



Arizona Department of Homeland Security

Final Review	Staff's Initials/Date
<input type="checkbox"/> Planner	_____ / _____
<input type="checkbox"/> Finance Staff	_____ / _____
<input type="checkbox"/> Equipment	_____ / _____
<input type="checkbox"/> Supervisor	_____ / _____

Section A: Administrative

A. Background Information

Date of visit: _____ Subgrantee: _____

Location of site visit: _____

Date site visit Notification Letter sent to subgrantee: _____

AZDOHS staff conducting the site visit:

Name	Title/Position

Subgrantee staff present (including name, title, and department):

Name	Department	Position

Grants reviewed:

Grant Number	Grant Source	Performance Period	Ext?	PCF	Qtr 1	Qtr 2	Qtr 3	Qtr 4	Qtr 5	Qtr 6	Qtr 7	Qtr 8
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Pre-Monitoring Checklist

Finance

- If applicable, review most recent A-133 Audit Review. List any findings that should be addressed during the site visit.
- Review reimbursement requests, master reports and any pending items.
Summary of items to address during visit:
 - > Are reimbursements submitted regularly?
 - > Does reimbursement request include all necessary information such as dates and signatures?
- > Are there recurring errors?
 - > Does stakeholder submit required support documentation?
 - > Is stakeholder current on audits?
 - > Is there a copy of the procurement policy on file at AZDOHS? If applicable, is there a copy of the payroll policy on file at AZDOHS?

Programmatic

- Subgrantee Agreement**
 - Signatures on last page?
 - Performance period
- Amendments / Extensions / Modifications**
 - Was an extension granted?
 - Is amendment documentation in file, and does it include appropriate signatures?
- Do the reimbursements correspond with the percentage of completion indicated in the quarterly report?**
- Quarterly Reports**
 - Are all quarterly reports current?
 - Do quarterly reports tie to the milestones?
 - What is the percentage of completion?
 - Is there any concern about completion of the project within the remaining of the performance period?
If the project is primarily equipment purchases, what are the reasons for delay in getting the equipment purchases made?
 - Were there any "continuing" quarterly reports due? (May be required if equipment is not fully operational at the end of a performance period.)
- Responds in a timely manner to inquiries from the AZDOHS?**
- EHP (Environmental and Historic Prevention)**
 - Did the award require an EHP approval?
 - Is the EHP approval notification in the grant file?
- Summary of items to address during visit:



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Section B: Financial and Administrative Review

Vendor	Invoice Number	Invoice Date	Check Number/ EFT #	Check Date	Amount Reimbursed	Grant Number	Invoice Agree with Check or itemized in remittance ?	Authorized for payment?	Were items invoiced & received prior to the end date of the subgrantee agreement?

Comments:



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Finance		
I.	Does the subgrantee(s) master grant file include the following: grant award letter, subgrantee agreement, amendments, copies of reimbursement requests, and quarterly programmatic reports? Who maintains the file? _____	<input type="checkbox"/> Yes <input type="checkbox"/> No
II.	Are there special conditions / match requirements related to the grant? If so, what are they? (i.e. EHP review) _____	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
III.	Are separate ledger accounts kept to track revenues and expenses for each project and/or grant? (Required: 2CFR 13-13.20 for state & local governments; 2CFR 215-215.21 for education institutions, hospitals & non-profits) (Note: request to see sample ledger.) If yes, what is the contract's account code/number? (Note: Compare against invoices when expenditures are reviewed. If not the same, you may need to discuss with appropriate individuals.) _____	<input type="checkbox"/> Yes <input type="checkbox"/> No
IV.	Explain the system(s) in place that are used by the project manager to monitor budgets and actual costs on an ongoing basis? Who monitors, and who's informed of budget status? _____ _____	
V.	Are internal financial reports on the grants maintained and kept current? Who reconciles, and how often are they reconciled? (names/titles) _____	<input type="checkbox"/> Yes <input type="checkbox"/> No
VI.	Does the relevant staff have knowledge of OMB Circulars, CFRs and grant guidance? www.whitehouse.gov/com/circulars/index.html www.gpoaccess.gov/cfr/index.html If no, remind them that this is a requirement of the grant and identified in the subgrantee agreement.	<input type="checkbox"/> Yes <input type="checkbox"/> No
Personnel:		<input type="checkbox"/> N/A
VII.	Are grant funds being used to supplement existing budgets, not supplanting?	<input type="checkbox"/> Yes <input type="checkbox"/> No
VIII.	Are time and effort reports in the grant file?	<input type="checkbox"/> Yes <input type="checkbox"/> No



