

Management of Sub-Grants Procedure Manual

Oklahoma Department of
Corrections

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PRIMARY RECIPIENT AGENCY RESPONSIBILITIES

When the Oklahoma Department of Corrections (ODOC) is the primary recipient of funding, the following guidelines will be applied to subrecipients.

Grants Application and Administration

Grant application and administration follows the guidelines of OP-120104 which govern the management and oversight of grants which includes:

- Preparing the applications for the federal grant funds;
- Developing and distributing the application notice and application forms;
- Review and evaluation of the submitted subgrantee applications for funding;
- Receiving funds from the federal granting agency and disbursing the funds to the subgrantees throughout the grant cycles;
- Maintaining accurate ledgers and other fiscal records for subgrantees;
- Evaluating and monitoring compliance of subgrantees in meeting state and federal requirements;
- Providing guidance and technical assistance to subgrantees;
- Collecting statistical data from the subgrantees to assess program effectiveness in order to provide information to the federal granting agency; and,
- Preparing and submitting the required progress, financial, and evaluation reports to the federal granting agency by the assigned deadlines.

GOALS OF MONITORING

Monitoring is one of the principal responsibilities of the Grants Department. It is the responsibility of the Grants Manager and Grants Accountant to assist the subgrantees in implementing the approved projects within a framework of relevant state and federal statutes, regulations, policies, procedures, and guidelines so as to achieve maximum success. In order to be effective, it is imperative that the monitoring process occurs throughout the course of the award period.

Through proactive monitoring of subgrantees, the Grants Department is able to ensure that fiscal accountability and programmatic integrity are maintained. In addition, monitoring enables ODOC to:

- Ensure that projects initiated by subgrantees are carried out in a manner consistent with the subgrantee's stated goals and objectives
- Identify and resolve problems that may impede effective implementation of project
- Collect data to provide comprehensive fiscal information and specified progress reports to the federal granting agency
- Provide any needed consultation and technical assistance to the subgrantee

It is essential to assess on an ongoing basis to ensure that the project is progressing toward the stated goals, objectives, and activities. If a project is not on a path to meet the stated objectives, the Grants Department can assist in making adjustments and improvements as needed. By conducting project monitoring, ODOC demonstrates good stewardship of the federal funds and is able to accomplish a portion of the responsibilities as required of state-administering agencies.

SCOPE AND TYPES OF MONITORING

There are two different types of monitoring that can be used: on-site monitoring and desk reviews.

Oklahoma Department of Corrections utilizes a hybrid monitoring system for most grants. One year will consist of a full on-site monitoring visit while the next year consists of a desk review.

On-site monitoring allows the ODOC staff:

- Face-to-face interaction with the project staff to discuss specific issues related to the project, such as progress on goals and objectives, financial, and personnel issues.
- To observe grant activity, review files, and make judgments about planned versus actual progress.
- An opportunity to develop or continue a collaborative relationship between the state-administering agency and the subgrantee.

To conduct an on-site visit, the Grants Department arranges a site visit date with the subgrantee. The Project Director, the Fiscal Officer, and grant-paid staff members are required to attend the site visit. A confirmation letter with a Pre-Monitoring Checklist is sent to the subgrantee.

In addition to on-site monitoring visits, the Grants Department may conduct periodic desk reviews.

A desk review is conducted in order to:

- Ensure the award to the subgrantee was appropriately executed;
- Determine if the subgrantee is in compliance with the fiscal and programmatic reporting requirements;
- Determine if the special conditions were met and properly cleared; and,
- Assess the progress of the program and identify any problems encountered (e.g., fiscal or administrative).

To conduct a desk review, the Grants Department requests various supporting documents from the subgrantee, such as invoices and receipts. Upon receiving the information, the Grants Department will review the information to ensure that the subgrantee has implemented the grant program according to relevant state and federal statutes, regulations, policies, procedures, and guidelines.

If concerns were found after conducting a desk review, the Grants Department would compile and share a list of issues to discuss before scheduling a time to contact the subgrantee to clarify any concerns.

