, Christine	Children's Home Society of Florida	christine.lincoln@chsfl.org	Nonprofit Homeless Assistance Provider, Social Service Provider
Encalada, Tony	Christ Center Home Ministries Home for the Homeless	hoysse12@yahoo.com	Faith Based Organization
Yearsley, Amy	City of Cape Coral Department of Community Development	ayearsle@capecoral.net	Government
Rozier, Sharon	City of Fort Myers Community Development Department	srozier@cityftmyers.com	Government
Felke, Thomas Dr.	FGCU - BSW Program Director	tfelke@fgcu.edu	University
Norris, Carolyn	Home Ownership Resource Center	carolyn@horcswfl.org	Affordable Housing Developer
Campanale, Sherri	Housing Authority of the City of Fort Myers	sherri@hacfm.org	Public Housing Authority
Hustad, Kim	Lee County Department of Human and Veteran Services	khustad@leegov.com	CoC Collaborative Applicant, Government, Social Service Provider
Bartos, Janet	Lee County Homeless Coalition	leehomeless@gmail.com	Lee County Homeless Coalition/Advocate
Myers, Connie	Lee County Housing Development Corporation	cmyerslchdc@yahoo.com	Affordable Housing Developer
Monroe, Ranice	Lee County Schools	RaniceM@LeeSchools.Net	School district
Shoriak, Heidi	Lee Memorial Health System	heidi.shoriak@leememorial.org	Hospital
Boisvert, Rosemary	SalusCare	rboisvert@saluscareflorida.org	Mental Health Agency, Nonprofit Homeless Assistance Provider, Social Service Provider
Cherizier, Shannon	The Salvation Army	shannon.cherizier@uss.salvationarmy.org	Faith Based Organization, Nonprofit Homeless Assistance Provider, Social Service Provider
Wilson, Kerrie	Veterans of America Fl/Veterans Village/Lee County Resident	kwilson@voa-fla.org	Advocate
Visaggio, Matt	Visaggio & Co.	matt@visaggio.co	Business, Advocate
Doro, Rico	Fort Myers Police Department	edoro@fmpolice.com	Local Law Enforcement

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APPENDIX D

LOCCS Drawdown Procedures

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 - b. payment request line item expenditure report, and
 - c. revenue transmittal.
4. Fiscal officer shall approve and initial the “Request Voucher for Grant Payment”
5. Salaries and expenditures shall be posted to the grant’s internal tracking spreadsheet.
6. Fiscal Officer shall provide drawdown packet to Fiscal Manager for approval and signature.
7. After Fiscal Manager approval, the drawdown shall be completed in the e-LOCCS system.
8. Fiscal Officer shall log-in to HUD REAC home page, via individual username and password
9. Choose – *Line of Credit Control System (LOCCS)*
10. Select *SNAPS* program area to access next menu
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LEE COUNTY DEPARTMENT OF HUMAN & VETERAN SERVICES
MONITORING REPORT GUIDE

This guide is meant to serve as a reference tool and a stepping stone when conducting monitoring. The guidelines presented here are not meant to limit your review of the agency/program but to rather serve as a minimum threshold of information to gather, review and report. The monitoring visit is a limited scope review of the contract and agency management and does not relieve the agency of its obligation to manage the grant in accordance with applicable rules and sound management practices.

AGENCY:	
SITE ADDRESS:	
LEE COUNTY CONTRACT:	
AMOUNT OF AWARD:	
FUNDING SOURCE:	
FUNDING REQUIREMENTS:	
<p>Include discussion of agency funding requirements including other funders if applicable i.e. State requirements; HUD requirements; match requirements; homeless/disability requirements; labor standards; lead based paint; criteria identified in proposal/application; PFR guidelines; state statutes, etc.</p>	
FINANCIAL: TIMELY SPENDING, UTILIZATION OF FUNDS AND MATCH REQUIREMENTS:	
<p>Include amount and % of funds disbursed and amount of funds remaining. Include discussion of whether the agency is on target to spend the funds by end of contract.</p> <p>For unit rate contracts, include a discussion if agency is providing the unit of service as presented in the proposal and if on target to deliver the number of units proposed by end of contract term.</p> <p>For line item contracts, include an explanation if the actual project budget is following the projected budget as presented in the application/proposal. If not, is the agency considering re-budgeting. Discuss if funds are being drawn in a timely manner.</p> <p>If applicable, discuss if match is a requirement and if agency is on track to satisfy the required amount. PFR – contracts discuss the % of funding to expenses (i.e. 25/75%).</p> <p>Independent Financial Audit: Include date that the most recent audit was received and fiscal year end date. Summarize comments regarding any identified issues or lack of, qualified/unqualified (if applicable) and any pertinent information from management letter is one was issued.</p>	
PROGRAM/PROJECT DESCRIPTION:	
<p>Provide brief narrative of scope of the program (statement of work), client service, program capacity and numbers served.</p> <p>*Discuss if program is meeting the scope of service and/or providing the activities as defined in the statement of work and/or proposal/application. Is the program providing the services that were committed to at the beginning of the contract/proposal/application?</p>	

PROGRAM CAPACITY/NUMBERS SERVED:

Current program capacity: _____

Program capacity as stated in proposal/application: _____

Based on staff and facilities available, list the program capacity. This means the maximum number that can be served at a given point in time. Include explanation if capacity is determined by a legislative mandate, regulation, certification, accreditation or other outside standards. The number of unduplicated clients served during the course of the contract is different from the capacity. Capacity is the maximum number that can be served at a given point in time. Unduplicated client count refers to the number of actual individual clients served.

You must consider the type of services provided by the program in order to determine appropriate capacity and number served. The way capacity is determined will vary greatly by program. There is no one formula to determine capacity as each program is different. The method may be similar for different agencies/programs if the service provided is the same or similar. For instance, the capacity for programs with caseloads should be computed basically the same for each program (maximum number of caseload x number of case managers).

The capacity may not actually be the number of clients depending on the program and services provided. It may be some other type of service i.e. meals, educational or informational presentation.

Examples of capacity determination:

- ◆ If the program provides case management, the capacity would be a maximum number of active cases per case manager multiplied by the number of case managers.
- ◆ If the program provides shelter beds, the capacity would be the maximum number of beds that could be available on a given night.
- ◆ If the program is an after school program and due to number of staff and building size the maximum of children participating at one time is 15 then the capacity is 15.
- ◆ If the program provides meals, capacity may be the total number of meals that can be provided at one time.
- ◆ If the program conducts educational presentations, the capacity may be the maximum number of presentations that can be provided at one time.

The purpose of evaluating capacity and number served is to determine efficiency and effective use of resources including our funding dollars. For example, if a program has 2 case managers and the capacity is 100 (50 per case manager) and number served today is 35 and average for last 6 months is 40; there may be an issue of effective use of staff and funding. One question that should arise, why are we paying for 2 case managers when caseload size indicates that 1 would probably be sufficient? OR if a shelter's program capacity is 25 and the average number of beds filled is 10, then the question should be asked, do we need to pay for 25 beds if they are not needed/occupied.

Additionally, capacity could be used to evaluate and compare similar programs being provided by different agencies for funding considerations. For instance if there are two agencies providing basically the same program, with same or similar outcomes and one has a substantially higher capacity, the agency with the higher capacity could be more highly considered when funding is limited.

The capacity identified at the time of monitoring may be different than that stated in the proposal. This could be acceptable if the reason is valid and logical and the difference is not so great as to effect how the unit rate was computed. The report should include the different numbers as well as the explanation.

Number served/open in program today: _____

The number served or open today is going to depend upon the measure that was used to determine the capacity.

- ◆ If the capacity is the number of caseloads, the number today is the number of open cases.
- ◆ If the capacity is number of beds, the number today will be the number of occupied beds.
- ◆ If the capacity is number of children served in an after school program, the number today would be number participating today.

Some programs have enrolled clients who are not actively participating in the program. This number should be listed separately from the “number served/open today” as we are looking for the number that are actively involved in the program and not the number that may be registered but are inactive or not participating.

Average number of clients served/open: _____

The average number served or open today is also going to depend upon the measure that was used to determine the capacity. The method of determining the average should be consistent with the way the numbers were determined above for number served/open.

- ◆ If the capacity is the number of caseloads, the average number is the average number of open cases.
- ◆ If the capacity is number of beds, the average number will be the average number of occupied beds.
- ◆ If the capacity is number of children served in an after school program, the average number would be the average number served.

If the average is not representative for some reason, include an explanation of why the agency feels the average is not a true illustration of the number served.

FILE REVIEW

Examine sampling of client files to determine if beneficiaries are in the target population and are receiving services as proposed. Select at a minimum one month during which services were provided and review 10% of clients files (minimum is 10 - maximum is 50 files). Include a brief explanation/definition of the eligibility criteria that was used to evaluate the files.

- Describe # and % of files reviewed and quality of file organization.
- Were pertinent forms in file to document eligibility?
- Was there sufficient documentation in file to substantiate that applicable services were being provided i.e. individual service plans; school attendance records; case notes; discharge plan/report, etc.?
- If applicable, verify accuracy of rent calculation. Client rent must not exceed 30% of gross adjusted income.
- Does the file documentation validate what was billed to the contract?

OUTCOMES:

*Do Outcomes show a client benefit?

*Verify required documentation by client file sampling.

*How are case file outcomes tracked and data collected? Provide brief explanation of system of collecting information, how/who collects the data, how/why is data compiled; who/how data reported.

* If there are no current measured outcomes due to time frame (i.e. too early in contract year), notate if appropriate documentation is being collected so that at end of tracking period outcomes will be able to be calculated correctly. For example, if outcome is based on an improvement between pre and post tests/assessments. Ensure that there are pre tests/assessments in the file.

*If there are no current measured outcomes due to time frame (i.e. too early in contract year), include last year's outcomes and results.

Current Year Outcome Statement #1:

Results: Include explanation, number and % of outcome results.

Comments: Can include agency's remarks as well as observations or questions that monitor noted during the monitoring visit.

OTHER MONITORING REPORTS

Discuss other monitoring reports from other funders relating to specific program under review.

PRIOR HUMAN SERVICES MONITORING ISSUES OR OTHER COMPLIANCE ISSUES (SUSPENSIONS)

Discuss monitoring issues from previous (last year) monitoring and if and how issues have been addressed/resolved.

Discuss if agency has been suspended for non compliance and include reason for the suspension and how it was resolved.

OBSERVATION OF FACILITY AND/OR INTERVIEWS:

Describe observations of facility, if applicable.

Include results of HUD Housing Quality Standards (HQS) inspections, if applicable

Describe results of interviews with management and staff if conducted.

Discuss how client satisfaction is measured. What formal process is utilized to obtain feedback from both staff and clients?

TIMELINESS:

Discuss timeliness of required reports submission. Include percent and number of deliverables submitted timely out of total number of deliverables required (4 of 5 deliverables were received on or before their due date).

Timely submissions under 70% constitutes a finding
Timely submissions under 90% constitutes a concern.

EQUIPMENT/ASSETS INVENTORY:

If applicable, include discussion of any equipment and/or assets that were purchased with contract money.

Just because an agency provides information does not mean that we can't question it, especially if we don't understand. Programs should be consistent with the application/proposal however there may be legitimate reasons for variances. Remember the proposal was written as a projection and staffing levels, capacity or other circumstances may have changed some of the numbers however the changes must be able to be explained by a logical, reasonable explanation. It is also possible that an outcome or how an outcome is tracked may change between the time the proposal is submitted and when the monitoring occurs. It is acceptable to entertain and explain differences; however a contract amendment may be necessary depending upon the severity, degree and timing of changes.

FINDINGS AND CONCERNS:

1. FINDING: A finding is a violation of law, regulation or contract requirement that can result in a sanction or repayment. It is a serious failure to comply with Federal, State or locally established policies, procedures, directives and/or application/proposal that may lead to disallowed costs and/or threaten programmatic integrity, performance and possibly future funding. A finding identifies the provider's failure to comply with specific terms and conditions of the contract which relate to the service delivery, operations, billing practices and/or financial stability.

CORRECTIVE ACTION: Request agency to submit Corrective Action Plan which outlines a course of action to correct the deficiency and a plan to prevent future occurrences. If an issue is discovered which effects payment/overpayment be sure to address the fact that all files for all months must be examined and not just the month that was reviewed. If there were errors during the sample month it is reasonable to assume they were errors in prior months also. Specify the particulars and information that should be provided to address the violation however be careful not to provide so much detail that the agency can just copy your statements and return as their corrective action and then never really address the issue. The goal is for the agency to think about the problem and develop a realistic plan of how to correct and prevent it in the future rather than just reiterating what they think we want to hear.

2. CONCERN: Concerns are potential problem areas or weaknesses in program operations that may represent non-compliance with application/proposal, established policy and/or processes and which if not corrected, may eventually result in noncompliance, questioned costs or other management issues and lead to larger compliance issues for the program in the future. Addressing concerns are intended to prevent contract violations and to improve program operations.

A concern can be a request for a clarification or explanation for details, justification or rationale for a question, uncertainty or reservation that surfaced during the monitoring or other review of documents which relate to program operations.

NECESSARY ACTION: Request agency to provide a course of action that may be considered in working toward resolution of the issue and to improve operations of the program. Specify the particulars and information that should be provided to address the point in question.

CONCLUSIONS: Summary of overall operation of the program and evaluation of the effectiveness and efficiency of the program and utilization of funds.

Prepared By: _____ Date: _____

Reviewed and Approved by: _____ Date: _____
Department of Human and Veteran Services

Date Report Sent to Agency: _____

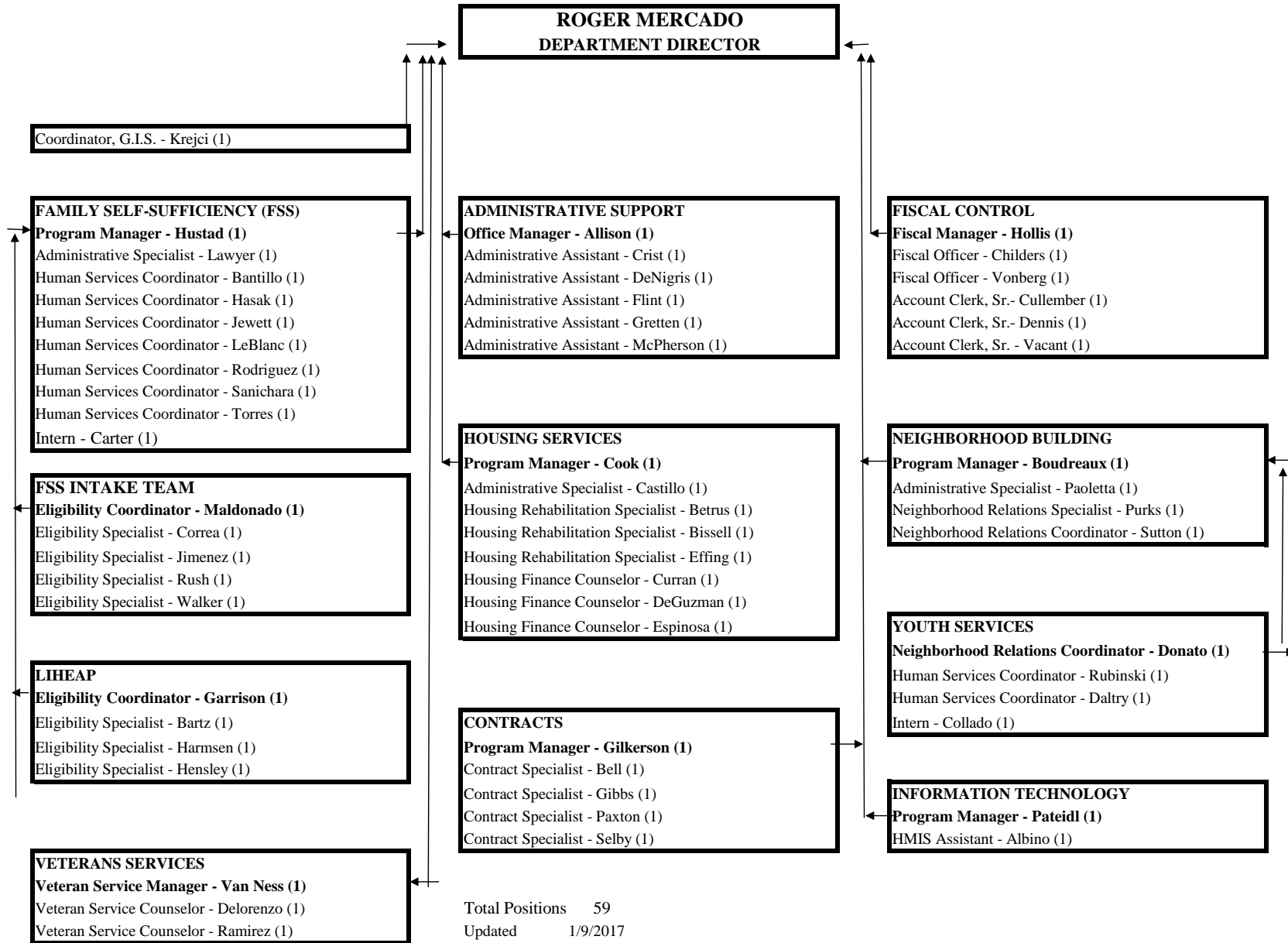
Date CAP and/or Response is due: Input date that CAP is due

A corrective action plan using the attached format should be returned to the Department of Human Services within 30 calendar days of the letter.

If there are no findings or concerns a written response is not required from the agency.

Report should be emailed to Agency Director and copied to Board Chair.

**LEE COUNTY DEPARTMENT
OF HUMAN and VETERAN SERVICES
VISION: EMPOWERED INDIVIDUALS AND NEIGHBORHOODS**



**Human and Veteran Services
Grants Administration Handbook**

CHAPTER 3: ROLES AND RESPONSIBILITIES

All DHVS personnel engaged in preparing grant proposals and administering grant awards or responsible for grant funded assets serve an important role in the success of project outcomes and objectives and ensuring that all grant terms and conditions and budgetary and regulatory requirements are met.

Below are the “key players” in the management and administration of grant funded projects received by the County and a representational list of the responsibilities.

The Board of County Commissioners (BoCC)

Some grant applications and other grant documents may require authorization by the BOCC for submission. The Chair of the BOCC will sign as the Authorized Representative (AR) on behalf of the BOCC.

Lee County Clerk of Court - Finance

The Finance Department provides accounts payable, payroll, revenue/investments and financial reporting services for the Board of County Commissioners.

