

MODULE 104: MONITORING

Office of Adult & Juvenile Justice Assistance
(OAJJA)

Division of Criminal Justice

2016-17

<http://dcj.state.co.us>

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GOAL OF MODULE 104

- Review Monitoring Procedures

GRANT MONITORING



GRANT MONITORING

What purpose does monitoring serve?

To assist our grantees in meeting all applicable state and federal rules and requirements for the proper use of grant funds

Better understanding of grant requirements

Higher level of compliance

THE IMPORTANCE OF MONITORING

- ❑ DCJ distributes millions of dollars in federal funding to various entities throughout the state.
- ❑ DCJ has taken a pro-active approach to help our grant funded agencies attain compliance with all federal and state requirements.

Our goal: To help grant funded projects be successful on all levels.

Monitoring **IS NOT** an audit. It is a compliance review.

GRANT MONITORING AWARD DOCUMENTS

- ❑ The grant agreement (contract) and application form the foundation for assessing performance and compliance - essential to monitoring activities.
 - ❑ Special Conditions - federal and state
 - ❑ Additional Federal Requirements, Grant Requirements and Special Provisions
 - ❑ Provisions within the grant agreement
 - ❑ Deliverables:
 - ❑ Goals and objectives
 - ❑ Project budget
 - ❑ Evaluation - reporting requirements

GRANT MONITORING

A RISK BASED APPROACH

DCJ developed streamlined process with specific criteria to determine risk.

- ❑ Size of the award
- ❑ Complexity of the project
- ❑ Grantee's experience with project
- ❑ Past history of performance
- ❑ Audit results
- ❑ Reporting and payment requests
- ❑ Other concerns and/or issues

Three rankings - low, moderate and high risk

INDICATORS OF RISK

Common Issues:

- ❑ Late quarterly reports
- ❑ Cash requests not submitted or completed incorrectly
- ❑ Project start-up delayed
- ❑ Spending too quickly or too slowly
- ❑ Discrepancies between narrative and financial reports
- ❑ Expenditures in unauthorized budget categories on reports
- ❑ Approved budget figures are wrong on quarterly financial reports

INDICATORS OF RISK

Serious Issues:

- ❑ Pattern of spending in wrong budget category
- ❑ On-going minor problems that are not resolved
- ❑ Unresponsive to requests for information
- ❑ Project goals not being met

INDICATORS OF RISK

Critical Issues:

- ❑ Allegations of misuse of funds
- ❑ Allegations of misconduct or violations of grant conditions
- ❑ Audit findings or unresolved findings
- ❑ False certification of requirements
- ❑ Failure to comply with previous requests

NOTE: Unresolved issues may result in loss of funding

TOP 10 COMPLIANCE ISSUES

1. Reports submitted late
2. Inaccurate reports
3. Lack of documentation
4. Inadequate monitoring of contractors/vendors
5. Inadequate time and effort records (time sheets)
6. Commingling of funds
7. Lack of a budget for tracking expenditures
8. Excess cash on hand
9. Unallowable costs
10. Inappropriate changes

MONITORING PROCESS

Desk Review - for 100% of grantees.

Accomplished on an on-going basis through the review of:

- ❑ Grant applications
- ❑ Reports and other data
- ❑ Payment requests and supporting documentation

DCJ staff provide technical assistance as a result of their review which results in a higher level of compliance for most grantees.

MONITORING PROCESS

Desk Monitoring - For low risk grantees and those moderate risk grantees not selected for a site visit.

- ❑ Grantees complete two (2) monitoring checklists - general compliance and programmatic.
- ❑ Items selected from the programmatic checklist are based on the type of project on a case-by-case basis.

MONITORING PROCESS

On-site Monitoring - for high risk, moderate risk and those selected by the program manager based on indicators of risk or other factors such as:

- Multiple projects for one agency
- Technical assistance needed
- A full financial, administrative and programmatic review is conducted.
- Includes the general compliance and programmatic checklists in all instances

MONITORING PROCESS

- ❑ **Who is responsible?** Completion of the DCJ “General Compliance Checklist” and the DCJ “Grant Program Specific Checklist” is the responsibility of the Project Director
- ❑ **A good approach to completing the checklists:** All parties (Project Director, Financial Officer and other staff knowledgeable about the grant) work together in answering the questions and compiling the required information and documentation.

MONITORING PROCESS

- ❑ The compliance checklist instructions - include several resources, please use this opportunity as an educational experience.
- ❑ Time investment: It takes a few hours to review and complete the checklists, and to compile the requested information. DO NOT wait until a few days before the due date to review and complete the checklists.

NOTE: *There are several questions on the checklists that will ask you to collect and compile relevant information that must be forwarded with your completed checklists.*

MONITORING PROCESS

- ❑ The Project Director & Financial Officer will be contacted about a formal monitoring visit via a phone call or email from your DCJ Grant Manager
- ❑ Once a date has been selected, the Project Director and Financial Officer will receive:
 - ❑ **Initial letter (email)** confirming the scheduled monitoring site visit along with instructions for both the general compliance and programmatic checklists
 - ❑ **An email** providing the monitoring checklists that must be completed
 - ❑ **A Final Report** once monitoring is completed

Don't be shy about calling your Grant Manager
and asking questions!



FEEDBACK AND QUESTIONS

Who to call/email:

Financial Matters

Cindy Johnson

(303) 239-4443

Cindya.johnson@state.co.us

All Other Grant Questions:

Kyle McDonald

(303) 239-4452

kyle.mcdonald@state.co.us

Please complete a brief survey regarding this training:

<https://www.surveymonkey.com/r/2X5V8V3>

COMPLETE THIS PAGE AND EMAIL TO THE ADDRESS BELOW

I certify that I have completed this 2016 Module
104: Monitoring training.

Date Completed: _____

Name: _____

Project Director or Financial Officer (check one)

Grant Number: _____

Project Name: _____

Email Form to: cdps_dcj_oajjagrants@state.co.us