MONITORING CRITERIA FOR THE FEDERAL GRANTS

In order to prioritize monitoring, the Grants Department has set criteria to direct the on-site and desk reviews of the grant programs. Priority for monitoring is given to subgrantees where problems have been identified, implementation has been problematic, or where the subgrantee has specifically requested technical assistance. The Grants Department follows these criteria in planning and implementing on-site visits.

Monitoring Criteria

- A. Potential subgrantees receive an initial Risk Assessment before they are awarded.
- B. Based on the initial Risk Assessment, no less than 50% of the subgrantees of an award will receive an on-site monitoring visit attended by the subgrantee's project director and fiscal officer.
- C. The Grants Department will select the subgrantees with which to conduct a site visit and the time line in which the site visit will be conducted.
- D. The subgrantees provide the following for the purchase of approved equipment: an initial quote, any purchase orders used, invoices, and copies of payment for the Grants Department's review and closeout

RISK ASSESSMENT OF SUBGRANTEES

Purpose

The purpose of conducting risk assessments on subgrantees is to create a proactive system insuring administrative, programmatic, and fiscal success of all subgrantees during the monitoring process. It is an acknowledgement that some subgrantees may need additional assistance to implement an effective project. The assignment of risk can change throughout the grant period, depending on changing circumstances. The risk assessment should not be viewed as a pejorative or punitive system, but as a tool to create a high functioning program.

Rating System

At the beginning of each grant cycle, the Grants Department will conduct a risk assessment of each subgrantee based on certain criteria.

The system is the assignment of a numeric value to each funded project based on certain criteria, listed below.

- 1 = Highest Risk
- 2 = Moderate Risk
- 3 = Lowest Risk

Criteria

A program receives a risk value based on circumstances of the grant, past performance, individual situations, information gathered during the application or monitoring process, and other criteria deemed relevant by the Grants Department. A value is assigned based on the number of criteria that apply.

- Highest Risk is 6 or more criteria
- Moderate Risk is 3-5 criteria
- Lowest Risk is 2 or less criteria

A subgrantee that has no history in successfully implementing a grant is automatically rated as a high risk.

The remaining criteria are as follows:

Administrative Criteria:

1. New Subgrantee.
2. There is a change in the Chief Executive Officer in the most recent grant year.
3. There is a change in the Project Director in the most recent grant year.
4. There is a change in the Fiscal Officer in the most recent grant year.
5. The subgrantee has been placed on Draw Hold for a fiscal or programmatic issue in the most recent grant year.

6. The subgrantee has had significant corrective action(s) in the most recent grant year.
7. The subgrantee didn't receive an on-site monitoring visit in the previous year.
8. The subgrantee submits inaccurate or incomplete Award Documents.
9. There appears to be a division of duties/lack of internal controls within the agency.

Financial Criteria:

1. The subgrantee submitted two or more late or incorrect MFRs and or QFRs in the most current grant year.
2. The subgrantee submitted an incorrect revised budget.

Programmatic Criteria:

1. The subgrantee submitted late or incorrect Programmatic Reports in the most recent grant year.
2. The subgrantee submitted incorrect or incomplete revised goals and objectives.
3. The awarded project experienced a delayed start.
4. The subgrantee not making sufficient progress toward approved goals and objectives in the most recent grant year.
5. The subgrantee made a significant change in program goals in the most recent grant year.

Action

Based on the assigned value, the following course of action may be taken:

- **If the subgrantee is new, a site visit will automatically be conducted.**
- For a high risk subgrantee, the Grants Department will conduct a minimum of one site visit and additional desk monitoring, if necessary.
- For a moderate risk subgrantee, the Grants Department will conduct a minimum of one site visit during the life of the grant.
- For a low risk subgrantee, the subgrantee may not be monitored at all for that grant period. However, the Grants Department will conduct a site visit if there was no site visit in previous year. For all others in this category, the Grant Department may conduct a site visit or a desk review if they deem it necessary.

