Items for Review During Compliance Monitoring

The following documents must be organized and made available to DCJS upon request:

<u>General Grant Documentation</u>

☐ Signed award documents for the current grant year and past three grant years;

☐ Signed and approved grant applications (including budget, budget narratives, and other required application components) for the current grant year and past three grant years;

☐ Approved status reports for the current grant year and past three grant years;

☐ Approved claims (to include all supporting documentation) for the current grant year and past three grant years to include match and/or project income (if applicable);

☐ Approved grant adjustment documentation (e.g., budget amendments, in-line budget revisions, project scope changes, changes in grant funded staff, no-cost extensions) for the current grant year and past three grant years;

☐ Approved encumbrances (if applicable)

☐ Inventory list and property records for any grant-funded equipment, to include purchase orders, invoices, serial numbers, liquidation policy, and/or proofs of purchase, for the current grant year and past three grant years and labeled by grant number;

☐ Evidence of compliance with all applicable DCJS Award Conditions and Requirements; and

☐ Grant related correspondence (if applicable).

<u>Financial Accountability</u>

☐ Cumulative budget to actual amounts for each approved budget category, as of the most recent quarter end (in the form of a general ledger, report, spreadsheet, financial statement, etc.);

☐ A copy of the most recent financial audit (if applicable) or financial review;

☐ Personnel time sheets for grant-funded employees, including any overtime approval documentation for three to six pay periods of the most recently completed quarter;

☐ Accounting records for the breakdown/percentages of how staff are paid from each funding source;

☐ Supporting documentation for all reported expenditures to include match (i.e. purchase invoice, vendor receipt, payroll register, timecard, dates of training, description of training, travel authorization, etc.)

☐ Written financial management protocol, procedures for financial accounting to include grants management

Evidence of Performance

☐ For each performance measure, provide evidence that supports the information reported to DCJS for the most recent quarter end (e.g., statistical reports on required demographics and performance measures, dated direct service logs, sign in sheets for training or focus groups, lists of taskforce or steering committee members);

☐ Cooperative agreements with allied agencies (must be updated every three years);

☐ Program brochures developed on grant-funded time or printed with grant funds, to include the required attribution statement and grant number in accordance with the DCJS Award Conditions & Requirements

☐ Evaluation documents (e.g., client satisfaction surveys, training evaluation forms), and how the collected information is utilized;

☐ Board of Directors membership list and the meeting dates for the grant period being reviewed

<u>Policies/Protocols</u>

- ☐ Human resource policies for hiring, termination and grievance practices, compensatory time, employment eligibility, EEO, non- discrimination statement and policies for employees and program participants, whistleblower, and drug-free workplace and other applicable policies required by the Award Conditions;

- ☐ Volunteer program documents (policies on recruitment/training, time logs, manuals, etc.) if applicable;

- ☐ Three (3) samples of client records (redact all personally identifiable information);

- ☐ Confidentiality policies, to include those provided to clients and those provided to staff, board members, volunteers, and others. This also includes release of information forms;

- ☐ Language access plan;

- ☐ Policies that respond in the event of an actual breach of personally identifiable information (PII);

- ☐ Written determination of suitability to interact with minors (if applicable);

- ☐ Conflict of interest

- ☐ OVW Funded Programs: policy for response to workplace-related incidents of sexual misconduct, domestic violence, and dating violence.

<u>Personnel</u>

- ☐ Agency organizational chart, to included position funding sources;
- ☐ Position descriptions for grant-funded positions;
- ☐ Training records for grant-funded staff to include documentation for Civil Rights training/compliance.

Grantees should be prepared to provide documentation of compliance with all applicable special conditions for each grant program included in the scope of the compliance monitoring review and discuss the following during the on-site visit:

- Grant funded activities performed by staff;

- Goals and objectives per funding source(s);

- Accomplishments, needs, and challenges meeting goals and objectives;

- How the program's Board of Directors, staff, and volunteers reflect and/or are representatives of the client population served and the program's community;

- The community's multidisciplinary response to sexual assault and domestic violence, including Sexual Assault Response Teams (SART) if applicable;

- Model law enforcement policies on responding to domestic violence and sexual assault, if applicable;