The Department of Human and Veteran Services (DHVS)

The DHVS shall implement the grants administration policy and provide process and procedures for the preparation of grant proposals and the management of grant awards in accordance with Lee County BoCC Administrative Codes and DHVS policies. DHVS will report on the submission and status of grants in a manner that assures transparency and accountability to the BOCC, grantors, and the public.

Department personnel include the director, program managers, grants coordinator, contract specialists, and fiscal officers whom are responsible for providing the essential support and control to DHVS and agencies to see that grantor and County regulatory and budgetary policy and procedures are followed and grants awarded to the County end successfully with outcomes that are meaningful to our constituents.

- **Grants Coordinator (GC)**

- The GC is responsible for establishing and maintaining policy and procedures to identify and assess grant programs, analyze funding opportunities, and develop grant seeking strategies relevant to the mission and priorities of Lee County and DHVS. The Grants Coordinator organizes the planning and submission of grant proposals that are on regular cyclical schedules.

- **Contract Manager (CM) & Contract Specialist (CS)**

- Although some tasks may be delegated, the CM is the chief accountable person for the overall administration of the grant award and meeting the terms and conditions of the award, and for representing the project to the grantor.

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The CS is responsible for developing and implementing controls and systems that assure compliance with applicable statutes, regulations, policies, procedures and contracts on awarded grants, and to provide strategic information and underlying detail to agencies in order to monitor grant applications, draw-downs, reporting, and performance activities for all grant programs managed.

- **Fiscal Manager (FM), Fiscal Officers (FO), & Account Clerks (AC)**

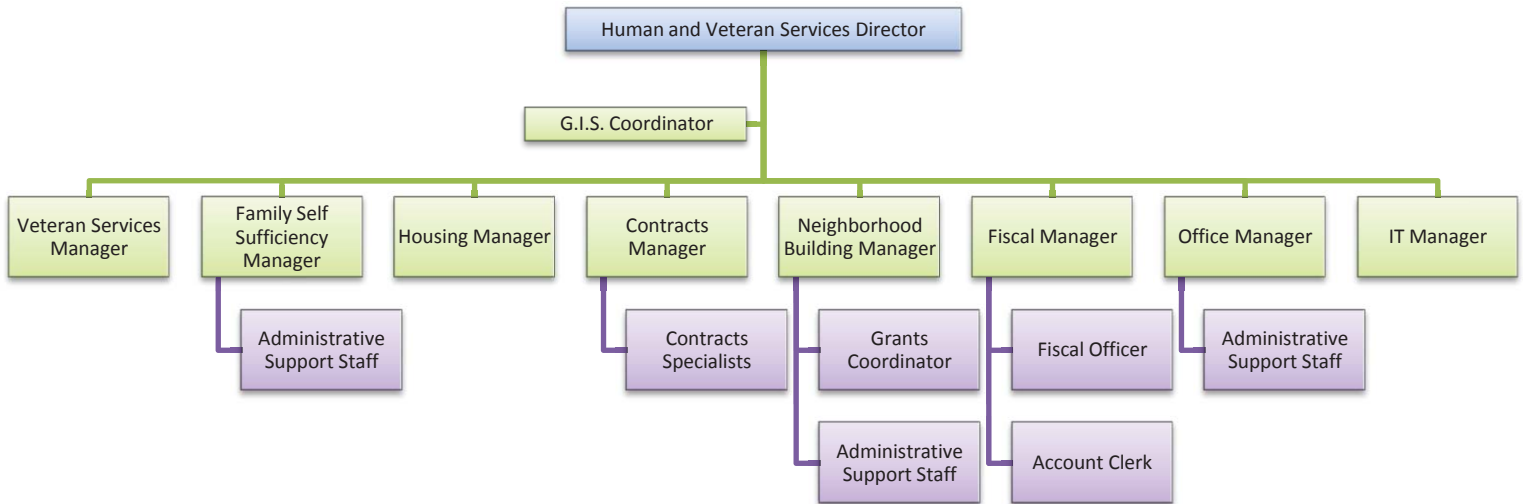
The FM hold fiscal responsibilities for DHVS. The FM, FO, and AC ensure adequate resources are provided to staff for the appropriate conduct of project management duties and grant award management.

The FM, FO, & AC are responsible for managing the financial requirements and maintaining the award record in the County’s financial system. Although some tasks may be delegated, the FM is the chief accountable person for the overall fiscal conduct of the grant award and meeting the budgetary terms and conditions of the award, and for representing the fiscal accounting of the project to the grantor.

- **Support Staff**

Support staff members are a critical element in the successful management of grant awards, and will typically provide certain delegated duties to assist project execution.

DHVS Key Grant Staff Organizational Chart



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Department of Human and Veteran Services Internal Controls Chart

Task	Grants Coordinator	Account Clerk	Fiscal Officer	Fiscal Manager	DVHS Director	Lee County Clerk Finance	Board of County Commissioners	Program Managers & Staff
Develop Action Plan - Listing projects and budget amounts	X			X				X
Adopt Action Plan					X		X	
Fund Projects in IDIS (Integrated Disbursement & Information System)	X							
Review Supporting Documentation and Authorize Payables		X						X
Drawdown Amount Prepared - Based on Authorized Payables			X					
Create Drawdown in IDIS			X					
Approve Drawdown in IDIS				X				
Check account for receipt of drawdown prior to disbursing checks						X		
Prepare Cash Transaction Report to Match Finance Accounts				X				
Approve Cash Transaction Report					X			
Reconcile Accounts - Monthly		X	X					
Authorize users in external financial systems (i.e. IDIS, DRGR, eLOCCS)					X			



Purchasing Manual

Procurement Management

The Purchasing Manual is a "Guidebook" to how the County acquires its goods and non-professional services of all kinds. Its purpose is to educate both our employees and our vendors in how to buy and sell to Lee County. It is here that you will find the rules that govern the procurement process as well as tips, forms and information on the County credit card program.

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SECTION 1: FOREWORD

1.0 Division of Procurement Management Mission Statement

1.0.1 The goal of the Division of Procurement Management (hereinafter referred to as Procurement) is to: (1) provide clear and concise guidelines on acceptable procurement methods; (2) provide training (classes) to equip our customers with the tools needed to obtain goods and services; (3) provide professional guidance and assistance per Administrative Code #4-1; (4) procure goods and services through a competitive process when requested or if we deem necessary; and (5) monitor purchases made to insure compliance with established policies and procedures and to determine the areas where additional training is needed.

1.1 Overview

1.1.1 This “Purchasing Manual” (hereinafter referred to as Manual) will serve as the basis for purchasing policies and procedures for Lee County (hereinafter referred to as the County). The purchasing function involves the procurement of materials, supplies, equipment, and services at the best value, consistent with operational needs, while maintaining fair and open competition.

1.1.2 Since rules and regulations are necessary for the proper operation of the procurement function and since it is essential that all who are involved in the procurement operations be well informed, this manual has been developed to aid all employees directly or indirectly associated with the function of procurement.

1.1.3 The Board recognizes competitive procurement for like-type items and large dollar purchases as a necessary function of effective government, which promotes economy and efficiency by facilitating accounting and finance control and by enabling quantity purchasing and the standardization of frequently used items. The Board, therefore, declares that it shall be the responsibility of the Procurement Director to competitively procure these type of supplies, equipment and services for the departments and divisions of the County, the basic objective of which is to obtain the best total value consistent with operational needs, while maintaining fair and open competition.

1.1.4 Three principles of acceptable procurement practices are as follows:

- To deal fairly and equitably with all vendors wishing to do business with Lee County. This is accomplished by maintaining strong and enduring relationships with vendors of proven ability by conducting procurement activities to insure vendors will value County business and make an effort to meet stated requirements on the basis of quality, service and price.
- Maximize competition for procurement of the County by insuring that interested vendors are afforded an equal opportunity to furnish quote/proposals and are able to compete on equal terms.
- Purchase goods and services at the best total value, consistent with quality performance and delivery requirements, from vendors who meet the County's requirements and are capable of performing.

1.2 Various Roles Involved in the Procurement Function

The procurement function can be divided into three main sections as follows:

1.2.1 Role of Procurement

The role of Procurement in the purchasing process is to:

- Maintain an up-to-date Purchasing Manual as a guide for all procurement procedures
- Maintain up-to-date signature authorization files for all employees involved in the procurement function
- Maintain the master vendor Address Book database in One World®
- Prepare tax exemption forms, credit applications, W-9 forms and 1099 forms as requested
- Procure goods and services when requested by the departments and divisions
- Provide training on acceptable procurement policies and procedures

- Monitor purchases made by departments and divisions for compliance with the policies and procedures established in this Manual and any other applicable Administrative Codes, Ordinances, Florida Statutes, etc.
- Prepare and/or process annual quotes, proposals, etc.
- Advise departments and divisions upon request in the preparation of specifications
- Competitively procure items or services as needed regardless of dollar level at the department director and/or Procurement director discretion.
- Administer the County-Wide Procurement Card Program

1.2.2 Role of Operating Departments and Divisions

The role of the operating departments and divisions in the procurement process is to utilize the services of Procurement and to be responsible for:

- Identifying, as soon as possible, and sufficiently in advance, their needs for goods and/or services in their County operations and activities
- Notifying Procurement of their purchasing needs and utilizing the proper forms and procedures as described in this manual
- Using accurate account strings
- Providing clear and precise detailed specifications for each item or service requested or ordered
- Determining that sufficient funds are available in their authorized budgets to pay for each item or service that is ordered
- Inspecting all items or services as delivered, and notifying the authorized department requisitioner of receipt in order to authorize payment to the vendor
- Adhering to proper procurement procedures as outlined in this manual and any applicable Administrative Codes, Ordinances, Florida Statutes, etc.
- Authorizing of all purchase transactions initiated by their personnel
- Verifying vendor has proper licensing and insurance, if applicable for all requisitions entered as department to handle.

1.2.3 The Role of Finance

The role of the Clerk of Courts Finance Division (hereafter referred to as Finance), as an agent of the Clerk to the Board, is to serve as the accountant and treasurer to the Board. In the procurement process, Finance is responsible for:

- Pre-auditing all payment requisitions prior to disbursement, to review for accuracy and to determine whether or not they are legal and proper, and that appropriate policies and procedures have been followed
- Rejecting any payment requisitions for purchasing transactions where the policies and procedures outlined in this manual have not been followed
- Disbursing of funds for purchasing transactions which are legal and proper and in compliance with all appropriate policies and procedures
- Recording all disbursements in the County's accounting records.

SECTION 2: INTRODUCTION

2.0 Purpose

- 2.0.1 The purpose of this Manual, which is an Administrative Code adopted by the Board, is to assist County employees regarding the procurement policies and procedures of Lee County, Florida.
- 2.0.2 The adoption of this Manual, and the approval of any subsequent revisions to such, by the Board, shall authorize the policies and procedures contained herein for official use in County business.
- 2.0.3 The Board has authorized the County Manager or, in his/her absence, the Deputy County Manager, or Assistant County Managers to approve procedural revisions to this Manual.

2.1 Scope

- 2.1.1 The scope of this Manual, and the policies and procedures contained herein, govern all departments and divisions under the jurisdiction of the Board, as well as all purchasing transactions, which are paid for directly from County and grant funds under the control of the Board. The contents of this Manual preempt all previously existing purchasing manuals, policies and procedures.

2.2 Distribution

- 2.2.1 This Manual will be made available, electronically via Procurement's Web Page, to all County employees involved in the procurement process. Procurement will be responsible for maintaining the official adopted version of this Manual online and for the continual updating this Manual as necessary, including any subsequent revisions on the web page.

2.3 Implementation

- 2.3.1 It shall be the responsibility of the County Manager or designee, through Procurement, headed by the Procurement Director, to implement and enforce the policies and procedures set forth in this Manual.
- 2.3.2 The Procurement Director, as head of Procurement, shall exercise functional authority over the County procurement process for the purpose of implementing and enforcing these policies and procedures on a county wide basis, as well as in Procurement for its role in the process.

- 2.3.3 Each department and division director shall be responsible for implementing and enforcing these policies and procedures within their respective jurisdictions.
- 2.3.4 A violation of any of the policies and procedures in this Manual may be grounds for disciplinary action and also may result in the County's refusal to pay for any improperly ordered goods or services.
- 2.3.5 Only the Board shall have the authority to waive or over-ride the policies contained in this Manual. In such cases, which are in the Board's opinion exceptional, they may issue specific directions that a particular case be handled in a manner different than required by this Manual.

2.4 Revisions

- 2.4.1 This Manual is to serve as a permanent, up-to-date guide to County procurement policies and procedures. Therefore, as necessary changes are made in policies and procedures, appropriate revisions will be made to this Manual. Procurement shall be responsible for the accurate maintenance of the Manual and for assisting all appropriate parties in maintaining an up-to-date Manual.

2.5 Recommendation

- 2.5.1 County employees are encouraged to make recommendations on sections of the Manual that, due to changing conditions may need revisions. They are also encouraged to make recommendations on new subjects not presently included in the Manual which they feel are necessary.
- 2.5.2 Any such recommendations should be submitted through appropriate organizational channels to the County Manager or designee for review and consideration.
- 2.5.3 The County Manager or designee shall be responsible for any proposed revisions of this manual.

2.6 Complaint Procedure

- 2.6.1 If any department or division has a complaint, about any aspect of the procurement function, they are to submit the complaint, in memo form, via the County's e-mail system and/or on a vendor complaint form to the Procurement Director.
- 2.6.2 Upon receipt of a complaint it will be logged in by Procurement as follows:
- Date received
 - Person/department issuing the complaint
 - Nature of the complaint
 - Date of complaint disposition
- 2.6.3 If the complaint involves a purchase order issued by Procurement, the Procurement Director will assign the complaint to the buyer assigned to issue the order in question.
- 2.6.4 The buyer will contact the vendor in an attempt to resolve the issue in question.
- 2.6.5 Upon satisfactory resolution of the complaint the buyer will report back to the Procurement Director with the appropriate details.
- 2.6.6 The Procurement Director or the buyer will then report back the findings/solution to the department originating the complaint
- 2.6.7 If the complaint involves a purchase order that was a department to handle, the memo or vendor complaint form will be filed for informational purposes only. It is the requisitioner's responsibility to resolve the complaint to the County's satisfaction.

2.7 Training

- 2.7.1 All County employees who are responsible for implementing the procurement process (entering REQUISITIONS) within their department/division must attend mandatory classes. New employees must attend mandatory training classes prior to the issuance of a One World® sign on.

SECTION 3: ACCESS TO THE PROCUREMENT FUNCTION

3.0 Who Should Have Access?

- 3.0.1 Since the One World®Procurement function is an on-line, client/server function, and access to this function must be controlled, secure sign on information giving access to specific functionality is provided to employees who are authorized to use the purchasing system.
- 3.0.2 Each department or division director, elected official, etc. should decide which members of their staff will be issuing requisitions, purchase orders and order revisions. Each employee who will have any responsibilities associated with the on-line purchasing process should be given a secure One World® sign on.

3.1 Access to the One World® Purchasing Module

- 3.1.1 In order to receive access to the One World® Purchasing Module, the following three requirements must be met:
 - 1. You must attend and complete the required Basic Requisitioner Training class.
 - 2. You must complete a Lee County Procurement Signature Authorization form. This form must show the name, signature and department/division of the authorized employee. Also, a list of the department/divisions for which the authorized individual will be responsible. The individual's supervisor/director or someone of higher authority must authorize this form.
 - 3. You must have a One World® Sign on. This is obtained from the Information Technology Group.

3.1.2 Upon termination of an employee that has access to the One World® Purchasing Module, it will be the user department's responsibility to notify Procurement, the Clerk of Courts Technology Services Department and the Information Technology Group Division to terminate this person's access to One World®. Also, the user department may either complete another Lee County Signature Authorization form revoking the terminated employee's purchasing authority,

or

Procurement will accept the TermGroup notification message in lieu of the signature authorization form.

3.2 Levels of Authorization/Access

- 3.2.1 An employee granted access to the One World® Purchasing Module shall have full and complete ability to issue requisitions, up to formal level; unless, there is another employee(s) designated in their approval path at a different dollar level(s), this would include \$50,000 level for department/division directors.
- 3.2.2 All purchases up to formal level will require either the County Manager, County Attorney, Hearing Examiner, Elected Official, Procurement Director, and/or their designee's approval.
- 3.2.3 Constitutional Officers using the Board's procurement procedures are authorized at the \$100,000.00 level. Authorization of other requisitioners within their office shall be left at the discretion of the Constitutional Officer.
- 3.2.4 Overriding One World® Approval – There may be unforeseen circumstances when for whatever reason a One World® approver will not be able to approve a requisition or order revision. The most common examples of this are that the person is not available to make the approval (i.e. illness or absence) or the particular requisition or order revision experiences a software malfunction that has disabled the approval process. In such cases Procurement will have the authority, once proper approval from the affected Department/Division has been obtained, to override the approval process. Proper authorization will consist of the authorized approver's explanation of approval and their name, date, etc. If the proper approver is unavailable; then the affected Department/Division Director, or higher authority, may approve the document in the same manner.

SECTION 4: PROCUREMENT METHODS

The following are acceptable procurement methods involving the issuance of a purchase order:

- **Outright purchase (no competitive pricing)** – this method is used when a purchase order is being issued without competitive pricing being requested for goods/services up to \$50,000. Procurement may at their discretion obtain a minimum of three (3) informal quotes.
- **Informal Telephone Quote** – this method can be used when competitive pricing is desired for purchases up to formal level. Pricing is requested from vendors who are given the *exact same* information. Quotes may be received over the telephone, by fax, via e-mail or in person. The purchase is made from the lowest, responsive, responsible bidder.
- **Informal Written Quote** – this method can be used when competitive pricing is desired for purchases up to formal level. Written specifications for the purchase are prepared and sent/given to interested vendors. A minimum of three shall be contacted. Sealed quotes are received in Procurement on a given date at a specified time. Award is normally made to the lowest, responsive, responsible bidder.
- **Informal Proposals** – this method can be used when competitive pricing is desired for purchases up to formal level when detailed specifications cannot easily be written due to the nature of the goods/services requested. The scope of services is provided to interested vendors. A minimum of three vendors shall be contacted. Sealed proposals are received in Procurement on a given date at a specified time. Award is normally made based on the specified evaluation criteria included in the specifications.
- **Formal Quote** – (One or Two Step Process) this method is normally used for purchases anticipated to be of formal level and above when a detailed specification can be written for the purchase. Specifications are provided to interested vendors and quotes are received and opened by Procurement on a specified date at a given time. The quotes are reviewed for responsiveness and responsibility. A recommendation is then made to award the quote to the lowest responsive, responsible bidder meeting specifications. Award is made by the appropriate authorization level based on the dollar amount involved for the purchase.
- In a Two step process, the formal process is followed as detailed above, vendors are qualified in Step One of this process thru evaluation criteria; and only those vendors deemed to be qualified proceed to Step Two where pricing is then revealed for comparison (only the pricing of qualified vendors is exposed).

- **Formal Proposal** – (One or Two Step Process) this method is normally used for purchases anticipated to be of formal level and above when detailed specifications cannot be written or when no fixed criteria exist. The scope of services is provided to interested vendors and proposals are received and opened by Procurement on a given date at a specified time. Normally an evaluation committee will meet to evaluate the proposals based on the evaluation criteria contained in the specification package. A recommendation is then made to award the proposal to the proposer whose proposal is in the best interest of the County. Award is made by the appropriate authorization level based on the dollar amount involved for the purchase.
- In a Two step process, the formal process is followed as detailed above, vendors are qualified in Step One of this process thru evaluation criteria; and only those vendors deemed to be qualified proceed to Step Two where pricing is then revealed for comparison (only the pricing of qualified vendors is exposed).
- **Negotiation** – per Florida Statute (287.057, if less than two responsive bids or proposals for commodity or contractual services purchases are received; the department or division may negotiate a contract on the best terms and conditions. The department/division shall document the reasons that such action is in the best interest of the County in lieu of resoliciting competitive sealed bids or proposals.

SECTION 5: REQUISITION PROCEDURE

5.0 Requisition Authorization

- 5.0.1 The One World® requisition process has a built in on-line approval path. This approval path is a combination of the department/division designation and the two-character document type. Each approval path contains any applicable approvers for that department/division, or any special approvers required for a particular type of purchase.
- 5.0.2 A department/division is not required to use the on-line approval capability of One World®. However, if there are no approvers in a department/division's approval path, the requisitioner, by virtue of being a designated requisitioner, has complete authority to enter a requisition up to formal level.
- 5.0.3 Procurement is in all approval paths with the exception of Public Works at the formal quoting level or below to insure that the formal quoting level is adhered to. If a waiver, exemption, or other type of pre-approval exists for the goods or services being required, Procurement will approve the requisition and it will become eligible to be issued into a purchase order.
- 5.0.4 Any blue sheet dates, quote expiration information, renewal clauses, or any other similar information will be included in the Order Attachment of the requisition.

5.1 Special Approvals

- 5.1.1 Certain types of goods or services may require special approval that is not based on the dollar amount of the purchase itself, but rather on the actual type of goods or services being purchased. For these special approvals, there are separate approval paths as follows:
 - **OA** – The County Attorney's (or designee) approval is required on certain types of legal services such as: expert witness services, court reporting services and legal services.
 - **OF** – The Fleet Manager's (or designee) approval is required on rolling and motorized purchases over 5 hp per an Administrative Directive and purchases of generators up to 20KW. Approval is required for the repair of damage from all accidents per Fleet Management Policy/Procedure #FV-001. *Lee Tran and Solid Waste is exempt from this.

- **OM** – The County Manager’s (or designee) approval is required on certain purchases such as emergency purchases (over formal level), charter flights, international travel expenses, and non-County employee travel expenses per Administrative Code AC-3-21.
- **OT** – The ITG (Data) Director’s (or designee) approval is required on all technology purchases for software, hardware, networking, etc.

*The following departments are exempt from getting ITG’s approval – DOT – Tolls, Utilities Automation and E-911.

*Technology purchases made on the County Visa Procurement Card must be approved by either ITG department or Procurement department via email or memo.

- **OU** – The Construction & Design Director’s (or designee) approval is required on the purchase of any modular furniture.
- **O1** – The Contracts Manager (or designee) approval is required on all non-contract construction and professional services purchases. (Object Code 503190 which includes consulting and specialty license such as plumbing, electrical, A/C installation etc..)
- **OH** – The ITG (Phone) Director’s (or designee) approval is required on all telephone purchases or services, excluding cellular phones and pagers.

5.1.2 It is the requisitioner’s responsibility to select the appropriate approval path for the type of requisition being entered.

5.1.3 If the requisition comes to Procurement without the required approvals, Procurement will notify the requisitioner that they must reenter their requisition selecting the appropriate approval path and resubmit it for approvals. The original requisition should then be canceled by the requisitioner so that it does not accidentally get issued into a purchase order.

5.1.4 When entering requisition(s) for services, and deciding when to use object codes 503190 vs. 503490, refer to the Uniform Expense Object Code listing that is provided to departments/divisions in the back of the Budget Prep Manual, provided by Budget.

5.2 Requisition Submission

- 5.2.1 A requisition must be entered by a designated One World® user with a secure sign on. Any changes needed on the requisition side must be done by the requisitioner (i.e. local business tax, etc.)
- 5.2.2 A requisition number will be assigned by the on-line system.
- 5.2.3 A requisition is entered as a department to handle; it is the department/division responsibility to verify that the vendor has proper licensing (i.e. local business tax, pesticide, low voltage, etc.) and insurance, if applicable.
- 5.2.4 A requisition is entered as Purchasing to verify – department to schedule; it is Procurement’s responsibility to verify the prices (for commodities), delivery timeframe and verify that the vendor has proper licensing (i.e. local business tax, pesticide, low voltage, etc.) and insurance, if applicable. For services, Procurement will be responsible for verifying that the vendor has proper licensing (i.e. local business tax, pesticide, low voltage, etc.) and insurance, if applicable and calling the purchase order number into the vendor. It is the department/division responsibility to schedule the delivery date and time with the vendor.
NOTE: It is the department/division responsibility to provide Procurement with any additional instructions in the order attachment to insure the order is placed properly.
- 5.2.5 The requisition will automatically be transmitted through the approval path selected at entry.
- 5.2.6 The requisition can be viewed on-line any time by inquiring on the document number assigned or by using the query-by-example (QBE) line on the requisition entry screen.
- 5.2.7 In order to facilitate fiscal year end close out, except for emergency purchases and purchases approved by the Procurement Director or designee, no requisitions may be submitted during the last 15 days of the fiscal year.

5.2.8 When the requesting department prepares a requisition it must include the following in the Order Attachment:

- Who – Contact person name and number
- What – Commodity or Service you are requesting; commodity codes don't give all the pertinent information needed, please describe further here
- When – Date service is to start or date event is to take place
- Where – Where event is taking place if products are to be delivered to another location then add the delivery address
- Why – Service is needed to accomplish what?
- Local Business Tax Number – Companies located in Lee County must have this number

5.2.9 When the requisition is to be used for in store purchases, it must include the following in the Order Attachment:

- Include a statement for the vendor/bidder to “Contact the Procurement Director for any attempted unauthorized purchases”.
- Requesting department should monitor any outstanding balance on an open purchase order.
- When picking up items, you must check out at the Commercial Sales counter if one is available.
- You must present a hard copy of the purchase order and a valid County ID for the store clerk to verify.
- Sam's Club - User departments/divisions send a memo or e-mail to Procurement to add/delete employees who are authorized to purchase from Sam's. Procurement will then fax an updated list to our representative at Sam's. In order to purchase items from Sam's, the authorized purchaser must bring a copy of the purchase order, County ID and go to the Customer Service counter, they will verify you are authorized to shop. After shopping you will go back to the Customer Service counter for check out.

5.3 Requisition Review

- 5.3.1 Procurement will review the requisitions received to determine proper preparation and authorization.
- 5.3.2 Procurement will notify the requisitioner by telephone or email of any requisition which is:
 - Incomplete
 - Improperly authorized
 - Involves a prepurchase, or
 - Any other violation of County policies or procedures

5.4 Public Entity Crime Form (PEC)

- 5.4.1 Any person or affiliate as defined by statute who has been placed on the convicted vendor list following a conviction for a public entity crime may not submit a bid or a contract to provide any goods or services to the County; may not submit a bid or a contract with the County for construction or repair of a public building or a public work; may not submit bids or leases of real property to the County; may not be awarded or perform work as a contractor, supplier, subcontractor, or consultant under a contract with the County, and may not transact business with the County in excess of \$25,000.00 for a period of 36 months from the date of being placed on the convicted vendor list.
- 5.4.2 It is the vendor's responsibility to notify you if they have been convicted of a public entity crime.
- 5.4.3 If a vendor notifies you that they have been convicted of a public entity crime you should immediately notify Procurement.

5.5 Recurring Requisitions

- 5.5.1 Enter Requisitions Menu, which has an available copy function.
- 5.5.2 Each requisition entered can be considered a template and a copy can be made if that same good/service is being purchased at a later date.
- 5.5.3 The copy feature provides a chance to make any necessary changes to the requisition at the time of the copy.
- 5.5.4 For requisitions that will be used from one fiscal year to the next, the copy function can be used, any necessary changes made, and the requisition is sent through the applicable approval path and is ready to be issued into a purchase order for the new fiscal year. Reminder: changes made to the purchase order are not carried over if they were not also made at the requisition level.

SECTION 6: NEW VENDOR SET-UP

6.0 New Vendor Set-Up

- 6.0.1 In order to establish a new vendor for commodities and services, the department/division needs to supply Procurement with a completed vendor/bidder application and a signed W-9 form to be set up in Address Book. Procurement has 72 hours from receipt of the application to get the new vendor in Address Book, if all of the required information has been received.
- 6.0.2 The application is also available on the internet through Lee County Procurement, at www.lee-county.com/purchasing.
- 6.0.3 No new vendors will be set up without a completed application and W-9 form on file. All vendors applying to do business with Lee County should agree to the Hold Harmless and Immigration Laws statement; exceptions to this procedure will be discussed with the appropriate parties and may be negotiated as deemed necessary. The application can be provided to the vendor either by Procurement or any department/division. If necessary the application may be waived by the Procurement Director.

SECTION 7: PURCHASE ORDERS

7.0 Purchase Order Preparation and Issuance

- 7.0.1 The Purchasing Agents or Buyers will use the on-line inquiry to determine the requisitions waiting to be issued.
- 7.0.2 The requisition will be reviewed for completeness, accuracy and required approvals.
- 7.0.3 The Purchasing Agent or Buyer will determine the method for placing each order on an individual basis depending on the goods/services being purchased.
- 7.0.4 The Purchasing Agent or Buyer will verify and edit information. When creating the purchase order pricing, delivery and similar information will be added to the purchase order when obtained from the vendor during this process.
- 7.0.5 The on-line system will issue the purchase order number and the funds will be encumbered at this time.
- 7.0.6 Once the purchase order has been issued, it becomes a permanent record. All revisions to the purchase order will be through the Order Revision process.
- 7.0.7 The encumbrance of funds will automatically be recorded in the County's accounting records and be charged against the account coding entered on the requisition.

7.1 Purchase Order Year-End Cutoff

- 7.1.1 At the end of each fiscal year, and after Finance has processed final payments all outstanding purchase orders will be closed by Procurement. However, departments with incomplete orders may request an "in lieu of" purchase order for the new fiscal year.
- 7.1.2 In order to facilitate the year-end cutoff, except for emergency purchases and purchases approved by the Procurement Director or designee, no requisitions may be submitted to Procurement during the last 15 days of the fiscal year.
- 7.1.3 If an order is received before the start of the new fiscal year, the department may have it paid from the current fiscal year budget if the invoices (s) are received by Finance prior to the announced cutoff date for payments. In such instances, payments will be charged against the current purchase order and an "in lieu of" purchase order will not be necessary.

- 7.1.4 If the order is received before the start of the new fiscal year, but the invoice (s) are not received in Finance prior to the announced deadline, the department must request a new purchase order “in lieu of” the old one. In such instances, payments will be charged against the new purchase order from the new fiscal year budget.
- 7.1.5 Invoices received in October (after the cutoff period) for services rendered in the prior fiscal year will be paid on the new fiscal year purchase order if the statement “to pay any outstanding invoices for the prior fiscal year and open for current fiscal year” is included in the description area, these funds will accrue in the previous fiscal year.
- 7.1.6 To request an “in lieu of” purchase order a department may copy the original requisition and submit it through the required approval path.
- 7.1.7 The requisition must be submitted in accordance with procedures contained in this Manual.
- 7.1.8 The requisition must state in the Order Attachment “in lieu of PO#” and give the purchase order number from the prior fiscal year.
- 7.1.9 The “in lieu of” requisitions are for a specific product or service that has not been received or completed in it’s entirety by September 30th. These requisitions can only be opened for the remaining balance of the current fiscal year purchase order; you cannot add money, products or services to an “in lieu of” requisition. The “in lieu of” purchase order, however, will be issued to the same vendor under the same terms as the original purchase order but it will be issued for the **unpaid amount of the original purchase order.**

SECTION 8: INFORMAL PROCEDURES

8.0 Outright Purchases

- 8.0.1 Outright Purchase: when a purchase is made with no competitive pricing, it is considered an outright purchase. To process an outright purchase, once a vendor has been selected, a requisition is entered and processed, using the outright purchase procedure up to \$50,000.
- 8.0.2 Procurement will issue the PO following procedures outlined in this Manual.
- 8.0.3 Formal and Informal annual quote purchases shall include on the PO the quote number, board date (if applicable), and the terms of the contract.
- 8.0.4 Purchases made from state contracts and/or GSA schedules are recommended for use but are optional. The state contract number and the state contract commodity number (if applicable) along with the exempt date shall appear on the purchase order. The General Services Administration (GSA) schedule purchases shall have the GSA number along with the exempt date appearing on the PO.
EXCEPTION: For state contracts or GSA purchases over formal level, the purchase is still exempt from competitive quoting procedures; however it requires approval by the Board through the Agenda Item Summary process.

8.1 Informal Telephone Quotes

- 8.1.1 Items or services up to formal level may be acquired through informal telephone quotations.
- 8.1.2 Less than \$50,000 the user Department may use this process to procure goods and or services.
- 8.1.3 \$50,001 and up to \$100K, Procurement will handle the procurement of goods and or services. This requirement may be waived at the Procurement Director's discretion.
- 8.1.4 Such quotations may be obtained by phone, by fax, via e-mail or in person.
- 8.1.5 In soliciting informal telephone quotations, a minimum of three vendors must be contacted and a minimum of two responsive quotes must be received to call the process a quote. When obtaining informal telephone quotes, vendors must be given exactly the same information. Prices must not be disclosed from one vendor to another.

8.2 Informal Written Quotes

8.2.1 See Section 9 of this Manual.

8.3 Informal Proposals

8.3.1 See Section 9 of this Manual.

8.4 Purchase Award Procedure

8.4.1 After a vendor has been selected for a purchase:

- Procurement or the requesting department/division shall notify the selected vendor of the award of the purchase.
- When a contract is required or desired for the purchase, the contract procedure outline in this Manual should be followed.
- Procurement or the requesting department/division shall conclude the details of the purchase with the vendor and issue instructions pertaining to such.
- Procurement shall prepare a purchase order for the purchase.

SECTION 9: FORMAL PROCEDURES

9.0 General

- 9.0.1 Items or services which are anticipated to be over formal level will normally be acquired through formal written quotations or proposals. The splitting of purchase orders to avoid the formal level is prohibited.
- 9.0.2 Projects less than \$50,000 may, at the request of the user department, be processed as written informal quotes or proposals.
- 9.0.3 Projects \$50,001 and up to \$100,000 will be handled using one of the informal processes.
- 9.0.4 Projects that begin as a formal process but comes in below the formal level still requires the local vendor preference language in the quote package. If local vendor preference plays a part in the recommendation of the low responsive quoter the quote must go to the Board of County Commissioners for approval.
*This does not apply to Lee Tran.

9.1 Master Bidder's List

- 9.1.1 Procurement will maintain a Master Vendor/Bidder's List comprised of vendors that have requested the opportunity to quote on County purchases, and have completed a Vendor/Bidders List application and a signed W-9 form. If necessary the application may be waived by the Procurement Director.
- 9.1.2 Periodically, Procurement may run a classified advertisement to invite interested vendors to be placed on the Master Vendor/Bidders List.
- 9.1.3 The Master Vendor/Bidder's List will consist of as many categories as the Procurement Director deems necessary.
- 9.1.4 Procurement shall list vendors in the categories indicated on their application.
- 9.1.5 Periodically, Procurement may purge the Master Vendor/Bidder's List by a mailing to all listed companies. Companies who fail to respond affirmatively to the mailing will be purged from the list. Additionally, vendors/bidders with no activity over a specified period of time may become inactive.
- 9.1.6 The Master Vendor/Bidder's List will be used by Procurement for formal quotations and formal sealed proposals.

9.2 Addendum to Quote/Proposal Package

- 9.2.1 An addendum to a quote/proposal package shall be defined as an addition, deletion, or change in the already prepared specifications for which an invitation has been mailed.
- 9.2.2 Addenda shall be approved and signed by the Procurement Director or designee. The appropriate personnel shall insure that all prospective quoters who have received the quote/proposal package are so notified of the addenda by certified mail, electronic transmission (i.e. fax, e-mail). The addenda shall clearly point out any additions, deletions or changes to the specifications and conditions.

9.3 Local Vendor Preference

- 9.3.1 The Board of County Commissioners may give a preference in an amount not to exceed 3% of the bid price to local persons, firms, or corporations, in accordance with Lee County ordinance 00-10, as amended by ordinance_08-26.
- 9.3.2 The geographic preference established in the Local Vendor Preference ordinance is applicable to all Lee County procurement activities unless otherwise specifically noted in the solicitation package. Provided, however, the Local Vendor Preference ordinance is not applicable to procurement activity or solicitations involving Federal Transit Administration grant funds.

9.4 Outside Purchases

9.4.1 These projects will be authorized as follows:

- \$50,000.00 Department/Division Director
- \$50,000.01 - \$100,000.00 County Manager
- \$100,000.01 + Board of County Commissioners

9.4.2 **NOTE:** The authorization level required is based on the cost of the original period of award. The cost of exercising renewal options is not considered as part of the original awarded cost since they are options not guarantees. For example: a two year lease at \$60,000.00 per year requires a \$120,000.00 authorization; a one year lease with a one year renewal option at \$60,000.00 per year requires a \$60,000.00 authorization.