OKLAHOMA DEPARTMENT OF CORRECTIONS

Risk Assessment

Subgrantee Name: _____

Grant Number: _____

| Administration | |
|--|--------------------------|
| New Subgrantee | <input type="checkbox"/> |
| Change in Authorized Official from Most Recent Grant Year | <input type="checkbox"/> |
| Change in Project Director from Most Recent Grant Year | <input type="checkbox"/> |
| Change in Financial Officer from Most Recent Grant Year | <input type="checkbox"/> |
| A Draw Hold from the Most Recent Grant Year | <input type="checkbox"/> |
| Significant Corrective Actions from Most Recent Grant Year | <input type="checkbox"/> |
| No Site Visit in Previous Grant Cycle | <input type="checkbox"/> |
| Inaccurate/Incomplete Award Docs. | <input type="checkbox"/> |
| Division of Duties/Lack of Internal Controls | <input type="checkbox"/> |

| Fiscal | |
|---|--------------------------|
| Two (2) or More Late/Incorrect MFRs and/or QFRs from Most Recent Grant Year | <input type="checkbox"/> |
| Incorrect Revised Budget | <input type="checkbox"/> |
| Indirect Cost Awarded | <input type="checkbox"/> |

| Programmatic | |
|---|--------------------------|
| Late/Incorrect Programmatic Reports from Most Recent Grant Year | <input type="checkbox"/> |
| Incorrect or Incomplete Revised Goals/Objectives | <input type="checkbox"/> |
| Late Program Start from Most Recent Grant Year | <input type="checkbox"/> |
| Not Making Sufficient Progress Toward Approved Goals/Objectives in Most Recent Grant Year | <input type="checkbox"/> |
| Significant Change in Program Goals from Most Recent Grant Year | <input type="checkbox"/> |

If a subgrantee is new, the subgrantee is automatically considered high risk and a site visit will automatically be conducted.

| | | |
|--------------------------|-----------------------|---|
| <input type="checkbox"/> | 6 or More = High Risk | Results in a minimum of one site visit and additional desk monitoring, if necessary, by the Grants Department. |
| <input type="checkbox"/> | 3-5 = Moderate Risk | Results in a minimum of one site visit by the Grants Department. |
| <input type="checkbox"/> | 2 or Less = Low Risk | May result in a site visit by the Grants Department. If "No site visit in grant cycle" is one of the selected risk factors, a site visit will be conducted. |

RESPONSIBILITIES OF THE GRANTS DEPARTMENT

1. Programmatic, Administrative, and Financial Review of the Grant

In order to conduct an effective monitoring visit, the Grants Department must:

- Possess a thorough understanding of the purpose, goals, objectives, time lines, special conditions of the award, and the budget of the project being monitored;
- Conduct periodic review of the files and telephone contacts with subgrantees;
- Adequately prepare prior to a site visit;
- Understand the structure of the organization being monitored so that the individuals most vital to the grant's activities, both financial and programmatic, can be interviewed; and,
- Be familiar with the Monitoring Report forms

2. Scheduling the Visit

The Grants Department will call the Project Director to arrange a mutually convenient time for a site visit. All of the key personnel involved in the grant should participate in the site visit. At a minimum, the Grants Manager should meet with the Project Director, the Fiscal Officer, and staff paid on the project.

The Grants Department will send a letter or e-mail to the Project Director to confirm the date of the visit. The Grants Department will place a copy or upload a copy of the confirmation in the subgrantee's file.

3. Preparing for the Site Visit

It is critical that the Grants Department prepares in advance for the site visit. This includes compiling the materials to bring to the site visit and reviewing the subgrantee's file. The Grant Department should:

- Identify any missing progress or financial reports;
- Check for any unmet special conditions of the award;
- Review the overall goals, objectives, and activities of the award;
- Develop a checklist of information, documents, or activities to be addressed; and,
- Enter the information into the Monitoring Report form

It is important to review the subgrantee's application, including project goals and objectives against which the progress of the project will be measured. If issues or problems are noted, questions should be noted to ask the project staff so to increase the understanding of the circumstances and shed light on possible solutions.