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IX.	Are time and effort reports reviewed before payroll is processed? If so, by whom? _____	<input type="checkbox"/> Yes	<input type="checkbox"/> No
X.	Is the agency participating in the E-Verify program and are they compliant?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Operation Stonegarden Grant Program:			<input type="checkbox"/> N/A
XI.	Is there a copy of the subgrantee's overtime policy in the AZDOHS grant file?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
XII.	What is the approval process for determining OPSG OT hours worked? <i>Have subgrantee describe how benefits are calculated. (Request Examples)</i> <div style="border: 1px solid gray; height: 40px; width: 100%; background-color: #cccccc;"></div>		
XIII.	Are mileage logs properly maintained by the subgrantee (to include an in-vehicle log)?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Procurement:			<input type="checkbox"/> N/A
Professional and contractual services:			
XIV.	Are trainer/instructor/consultant services included in the grant award?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	A. If yes, was the \$450 per day fee limitation observed or was a waiver approved?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
XV.	Were State and local procurement procedures and laws followed?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	B. Was a competitive bid process, when applicable, adhered to when contract was awarded? Request to see evidence of the bidding process (i.e., copy of other bids or other paperwork).	<input type="checkbox"/> Yes	<input type="checkbox"/> No



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XVI. Are written policies and procedures related to grants management, accounting and procurement available to relevant staff? If not, explain why. Yes No

A. Is there a copy of the procurement policy in the AZDOHS file? Yes No
If not, please request to receive a copy during the monitoring visit.

Recordkeeping:

XVII. Are all records (programmatic/fiscal) kept on site and maintained for six (6) years after the close of the grant (Arizona Department of Library, Archives, and Public Records)? Who is responsible? Yes No

XVIII. Are the fiscal records for the grant kept in a secure location? Yes No

XIX. Are invoices and/or receipts kept on file to support reported expenditures? Yes No

Match Requirements:

N/A

XX. If applicable, how was the match requirement met? Cash In-kind

XXI. Subgrantee provided support documentation to meet match requirements. Yes No

Allowable cash or in-kind match must only include those costs which are in compliance with 2 CFR Part 225, Cost Principles for State, Local, and Indian Tribal Governments (OMB Circular A-87) and 44 CFR Part 13, *Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments*. Match will be used to supplement and not supplant the grant award and must conform to the appropriate grant guidance. Matching funds must be spent within the project period for items that would conform to the terms and conditions of the agreement. Subgrantee contributions must be from non-Federal sources.

Subgrantee representative verifying that match requirements were met in compliance with grant guidance and applicable CFR's as referenced above:

Print Name

Signature

Date

Pass-Through Funds: (Applicable when stakeholder subgrants funds awarded to them by AZDOHS)

N/A

XXII. If applicable, how are sub-grantees monitored with the pass-through funds? Yes No

XXII. Does the subgrantee have written contract administration/subgrantee administration procedures that address: Yes No

A. Maintenance of contract administration systems that monitors contractor/subgrantee performance?

B. A process that ensures that contracts are not made to anyone on the Debarment and Suspension list?

If yes, obtain a copy of written procedures.



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Section C: Equipment Monitoring (44 CFR Part 13.32)

Equipment Monitoring: A control system should be in place to ensure adequate safeguards to prevent loss, damage, or theft of property. Any loss, damage or theft shall be investigated.

I. Have digital photos been taken of the applicable equipment? Yes No

II. Is the equipment purchased with grant funding, prominently marked with "Purchased with funds provided by the U.S. Department of Homeland Security"? (When practicable) Yes No

III. Is the selected equipment inventoried and have an affixed asset tag (if applicable)? (Refer to subgrantee agreement for applicable property control requirements) Yes No

IV. Does the jurisdiction have procedures that include:

A. Requirements for the conduct of physical inventory at least every two years? Yes No N/A

B. Methods for the sale or disposition of equipment? Yes No N/A

C. Maintenance requirements and schedules? Yes No N/A

V. Does the property control record system include (Check box of item included):

Description of equipment

Serial number

Purchased date

Title

Location and use

Condition

Disposal date and sale price, if applicable

Comments:



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Section D: Programmatic Review

Project Implementation:

- I. Review of closed grants with subgrantee. Discuss any positives/negatives of execution of the projects or administration of the grant.