9.4.3 Formal projects may be processed by utilizing one of the following procedures:

- Quote
- Proposal
- Waiver
- Piggyback
- Emergency
- Exemption
- Cooperative
- Negotiation

9.4.4 To acquire items or services, which exceed the formal level, a department director or designee should prepare a memorandum or County e-mail requesting such, and submit it along with any necessary specifications to Procurement.

9.4.5 After receipt and review, Procurement will recommend any necessary adjustments to the process. Once the finalized procedure is established Procurement will follow the process for the requested item or service.

9.4.6 Procurement, in agreement with the requesting department/division, will complete the award process.

9.4.7 After a vendor has been selected by the appropriate authorizing authority, the requesting department/division should prepare a requisition for the purchase.

9.4.8 Procurement will complete the order once all necessary authorizations to proceed is received.

9.5 Formal Written Quotations (One or Two Step Process)

9.5.1 The formal written quotation process will normally be used for purchase of items or services over formal level.

9.5.2 Formal quotations will be solicited by Procurement via one of the following methodologies:

9.5.3 One Step – Under this scenario, the formal process is followed as detailed below, and all vendors responding to the request for quotes are considered with the low quoter meeting specifications receiving the award.

- 9.5.4 Two Step – Under this scenario, the formal process is followed as detailed below, vendors are qualified in Step One of this process thru evaluation criteria; and only those deemed to be qualified proceed to Step Two where pricing is then revealed for comparison (only the pricing of qualified vendors is exposed). Award is made to the low qualified quoter meeting specifications.
- 9.5.5 The Notice to Quoter will be posted on Lee County Procurement’s web page and advertised.
- 9.5.6 Complete packages containing specifications, conditions, forms and instructions will be made available to vendors when requested. If the specifications are changed after the initial distribution the addendum procedure will be used to notify all holders of specifications. Vendor/Bidders may download the specification package as well as the addendum(s) from Lee County Procurement’s web page.
- 9.5.7 Formal quotations will be received by Procurement and opened by the Procurement Director or designee at the prescribed date, time and place.
- 9.5.8 Procurement will tabulate the formal quotations received and based on the department’s recommendation, will process an approval to award according to the standard authorization levels.
- 9.5.9 When reviewing formal quotations, the requesting department will be responsible for checking the details and calculations of the quotations received. Procurement will be responsible for auditing all details and calculations in conjunction with the requesting department for accuracy and for the quoter’s responsiveness to the quote requirements.
- 9.5.10 Procurement will, based on a recommendation from the department prepare all Agenda Item Summaries for award (blue sheet as appropriate).
- 9.5.11 The user department will be named as requestor on those recommendations requiring Board approval (over formal level).
- 9.5.12 Formal projects will be processed by routing a blue sheet, according to the standard authorization level, as follows:
- \$100,000.01 + - blue sheet (Board level)

- 9.5.13 All sheets will require review and approval by the requesting department then the County Attorney's Office in the routing. Additional review shall be as listed on the sheet as appropriate.
- 9.5.14 If a formal quotation which required a bond must be rejected, it must be rejected by the Board of County Commissioners. All other formal quotations may be rejected at the discretion of the Procurement Director or designee.
- 9.5.15 Any disputes will be handled according to the Dispute procedure in this Manual.
- 9.5.16 Procurement will then notify all quoters and the requesting department of the action taken.

9.6 Informal Written Quotations

- 9.6.1 The procedure for processing an informal written quotation is similar to the formal written quotation with two exceptions: award does not require the processing of a blue sheet, and the bid/proposal protest procedure does not apply.

9.7 Formal Proposals

- 9.7.1 A Proposal is a Procurement method, which due to its uniqueness is based on general written guidelines or a written description of need for a service. This method is in place of a rigid specification when no fixed criteria exist.
- 9.7.2 Formal Proposals may be used for items or services in excess of formal level.
- 9.7.3 Formal Proposals will be solicited by Procurement.
- 9.7.4 The Notice to Quoter may be posted on Lee County Procurement's web page and advertised.
- 9.7.5 Proposals may be processed as a single step procedure where qualifications and pricing are submitted and evaluated simultaneously. Or, a proposal may be processed in a multi-step procedure where vendors are first qualified and then only the qualified vendors are allowed to offer competitive pricing. After the qualification process, the pool of qualified vendors will compete on a purely cost basis. Award would be made to the "lowest qualified proposer".

- 9.7.6 Complete packages containing specifications, conditions, forms and instructions will be made available to vendors when requested. If the specifications are changed after the initial distribution the addendum procedure will be used to notify all holders of specifications. Vendor/Proposers may download the specification package as well as the addendum(s) from Lee County Procurement's web page.
- 9.7.7 Formal proposals will be received by Procurement and opened by the Procurement Director or designee, at the prescribed time, date and place.
- 9.7.8 Procurement will tabulate the formal proposals received and based on the department's recommendation, will process an approval to award according to the standard authorization levels.
- 9.7.9 Proposals require some degree of creativity from the vendor and shall be applied in the same manner, procedurally, as formal written quotations, requiring advertising when deemed necessary.
- 9.7.10 To evaluate competitive proposals, judgmental factors may be used to determine if the items being offered meet the purchase description and to evaluate competing proposals.
- 9.7.11 The effective difference between the two is, under competitive sealed quotations, once the judgmental evaluation is completed, award is made on a purely objective basis to the lowest responsive and responsible quoter. Under competitive proposals, the quality of competing products or services may be compared and trade-offs made between price and quality of the products or services offered.
- 9.7.12 Procurement will, based on a recommendation from the department, prepare all Agenda Item Summaries that go before the Board for award, and also all other project sheets. The Procurement Director or designee shall be responsible for reviewing and making final recommendations as to the responsible proposer whose proposal is in the best interest of the County.
- 9.7.13 It should be noted that when Procurement is excluded from the evaluation process; the Procurement Director is signing off on the appropriate sheet only as a facilitator of the Procurement process; and is not making a final recommendation as to a responsible proposer whose proposal is in the best interest of the County.
- 9.7.14 If a formal proposal, which required a bond, must be rejected, it must be rejected by the Board. All other formal proposals may be rejected at the discretion of the Procurement Director or designee.

9.7.15 Any bid/proposal protest will be handled according to the dispute procedure in this Manual.

9.7.16 Procurement will then notify all proposers and the requesting department of the action taken.

9.8 Informal Proposals

9.8.1 The procedure for processing an informal proposal is similar to the formal proposal procedure with two exceptions: award does not require processing of a blue sheet, and the Bid/Proposal Protest procedure does not apply.

9.9 Waiver

9.9.1 Certain formal purchases which are anticipated to be over Board level may be acquired through a waiver of the requirement for formal quotations. A waiver of formal written quotations may be requested when there is an urgent need for a purchase to be made as soon as possible, when there is only a single source for a purchase, or other documented special circumstances.

9.9.2 For waivers on items or services the appropriate authorizing authority will complete a Justification for Sole Source and/or Waiver Purchase form (found in the Forms Section of this Manual) and forward it to Procurement. See Section 24: Definition of Terms, for a sole source purchase and a waiver purchase.

9.10 Specification Safety Review

9.10.1 Purchase descriptions and specifications will, whenever possible, attempt to identify safety and protective concerns. It will be the ultimate responsibility of the user and Risk Management to coordinate these requirements.

9.10.2 Special consideration should be given to the purchase and use of equipment that is inherently safe.

9.11 Negotiation

Per Florida State Statute (287.057), if less than two responsive bids or proposals for commodity or contractual services purchases are received; the department or division may negotiate a contract on the best terms and conditions. The department/division shall document the reasons that such action is in the best interest of the County in lieu of resoliciting competitive sealed bids or proposals.

9.12 Statement of Work (S.O.W.)

9.12.1 A Statement of Work (S.O.W.) is the result of price negotiations between Procurement and the vendor whereby a detailed description of the work to be performed by the vendor – along with the monies that will be paid for that work and the time allowed for the work, are clearly delineated. This process is used only when the total cost of the project is less than the informal quoting level of \$50,000.00.

9.13 Vendor Pool

9.13.1 Certain projects, both informal and formal, are processed under a “pool” concept; as an example, janitorial quotes. Procurement maintains a list of pre-qualified janitorial vendors – which is renewed on an annual basis (vendors may apply to join the pool at any time throughout the year). This “pool” of vendors is contacted when a janitorial project goes out to quote; and only those pre-qualified vendors are allowed to quote.

SECTION 10: UNIQUE PURCHASES

10.0 Cooperative Purchasing Pursuant to Interlocal Agreement

- 10.0.1 Lee County Board of County Commissioners has entered into an Interlocal Agreement with other local governmental entities to provide for a cooperative purchasing effort. In the event Lee County participates in a cooperative bid under this Interlocal Agreement and is not the lead agency, the applicable policies and procedures of the lead agency shall govern the solicitation and award process. After award is made by the “lead agency”, the requesting department/division will enter a requisition following procedures outlined in this manual. The term “lead agency” shall mean the member entity responsible for issuance of the cooperative solicitation.
- 10.0.2 When issuing a purchase order for a commodity or service which is part of a cooperative bid, the approval date of the last complete manual revision as well as the lead agency’s approval date shall be entered in the Order Attachment since the Board has authorized the use of the cooperative bidding process. The quote number shall be entered in the appropriate field of the requisition.

10.1 Piggybacking

- 10.1.1 When goods and services have gone through a competitive quoting process by another governmental entity (either formal or informal), we have the ability to “piggyback” off their awarded bid and take advantage of the pricing received without going through a competitive process ourselves.
- 10.1.2 Procurement will verify specification and award information, receive permission from both the entity and the vendor to piggyback, then issue a purchase order following the authorization levels established in Section 3.
- 10.1.3 Conversely, Lee County will allow other governmental entities to piggyback on Lee County’s quotes when requested.
- 10.1.4 Since piggybacks can be both under and over the formal level, if permission to piggyback on the award has been received from both the vendor and the governmental entity, a purchase order may be issued. (Board approval is required if formal level)
- 10.1.5 Purchases made from the Annual Florida Sheriff’s Association Vehicle Contract shall fall under the piggybacking method.
- 10.1.6 Purchases made by using the US Communities Government Purchasing Alliance contracts shall fall under the piggybacking method.

- 10.1.7 Purchases made by using the Western States Contract Alliance contracts fall under the piggybacking method.
- 10.1.8 Purchases made by using Helping Governments Across the Country Buy (HGACBuy) cooperative purchasing program fall under the piggybacking method.
- 10.1.9 Purchases made by using National Association of State Purchasing Officials (NASPO) fall under the piggybacking method.

10.2 State Contract Purchases

- 10.2.1 State Contracts have gone through a competitive process. Use of State Contracts has been approved as exempt purchases. A purchase order may be issued provided the total dollar amount of the purchase is less than formal level. The State Contract Number and the exemption date are entered in the Order Attachment of the REQUISITION.
- 10.2.2 When the total dollar amount of the purchase from State Contract exceeds formal level an Agenda Item Summary sheet must be processed and routed for the Board's approval of the purchase.

10.3 General Services Administration Schedules

- 10.3.1 A General Services Administration Schedule (GSA) is a price agreement between a vendor and the Federal Government.
- 10.3.2 When a vendor offers GSA schedule pricing to Lee County, the GSA number is referenced on the purchase order. If the total dollar amount of the purchase order is less than formal level, a purchase order may be issued. The GSA schedule number and the exemption date are entered in the Order Attachment of the REQUISITION. If the total amount of the purchase exceeds formal level, an Agenda Item Summary sheet must be processed and routed for the Board's approval of the purchase.

10.4 Reimbursement for Tools

- 10.4.1 **Tools** – The Department Director will determine who is required to use tools.
- 10.4.2 The Department Director or his/her designee is responsible for monitoring compliance to requirement.
- 10.4.3 Any full-time regular mechanic required to use his/her own tools may receive reimbursement up to a maximum of \$500 per fiscal year toward the expense of purchase of new replacement or repair of tools. As is the case with all other equipment, this expense is to be considered in the requiring department's budget.

SECTION 11: EXEMPT PURCHASES

11.0 Exempt Purchases

11.0.1 Exempt purchases are Board approved. The Board also approves the Procurement Manual. Exempt purchases may either be purchased using a direct voucher method or by issuing a purchase order. When issuing a purchase order for an exempt purchase, the approval date on the purchase order will be the approval date of the last complete manual revision.

11.0.2 An exemption from the formal competitive process can be requested/obtained for various reasons. Once an exemption has been approved by the Board, purchase of the exempt product/service may be made regardless of the dollar amount without going through a competitive process, except as specifically provided below.

11.0.3 The following are exempt from competitive quoting requirements, but not Board approval if applicable.

11.0.3.1 The purchase of equipment that has gone through the Administrative Code procedure, such as State Contracts or Federal General Services Administration Schedule, providing the purchase, rental or lease amount does not exceed formal level. If the total purchase amount requested exceeds formal level, the purchase is still exempt from competitive quoting procedures, however approval by the Board through the Agenda Item Summary process is required. (In this instance only, the approval date is the actual board approval date).

11.0.4 The following are exempt from competitive quoting requirements and Board approval and may be purchased using a purchase order.

11.0.4.1 Purchases made from agencies employing the blind and other severely handicapped such as RESPECT of Florida, pursuant to Florida Statute 413.

11.0.4.2 Purchases made from the corporation operating the correctional work plan programs (PRIDE of Florida) per Florida Statute 287.042(2)(a).

11.0.4.3 Purchases made from the State of Florida, Department of Management Services, Surplus Federal Bureau of Properties, pursuant to Chapter 215, Florida Statute , and sections 16 and 17.

- 11.0.4.4 Purchase of Econolite traffic controllers and components; including but not limited to software, support, miscellaneous hardware, etc. from TPFL, Inc. for the Department of Transportation.
- 11.0.4.5 Purchases for the Partnership in Family Building Program.
- 11.0.5 The following are exempt from competitive quoting requirements and Board approval and may be purchased through the direct voucher process.
 - 11.0.5.1 Internal service charges on governmental purchase of goods and services such as ITG (Communications and ITG).
 - 11.0.5.2 Any payments made to another governmental entity (local, state or federal) unless there is a specific interlocal agreement with a contract number and board date.
 - 11.0.5.3 The purchase of utilities, such as water, electric, telephone, natural gas, etc., to include: impact fees, permit fees, (relocation fees, repairs), etc., relating to the purchase of utilities (i.e. cable cuts or telephone line repairs must be paid by purchase order). Maintenance contracts are not exempt.
 - 11.0.5.4 Newspapers, radio stations, and television stations, advertising for all departments and divisions.
 - 11.0.5.5 Purchase of titles and related title media formats for the Lee County Library System.
 - 11.0.5.6 Computerized and published legal material from West Information Publishing Group.
 - 11.0.5.7 Court ordered payments. Payment Requests must show case number, date of signing by Judge and/or resolution date by Board in the backup.
 - 11.0.5.8 Housing and utility assistance payments and related amendments and documents.
 - 11.0.5.9 Payment for hospital care under the Health Care Responsibility Act pursuant to Florida Statute Section 154.306.

- 11.0.5.10 Payment for the County's portion of hospital and nursing home care for Medicaid eligible recipients pursuant to Florida Statute Section 409.915.
- 11.0.5.11 Payment for initial costs of medical examinations, x-rays and medical treatment of abused, abandoned, or neglected children pursuant to Florida Statute Section 39.304
- 11.0.5.12 Purchases made from the Florida Bar, which is a branch of the Supreme Court of Florida.
- 11.0.5.13 Funds disbursed under the Attractions Co-Op Marketing Program and Event Marketing Program up to formal level.
- 11.0.5.14 Purchasing by Lee County Department of Human Services – Housing for the purpose of new construction, acquisition of vacant land and/or rehabilitation of existing houses that does not exceed \$150,000. Any purchase over \$150,000.00 will require Board of County Commissioners approval. Such purchases are solely for rehabilitation or construction or replacement of affordable and/or supportive housing for use by the elderly, disabled, low income families and hurricane survivors for revitalization in targeted neighborhoods. The County Manager's signature is required for purchases over \$50,000.00. Board approved on 10/31/06.
- 11.0.5.15 Lee County's annual membership in the Florida Association of Counties.
- 11.0.5.16 Direct Material Purchases – exempt as long as authorized by Board on Agenda Item Summary as part of original construction contract award. The date approved by the Board must be entered into the "quote field" on the requisition in OneWorld and the Board approved Agenda Item Summary must be added as an attachment to the requisition.

SECTION 12: EMERGENCY PURCHASES

12.0 Emergency Purchase Policy

12.0.1 While procurement procedures involving competitive bidding is desirable for most purchases, when an emergency arises, it is necessary to short cut the normal procedures. For this reason, the County has adopted an emergency purchase procedure.

12.1 Definition of an Emergency

12.1.1 For purchasing purposes, an emergency is defined as: an unforeseen situation in which there is a breakdown of County service and an urgent need exists to restore such service, in order to avoid serious and adverse consequences affecting the life, health, welfare, or property of the citizens of Lee County.

12.2 Emergency Purchase Follow-up

12.2.1 When an emergency purchase has been made, within three working days afterward, the department will follow-up the purchase with the preparation and submission of a requisition.

12.2.2 The department will prepare and submit a requisition. The fact that the purchase was an emergency purchase should be “highlighted” in the Order Attachment along with the justification, as it relates to 12.1.1.

12.2.3 Established approval paths will apply to Emergency purchases.

12.3 Emergency Purchase Authorization

12.3.1 Emergency purchases are authorized when there is an emergency, and there is an immediate need for items or services to deal with the emergency.

12.3.2 If the emergency occurs during normal working hours, the department must attempt to obtain appropriate authorization for the purchase through telephone or verbal communications, then notifying Procurement and submitting a requisition.

12.3.3 In an emergency situation, the County Manager or designee may authorize an emergency purchase of Board level authorization and waive any bid requirement.

12.3.4 If the emergency occurs at night, on weekends, or on holidays, the department director/division director or designee may initiate independent action.

12.4 Emergency Purchase Under Board Level Authorization

12.4.1 If a purchase is, below formal level, the requisition is to be sent down the appropriate approval path for “after the fact” approval of the purchase within three working days.

12.5 Emergency Purchases of Board Level Authorization

12.5.1 For emergency purchases of Board level authorization, the department must obtain the authorization of the County Manager or designee prior to the purchase.

12.5.2 The division director (or designee) will notify the appropriate department director or designee who will notify the County Manager or designee of the emergency and request verbal authorization to make the emergency purchase.

12.5.3 With authorization from the County Manager, or designee the department director or designee or division director or designee may make the necessary purchases of the needed items or services.