4. Conducting the Site Visit

The Grants Department is responsible for setting the tone of the site visit and establishing the expectations. The Grants Department will introduce themselves and explain the purpose of the visit emphasizing that this is not an audit. The Grants Department will utilize the Monitoring Report form developed for each grant program in conducting the site visit. The Monitoring Report form is to be used as a guide to direct the site visit.

Any administrative and financial issues that were previously identified should be addressed. Finally, the Grants Department will solicit any needs for technical assistance from the subgrantee.

The Grants Department will review the subgrantee's files to ensure that all grant - related documents are kept on file and that the information is current. The subgrantee's files should contain the following:

- The approved grant application;
- A signed copy of the award documents and special conditions;
- Progress Reports (PMT or MUSKIE);
- Monthly Financial Reports (MFR);
- Quarterly Financial Reports (QFR);
- Grant Adjustment Notices (GAN), and,
- Any correspondence relating to the grant.

5. Site Visit Follow-Up

Within three (3) weeks of the Grants Department's return to the office from the site visit, a post-monitoring report and follow up letter will be sent to the subgrantee.

The report must identify the issues reviewed for compliance, any findings, any recommendations for corrective action, and a deadline for completing the corrective action. The letter should include a note of thanks for the assistance during the visit; especially to the staff that helped make the visit possible. The letter will be addressed to the Project Director from the Grants Department, with a copy sent to the Agency Head as well as to the Authorized Official of the grant, if necessary.

The Grants Department will immediately report any major concerns, such as fraud, waste, and abuse, as well as intentional and unintentional violations and serious irregularities as set forth in the specific grant program's Administrative and Financial Guide, to the ODOC Administrator of Budget and Administrator of Medical and Programs Accounting.

SUBGRANTEE FILES

It is critical to maintain complete and well-organized subgrantee files. The following directions have been developed in order to ensure consistency throughout all grant programs for subgrantee files.

All grants should utilize legal sized, six- divider for physical files or digital folders titled as follows:

#1 Front Left:

Original Application
Budget Revisions and Budget Extension Requests

#2 Front Right:

Purchase Order Contract
Grant Adjustment Notices
Change in Project Director/Fiscal Officer Form
Backfill Verification Form
Award Notice Special
Conditions
Special Conditions for Expenditure of Confidential Funds
Authorization to Sign form
Certificate of Equal Employment Opportunity Plan
Statement of Audit Arrangements
Disclosure of Lobbying Activities
Certification of Project Income

#3 Middle Left:

Monthly request for funds

#4 Middle Right:

Voucher Jacket/Claim Form

#5 Back Left:

Quarterly report (Reporting of Subgrant Expenditures and Financial Status Form)
Quarterly Status Report for Project Income

#6 Back Right:

All other correspondence to and from subgrantees
Inventory list
Statement of Subgrant Equipment Purchases
ODOC Progress Reports
Draw Holds
Risk Assessment

MONITORING TOOLS

A generic monitoring tool is attached, but the document can be updated to meet specific future grant requirements if needed.

APPENDIX A
MONITORING TOOL

Oklahoma Department of Corrections
3400 N. Martin Luther King Ave
Oklahoma City, OK 73111

Subgrantee Monitoring Form

Date: _____

Project Grant Number: _____

Project Name: _____

Agency Name: _____

Address: _____

City: _____ Zip: _____ Area Code/Phone Number: _____

Individuals Present for Site Visit

Names:

| | |
|-------|-------|
| _____ | _____ |
| _____ | _____ |
| _____ | _____ |

Grant Program Summary:

B. Were the records organized and easy to locate? Yes ___ No ___

If no, explain _____

C. Federal Civil Rights Compliance Checklist

1. If the subrecipient is required to prepare an Equal Employment Opportunity Plan (EEOP) in accordance with 28 C.F.R. pt. 42, subpart E, does the subrecipient have an EEOP on file for review?