Grant Number:	Milestones:

- II. Open Grants (if applicable):
Is the project following its proposed milestones? Please note any obstacles that the project has encountered. N/A

- Is the project manager aware of applicable procurement procedures?
- Do reimbursement requests support the percentage of progress reflected in the quarterly reports?
- Is prior approval obtained for any changes?
- If the project is not on track to meet its approved objectives and timelines, what action is the jurisdiction taking to achieve original objectives and timelines?



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- III. Has the scope of work or objective changed since the award was made? Yes No
- If yes, was prior written approval obtained from the AZDOHS Regional Planner? Yes No

- IV. What documentation/processes is/are occurring to support achievement of the intended outcomes for the project? *Programmatic quarterly reports are required; however, there may be additional reporting requirements established by the jurisdiction. Make a note of additional reporting requirements or internal processes here and obtain a copy for our grant file. Example: Media Releases*

- V. What is the sustainability plan for the project? (For projects in grant cycles FFY2010 and prior)
Is there any change to the sustainability plan provided in the application? (For projects in grant cycles FFY2011 and after)

Reporting and Communication:

- VI. Submits progress reports in a timely manner providing all required information and capturing project accomplishments? Yes No

- VII. If there has been any issues/concerns with the agency; have they been addressed and/or corrected? Yes No N/A

- VIII. Has the agency notified the AZDOHS Regional Planner concerning any problems? Yes No N/A



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Community/Regionalization:

To what extent does the agency collaborate/interact with other groups, organizations, or agencies in the community for execution of the grant(s)? Please describe.

Whole Community Engagement: Nonprofits, faith-based, private sector, functional needs, vulnerable populations, youth and children, other.

Training (if funded):

N/A

IX. Were training expenses associated with workshops or conferences? Yes No

If yes, is there support documentation (i.e. training flyer, curriculum, sign-in rosters)? Yes No

X. Were State-sponsored or FEMA approved courses conducted and/or attended? Yes No

Please select one: Sponsored Attended

Grant Number	Name of Course	FEMA Approved?	Non-FEMA Proof of Approval?	Copy of Curriculum or Agenda?	Attendee Roster?

Planning (if funded):

N/A

XI. What were the accomplishments/outcome? (i.e. strategies, emergency response exercise, communication, plans, etc.)



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Personnel:

N/A

XII. Are all grant-authorized positions filled? If no, explain:

Yes No

Is there a copy of the position duties/responsibilities available?

Yes No

How do you ensure position goals and objectives are achieved? (i.e. Personnel Performance Appraisal)

Exercise (if funded):

N/A

XIII. Were Homeland Security funds used for exercises?

Yes No

If yes, they must comply with Homeland Security Exercise and Evaluation Program.

Please select one: Sponsored Attended

A. If exercises were sponsored, request a copy of the HSEEP summary page from the HSEEP tool kit and the After Action Report.

Summary Page - Received copy? Yes No

A.A.R - Received copy? Yes No

Overview: Review or inform stakeholder of any processes/procedures or upcoming events

- Processes/procedures
- Upcoming events (meetings - RAC, SAC, etc.)
- Modification/extension forms
- Deadlines
- Training
- Website (Forms, FAQs, Reimbursement Instructions)
- Publications created with grant funds should include Publications statement
- Disposition of Equipment Policies
- Record Retention Policies



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Additional Notes:

Page Number	Section	Question Number	Comments

General Comments:



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Section E: Post Site Visit Summary

I. The following project strengths were identified:

II. The items below were identified as areas for improvement. These issues do not constitute non-compliance and no formal follow-up is necessary.

III. The project was found to be non-compliant in the following areas:

IV. Recommendation:

- None
- Submit Corrective Action Plan within 30 days
- AZDOHS staff conduct a follow-up site visit within the next 60 days
- Other:

V. It is recommended that the AZDOHS assist the agency by providing technical assistance in the following areas: