



Victims Services Grant Programs Monitoring Tool

Division of Programs and Services

Monitoring is the process of reviewing, with staff of a grant-funded project, the project’s implementation, activities, performance and expenditures to determine if it is operating as proposed in the approved grant application and in accordance with grant requirements, conditions, as well as any applicable regulatory requirements, and to identify any technical assistance needs of the grant recipient. Monitoring may include review of the fiscal and programmatic aspects of a grant-funded project. The term “monitoring” is used to describe both the broad overall system of reviewing and tracking the use of federal and state funds, **and** the more specific day-to-day review processes to assure that a particular sub-grantee is in compliance with federal or state rules and regulations, and is meeting the goals and objectives of the grant.

Please note this tool is designed to be printed and used during the site visit along with additional materials including documents to support program activities. DCJS staff will provide staff with a list of documents that will be reviewed prior to the visit. Obtaining and reviewing documentation that supports program activities and expenditures is a requirement of conducting an on-site visit. Documentation consists of any hard copy or electronic documents, including invoices, policies and procedures, logs, timesheets, etc., that provide evidence that an activity or expenditure reported by the grantee actually occurred. The length of a site visit varies and is based on many factors, including the number and complexity of awards being monitored, the nature of the program(s), and the analysis of variables that inhibit a grant program from being in compliance and auditable according to all appropriate federal and state grant provisions. DCJS advises that most site visits can be completed, on average, between three to five hours. The grant monitor will then have 90 days from the end of the site visit to complete site visit documentation, including post-site visit letters. If the grant monitor identifies findings during the site visit, the grantee will be issued a Corrective Action Plan and an appropriate time frame to bring the program into compliance.

Instructions:

Section I. General Information

Site Visit Information: A single Monitoring Tool may be used for the review of multiple grants under a grant program or grantee, or for a specific grant. If multiple grants are being reviewed in one site visit, all grants must be listed in **Section I** below under “Grant Information.”

Grantee:	Site Visit Date:
Grant Monitor:	Staff Present:

Grant Information: List each grant being reviewed during this on-site monitoring

Grant Number	Program	Project Period	Award Amount

Section II. Interview

Record the names and titles of those attending the site visit as well as the date of the meeting in the table below.

Grantee Name	Title	Date

Interview Notes:

Section III. Administrative Review

The administrative review consists of File Review and Personnel Review. If documentation is missing or an issue is found in any grant under review, the grant number and issue should be noted under “Issues Found and Documentation Collected/Supporting Notes,” including issues that require further documentation.



Administrative Review: File Review	Yes	No	TA Provided	N/A	Documentation/Procedures to Review, if applicable	Issues Found and Documentation Collected/ Supporting Notes
1. Are the grantee's files complete and is all information current?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Review the grantee's award files for the current grant year and past 3 grant years to ensure they have the following documents, if applicable. <input type="checkbox"/> Signed award document <input type="checkbox"/> Special Conditions <input type="checkbox"/> Progress Reports <input type="checkbox"/> Financial Reports <input type="checkbox"/> Approved Application (budget, narratives, and other required documentation) <input type="checkbox"/> Budget Amendment (s)	
2. Is property information being maintained, if applicable?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Review record of inventory and observe the actual inventory. <input type="checkbox"/> Purchase orders <input type="checkbox"/> Invoices, serial numbers, and/or proof of purchase <input type="checkbox"/> Liquidation policy	
<p>If the approved award budget includes salary and fringe benefit costs, ensure that adequate payroll and time and attendance records are maintained. Review payroll and time and attendance records for each grant for the last three to six pay periods and determine if these documents adequately support the costs for salaries and fringe benefits charged to the grant. These records should clearly identify the specific project or programs worked on by each grant funded employee. Grant monitors will review the applicable award conditions per grant program to ensure compliance.</p>						
Administrative Review/File Review	YES	NO	TA Provided	N/A	Documentation/Procedures to Review, if applicable	Issues Found and Documentation Collected/ Supporting Notes
3. Are key personnel performing duties as originally proposed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Through discussion, observations, and review of documentation, verify that key personnel identified in the project are actually working on the project and that any changes have been approved. Verify that you have reviewed and conducted the following activities: <input type="checkbox"/> Grant application	



					<input type="checkbox"/> Interview key personnel <input type="checkbox"/> Confidentiality Policy <input type="checkbox"/> Release of Information	
4. Are actual hours worked accurately recorded on timesheets?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Have the grantee provide time sheets from the most recent three to six pay periods for its grant-funded employees. The time sheets should report 100% of the employee's time, and actual hours worked on the award project. If the employee is funded by multiple sources, time sheets should reflect distribution of time. Timesheets should be signed (either in writing or electronically) by the employee and/or supervisor.	
5. Are personnel charges in line with what was proposed in the approved budget?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Review personnel timesheets to ensure that charges related to staffing are in line with the proposed budget using the following documents: <input type="checkbox"/> Personnel timesheets <input type="checkbox"/> Approved budget <input type="checkbox"/> Overtime approval documentation	
6. Does the grantee maintain documents supporting approved/awarded expenditures?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Have the grantee provide cumulative budget to actual amounts for each approved budget category, as of the most recent quarter end. This will be in the form of a general ledger or in some cases a manual spreadsheet.	