Yes _____ No _____ N/A _____

If yes, on what date did the subrecipient complete the EEOP? _____

If no, explain _____

2. If the subrecipient is required to submit an EEOP Utilization Report to the Office for Civil Rights (OCR), Office of Justice Programs (OJP), U.S. Department of Justice (DOJ) in accordance with 28 C.F.R. pt. 42, subpart E, has the subrecipient done so?

Yes _____ No _____ N/A _____

If yes, on what date did the subrecipient complete the EEOP Utilization Report? _____ If no, explain _____

If yes, what is the date of the subgrantee's most recent EEOP Utilization Report Approval Letter? _____

3. Has the subrecipient submitted a Certification Form to the OCR certifying compliance with the EEOP requirements: Yes _____ No _____

If yes, on what date did the subrecipient submit the Certification Form? _____

If no, explain _____

4. How does the subrecipient notify program participants and beneficiaries (e.g., through brochures, postings, or policy statements) that it does not discriminate in the delivery of services or benefits based on race, color, national origin, religion, sex, disability, and age?

Comments _____

5. How does the subrecipient notify employees and prospective employees (e.g., through advertisements, recruitment materials, postings, dissemination of orders or policies) that it does not discriminate on the basis of race, color, national origin, religion, sex, and disability?

Comments _____

6. Does the subrecipient have written policies or procedures for notifying employees on how to file complaints alleging discrimination by the subrecipient?

Yes _____ No _____

If yes, explain these policies or procedures. _____

If no, explain _____

7. Does the subrecipient have written policies or procedures for notifying program participants and beneficiaries on how to file complaints alleging discrimination by the subrecipient, including how to file complaints with ODOC and the Office of Civil Rights (OCR)?

Yes _____ No _____

If yes, explain these policies or procedures. _____

If no, explain _____

8. If the subrecipient has fifty or more employees and receives DOJ funding of \$25,000 or more, has the subrecipient taken the following actions:

a) Adopted grievance procedures that incorporate due process standards and provide for the prompt and equitable resolution of complaints alleging a violation of the DOJ regulations implementing Section 504 of the Rehabilitation Act of 1973, found at 28 C.F.R. pt. 42, subpt. G, which prohibit discrimination on the basis of disability in employment practices and the delivery of services?

Yes _____ No _____ N/A _____

b) Designated a person to coordinate compliance with the prohibitions against disability discrimination in 28 C.F.R. pt. 42, subpt. G?

Yes _____ No _____ N/A _____

c) Notified program participants, beneficiaries, employees, applicants, and others that the subrecipient does not discriminate on the basis of disability?

Yes _____ No _____ N/A _____

Comments _____

9. If the subrecipient operates an educational program or activity, has the subrecipient taken the following actions:

a) Adopted grievance procedures that provide for the prompt and equitable resolution of complaints alleging a violation of the DOJ regulations implementing Title IX of the Education Amendments of 1972, found at 28 C.F.R. pt. 54, which prohibit discrimination on the basis of sex?

Yes _____ No _____ N/A _____

b) Designated a person to coordinate compliance with the prohibitions against sex discrimination contained in 28 C.F.R. pt. 54?

Yes _____ No _____ N/A _____

c) Notified applicants for admission and employment, employees, students, parents, and others that the subrecipient does not discriminate on the basis of sex in its educational programs or activities?

Yes _____ No _____ N/A _____

Comments _____

10. Has the subrecipient complied with the requirements to submit to the OCR any adverse findings of discrimination against the subrecipient based on race, color, national origin, religion, or sex that are the result of a due process hearing conducted by a federal or state court or a federal or state administrative agency?

Yes _____ No _____ N/A _____

Comments _____

11. What steps has the subrecipient taken to provide meaningful access to its programs and activities to persons who have limited English proficiency (LEP)?

