

SAA Monitoring for Subrecipients Checklist

Example

Scope of the Visit

Early in the process, we focused on budget detail and program (equipment) eligibility. Need to direct attention and efforts to programmatic portion of the grant. Also, this will be the last time this level of technical assistance will be offered to this portion of the grant in anticipation of next year's funding being competitive.

Problem Statement

This section addresses the litmus test of asking what position your county would be in if an event occurred right now. It is defining the problem as it exists today. The question is also addressed by providing statistical information (cite the source and date of information), high risk areas and targets of opportunity, and other critical infrastructure. What are your existing resources and how are they allocated at the current time.

Give info on locale within the state, major highways that intersect within the county, populace. Provide

prior data, exercises, events, etc. that show changes in the magnitude of the problem.

Project Purpose and Program Objective

Goal – umbrella statement that defines the ultimate intent of the project/ the ideal. The goal is usually long-term and unobtainable.

Specific Plan - how do you plan on reaching the goal? Describe the plan for conducting the project and a rationale for the tasks and activities to be employed.

Objectives- These are things that you can control

Ideally there should be no more than 3 and should be measurable

These are specific statements of the expected results of the project

These usually start with the verb “to” and are not considered “activities”

Performance Indicator

There should be a one-to-one correspondence between each objective and a performance indicator.

Each performance indicator is a measurement, either qualitative or quantitative, of each objective.

Project Evaluation

This is where you define the manner in which the evaluation will be conducted.

It is the plan or process to assess the impact of your strategy on the terrorist incident risk and consequences in their jurisdiction.

It is the process that they are going to use to measure the effectiveness of the project

***Cite Grant Term and Condition #28:** Evaluation report is due 45 days after the end of the grant period. There is no standardized form for this reporting requirement.

Implementation Schedule

Page 11 needs to correspond back to page 7. List the activities that will be used to reach the objectives of the grant. Also include required reporting on the Implementation Schedule (quarterly reports, etc.).

Review Grant Forms and Documents

Quarterly Reports/Requests for Payment – emphasize that these must be completed even if no fiscal activity exists for that quarter. No activity is still reportable activity.

Program Progress Reports – review reporting and due dates. Report must be signed by the Project Director and the Official Authorized to Sign. Note that this report has been augmented since 2003 to capture fiscal data for expenditures, encumbrances, etc.

Request for Grant Revision – requests for revisions to a grant are not considered until 75% of all funds have been spent.

Property Control Record Form – only used for equipment (and software) that has a value of \$5,000 or more and a useful life of over 12 months. This report is to be submitted with the final request for payment.

Procurement Procedures

Review Procurement Procedures document. Explain each purchase category and what is expected such as prior approval, sealed competitive bids, etc. Use actual items in the grant budget detail as instructions. Emphasize the concept of purchases made “in the aggregate”. For those Project Directors in 03, note that the thresholds changed in 04.

Make sure that your Agency Procurement Officer is aware and get them involved.

Review Sole Source Procurement form. Explain that these are strongly discouraged and are exceptions to the rule. Make sure the grant number is included on the form.

Other

Term and condition #10: Must meet the 90 day start up from the release of funds date.

We anticipate that you will have purchased 75% of grant equipment and/or supplies by Dec.30. Please advise SAA if you will have problems meeting this objective.

Retention of Records: must retain records for at least 3 years after the final disposition of grant for audit purposes, regardless of what the counties (agencies) records retention policy might be in effect. We recommend keeping records for an additional 3 years beyond the requirement for a total of 6.

EEOP and Civil Rights Compliance

Notices setting forth the provisions of the EEOP must be posted and made available to all employees and applicants for employment. In the event that the Federal or State administrative agency makes a finding of discrimination after a due process hearing on the grounds of race, color, national origin, sex, or disability against a recipient of Federal funds, or any subgrantee or contractor of that recipient, a copy of such findings must be forwarded to the Office of Civil Rights, Office of Justice Programs (FY 99-05) and Department of Homeland Security (FY 06-forward).

*APCO 25 compliant Radios

G&T Training/Exercises – take advantage of ODP training. Guide subgrantee to STATE EMERG.

MGT. AGENCY's training calendar that is posted on their website.

Special Conditions

All special conditions must be met **prior** to reimbursement. Review each applicable special condition and the conditions that will satisfy them.

Software/Hardware condition requires **3** separate criteria (review **ADP form**, if applicable)

1. Statement of integration (i.e. IRIS, ALOHA, CAMEO)
2. Sending in bids, vendor, price and/or state contract # **prior** to purchase
3. Answering a-e on the last page of Procurement Procedures (federal requirement).

Grant Close Out

Cover what each agency/county self-reported for expenditures.

Review grant budget detail and confirm to which discipline(s) each budget item request was associated.

Make a visual inspection of equipment items that have been procured using the Record of Payment Form (specifically the itemized RFP Budget Detail).

Four Required Document Submissions:

- 1) Final Request for Payment
- 2) Property Control Sheet (to be submitted along with the Final Request for Payment)
- 3) Final Revised Budget Worksheet and Narrative
- 4) Grant Program Progress Report (due no later than July 30th). Discuss training and exercise activities. What has been done and what T&E will be continued. Who is the T&E done in concert with, in-house, STATE EMERG. MGT., ODP?

- 5) Final Evaluation Report. Note that this due no later than 45 days after the end of the grant period and is different than the grant Program Progress Report.

Review Audit Requirement and Record Retention Policy

Records should be made available for audit and inspection by SAA and/or any of its duly authorized representatives at any time.

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