Administrative Notes:



The following questions are developed to guide the financial review of the grant project

Administrative Financial Review	Yes	No	TA Provided	N/A	Documentation/ Procedures to Review if Applicable	Issues Found and Documentation Collected/ Supporting Notes
7. Has the grantee submitted a copy of the scheduled financial statement audit for the fiscal year that covers the grant award period?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Review the most recent auditor certification of fiscal responsibility letter and ensure that the audit has been submitted to DCJS. If the subrecipient is a local government or non-profit organization and expends \$750,000 or more in federal awards (from all sources) during its fiscal year, the subrecipient is required to submit the appropriate single or program specific audit in accordance with the provisions outlined in 2CFR Part 200 Subpart F.	
8. Does the grantee maintain documents supporting detailed expenditures made within each grant budget cost category?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Select a sample of expenditures for several quarterly periods and review supporting documentation. Request that grantee provide proper documentation for each expenditure in the form of purchase invoice, vendor receipt, payroll register, timecard, dates of training, description of training, etc.	
9. Do the grantee expenditures seem reasonable and allowable?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Request a sample of expenditures by budget category and review to determine if they are allowable and reasonable	
10. If grant has a required match, is the grantee using cash or in-kind funding? If in-kind, ask grantee for supporting documents.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	If the grantee is using cash match, the grantee would be able to account for this in their accounting records. If in-kind match, documentation may include such things as a sign-in sheet that tracks volunteer hours, office space, and/or equipment space donated	

Financial Review Notes:

Section IV. Programmatic Review



Programmatic monitoring includes reviewing the content and substance of the grant program. It also involves a qualitative and quantitative review to determine whether grant activities are consistent with the grant implementation plan and the grant goals and objectives stated in the original application. Programmatic monitoring also involves assessing technical assistance (TA) needs and assessing the implementation of projects and/or suggesting any necessary modifications.

In general, grantees should be able to provide documentation for performance measures reported and for major activities conducted, such as training offered or groups held, that support the program's goals and objectives. In such instances, a log of attendees and date/location of training or group should be obtained. On occasion, grants may contain a special condition/encumbrance requiring that the grantee fulfill a requirement, such as attending training. In such cases, grantees should also provide documentation that the requirement was fulfilled, if not already documented in OGMS.

Administrative Review/File Review	YES	NO	TA Provided	N/A	Documentation/Procedures to Review, if applicable	Issues Found and Documentation Collected/ Supporting Notes
11. Is the project site where one or more activities/deliverables are being performed? If no, note where activities are being performed.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
12. Can the grantee identify the performance measures they are required to collect?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	For each service/activity described in submitted progress reports, the grantee must provide evidence that supports the information reported.	
13. As a result of your observations or discussions with grantee, are you able to validate that project goals and objectives (activities) being implemented as planned? Please note delays in implementation and reasons cited by grantee.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Examples of evidence could be logs of services provided with date, location, and recipients noted, sign in sheets for training or focus groups, list of taskforce or steering committee members, etc. For each performance measure, the grantee must provide evidence that supports the information reported.	

14. Did you observe or were you made aware of changes in the grant project? If so, were these changes allowable? Did the grantee follow procedures to request the change?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
15. Can the grantee explain how their performance measurement data is collected? What type of data is collected, who provides the data, who collects it and how often, and where is it stored? (In other words, what is the grantee's system for collecting and reporting data?) Can you verify that the reported performance data is valid and is being collected properly?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Check that grantee has an adequate method for collecting performance measurement data. Adequacy can be assessed by checking to see that consistent procedures are used, whether they are based on a proven model, and whether safeguards are in place to protect performance data integrity (i.e. back up of data is the responsibility of the grantee).	

Programmatic Review Notes:

Section V. Promising Practices

Briefly describe any innovative programs, initiatives or activities considered to be successful models for others to follow. Include any documentation if so desired.



Section VI. Federal Civil Rights Compliance Checklist (Federal Grants Only)

Complete the below checklist for federal grant programs.

Federal Civil Rights Review	YES	NO	TA Provided	N/A	Documentation/Procedures to Review, if applicable	Issues Found and Documentation Collected/ Supporting Notes
16. If the sub-recipient is required to prepare an Equal Employment Opportunity Plan (EEOP) in accordance with 28 C.F.R. pt. 42, subpt. E, does the sub-recipient have an EEOP on file for review? (If a sub-recipient is unsure as to whether they are required to prepare an EEOP, they can find out at https://ojp.gov/about/ocr/eeop.htm , where they can also prepare and file their EEOP electronically).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	If yes, on what date did the sub-recipient complete the EEOP?	
17. If the sub-recipient is required to submit an EEOP Utilization Report to the Office for Civil	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	If yes, on what date did the sub-recipient submit the EEOP Utilization Report?	