Comments _____

12. Does the subrecipient have a written language-access policy on providing services to LEP persons?

Yes _____ No _____

If no, explain _____

13. Does the subrecipient provide federally funded services to eligible beneficiaries regardless of religion, a religious belief, a refusal to hold a religious belief, or a refusal to attend or participate in religious practice?

Yes _____ No _____

If no, explain _____

14. If the subrecipient engages in explicitly religious activities, does it do the following?

a) Separate the explicitly religious activities in either time or location from the federally funded activities:

Yes _____ No _____ N/A _____

b) Ensure that participation in the explicitly religious activities is voluntary for participants in the federally funded program?

Yes _____ No _____ N/A _____

Comments _____

15. If the subrecipient is a religious institution or a faith-based organization, does the subrecipient do the following:

a) Provide appropriate notice to program beneficiaries or prospective beneficiaries that the subrecipient does not discriminate on the basis of religion in the delivery of services or benefits?

Yes _____ No _____ N/A _____

b) Provide appropriate notice to program beneficiaries or prospective beneficiaries that if they object to the "religious character" of the subrecipient, the subrecipient will make a reasonable effort to find an acceptable alternative provider in close geographic proximity that offers comparable services?

Yes _____ No _____ N/A _____

c) Keep a record of the requests for an alternative provider from beneficiaries or prospective beneficiaries who object to the subrecipient's "religious character," noting the subrecipient's efforts to find an appropriate alternative provider and to follow up with the beneficiary or prospective beneficiary?

Yes _____ No _____ N/A _____

Comments _____

16. If the subrecipient receives funding from OVW, does it serve male victims of sexual assault, domestic violence, dating violence, and stalking?

Yes _____ No _____

Comments _____

17. If the subrecipient receives funding from OVW, does the subrecipient provide sex-segregated or sex-specific services?

Yes _____ No _____

If yes, describe how the services are sex-segregated or sex-specific. _____

If yes, has the subrecipient determined that providing services that are sex-segregated or sex-specific is necessary to the essential operation of the program?

Yes _____ No _____

If yes, describe how the subrecipient determined that providing sex-segregated or sex-specific services is necessary to the essential operation of the program.

If no, explain _____

18. Has your agency received any complaints of discrimination from employees or beneficiaries of the services provided?

Yes _____ No _____

If yes, how was the complaint handled? _____

19. If you received such a complaint, what would your process or procedures be?

***Notify the subrecipient that if they do receive such a complaint, they must notify ODOC.**

2. Personnel _____ **Not Applicable**

A. How many personnel are assigned to this project? _____

B. Names of persons/percentage of time paid with grant: _____

C. Are all authorized staff positions filled? Yes _____ No _____
If no, explain _____

D. Have any positions been back filled? Yes _____ No _____
If yes, name of back fill and date? _____

E. Were the time and attendance records for personnel assigned to the project reviewed?
Yes _____ No _____
If no, explain _____

F. Were the time and attendance records in accordance with the financial guide?
Yes _____ No _____
If no, explain _____

G. Was an I-9 (Immigration and Naturalization Service Employment Eligibility Form) on file for each employee? Yes _____ No _____
If no, explain _____

H. If an employee is less than 100% time, is the subgrantee reconciling time?

3. Equipment Purchases _____ Not Applicable

A. Has all equipment been purchased? Yes _____ No _____
If no, explain delays _____

B. Are equipment purchases consistent with grant award? Yes _____ No _____
If no, explain _____

C. Have all receipts been retained for the equipment purchased?
Yes _____ No _____
If no, explain _____

D. Do these receipts match what is shown on the ledger? Yes _____ No _____
If no, explain _____

E. Are property records maintained by the subgrantee adequate?
Yes _____ No _____
If no, explain _____

F. Will the equipment purchased continue to be used for the project purpose after the completion of this funding period? Yes _____ No _____
If no, explain _____

G. Was the equipment actually viewed by the monitor? Yes _____ No _____
If no, explain _____

4. Travel _____ Not Applicable

A. Are expenditures for travel adequately documented with claims/receipts?

B. Do these receipts match what is shown on the ledger? Yes _____ No _____
If no, explain _____

C. Are travel expenditures in compliance with travel requirements?

(i.e., mileage, per diem rates)