12.5.4 If the purchase is authorized, the County Manager or designee will recommend to the Board their “after the fact” approval of the purchase at their next regularly scheduled meeting.

12.6 State of Local Emergency

12.6.1 In the event a State of Local Emergency is declared by the Board of County Commissioners and/or their designee, and Lee County is still operational, a requisition would be entered through the appropriate path for any services or purchase of commodities. The date the Board declared the State of Local Emergency shall be entered in the order attachment for authorization of the purchase(s). If Lee County is not operational (i.e. no power, etc.), Disaster Purchase Orders (DPO) will be used to procure the goods and/or services needed. Refer to Section 13.3.4 for procedures for the use of Disaster Purchase Orders.

SECTION 13: DISASTER PURCHASE ORDER PROCEDURES

13.0 **Purpose:**

- 13.0.1 To provide guidelines for emergency purchasing operations and record keeping procedures in the event a natural disaster (such as a hurricane) or a man-made disaster strikes Lee County. Following these guidelines will help ensure that purchasing operations continue in the face of such a disaster and emergency supplies and services are procured as quickly as possible.
- 13.0.2 The Division of Procurement distributes pre-numbered Disaster Purchase Orders (hereinafter referred to as DPOs) to the County departments and divisions to be used in the event of a STATE OF LOCAL EMERGENCY, which is declared by Lee County Board of County Commissioners and/or their designee. This declaration is in accordance with Lee County Ordinance No. 87-1.
- 13.0.3 Lee County Ordinance No. 87-1 defines Emergency as any significant occurrence, whether accidental, natural, caused by man, in war or peace, which results or may result in substantial injury or harm to the population or substantial damage to or loss of property.
- 13.0.4 Any emergency purchases other than those under a declared “STATE OF LOCAL EMERGENCY” by the Board of County Commissioners shall be processed in accordance with the Emergency Purchase Section of the Procurement Manual. **Exception: If a State of Local Emergency is declared and Lee County is still operational, see section 12.6 of this manual.**
- 13.0.5 The pre-numbered DPOs are to be issued to the vendors at the time of purchase to serve as an official document authorizing the vendors to sell their goods or services to Lee County Government, and to give Lee County’s requesting department, Lee County Division of Procurement and the Clerk of Courts Finance Division proper documentation and backup for the procurement of goods and/or services.

13.1 **Background:**

- 13.1.1 In the aftermath of a disaster, the County may lose electrical power and telephone communications for an indeterminate period of time. The department/divisions will not have use of a computer or normal office equipment, and may be unable to contact vendors. If the area is damaged severely, local vendors will be stricken as well and cannot be expected to provide emergency supplies and services immediately following the disaster.

13.2 **Policy:**

13.2.1 In the event of a disaster, records and reports are required to support requests for reimbursement of Lee County public funds expended as a direct result of the disaster. It is therefore imperative that the practices outlined in this procedure be implemented to ensure accurate record keeping in the aftermath of a disaster.

13.3 **Procedures:**

13.3.1.1 **Overview of Emergency Operations Center Operations**

The Emergency Management Division will be coordinating all emergency operations out of the Emergency Operations Center (hereinafter referred to as EOC). Within twenty-four hours after the initial occurrence passes, each department supervisor will conduct a basic damage assessment of their facilities, document their findings and report their department status to Emergency Operations Center. The basic damage assessment will include the extent of damage to County property and an estimate of what is needed in repairs. County Risk Management will be available at EOC to assist department staff with processing insurable losses, including providing insurance adjustors when required to inspect and document County owned insurable losses.

13.3.1.2 Following the declaration of an emergency or disaster area, Federal Disaster Assistance may be made available to Lee County. The Federal Emergency Management Agency (FEMA) is the Federal Agency charged with the responsibility of administering all Federal disaster assistance to State and Local governments.

13.3.1.3 To prepare for a disaster situation, Chapter 252, Florida Statutes states that under the County's "Declaration of Local Emergency," political subdivisions are given the authority to waive certain procedures and formalities otherwise required of them. During the declared emergency period, many normal procedures and requirements may be suspended in accordance with this provision.

13.3.2 **Procedures for Disbursement of Disaster Purchase Orders**

13.3.2.1 The DPO differs in format from the regular purchase order format being used for day-to-day purchases. The 4-part form is designated as follows:

- White – Vendor Copy
- Yellow – Procurement Copy
- Pink – Finance Copy
- Goldenrod – Department Copy

- 13.3.2.2 The Division of Procurement will issue the number of DPOs requested by the user department to the department/division director or designee.
- 13.3.2.3 A log will be kept by the Division of Procurement showing the quantity of pre-numbered DPOs issued to each department/division director or designee and the numbers of the DPOs issued.
- 13.3.2.4 The department/division director or their designee must sign for the DPOs. It is highly recommended that control of these DPOs be assigned to a designated employee in the department.
- 13.3.2.5 The department/division director should issue DPOs to their designated employees out in the field at the various locations under his/her authority and supervision. Each DPO must be accounted for at all times by the department/division director that has signed for and received them. These DPOs will be valid for ongoing fiscal years unless the procedure or the format is changed.
- 13.3.3 Procedure for Use of Disaster Purchase Orders
- 13.3.3.1 In the event the DPOs must be used, the following procedures should be followed:
- 13.3.3.2 The department/division director's designated employee, having proper authorization, would either procure the goods and/or services by telephone or in person. In the event of a major disaster telephone, service may be out-of-service throughout the County. Authorization may be given to a County employee by the department/division director's designated employee to pick up the materials.
- The employee designated to pick-up the materials shall verify that all required information has been completed on the DPO.
- Upon pick-up or delivery the white (top) copy of the DPO will be given to the vendor's representative. The employee shall immediately return the completed DPO form to the department/division director's designated employee.
- 13.3.3.3 The department/division director's designated employee shall verify that all required information has been completed, sign the form and immediately forward it to his/her department/division's administrative office.
- 13.3.3.4 Upon receipt of the completed DPO, the department/division director or designee shall review the completed DPO and, if properly completed, forward the appropriate copies to the Procurement and Finance Divisions.

- 13.3.3.5 Procurement's yellow copy of the completed DPO will be filed to serve as documentation and backup.
- 13.3.3.6 The Finance Division will receive the pink copy of the DPO for their records.
- 13.3.3.7 At the time Finance receives the pink copy of the DPO and the vendor's invoice, they will review all documents; and if all is in order and approved, payment will be processed to the vendor.
- 13.3.3.8 At some point in time a requisition must be entered into the purchasing system by the requesting department and processed into a purchase order by following Procurement procedures outlined in other sections of this manual. The DPO number should be referenced in the Order Attachment of the PO when the PO is issued. Issuance of the PO must be done in order for the financial and budgetary databases to be updated and accurate. Payments will be processed to the vendor through use of the DPO and payments will be transferred by the Finance Division to the purchase order issued for that transaction.
- 13.3.3.9 Any Emergency Purchases other than those declared to be a "STATE OF LOCAL EMERGENCY" by the Board of County Commissioners shall be processed in accordance with the Emergency Purchase Section of the Procurement Manual.
- 13.3.4 Documentation of Emergency or Disaster-Related Costs
- 13.3.4.1 All records and reports required to support requests for reimbursement of Lee County funds expended, as a direct result of a disaster must be original for audit purposes. Departments should keep all original documentation.
- 13.3.4.2 Keeping accurate documentation will make validation quicker and easier by providing you with the information that the State and FEMA will need to see. A set of six optional summary forms has been developed to assist you in organizing your project documentation. The summary forms are:
- Force Account Labor Summary (FEMA Form 90-123)
- Used to record your personnel costs.
- Force Account Equipment Summary (FEMA Form 90-127)
- Used to record your equipment use costs.
- Material Summary Record (FEMA Form 90-124)

Used to record the supplies and materials that you take out of stock or purchase.

- Rented Equipment Summary Record (FEMA Form 90-125)

Used to record the costs of rented or leased equipment.

- Contract Work Summary Record (FEMA Form 90-126)

Used to record the costs of work you have done by contractor.

- Applicant's Benefits Calculation Worksheet (FEMA Form 90-128)

Used to record fringe benefit pay for employees.

- 13.3.4.3 Electronic copies of all Federal Public Assistance forms may be downloaded over the Internet from FEMA's website <http://www.fema.gov/government/grant/pa/forms.shtm>
- 13.3.4.4 Budget Services will serve as a clearinghouse agency approve and sign off on all Lee County FEMA project-worksheets and will be responsible for disbursing funds, upon receipt from-any financial recovery granting agency.
- 13.3.4.5 FEMA will not reimburse for blanket agreements. Each purchase order or contract for emergency supplies or services must be site specific, and must also contain pertinent information such as: who, what, where, when, why, and for how long.
- 13.3.4.6 Following and/or during a declared "STATE OF LOCAL EMERGENCY", in the interest of expediency, Chapter 252, Florida Statutes provides the authority to waive procedures and formalities otherwise required of political subdivisions, to allow whatever action is necessary to ensure the health, safety and welfare of the community. Therefore, purchases may be exempt from bid/quote requirements. Where possible, Departments shall develop a list of pre-qualified vendors who have undergone a proposal or bid process in order to avoid any delays in emergency procurements. It is important this list remains current and affords free and open competition.
- 13.3.4.7 Renting and leasing equipment and materials shall be given precedence over outright procurement, unless it is cheaper to buy the equipment than to rent or lease it (i.e., purchasing chain saws vs. renting them on a daily basis; purchasing using a lease to purchase option). FEMA encourages requests for reimbursement on rented items.
- 13.3.4.8 Oral contracts can severely jeopardize the County's ability to receive reimbursement from FEMA. Agreements must specify in writing quantities, prices and specific items being purchased.

- 13.3.4.9 Be careful about out-of-state vendors submitting bogus bid bonds or worthless payment and performance bonds. To protect the County, bonds must be issued by or countersigned by an agent authorized to do business in Florida. Be sure that the performance bond covers all costs associated with the project. Do not allow an irrevocable line of credit to be substituted for a performance bond.
- 13.3.4.10 Vendors who have been debarred, suspended or considered ineligible by FEMA or by the State of Florida will not be engaged in disaster recovery work.
- 13.3.4.11 Contracts for removal of debris or wreckage should be based on fixed price, unit price (i.e. cubic yard) or lump sum. Avoid time and materials contracts. In the event a time and materials contract is necessary due to exigency or where a clear scope of work cannot be obtained; Departments must monitor the contractors work closely to ensure expeditious and accurate performance of the contract. Where possible, when these situations exist, time and materials contracts should be converted to unit price or lump sum as quickly as possible, usually within 72 hours. In all instances however, where a time and materials contract is used, it must include a maximum ceiling or not to exceed amount.
- 13.3.4.12 Contracting for construction work should be based, whenever possible on competitive bids.
- 13.3.4.13 To the extent feasible and practicable, contractors residing or doing business primarily within Lee County must be engaged in disaster recovery work. FEMA wants to encourage contractors to support the local economy. All contracts entered into which will involve FEMA claims must state that the contractors will use materials and supplies and hire laborers to the extent possible within the disaster area.
- 13.3.4.14 Avoid executing contingency contracts or “cost plus” contracts. They may be illegal under current FEMA guidelines.
- It is imperative that contractors understand what information is necessary for FEMA reimbursement. At a minimum, invoices should be accompanied with a detailed description of what work was performed including quantities, unit prices, personnel used, equipment used etc. FEMA requires the same information for contract reimbursement as they would from departments using their own forces to accomplish the work. This is particularly important where a time and expense contract is being used.

SECTION 14: BID/PROPOSAL PROTEST PROCEDURE
(Administrative Code AC-4-2 Bid Protest Hearing Guide)

14.0 General

For all formal quotes and proposals (over formal level) the Bid/Proposal Protest Procedures must be included in all quote/proposal documents and for each phase of the procurement, if a 2-step process.

- 14.0.1 Any contractor/vendor/firm that has submitted a formal bid/quote/proposal to Lee County, and who is adversely affected by an intended decision with respect to the award of the formal bid/quote/proposal, shall file with the County's Procurement Director or Assistant County Manager a written "Notice of Intent to File a Protest" not later than 72 hours (excluding Saturdays, Sundays and Legal Holidays) after receipt of a "Notice of Intended Decision" from the County with respect to the proposed award of the formal bid/quote/proposal.
- 14.0.2 The "Notice of Intent to File a Protest" is one of two documents necessary to perfect a Protest. The second document is the "Formal Written Protest", both documents are described below.
- 14.0.3 The "Notice of Intent to File a Protest" document shall state all grounds claimed for the Protest, and clearly indicate it as the "Notice of Intent to File a Protest". Failure to clearly indicate the "Intent to file the Protest" shall constitute a waiver of all rights to seek any further remedies provided for under this Protest Procedure.
- 14.0.4 The "Notice of Intent to File a Protest" shall be received ("stamped in") by the Procurement Director or Assistant County Manager not later than Four O'clock (4:00) PM on the third working day following the day of receipt of the County's Notice of Intended Decision.
- 14.0.5 The affected party shall then file its Formal Written Protest within Ten calendar days after the time for the filing of the Notice of Intent to File a Protest has expired. Except as provided for in the paragraph below, upon filing of the Formal Written Protest, the contractor/vendor/firm shall post a bond, payable to the Lee County Board of County Commissioners in an amount equal to five percent (5%) of the total bid/quote/proposal, or Ten Thousand Dollars (\$10,000.00), whichever is less. Said bond shall be designated and held for payment of any costs that may be levied against the protesting contractor/vendor/firm by the Board of County Commissioners, as the result of a frivolous Protest.
- 14.0.5.1A contractor/vendor/firm is not required to post a protest bond for any FTA funded procurements.

14.0.6 A clean, Irrevocable Letter of Credit or other form of approved security, payable to the County, may be accepted. Failure to submit a bond, letter of credit, or other approved security simultaneously with the Formal Written Protest shall invalidate the protest, at which time the County may continue its procurement process as if the original "Notice of Intent to File a Protest" had never been filed.

14.0.7 Any contractor/vendor/firm submitting the County's standard bond form (CMO:001), along with the bid/quote/proposal, shall not be required to submit an additional bond with the filing of the Formal Written Protest.

14.0.8 The Formal Written Protest shall contain the following:

- County bid/quote/proposal identification number and title.
- Name and address of the affected party, and the title or position of the person submitting the Protest.
- A statement of disputed issues of material fact. If there are no disputed material facts, the Formal Protest must so indicate.
- A concise statement of the facts alleged, and of the rules, regulations, statutes, or constitutional provisions, which entitle the affected party to relief.
- All information, documents, other materials, calculations, and any statutory or case law authority in support of the grounds for the Protest.
- A statement indicating the relief sought by the affected (protesting) party.
- Any other relevant information that the affected party deems to be material to the Protest.

- 14.0.9 Upon receipt of a timely filed “Notice of Intent to File a Protest”, the Procurement Director or Assistant County Manager (as appropriate) may abate the award of the formal bid/quote/proposal as appropriate, until the Protest is heard pursuant to the informal hearing process as further outlined below, except and unless the County Manager shall find and set forth in writing, particular facts and circumstances that would require and immediate award of the formal bid/quote/proposal for the purpose of avoiding a danger to the public health, safety or welfare. Upon such written finding by the County Manager, the County Manager may authorize an expedited Protest hearing procedure. The expedited Protest hearing shall be held within 96 hours of the action giving rise to the contractor/vendor/firm’s Protest, or as soon as may be practicable for all parties. The “Notice of Intent to File a Protest” shall serve as the grounds for the affected party’s presentation and the requirements for the submittal of a formal, written Protest under Section 14.0.5, to include the requirement for a bond, shall not apply.
- 14.0.10 The Dispute Committee shall conduct an informal hearing with the protesting contractor/vendor/firm to attempt to resolve the Protest, within seven working days (excluding Saturdays, Sundays and Legal Holidays) from receipt of the Formal Written Protest. The Chairman of the Dispute Committee shall ensure that all affected parties may make presentations and rebuttals, subject to reasonable time limitations, as appropriate. The purpose of the informal hearing by the Dispute Committee, the protester and other affected parties is to provide an opportunity: (1) to review the basis of the Protest; (2) to evaluate the facts and merits of the Protest; and (3) to make a determination whether to accept or reject the Protest.
- 14.0.11 Once a determination is made by the Dispute Committee with respect to the merits of the Protest, the Dispute Committee shall forward to the Board of County Commissioners its recommendations, which shall include relevant background information related to the procurement.
- 14.0.12 Upon receiving the recommendation from the Dispute Committee, the Board of County Commissioners shall conduct a hearing on the matter at a regularly scheduled meeting. Following presentations by the affected parties, the Board shall render its decision on the merits of the Protest.

14.0.13 If the Board's decision upholds the recommendation by the Dispute Committee regarding the award, and further finds that the Protest was either frivolous and/or lacked merit, the Board, at its discretion, may assess costs, charges, or damages associated with any delay of the award, or any costs incurred with regard to the Protest. These costs, charges or damages may be deducted from the security (bond or letter of credit) provided by the contractor/vendor/firm. Any costs, charges or damages assessed by the Board in excess of the security shall be paid by the protesting contractor/vendor/firm within 30 calendar days of the Board's final determination concerning the award.

14.0.14 All formal bid/quote/proposal solicitations shall set forth the following statement:

“FAILURE TO FOLLOW THE BID PROTEST PROCEDURE REQUIREMENTS WITHIN THE TIMEFRAMES AS PRESCRIBED HEREIN AND ESTABLISHED BY LEE COUNTY BOARD OF COUNTY COMMISSIONERS, FLORIDA, SHALL CONSTITUTE A WAIVER OF YOUR PROTEST AND ANY RESULTING CLAIMS.”

SECTION 15: BID/PROPOSAL PROTEST DISPUTE COMMITTEE

15.0 Bid/Proposal Protest Dispute Committee

- 15.0.1 A Dispute Committee shall be responsible for conducting an informal hearing with the protesting contractor/vendor/firm.
- 15.0.2 For a formal bid/quote/proposal, the Dispute Committee members will be the Procurement Director or designee as permanent chairman; a representative from the County Manager's Office; and a department director/division director, appointed by the Chairman.
- 15.0.3 The Fleet Director, Solid Waste Director, Transit Director or his/her designee may serve as a Dispute Committee member in place of the department/division director when rolling or motorized equipment is to be purchased, or when the quote pertains to Fleet Management, Solid Waste, Transit.
- 15.0.4 The County Attorney or designee shall attend these informal hearings to provide legal counsel, but shall not be a voting member.
- 15.0.5 The Procurement Director or designee may reject a Formal Quotation that has been reviewed by the Dispute Committee and has been recommended for rejection so long as a bond (not including bonds submitted with a formal written Protest) was not required.
- 15.0.6 The Procurement Director or designee may return protest bonds for protests that are either resolved or withdrawn prior to presentation to the Board of County Commissioners.

15.1 Protests Involving Grant Funding

- 15.1.1 If required by the grant document, it shall be the responsibility of the requesting department or division to notify the grant source immediately of any grant funding involved in a project for which a Notice of Intent to File a Protest is received.

SECTION 16: VENDOR NAME CHANGE

16.0 Vendor Name Changes

- 16.0.1 When a vendor who has been awarded a formal written quotation or a formal proposal has a name change through a merger, acquisition, etc., Procurement will verify the name change and the new vendor's willingness to provide the items or services under the same terms and conditions. Once verification is complete, Procurement will notify any affected departments or divisions so that proper measures can be taken to change all affected records.
- 16.0.2 Procurement also has the authorization to accept and validate a vendor name change on an informal written quotation or informal proposal.

SECTION 17: QUOTE OR PROPOSAL TERMINATIONS

17.0 Quote or Proposal Terminations

17.0.1 If a vendor who has been awarded a formal project, submits a request to terminate the quote, Procurement will, after careful review, either approve or deny the request to terminate.

17.0.2 Procurement will have the authority to terminate any informal written quotation or informal proposal when it has been determined to be in the best interest of Lee County.

17.1 Vendor Withdrawal From Quote/Proposal

17.1.1 Any vendor who has voluntarily withdrawn from a formal quote/proposal without the County's mutual consent during the contract period shall be barred from further County procurement for a period of 180 days. The vendor may apply to the Board for waiver of this debarment. Such application for waiver of debarment must be coordinated with and processed by Procurement.

SECTION 18: CONTRACT PROCEDURE

18.0 **Contracts in the Procurement Process** - A contract is required for the purchase of any goods or services that will require longer than one fiscal year to complete, crosses fiscal years, or where more than one payment is required by any fiscal year.

18.0.1 Because legal protection is necessary in purchasing transactions, the County has adopted certain requirements and procedures pertaining to the preparation, execution, and monitoring of Procurement contracts.

18.0.2 The contract procedure used depends on the dollar amount of the contract. There are two procedures for processing contracts: (1) informal contracts (to formal level), (2) Board level contracts. Follow whichever procedure applies to your purchase.

18.1 Informal Contract Requirements & Preparation

18.1.1 For Procurement purposes, a contract is any formal written agreement between Lee County and a selected vendor for a particular purchase. A contract may be executed by any authorized requisitioner within their authorized dollar level.

18.1.2 A contract may be required for a particular purchase, if deemed necessary and requested by the requesting department or if required by the vendor.

18.1.3 Authority to sign service and/or maintenance agreements, leases, contracts and service provider agreements for the County shall be per the authorization levels in this Manual.

18.1.4 The initiating department preparing a contract will need to have the contract signed by each applicable department/division as it completes its review.

18.1.5 In preparing a contract, the County Attorney should be consulted for legal review of the contract documents.

18.2 Informal Contract Execution

18.2.1 Procurement contracts for the County will be executed as follows:

18.2.2 For County required contracts, the requesting department will have the selected vendor execute the contract first.

- 18.2.3 Originals of the contract document will be forwarded to the vendor with instructions to execute the contract.
- 18.2.4 The vendor will return all copies of the contracts and any required certificates of insurance to the requesting department.
- 18.2.5 For vendor required contracts, the requesting department will refer all contract documents to the County Attorney for review and approval.
- 18.2.6 After the County Attorney's review and approval, the contract documents will be returned to the requesting department/division for execution of the contract by the County first.

18.3 Informal Contract Recording Procedure

- 18.3.1 A document or agreement, as a result of an informal contract, should be reviewed by the County Attorney's Office and if approved, signed by appropriate County staff under the following conditions:
- A contract is for longer than one fiscal year, crosses fiscal years, or more than one payment is required by any fiscal year.
- 18.3.2 For monitoring and control purposes, the document or agreement then is forwarded to the Minutes Department to be reviewed for administrative approval.

18.4 Informal Contract Encumbrances

- 18.4.1 The department/division will be required to enter a requisition into the on-line system.
- 18.4.2 After requisition entry a PURCHASE ORDER for the contract will be issued.

18.5 Formal Contract Requirements & Preparation

- 18.5.1 For Procurement purposes, a contract is any formal written agreement between Lee County and a selected vendor for a particular purchase. A contract may be executed by any authorized requisitioner within their authorized dollar level.
- 18.5.2 A contract may be required for a particular purchase, if deemed necessary and requested by the requesting department, the Procurement Director, the County Manager, or if required by the vendor.

- 18.5.3 Authority to sign service and/or maintenance agreements, leases, contracts and service provider agreements for the County, through level four authorization shall be per the authorization levels in this Manual.
- 18.5.4 When required, all contracts will be prepared by County staff.
- 18.5.5 Procurement, in preparing a contract, will attach a Contract Review Checklist (See Forms in this Manual) to the contract to be signed by each applicable department/division as the review is completed.
- 18.5.6 In preparing a contract, Risk Management should be consulted to insure that the proper insurance requirements are included in the contract documents.
- 18.5.7 In preparing a contract, the County Attorney should be consulted for legal review of the contract documents.

18.6 Formal Contract Execution

- 18.6.1 Procurement contracts for the County will be executed as follows:
- 18.6.2 For County required contracts, the requesting department will have the selected vendor execute the contract first.
- 18.6.3 Originals of the contract document will be forwarded to the vendor with instructions to execute the contract.
- 18.6.4 The vendor will return all copies of the contracts and any required bonds or certificates of insurance to the requesting department.
- 18.6.5 All contract documents should be referred to the County Attorney for review and approval prior to submission to the County Manager or designee.
- 18.6.6 Contracts under formal level may be approved at the appropriate level as per this Manual. Over formal level, the contract may be authorized by a County Manager, County Attorney, Hearing Examiner, Constitutional Officer, etc. or designee.
- 18.6.7 After the County Attorney's review and approval, the contract documents will be returned to Procurement.
- 18.6.8 Procurement will be responsible for handling of the contract documents during signature, recording and attestation.

18.7 Formal Contract Recording Procedure

18.7.1 After the contract document has been signed, it will be forwarded to the Minutes Department for official attestation.

18.8 Formal Contract Encumbrances

18.8.1 County contracts no longer need to be encumbered through the issuance of a purchase order. Instead, the contract itself will be created in One World®, and will function as the purchase order by encumbering the funds.

18.9 Board Level Contract Requirements & Preparation

18.9.1 For Procurement purposes, a contract is any formal written agreement between Lee County and a selected vendor for a particular purchase. A Board level contract may only be executed by the Chairman or Vice-Chairman of the Board after the Board has approved entering into the contract.

18.9.2 A contract may be required for a particular purchase, if deemed necessary and requested by the requesting department, the Procurement Director, the County Manager, the Board of County Commissioners or if required by the vendor.

18.9.3 When required, all contracts will be prepared by County staff, unless required by a vendor.

18.9.4 Procurement will prepare and attach a Contract/Agreement Review Checklist (See Forms in this Manual) to the contract to be signed by each applicable department/division as it completes its review.

18.9.5 In preparing a contract, Risk Management should be consulted to insure that the proper insurance requirements are included in the contract documents.

18.9.6 In preparing a contract, the County Attorney must be consulted for legal review of the contract documents.

18.10 Board Level Contract Execution

18.10.1 Procurement contracts for the County will be executed as follows:

18.10.2 For County required contracts, the requesting department will have the selected vendor execute the contract first.

- 18.10.3 Originals of the contract document will be forwarded to the vendor with instructions to execute the contract.
- 18.10.4 The vendor will return all copies of the contracts and any required bonds or certificates of insurance to the requesting department.
- 18.10.5 All contract documents will be referred to the County Attorney for review and approval prior to submission to the Chairman of the Board for signature.
- 18.10.6 A contract over formal level may be executed only after the approval of the Board and by the signature of the Chairman or Vice-Chairman of the Board.
- 18.10.7 For execution of a contract over formal level by the County, the contract documents will be submitted to the County Manager or designee who will present it to the Board for their consideration.
- 18.10.8 After the County Attorney's review and approval, the contract documents will be returned to Procurement.
- 18.10.9 Procurement will be responsible for handling of the contract documents during signature, recording and attestation.

18.11 Board Level Contract Recording Procedures

- 18.11.1 After the contract document has been signed by the Chairman of the Board, it will be forwarded to the Minutes Department for official attestation.

18.12 Board Level Contract Attestation and Distribution

- 18.12.1 All contracts executed by the Board must be attested to and recorded by the Clerk to the Board.

SECTION 19: RECEIVING

19.0 Receiving of Orders – Delivery Address

- 19.0.1 A department should establish a standard location for receipt of goods.
- 19.0.2 To set up a Location (delivery) Address Book record to be used in the requisition procedure, contact Procurement.
- 19.0.3 When more than one physical address is involved, a delivery address record should be established for each location used.

19.1 Receiving of Orders – Expected Delivery Date

- 19.1.1 The purchase order indicates the expected delivery date. The department should contact Procurement if the items are not received by the stated delivery date on any purchase order that has a “P” for Procurement to handle in the send method on the requisition.

19.2 Receiving Procedures

- 19.2.1 Departmental quality control assurance procedures should be established to ensure the accuracy and proper content of products ordered.
- 19.2.2 Receipt of goods and services is basically a two-step process, which is not necessarily performed by one person.
- 19.2.3 **Step 1** – receipt of packages – this step acknowledges receipt of a specific number of packages only.
- 19.2.4 Before signing for the delivered packages the receiver should:
- Verify the delivery name and address are correct for the location receiving the delivery.
 - If the delivery should go to another County facility, delivery should not be accepted.
 - Check the number of packages delivered against the shipping Bill of Lading and certify that the number of packages agree.
 - Note any evidence of damage to packaging on Bill of Lading.
 - Sign for “receipt of packages only – subject to inspection”.

19.2.5 **Step 2** – verification of items received – in this step the packing slip or invoice is compared with the actual physical contents of the package(s).

- A copy of the purchase order may be used to check contents of items received.
- Note any items received but not listed on the packing slip or invoice.
- Note any items listed on the packing slip or invoice as shipped that are not contained in the shipment received.
- The vendor shall be notified of any damaged items or other discrepancies within three working days of the date the delivery was made.
- Report any damaged items or other discrepancy to the department authorized requisitioner on the same day as delivery.
- Receiver must sign the packing slip, attesting all items shown were received or discrepancies noted.
- Forward the packing slip, invoice, Bill of Lading and any other supporting documentation to the department's authorized requisitioner.
- Procurement should be notified of any discrepancies between items ordered and items received if the purchase order had a "P" for Procurement to handle in the send method on the requisition.
- Process an Order Revision to accept any change in quantity, description or unit price of items as NOTED: An Order Revision cannot change the scope, term, or prices on quoted items; nor can it change the vendor.

19.3 Return Goods Procedure

19.3.1 When it is necessary for an item or items to be returned to the vendor the following procedure should be followed:

- The item(s) should be repackaged in the original packaging if possible.
- If a County employee personally delivers the item(s) to the vendor's place of business, a credit memo must be obtained (preferable) or have the vendor's representative sign a piece of paper showing a description of the item(s) returned, the date and the purchase order number.

- If the vendor's representative picks up the item(s) being returned at one of the various County offices, they must either leave a credit memo or sign a piece of paper showing a description of the item(s) returned, the date and the purchase order number.
- If a credit memo is received upon the return of item(s) to a vendor, this credit memo should be sent to Finance. A copy should be kept in the department's file for reference purposes.
- If only a signed statement showing the description of the returned item(s), the date and the purchase order number, etc. is received, this should be forwarded to Finance. Again, a copy should be kept for the department's file for reference purposes.
- If the vendor will not issue a credit memo or sign a statement showing the item(s) was/were returned, then under no circumstances should the item(s) be left with the vendor or the vendor allowed to remove the item(s) from the County's possession.

SECTION 20: PAYMENT PROCEDURES

20.0 Payment Authorization

- 20.0.1 To initiate payment for an order received from an outside vendor, the department authorized requisitioner will complete the E-form thru the OnBase Imaging System. This acknowledges receipt of the actual goods or services.
- 20.0.2 For fixed asset acquisitions, the department must also prepare and submit a FIXED ASSET ACQUISITION to Finance at the time payment is authorized in OnBase.

20.1 Advanced Payments

Finance has the authorization to make advance payments on behalf of the County for goods and services, including, but not limited to, maintenance agreements and subscriptions, for advance payments of invoices submitted. Per Florida Statutes Section 28.235.

20.2 Payment Dispute Resolution Procedure

- 20.2.1 This procedure will apply to any payment dispute between the County and vendor over the County's nonpayment of a payment request or invoice when there is no specific dispute resolution procedure prescribed in the contract.
- 20.2.2 Lee County shall notify the vendor in writing within ten (10) days after receipt of an improper invoice, that the invoice is improper. The notice should indicate the steps the vendor should take to correct the invoice and resubmit a Proper Invoice to the County. The vendor's first step must be to contact the project sponsoring department to validate their payment request or invoice and receive a sign off from that entity indicating that the payment request or invoice in question is in keeping with the terms and conditions of their contract. Once the project sponsoring department's sign off is obtained, the vendor should then resubmit the payment request or invoice as a "Corrected Invoice" to the project sponsoring department which will initiate the payment timeline.
- "Project Sponsoring Department" for purposes of this Section is defined as the County department for whom the work is performed.
 - "Proper Invoice" for purposes of this Section is defined as an invoice submitted for work performed that meets prior agreed upon terms or conditions to the satisfaction of Lee County.

- 20.2.3 Should a dispute result between the vendor and the County over payment of a payment request or invoice, the vendor should submit their dissatisfaction in writing to the project sponsoring department. Each project sponsoring department shall designate a representative to act as a “Dispute Manager” to resolve the dispute at the department level.
- 20.2.4 The Dispute Manager shall investigate the dispute and document the steps taken to resolve the dispute in accord with Section 218.76, Florida Statutes. Such investigation shall be commenced no later than forty-five (45) days after the date on which the payment request or invoice was received by Lee County, and shall be finally determined by the County no more than sixty (60) days after the date on which the payment request or invoice was received.
- 20.2.5 The Dispute Manager will investigate and ascertain whether the work for which the payment request or invoice has been submitted was performed to Lee County’s satisfaction and duly accepted by the Proper Authority. For purposes of this Section “Proper Authority” is defined as the Lee County representative who is designated as the approving authority for the work performed in the contract. The Dispute Manager must complete the investigation and furnish a written determination resolving the dispute within the sixty (60) day timeframe for resolution of the dispute, per Section 218.76, Florida Statutes.
- 20.2.6 If the vendor is not satisfied with the Dispute Manager’s resolution of the dispute, the County Manager or his or her designee shall be the final arbiter in resolving the issue. The County Manager or his or her designee will issue their decision in writing within the sixty (60) day timeframe for resolution of the dispute.
- 20.2.7 The Lee county Dispute Resolution Procedure shall not be subject to Chapter 120 of the Florida Statutes. Per Section 218.76, Florida Statutes, this procedure is not intended as an administrative proceeding which would prohibit a court from ruling again on any action resulting from the dispute.
- 20.2.8 Should the dispute be resolved in the County’s favor, interest charges begin to accrue fifteen (15) days after the final decision made by the County. Should the dispute be resolved in the vendor’s favor, the County shall pay interest as of the original date the payment was due.

SECTION 21: ORDER REVISIONS

21.0 Order Revisions

- 21.0.1 In One World® the Order Revision function is an on-line automated process.
- 21.0.2 The same approvals required on the requisition are built into the Order Revision path as well.
- 21.0.3 If it becomes necessary to change any information contained on purchase order after the purchase order has been issued, the department/division must complete an on-line order revision. (Exception – pricing on quoted items if different than terms in specifications.)
- 21.0.4 An Order Revision may be initiated by Procurement to correct clerical or technical errors.
- 21.0.5 By completing an on-line Order Revision the department may:
- Cancel the lines on a purchase order,
 - Change account information, by canceling the line and enter a new line with the correct account string
 - Increase or decrease dollar amounts or quantities
 - Change description information – on description line 2 only
 - Make any necessary changes on the order attachment (i.e. quote renewals, etc.)
- 21.0.6 An Order Revision must be processed if the payment amount is more than 20% or \$500.00; whichever is less, over the purchase order amount.
- 21.0.7 A Revision Attachment must be completed with each Order Revision. This is a free form text area where a complete and thorough description of the changes made should be documented along with your initials and date of changes made.
- 21.0.8 The requisitioner should notify the vendor of any changes to the purchase order if it affects the delivery of products or services to the department.
- 21.0.9 An Order Revision can be used to reopen a closed purchase order during the current fiscal year if the order was closed in error (i.e. still has a remaining balance, closed due to lack of money, etc.). This is accomplished by adding additional lines to an existing purchase order.

21.0.10 An Order Revision cannot be used to change the vendor. If the vendor changes, a new purchase order must be issued and the incorrect purchase order must be canceled.

21.0.11 An Order Revision cannot be used to reopen a canceled purchase order. (No payments made from line(s) of purchase order.

SECTION 22: MISCELLANEOUS OBLIGATIONS

22.0 Miscellaneous Obligation Procedures (Prepurchases)

- 22.0.1 All purchase orders for miscellaneous obligations must be issued by Procurement.
- 22.0.2 A miscellaneous obligation, by definition, is the ordering and/or receipt of goods or services prior to the issuance of a purchase order, which constitutes a prepurchase.
- 22.0.3 The requesting department/division will complete a Request for a Miscellaneous Obligation form (found in the Forms section of this Manual), including the requisition #, and forward it to Procurement.
- 22.0.4 These forms must be signed by the department director. Procurement reserves the right to return any Request for Miscellaneous Obligation that is incomplete or not signed by the appropriate person.
- 22.0.5 Procurement will review the request to ensure all necessary information has been included. Procurement may contact the department/division for further information or verification of given information.
- 22.0.6 If the request for miscellaneous obligation is below formal level the department director's signature is the only authorization required.
- 22.0.7 An Agenda Item Summary will be completed and presented to the Board for review and approval when a miscellaneous obligation requires Board level authorization.
- 22.0.8 A copy of the approval is given to the Buyer responsible for issuing the Purchase Order to attach to the purchase order if the miscellaneous obligation hasn't been attached to the requisition.
- 22.0.9 A purchase order is then issued in accordance with procedures contained in this Manual.
- 22.0.10 The original of the Request for a Miscellaneous Obligation Form and the approval of the request with the original signature by the department director will be retained in Procurement's files.