Yes _____ No _____

If no, explain _____

5. Supplies and Operating Expenses _____ Not Applicable

A. Does subgrantee retain receipts?

Yes _____ No _____

If no, explain _____

B. Do these receipts match what is shown on the ledger?

Yes _____ No _____

If no, explain _____

C. Are all items purchased consistent with the approved budget?

Yes _____ No _____

If no, explain _____

6. Professional and Contractual Service _____ Not Applicable

A. Is a formal contract on file outlining specifically the work to be performed by the consultant?

Yes _____ No _____

If no, explain _____

B. Does the statement of work to be performed agree with the grant award?

C. Were consultants utilized and paid a fee while employed by unit of government?

Yes _____ No _____

If no, explain _____

D. Was the \$650 per day consultant fee limitation observed?

Yes _____ No _____

If no, explain _____

E. Were the contracts competitively bid?

Yes _____ No _____

If no, explain _____

F. If contracts were not the result of competitive bids, is there a sole source justification?

Yes _____ No _____

If no, explain _____

7. Facilities and Rentals _____ Not Applicable

A. Does the subgrantee own the building or have a substantial financial interest in the property?

Yes _____ No _____

If yes, is there a written policy or agreement that details the basis for cost allocation?

Yes _____ No _____

If no, does subgrantee have a signed contract?

Yes _____ No _____

B. Is the rent proportional to the personnel funded through the grant program?

Yes _____ No _____

If no, explain _____

C. Are receipts properly maintained?

Yes _____ No _____

If no, explain _____

D. Do these receipts match what is shown on the ledger?

Yes _____ No _____

If no, explain _____

E. If used as in-kind match, is there supporting documentation (i.e. value, properly authorized agreement donating facility)?

Yes _____ No _____

If no, explain _____

8. Other _____ Not Applicable

A. Does subgrantee retain receipts?

Yes _____ No _____

If no, explain _____

B. Do these receipts match what is shown on the ledger?

Yes _____ No _____

If no, explain _____

C. Are all items purchased consistent with the approved budget?

Yes _____ No _____

If no, explain _____

9. Indirect Costs _____ Not Applicable

A. Has the indirect cost rate changed since awarded?

Yes _____ No _____

If yes, explain _____

B. What base was used to calculate indirect costs?

Explain _____

C. What expenses are being paid for with indirect costs?

Explain _____

D. Are direct costs being paid for with indirect costs?

Yes _____ No _____

If yes, explain _____

C. SPECIAL CONDITIONS

1. Has the subgrantee used any federal funds, either directly or indirectly, in support of the enactment, repeal, modification or adoption, of any law, regulation, or policy at any level of government? Yes _____ No _____

If yes, explain _____

2. Does the subgrantee assure that the policies and practices of the service area comply with Oklahoma State Law? Yes _____ No _____

If no, explain _____

D. PROJECT IMPLEMENTATION/IMPACT

1. How are the project goals and objectives being achieved? – See the Goals and Objectives printed from the agency’s application.
2. What is the major accomplishment of this project? What are you most proud of? What has been the significant impact?

3. Have you experienced any barriers in implementing this project?

4. Are there local coordination efforts among law enforcement, courts, prosecution, or service providers?

5. Are there any difficulties with coordination with Law Enforcement, Courts, Prosecution, or Service Providers?

How often is evidenced based prosecution used?

What specific training would you like?

E. ADMINISTRATING AGENCY

1. Have there been any problems or delays in receiving the grant draw down from ODOC?

Yes _____ No _____

If yes, explain _____

2. Do you have any training or technical assistance needs?

Yes _____ No _____

If yes, explain _____

3. Is there anything ODOC can do to assist you?

F. PROJECT REPORTING/EVALUATOR

1. Who is responsible for completing the progress reports? _____

2. Are progress reports submitted on time? Yes _____ No _____

If no, explain _____

3. Are progress reports completed properly? Yes _____ No _____

If no, explain _____

G. FINANCIAL INFORMATION

1. General Financial

A. Name of person who maintains the account ledger for all expenditures of the grant funds.

B. Does the subgrantee maintain a general ledger? Yes _____ No _____

If no, explain _____

C. Does the subgrantee maintain a separate ledger for grant funds?

Yes _____ No _____

If no, explain _____

D. What is the source of the match (forfeiture funds, private funds, etc.)?

E. Are there any concerns about the expenditure of the match for this grant award?

Yes _____ No _____

If yes, explain: _____

F. Has the organization ever fired an employee who allegedly embezzled funds?

Yes _____ No _____

If yes, explain: _____

G. Has the organization ever been involved in a civil case regarding federal grant funds?

Yes _____ No _____

If yes, explain: _____

H. Has the organization ever filed bankruptcy? Yes _____ No _____

If yes, explain: _____

Is the organization delinquent on any federal debts? Yes _____ No _____

If yes, explain: _____

I. Has the organization ever been on the IRS' Auto-revocation list?

Yes _____ No _____

If yes, explain: _____

2. Project Income

A. Does your project generate income? Yes _____ No _____

B. Does all reported income meet the definition? Yes _____ No _____

If no, explain _____

C. Does the subgrantee maintain a ledger showing all project income expenditures?

Yes _____ No _____

If no, explain _____

D. Is subgrantee accurately reporting all project income? Yes _____ No _____

If no, _____

3. Audit _____ A-133 Audit Not Required

A. Does your agency expend more than \$750,000 from all sources of federal funds in one year?

*If yes, an audit is required. Yes _____ No _____

B. What was the date of the last audit? _____

C. Who performed the last audit? _____

D. Was a copy of the audit sent to ODOC? Yes _____ No _____

If no, when will it be sent? _____

E. Were there findings relative to the federal funds? Yes _____ No _____

If yes, what were the findings? _____

F. If so, have the findings been resolved? Yes _____ No _____

If no, explain _____

G. When is the next audit scheduled? _____

4. Financial Review

A. Are the expenditures in accordance with the grant award? Yes _____ No _____

If no, explain _____

B. Have any Request for Funds been late or incorrect? Yes _____ No _____

If yes, explain _____

C. Have any Quarterly Reports been late or incorrect? Yes _____ No _____

If yes, explain _____

D. Date of the quarterly report that was reviewed? _____

E. Did the quarterly report tie to the ledger? Yes _____ No _____

If no, explain _____

H. BOARD INFORMATION FOR NON-PROFIT AGENCIES

1. How many members are on the board? _____

2. Was the board roster reviewed? Yes _____ No _____

If no, explain _____

3. How often does the board meet? _____

4. Were the minutes of the last three meetings reviewed? Yes _____ No _____

If no, explain _____

5. Are the board meetings open to the public? Yes _____ No _____

If no, explain _____

6. Does the board follow Robert's Rules of Order? Yes _____ No _____

If no, explain _____

7. Are there any issues between the board and the staff of the organization?

Yes _____ No _____

If yes, explain: _____

8. Does the board have any training needs? Yes _____ No _____

If yes, explain: _____

I. CLOSE OUT REQUIREMENTS

1. Is subgrantee complying with close out requirements of past grants?

Yes _____ No _____

If no, explain _____

POST-SITE MONITORING REPORT

Summary/Recommendations _____

I certify that the above listed categories were monitored and all findings and /or recommendations were listed. It appears the subgrantee, except where noted, is in compliance with all applicable federal and state laws, regulations, and guidelines.

Grants Manager

Date

I have reviewed the above information and agree with the report findings and or/corrective actions taken or proposed. The subgrantee, based on the findings of this review, except where noted, appears in compliance with all pertinent federal and state requirements.

Administrator of Budget

Date

____ Re-monitoring Unnecessary

____ No Corrective Actions

____ Suggest Re-monitoring

____ Corrective Actions Required