SECTION 23: MONITORING FUNCTION

23.0 Monitoring Function

23.0.1 Procurement shall perform a monitoring/reviewing process of the requisitions that are issued by the County departments and divisions' purchasing function and procedures. The purpose will be to determine extent of compliance with established laws, policies and procedures.

SECTION 24: DEFINITION OF TERMS

Addendum – an addition or change in the prepared specifications for which an invitation has already been mailed for formal written quotations, formal proposals, informal written quotations or informal written proposals.

Board of County Commissioners – (BOCC) The governing body of the County with final decision making authority.

Contract – a solemn agreement between parties, usually written, with binding legal and moral force; usually exchanging goods or services for money or other consideration.

Direct Voucher – a mechanism by which payment may be made without requiring a purchase order to be issued. In *most* cases, if no tangible goods or services are being received, a direct voucher may be used to pay the invoice.

Emergency Purchase – an unforeseen situation in which there is a breakdown of County service and there is an urgent need to restore such service, in order to avoid serious and adverse consequences affecting the life, health, welfare, or property of the citizens of Lee County.

Exempt Purchase – purchases which are exempt from quoting requirements because blanket Board approval has already been obtained.

Formal Level – current formal dollar level is \$100,000.00.

Formal Written Quotation - method used for the purchase of items or services when cost is over formal level.

Functional Authority – authority over all day-to-day operations within the authorized person’s jurisdiction.

Governmental Entity – any political subdivision such as City, County, School Board, Port Authority, etc. with authority to govern members of the public.

Informal Hearing – a meeting called, attended by and presided over by the members of the Dispute Committee.

Informal Quotation – written or other method, which may be used, for the purchase of items or services when cost is below formal level.

Miscellaneous Obligation – the ordering and/or receipt of goods or services prior to the issuance of a purchase order; a prepurchase.

Miscellaneous Transaction – certain transactions, which are unique in nature, and therefore, cannot be handled through competitive bargaining and negotiations.

Negotiation – method used if less than two responsive bids or proposals for commodity or contractual service purchases are received; the department or division may negotiate a contract on the best terms and conditions.

One Step Quote Process – this process is normally used for purchases anticipated to be of formal level and the award is made to the lowest responsive, responsible bidder meeting specifications.

Piggyback - procurement method used which allows one governmental entity to take advantage of competitive pricing received by another governmental entity when both governmental entities have procedures, which allow this action.

Pre-bid Conference - meeting held with prospective bidders prior to solicitation of quotes/proposals, to recognize state of the art limits, technical aspects, specifications, and standards relative to the subject, and to elicit expertise and quoter's interest. All questions and abnormalities concerning the project should be discussed.

Prepurchase – any goods or services ordered or received prior to the issuance of a Purchase Order.

Price Estimate – a price given by a vendor for an item or service meeting specifications given them. This is not necessarily a firm quote.

Purchase Order – the actual ordering of items or services. This is the point at which funds are encumbered on the County's financial records. This is the official purchase of an item or service and should state all terms and conditions of the proposed transaction.

Requisition – a request for the purchase of items or services, not an authorization to purchase.

Sealed Proposal – a Procurement method established around general guidelines or a description of need for a service rather than a firm specification written in detail. This method is used when no fixed criteria exists.

Sole Source Purchase - a product or service that is available from only a single source or supplier and such determination is documented.

Specifications – a concise statement of a set of requirements to be satisfied by a product, material or process; indicating whenever appropriate the procedures to determine whether the requirements are satisfied. A specification may be a standard, a part of a standard, or independent of a standard.

State of Local Emergency – a situation involving possible adverse consequences affecting the life, health, welfare or property of the citizens of Lee County. This must be declared by the Board of Lee County Commissioners and/or their designee in accordance with Lee County Ordinance No. 87-1.

Tabulation – the recording of quotes and quote data submitted in response to a specific invitation for purposes of comparison analysis, and recordkeeping.

Two Step Quote Process – this process is used when there is a need to qualify vendors/bidders in the first step; those who meet our qualifications to provide the commodity or perform the service in the first step will then go onto to the second step of awarded to the lowest responsive, responsible bidder meeting specifications.

Waiver - a process whereby a government Procurement office may procure items without formal bidding/quoting procedures because of the uniqueness of circumstances related to that procurement action.

One World® - a registered trademark of Oracle Corporation

SECTION 25: FORMS

INDEX OF FORMS

1. Vendor Complaint Form
2. Lee County Procurement Signature Authorization Form
3. Request for Miscellaneous Obligation

Vendor/Bidder Application with W- 9 Form – See website
Disaster Purchase Order (DPO) – See Website

**LEE COUNTY
VENDOR COMPLAINT REPORT**

VENDOR: _____ DEPARTMENT _____

ADDRESS: _____ COMPLAINANT'S NAME: _____

CITY: _____ COMPLAINANT'S TITLE: _____

PHONE: _____ COMPLAINANT'S PHONE#: _____

DATE: _____ QUOTE#: _____

CONTACT: _____ QUOTE TITLE: _____

NATURE OF COMPLAINT

_____ 01	Late Delivery	_____ 10	Goods Delivered Damaged
_____ 02	Unauthorized Substitute	_____ 11	Request to Cancel Due to Bid Error
_____ 03	Poor Quality	_____ 12	Problem w/vendor Personnel
_____ 04	Failure to Respond to Letter or Call	_____ 13	Failure to Replace Damaged Goods
_____ 05	Poor Service	_____ 14	Repair Parts Not Available
_____ 06	Failure to Respond to Service Call	_____ 15	Poor Workmanship
_____ 07	Incorrect Items Delivered	_____ 16	Failure to Provide Warranty, Manuals, etc.
_____ 08	Failure to Meet Specifications	_____ 17	Short Weight or Overshipment
_____ 09	Failure to Identify Shipment		

DETAILS OF COMPLAINT: (Attach additional pages if necessary)

ACTION TAKEN BY BUYER & OUTCOME: (Attach additional pages if necessary)

Buyer: _____ Date: _____

Has complaint been resolved? _____ Yes _____ No Date resolved: _____

**LEE COUNTY PROCUREMENT
SIGNATURE AUTHORIZATION**

_____ The following individual is being authorized to enter and/or issue requisitions, and order revisions in the One World® system.

_____ Authorization for the following individual to enter requisitions, or order revisions is hereby revoked.

Name of Individual: _____

Signature of Individual: _____

Department/Division: _____

List all Department/Division/Sections for which the above person is authorized:

NOTE: This form must be authorized by the Supervisor/Director of the individual or someone of higher authority.

Authorized By:

Name: _____

Title: _____

Signature: _____

Date: _____

REQUEST FOR MISCELLANEOUS OBLIGATION

(Date)

FROM: _____ REQUISITION NO.: _____

VENDOR: _____

Business Unit: _____

Amount: _____ Fiscal Year: _____

DETAILED EXPLANATION:

Authorized Signature/Date
(Department Director or above)

IN ACCORDANCE WITH SECTION 22.0.1 ALL PURCHASE ORDERS FOR MISCELLANEOUS OBLIGATIONS MUST BE ISSUED BY PROCUREMENT.

If purchase amount exceeds \$50,000.00 – County Manager (or designee) signature is required.

APPROVED BY COUNTY MANAGER (OR DESIGNEE):

Signature: _____

Date: _____

(AFTER APPROVAL A PURCHASE ORDER MUST BE ISSUED)

FINANCE PROCEDURES

**SECTION 26: FINANCE PROCEDURES
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MISCELLANEOUS TRANSACTIONS

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SECTION 26: FINANCE PROCEDURES

PAYMENT PROCEDURES

26.0 Payment Authorization

- 26.0.1 To initiate payment for a received order from an outside vendor, the department will complete an approval E-form thru the OnBase Imaging System and route it back to Finance. The E-form will include quantities, dollar amounts to pay and other pertinent information.
- 26.0.2 For fixed asset acquisitions, the department must also prepare and submit a FIXED ASSET ACQUISITION form to Finance at the time payment is authorized.

26.1 Payment for Orders

- 26.1.1 Upon receipt of an invoice or payment request, Finance will process it for payment in accordance with the appropriate procedure for processing invoices.
- 26.1.2 All payments will be charged against the purchase order encumbered for the order and/or contract.
- 26.1.3 If a purchase order has been closed before the final delivery or payment, a department may have it re-opened by preparing and submitting an Order Revision.
- 26.1.4 It shall be County policy that vendors should mail original invoices directly to Finance or make arrangements to have the invoices e-mailed. Exception: invoices for contracted construction and/or professional services.
- 26.1.5 If vendor invoices, credit memos, monthly statements, or such are inadvertently mailed to a department, the department should promptly forward them to Finance. Department should inform vendor of correct mailing address to send invoices to.
- 26.1.6 Finance will maintain all invoices on file for use in processing payments for orders.
- 26.1.7 Payment checks will normally be issued by Finance on Tuesday. Emergency check runs are done as needed.

26.1.8 To have a check issued for an order, the e-form/payment request and invoice must normally be submitted to Finance by 4:00pm on the preceding Tuesday via OnBase and/or stamped into Finance.

26.2 Payment Limits

26.2.1 Finance may not make any payments on any purchase that exceeds the payment limit on a purchase order or the contract amount on a contract.

26.2.2 For a purchase order only, the amount of the purchase order plus 20% or \$500.00, whichever is less, is the payment limit.

26.2.3 For a contract, the contract amount plus contract change orders is the firm payment limit.

26.2.4 When an excess payment over the payment limit or contract amount is invoiced by the vendor, Finance will notify the department concerned by sending invoice back in OnBase with a note.

26.2.5 If the department wishes to pay the excess amount, it must prepare and submit an Order Revision. Unit prices cannot be changed on quoted items.

26.2.6 After the purchase or contract amount have been increased to the appropriate figure for the higher than expected invoice, Finance may then make payment up to the appropriate amount.

26.2.7 If the purchase order contract amount is not increased, Finance may make payment only up to the originally authorized payment limit or contract amount.

26.3 Payment of Interest on Overdue Invoices

26.3.1 In accordance with Florida Statute 218.75, to authorize the payment of interest to the County's vendors on overdue invoices, object code 7225 – Vendor Late Payment Interest has been established for this purpose.

26.3.2 The Clerk of Circuit Court Finance Division has the authority to pay interest charges on any invoice that is over 45 days old when these charges are requested by the vendor.

26.3.3 A disputed invoice over 45 days old will not be considered delinquent if written notification explaining the dispute is sent to the vendor and Finance. The aging of the invoice in this case stops on the date of dispute notification and begins again upon resolution of the dispute.

26.3.4 If interest charges exceed \$500.00 over the original purchase order amount, it will not require an order revision to be processed.

26.4 Refund Procedures

26.4.1 When a refund is due a vendor for the overpayment of fees, non-attendance at a County sponsored function, or other similar reason, the refund procedure should be utilized.

26.4.2 Refund Payment Request form should be completed with the following information:

- Amount of refund due
- Vendor name and Vendor number
- Account string(s) where money is available for refund
- Reason for refund
- Name of contact person in case additional information is required

26.4.3 The request must be signed by a department director, division director or designee.

26.4.4 Receipts and any other pertinent paperwork should be attached to the report.

26.4.5 The entire request for refund package should be mailed to Finance for processing.

26.5 Advanced Payments

26.5.1 Finance has the authorization to make advance payments on behalf of the County for goods and services, including, but not limited to, maintenance agreements and subscriptions, for advance payments of invoices submitted. Per Florida Statute 28.235.

MISCELLANEOUS TRANSACTIONS

26.6 Miscellaneous Transactions

26.6.1 There are certain transactions which are unique in nature, and therefore, cannot be handled through competitive bargaining and negotiations. Miscellaneous transactions may be entered by direct voucher as specified in the JDE/Lee County Finance Training Manual for Accounts Payable. These transactions shall be referred to as Miscellaneous Transactions, and shall be grouped as follows;

26.6.2 Group I:

- The acquisition of real property, such as land, easements, right-of-way, existing buildings, structures, or improvements, resulting from negotiations and approved by the Board.
- The payment of court ordered fines and judgments, resulting from litigation the County is a party to.
- Refunds of current or prior year revenues charged against budgetary accounts.
- Grant disbursements to federal, state, or local government agencies, or to private groups or agencies.
- Disbursements to County officers of funds budgeted for their requisition and use.
- Aid disbursements for Federally Funded employment and training program participants, housing and rental subsidies, or welfare and medical assistance.
- Any exceptional disbursement as authorized by the Board.

26.6.3 GroupII:

- The payment of court ordered fees, or fees and costs incurred pursuant to S.27.54(3) and certified by the Public Defender as being useful and necessary in the preparation of a criminal defense, resulting from the judicial process, processed by the Clerk of the Court or the Court Administrator's Office, and recorded against the budget for such fees. For such fees, the County is merely the public taxing agency responsible for supporting the judicial system.
- Cash transfers and investment transactions for fiscal management purposes, processed through Finance, and against general ledger accounts.
- The payment of accrued or current liabilities already charged against the budget, processed through Finance, and recorded against general ledger accounts.

- Debt service payments processed by Finance and charged against budgetary accounts. These payments are non-departmental and are based upon a scheduled payment cycle approved by the Board. Finance was designated to handle the requests in order to assure the monies are available and the bond covenants are met.
- Bank charges which are netted from the amount of interest the County earns on its surplus cash. The reduced interest earnings are then distributed to all of the County's funds based upon their cash balances for the time the interest was earned. The result is all the funds bear the cost of the County's banking activity.
- Interfund or interdepartmental transfers or reimbursements within or among County departments including indirect costs.

26.7 Procedure for Group I

26.7.1 Group I miscellaneous transactions are paid by Direct Voucher and will be processed as follows:

- Acquisition of real property –There must be backup showing approval by the Board.
 - Grant disbursements to private groups or agencies – there must be grant agreement approval by the Board and the grantee. **Such a grant agreement will be treated the same as a contract.**
 - Miscellaneous transactions under Board level authorization – the authorization levels for purchases under Board level authorization in this manual are also applicable.
 - Miscellaneous transactions of Board level authorization – authorization is required by approval of the Board.
 - Payment of court ordered fines or judgments – in addition to proper authorization; the submitting department must indicate the case title and number on the Direct Voucher.
- Afterward, to request payment for the miscellaneous transaction, the responsible department will complete an on-line e-form for the transaction. Appropriate supporting documentation must also be submitted.

- After receipt of the e-form with the supporting documentation, and after appropriate pre-audit review, Finance will prepare the disbursement for the miscellaneous transaction. The disbursement will be charged against the encumbered purchase order approved for the miscellaneous transaction.
- Multiple disbursements for a miscellaneous transaction are permitted; however, a separate e-form must be submitted for each disbursement up to the total amount encumbered.

SECTION 27: PROCUREMENT CARD POLICIES AND PROCEDURES

SECTION I – INTRODUCTION

The Lee County Procurement Card Program is designed to improve efficiency in processing purchases from any vendor that accepts the Visa credit card.

This program allows the Cardholder to purchase approved commodities directly from our vendors. Each procurement card is issued to a named individual and Lee County BOCC is clearly shown on the card as the Governmental buyer of goods.

Procurement Management and Finance will monitor the performance of the program. All questions or concerns should be directed to:

Procurement related:	Katie Albright or Robert Franceschini	533-5450
Finance related:	Lucy Maldonado or Michelle Traeger	533-2100

A. PURPOSE – POLICIES AND PROCEDURES:

Provide an efficient and cost effective method of purchasing and paying for goods and services.

1. Reduce the use of small dollar purchase orders.
2. Ensure procurement card purchases are in accordance with the County's ordinances, policies and procedures.
3. Ensure that the County bears no legal liability for inappropriate use of procurement cards.
4. Provide for disciplinary action if the procurement cards are misused.
5. Establish the minimum standards for use of County credit cards.

B. HOW IT WORKS

The Procurement Card system simplifies the procurement/disbursement process. Procurement responsibility is delegated to the ordering Department enabling an authorized Cardholder to place an order directly with the vendor.

When a purchase authorization is requested by the supplier at the point-of-sale, the Visa Procurement Card system checks the transaction against preset limits established by the employee's Department. Transactions are approved or declined (electronically) based on the Procurement Card authorization criteria established. The authorization criteria may be adjusted periodically as needed and may include, but is not limited to, the following:

- Single item purchase limit as set by Department Director (limits exceeding \$999.99 for commodities and \$5,000 for travel & travel related expenses must be specifically approved by the Procurement Management Director in writing prior to the purchase)
- Monthly spending limit
- Approved Merchant Category Codes

C. WHO DOES WHAT?

The following are the responsibilities of the individuals and organizations involved in the Procurement Card system.

1. Cardholder

- Hold and secure Procurement Card (at the discretion of Department Director the card may be held by Department fiscal personnel)
- Order materials
- Receive and inspect all ordered materials
- Collect receipts and turn them in to the Department Reconciler
- Identify and handle disputed and taxed charges
- Review monthly charges with Department Reconciler
- Cardholder is responsible for paying taxes if they are charged.

2. Department Procurement Card Reconciler (“Department Reconciler”)

[Individual designated by Department Director]

- Review monthly statement with Cardholder as needed
- Verify the appropriateness of cost center codes (i.e., fund/dept/div#/program/object code/subsidiary/project #/ cost center assigned to charges)
- Work with Cardholder on disputes if needed
- Forward Procurement Card Report with all original receipts to Finance
- Notify Department Director when Procurement Card documentation (eg. receipts/invoices) is not received from a Cardholder in a timely manner.
- Maintain copies of all supporting receipts
- Notify Procurement Card Administrator of terminated employees
- Forward properly documented copies of all fuel purchase receipts directly to Fleet Management if fuel was purchased for county vehicle, per

Administrative Code (AC) 5-7. Receipts should have the equipment number and odometer reading on it. (Transit and Solid Waste are exempt from this requirement.)

3. Department Director

- Request Procurement Cards for designated employees
- Set Card spending limits within established guidelines
- Designate representatives responsible for authorizing charges
- Collect cards from Cardholders who end employment
- Evaluate the need to cancel or maintain cards when employees transfer
- Notify the Procurement Card Administrator and/or Department Reconciler of terminated cards
- Appoint a Department/Procurement Card Reconciler
- Recommend employee to attend refresher Procurement Card training session as deemed necessary

4. Procurement Card Administrator

(Appointed by Procurement Management Director)

- Coordinate issuance and cancellations of Procurement Cards
- Coordinate program policy issues
- Participate in ongoing program reviews
- Participate in resolving billing disputes
- Maintain Policy and Cardholder guides/manuals
- Conduct mandatory training class for new Cardholders

5. Finance

- Receive approved monthly Procurement Card Report from Department Reconcilers
- Confirm that all charges are authorized by the Department incurring the charges
- Pay monthly charges from consolidated Procurement Card report that has been compared to the individual Cardholder statements
- File and store reports and receipts

6. Procurement Management Director

- Approve/disapprove requests for Procurement Card issuance
- Pursue merchant discount opportunities
- Evaluate Procurement Card feedback
- Coordinate and maintains internal controls
- Target new Cardholders and expand use of the Procurement Card
- Authorize increased spending limits for certain Procurement Cardholders as appropriate

7. Internal Auditor

- Conduct periodic operational and compliance audits

SECTION II – POLICIES AND PROCEDURES

A. ASSIGNMENT AND CONTROL OF THE PROCUREMENT CARD

1. REQUESTS FOR AND ISSUANCE OF PROCUREMENT CARDS

- a. Requests for new Cardholders or changes to current Cardholders must be submitted to the Procurement Card Administrator on the prescribed form.
- b. All requests for Procurement Cards must be signed by the Department Director.
- c. Procurement Cards will be issued to individual employees who frequently purchase goods and services for the County.
- d. Non county employees, such as the University of Florida Extension Services, working with the County may obtain a Procurement Card per the appropriate Department Director authorization.
- e. Contract employees may be issued Procurement Cards, if the Procurement Management Director and the requesting Department Director determine it is beneficial to the County.
- f. The Procurement Card will have the employee's name, the County name, and the expiration date embossed on the face of the card. The Procurement Card issuing company will not be provided individual Cardholder information other than the Cardholder's work address. No credit records, social security numbers, etc., of the Cardholder will be maintained by the issuing company.
- g. When the Procurement Card Administrator receives a Procurement Card from the issuing card company, the Cardholder will be required to sign a receipt form indicating they have taken possession of the Procurement Card. The Cardholder will be given a copy of the Procurement Card Policies and Procedures guide, a copy of the County tax exempt certificate, and an oral review of the program.
- h. Prior to receiving the Procurement Card, the employee must also sign an agreement authorizing the Clerk to deduct any unauthorized charges from their payroll check. The total amount of the unauthorized charge will be deducted from the next available paycheck. No extension with respect to repayment is permitted.

2. LOST OR STOLEN PROCUREMENT CARDS

- a. **If a procurement card is lost, stolen, or misplaced, the Cardholder must immediately notify the Procurement Card company and the Procurement Card Administrator of the loss. Bank of America Commercial Card Customer Services 1-888-449-2273.**
- b. The Cardholder will be responsible for reporting all information necessary to reduce the potential liability to the County for a lost or stolen card.

3. TERMINATION OR TRANSFER OF CARDHOLDER

- a. When an employee ends his or her employment, the Department Director or Designee must collect the Procurement Card, destroy it (cut it in half), and notify the Procurement Card Administrator.
- b. If the Department Director is unable to collect the Procurement Card when an employee terminates, then the Department Reconciler and Procurement Card Administrator should be notified immediately. The Procurement Card Administrator will ensure that the card is cancelled.
- c. When an employee is transferred to another County Department, the new Department Director will evaluate the need to maintain the existing Procurement Card.
- d. If it is determined that employee will maintain the existing Procurement Card, the Department Director must complete and submit a new request to the Procurement Card Administrator. The Procurement Card Administrator will notify the bank of the new statement address. The employee will retain the original assigned Procurement Card.

4. RENEWAL CARD

The Cardholder will be notified by the Procurement Card Administrator when the renewal card arrives. The Cardholder may authorize the Department Reconciler to pick up the Procurement Card by notifying Procurement Card Administrator.

B. CARDHOLDER USE OF PROCUREMENT CARD

1. CARDHOLDER USE ONLY

The Procurement Card may be used **only** by the employee whose name is embossed on the card. No other person is authorized to use the card. The Cardholder is responsible and accountable for all transactions that occur on his/her card.

The Cardholder should NOT sign the back of the Procurement Card. The Procurement Card Administrator will write in indelible ink the following:

SEE PHOTO ID.

2. COUNTY PURCHASES ONLY

The procurement card is to be used for County authorized purchases only. **Personal use of the Procurement Card is not authorized and is prohibited. Any violation of this provision will require immediate reimbursement and may be grounds for disciplinary action, including potential dismissal.**

Unauthorized charges may be deducted from wages, salary, vacation or sick benefits. Anyone abusing the credit card will lose the use of it. If unauthorized or personal use of the Procurement Card does occur, the Cardholder must submit a written explanation of the unauthorized use and the approximate amount as soon as possible (eg. upon return from the trip).

3. SPENDING LIMITS

- a. The Department Director approving the assignment of a Procurement Card will set two limits for each Cardholder: single purchase limit and 30-day limit. The maximum limits are \$999.99 for a single item purchase and \$5,000 for travel related expenses unless otherwise specifically authorized in writing by the Procurement Management Director. Additional limitations may be imposed by the requesting Department Director.
- b. Requests for spending limit changes must be initiated in writing and directed to the Procurement Management Director by the Department Director.
- c. For all Procurement Cards, other than those with an increased spending level approved under section II.B.3.d, a purchase may be made of multiple items, but each individual item cannot exceed

\$999.99 and the total purchase cannot exceed the cardholder's limit*. Purchases over \$999.99 for a single item must be made by Purchase Order under the County Procurement Policies and Procedures. Charges for purchases may not be split to stay within the single purchase limit. Splitting charges will be considered abuse of the procurement card program.

***NOTE: The formal quoting level for like type items still apply.**

- d. In order to take advantage of certain discounts and percentage reward programs available to the County, the Procurement Management Director, in conjunction with the County Manager, has the discretion to authorize increased spending limits for certain designated Procurement Cardholders. The purpose of the increased spending limits is to allow properly approved purchases or payments, otherwise meeting County standards and protocols, to occur using the Procurement Card. Both the Procurement Management Director and the County Manager must authorize the spending limit increase, in writing, for the designated Procurement Cardholder. The authorization may include conditions with respect to use or purchases involving the increased spending limit. Requests for authorization to increase the spending limit may be initiated by the Department Director, however, approval is at the discretion of the Procurement Management Director and County Manager.

4. OTHER CONDITIONS

- a. Candidates for employment with Lee County may be reimbursed for travel expenses. Approval by the Department Director *must* be set forth in writing prior to using the Procurement card. (See Administrative Code 3-21)
- b. BACK ORDERS ARE PROHIBITED. This includes orders purchased over-the-counter, online, or by telephone. All items purchased must be immediately available. If purchased by telephone or online, delivery must be within a 30-day billing cycle. No orders should be placed without these assurances.

5. PROHIBITED USES OF PROCUREMENT CARDS

The following types of items may not be purchased with a Procurement Card, regardless of the dollar amount:

- a. Vehicle repairs (excluding Fleet Management, Lee Tran and Solid Waste);
- b. Cash advances;

- c. Any items or services available on an Annual Quote (if use of the Procurement Card may negate the County discounts);
- e. Any additional goods or services specifically restricted by the individual County Department.

C. PROCEDURES FOR MAKING AND PAYING FOR PURCHASES

1. DOCUMENTATION OF OVER-THE-COUNTER PURCHASES

- a. For over-the-counter purchases, the Cardholder must obtain the customer's itemized billing copy of the charge slip.
- b. The charge slip must be submitted to the Department Reconciler for later submittal to Finance for payment.

2. TELEPHONE ORDERS

When placing a telephone order, the Cardholder must confirm the merchant will charge the Procurement Card when shipment is made so that receipt of the supplies may be certified on the monthly Bank statement.

3. SALES AND USE TAXES

The County is exempt from paying any State of Florida sales and or use tax, even if the purchase is made with the Procurement Card. If the vendor charges sales tax, the Cardholder must contact the vendor and obtain a credit equal to the amount of the sales tax. This may also apply to out of state purchases.

Cardholders are required to present the tax exempt certificate to the merchant before payment. Any problems experienced with a merchant regarding sales or any other taxes, must be reported to Procurement Management.

4. MISSING DOCUMENTATION

If for any reason the Cardholder does not have documentation of the transaction to provide to the Department Reconciler, then the Cardholder must provide the Department Reconciler with a notarized statement describing the purchase for attachment to the Department Reconciler's required report to the Finance Department. Continued incidents of missing documentation may result in the cancellation of the employee's Procurement Card.

5. PAYMENT AND INVOICE PROCEDURES

- a. The Bank will mail one consolidated statement for all Cardholders to Finance. Individual statements are available from the Bank online when needed. The Bank statement will list all transactions processed

during the previous billing cycle (usually 30 days). If no purchases were made on the Procurement Card during the billing cycle, no statement will be generated unless adjustments for previously billed transactions have been processed during that cycle.

- b. Account strings, amounts, etc. are to be inputted directly into the Bank's online program when reconciling. The Department Reconciler must run a report and export it into an Excel spreadsheet. The spreadsheet along with the original purchase documentation attached must be forwarded to Finance.
- c. The Department Reconciler must review the report against the purchase documentation provided by the Cardholder and note any errors or possible disputes. After review, the Department Reconciler will forward the report to the Accounts Payable Office of Finance. **All reports must be forwarded to Finance in accordance with the monthly statement cycle schedule. (A new monthly statement cycle schedule will be distributed by the Procurement Card Administrator each year.)** Copies of purchase documentation for all items listed on the report must be retained by the Department Reconciler for audit purposes for no less than five years after the statement date. The original receipts or purchase documentation must be sent to Finance along with the report.
- d. Finance will ensure that the Procurement Card charges are paid timely and that they are reconciled against the individual Cardholder Procurement Card Report. The Department Reconcilers will be notified when individual reports are not received in the allotted time. Continued failure to meet the deadlines may result in the revocation of Procurement Cards at the discretion of the Procurement Management Director and/or Finance Director.
- e. *Foreign Transactions/Fees.* If a transaction is made in currency other than U.S. dollars, Visa will convert the charge or credit into a U.S. dollar amount. The conversion rate on the processing date may differ from the rate on the date of the transaction. The exchange rate used by Visa will either be (i) a rate selected by Visa from a range of rates available in wholesale currency markets for the applicable central processing date, which rate may differ from the rate Visa receives; or, (ii) the government mandated rate in effect for the central processing date. The Bank will add a 1% fee to the U.S. dollar amount of any transaction made in foreign currency or outside of the United States even if the payment is in U.S. dollars (the "International Transaction Fee"). The International Transaction Fee will be shown in the Activity section on the billing statement.

D. DISPUTES

1. If items purchased with the Procurement Card are defective, the Cardholder must return the items to the vendor for replacement or credit. If the commodities paid for with a Procurement Card are faulty, the vendor must be notified and asked to correct the situation or provide a credit. If the vendor refuses to replace or correct the faulty item, the purchase will be considered in dispute. If the quantity of items received is less than the invoice and charge billing, then the transaction must be disputed.
2. If it is not possible to resolve the issue with the merchant directly, then a dispute must be issued with the Bank within 60 days of the close of the billing cycle in which the transaction occurred.
3. To file a dispute, complete the Dispute Form obtained from the Bank. Make sure you have completed the form accurately and legibly. Provide all information required. Failure to provide all requested information, will delay the resolution of the dispute.
4. Fax the completed form to the Bank's Commercial Claims department and keep a copy of the faxed transmission report. A letter to the Cardholder at the address on file with the Bank will be mailed if the claims department requires more information. A response to the request **MUST** be filed, even if it's to say you have no more detail, or the dispute will be considered closed.
5. If a merchant charges sales tax on the purchase, the Cardholder is responsible for obtaining a credit in the amount of the tax or reimbursement to the County.

E. REVIEW OF PURCHASES BY DEPARTMENT RECONILCER

1. Department Reconcilers are required to review each Procurement Card expenditure (item purchased, amount, and vendor) to ensure the goods or services were necessary, and for official use.
2. When purchases are questioned, the Department Director or the Department Reconciler will be responsible for resolving the issue with the Cardholder. If the Department Director is not satisfied that the purchase was necessary and for official use, the Cardholder must provide either a credit voucher proving the items were returned for credit or the full amount of the purchase plus applicable sales tax will be deducted from the Cardholder's next available payroll check. A written explanation of why the violation occurred and the action taken to prevent reoccurrence must be submitted to the Finance Department along with the Cardholder's monthly report.
3. Any disputes over the validity of a purchase, between the Department Reconciler and the Cardholder will be settled by the Department Director.

4. Serious or repeated misuse of the Procurement Card will result in the revocation of the card. Employees incorrectly using their Procurement Card will be disciplined by the Department Director as necessary.
5. To help the Department in their reviews, management reports will be available from Procurement Management or Finance.

F. EMERGENCY CARDS

During Hurricane season or other disasters, a few Public Safety Cardholders, the Director of Procurement Management (up to \$100K), and other departments, as deemed necessary by the County Manager, will have their accounts activated to serve as Emergency cards. Their monthly limit will be increased to \$50,000 and will have more MCC codes opened to their account. The Procurement Card Administrator will update the accounts in the Bank's online program to reflect the increased spending limits. Once the emergency situation is over, the Procurement Cards will be returned to the previously approved spending limits by updating the accounts in the Bank's online program. Activation and deactivation of the emergency cards will be coordinated between the Procurement Management Director and the Public Safety Director.

SECTION 28: ENVIRONMENTALLY PREFERABLE PURCHASING

28.0 General

This policy establishes procedures to encourage and increase the procurement of recycled and other environmentally preferable products by department/divisions and vendors/contractors.

28.1 Purpose

This policy shall be known as the Environmentally Preferable Purchasing Policy. Its purpose is to support markets for recycled and other environmentally preferable products by encouraging department/divisions and vendors/contractors to buy such products whenever practicable.

28.2 Definitions

Vendor/Contractor – means any person, group of persons, consultant, designing architect, association, partnership, corporation, or other business entity that has a quote/contract/one time purchase with Lee County (including suppliers) or serves in a subcontracting capacity with an entity having a quote/contract with Lee County for the provision of goods or services.

Designated products – means recycled and environmentally preferable products and materials that may be designated by Procurement pursuant to this policy.

Environmentally preferable products – means products that have a lesser or reduced effect on human health and the environment when compared with competing products that serve the same purpose. This comparison may consider raw materials acquisition, production, manufacturing, packaging, distribution, reuse, operation, maintenance, or disposal of the product.

Minimum content standards – means standards maintained by Procurement specifying the minimum level of recovered material and/or post-consumer material necessary for designated products to qualify as recycled products.

Post-consumer material – means a material or finished product that has served its intended use and has been discarded for disposal or recovery, having completed its life as a consumer item. Post-consumer material is a part of the broader category of “recovered material” or recycled material.

Practicable – means satisfactory in performance and available at a reasonable price.

Recovered material – means waste material and that has been recovered or diverted from solid waste, but does not include those materials and byproducts generated from, and commonly reused within an original manufacturing process.

Recycled paper – means paper meeting the Lee County minimum recycled content standards.

Recycled product – means a product manufactured using recovered material and meeting Lee County minimum recycled content standards.

28.3 Policies

- 28.3.1 The County Manager’s Office and Procurement strongly supports and will implement this policy.
- 28.3.2 All departments and divisions shall use, and require their vendors/contractors and consultants to use, products manufactured with the maximum practicable amount of recovered material, especially post-consumer material.
- 28.3.3 All departments and divisions shall use, and require their vendors/contractors and consultants to use, environmentally preferable products whenever cost effective and to the extent practicable.
- 28.3.4 All departments and divisions shall ensure that they and their vendors/contractors use recycled paper in printed material, and that it bears an imprint identifying the recycled content of the paper, whenever practicable.
- 28.3.5 All departments and divisions shall ensure that they and their vendors/contractors use both sides of paper sheets whenever appropriate.
- 28.3.6 Departments and divisions may specify recycled content at levels higher than the minimum content standards.

28.4 Procedures

- 28.4.1 Procurement will designate products, processes and procedures to be evaluated by departments and divisions and used or adopted whenever practicable, maintain a preferred product list and periodically transmit this information to departments and divisions for implementation.

- 28.4.2 Provide departments and divisions with technical assistance in policy implementation.
- 28.4.3 County departments and divisions will assign appropriate personnel to evaluate preferred products, as necessary to determine the extent to which it may practicably be used by the department/division vendors/contractors.
- 28.4.4 Revise contracting procedures as necessary to procure preferred products whenever practicable and to facilitate appropriate data collection.
- 28.4.5 Procurement and the Solid Waste Division will transmit an annual report to the County Manager's Office on the status of policy implementation.

28.5 Responsibilities

28.5.1 The Procurement Division shall:

- 28.5.1.1 Provide departments/divisions with information to facilitate their evaluation and purchase of preferred products and inform them of their responsibilities under this policy.
- 28.5.1.2 Revise minimum content standards as necessary to ensure that preferred products contain the maximum practicable amount of recovered material and are consistent with guidelines and regulations promulgated by the United State Environmental Protection Agency, the State of Florida, and other applicable agencies.
- 28.5.1.3 Ensure that environmentally preferable products are designated whenever practicable.
- 28.5.1.4 Transmit minimum content standards to departments and divisions.
- 28.5.1.5 Assemble an annual report to the County Manager's Office on the status of policy implementation. This report shall include data on purchases of recycled/non-recycled and environmentally preferable products by each department/division and results of designated product evaluations.

28.5.2 County Departments and Divisions shall assign staff to:

- 28.5.2.1 Ensure that contracting procedures do not discriminate against recycled products without justification.
- 28.5.2.2 Assign appropriate personnel to evaluate each preferred product to determine the extent to which it may practicably be used by the County and its vendors/contractors.

- 28.5.2.3 Revise contracting procedures to optimize the specification of preferred products whenever practicable and facilitate compilation of data on the purchase of preferred products by the agency and its contractors.
- 28.5.2.4 Transmit evaluation results and annual procurement data to the Procurement Division as requested for inclusion in the annual report to the County Manager's Office on the status of policy implementation.