Rights (OCR), Office of Justice Programs (OJP), U.S. Department of Justice (DOJ) in accordance with 28 C.F.R. pt. 42, subpt. E, has the sub-recipient done so?						
18. Has the sub-recipient submitted a Certification Form to the OCR certifying compliance with the EEOP requirements?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	If yes, on what date did the sub-recipient submit the Certification Form?	
19. How does the sub-recipient 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 (as well as sexual orientation and gender identity if the sub-recipient receives funding from the Office on Violence Against Women (OVW) or under the Violence Against Women Act (VAWA) of 1994, as amended)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please describe the process in which you notify program participants and provide any necessary supporting documentation.	
20. How does the sub-recipient 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 (as well as sexual orientation and gender identity if the sub-recipient	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Comments:	



receives funding from OVW or under VAWA)?						
21.Does the sub-recipient have written policies or procedures for notifying employees on how to file complaints alleging discrimination by the sub-recipient?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	If yes, explain these policies and procedures and/or attach a copy.	
22.Does the sub-recipient have written policies or procedures for notifying program participants and beneficiaries on how to file complaints alleging discrimination by the sub-recipient, including how to file complaints with the Virginia Department of Criminal Justice Services (DCJS) and the OCR?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	If yes, explain these policies and procedures and/or attach a copy.	



<p>23.If the sub-recipient has fifty (50) or more employees and receives DOJ funding of \$25,000 or more, has the sub-recipient taken the following actions:</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p>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? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>b. Designated a person to coordinate compliance with the prohibitions against disability discrimination contained in 28 C.F.R. pt. 42, subpt. G? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>c. Notified program participants, beneficiaries, employees, applicants, and others that the subrecipient does not discriminate on the basis of disability? <input type="checkbox"/> Yes <input type="checkbox"/> No</p>	
<p>24.If the sub-recipient operates an educational program or activity, has the sub-recipient taken the following actions:</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p>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? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>b. Designated a person to coordinate compliance with the prohibitions against sex discrimination contained in 28 C.F.R. pt. 54? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>c. Notified applicants for admission and employment, employees, students, parents, and</p>	



					others that the sub-recipient does not discriminate on the basis of sex in its educational programs or activities? <input type="checkbox"/> Yes <input type="checkbox"/> NO	
25.Has the sub-recipient complied with the requirement to submit to the OCR any adverse findings of discrimination against the sub-recipient 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?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	If yes, ask the grantee to provide supporting documentation of adverse findings submitted to OCR.	
26.What steps has the sub-recipient taken to provide meaningful access to its programs and activities to persons who have Limited English proficiency (LEP)? Note: Meaningful access is defined as language access that results in timely, and effective communication at no cost to the LEP individual that is not significantly restricted, delayed, or inferior as compared to programs or activities provided to English proficient individual.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Briefly explain the steps taken to provide meaningful access and/or attach a policy.	
27.Does the sub-recipient have a written language-access policy on providing services to LEP persons?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	If yes, request a copy of the policy.	
28.Does the sub-recipient conduct any training for authorized officials and grant funded staff on	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	If yes, request documentation to verify compliance. The documentation should include the person's name, role, and training completion date.	



the requirements of applicable federal civil rights laws?						
29. Does the sub-recipient 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 a religious practice?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p>If the sub-recipient engages in explicitly religious activities, does it do the following:</p> <p>a. Separate the explicitly religious activities in either time or location from the federally funded activities? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>b. Ensure that participation in the explicitly religious activities is voluntary for participants in the federally funded program? <input type="checkbox"/> Yes <input type="checkbox"/> No</p>	
30. If the sub-recipient receives funding under VAWA or from OVW, does it serve male victims of domestic violence, dating violence, sexual assault, and stalking?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Comments:	
31. If the sub-recipient receives funding under VAWA or from OVW, does the sub-recipient provide sex-segregated or sex-specific services? Note: Programming is “sex-segregated” when males and females receive services in separate settings. Programming is “sex-specific” when a recipient designs it differently for males and females. Both “sex-segregated” and “sex-specific” programming places individuals in a position to	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p>If yes, describe how the services are sex-segregated or sex-specific and explain if the sub-recipient has determined that providing services that are sex-segregated or sex specific is necessary to the essential operation of the program.</p> <p>Comments:</p>	



“choose” to identify with a particular sex. Emergency shelter for domestic violence victims is an example of a service that victim service providers historically have segregated by sex. An example of sex-specific programming is the bystander intervention component of some educational programs on college campuses. Often, these campus educational programs teach different violence prevention skills to male and female students.						
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Section VII. Special Conditions Compliance

Complete the below checklist for compliance with applicable award conditions.

32. Does subgrantee ensure that, as part of the hiring process for any position within the United States that is or will be funded (in whole or in part) with award funds, the recipient (or any subrecipient) properly verifies the employment eligibility of the individual who is being hired, consistent with the provisions of 8 U.S.C. 1324a(a)(1) and (2)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	As part of the recordkeeping for the award (including pursuant to the Part 200 Uniform Requirements), maintain records of all employment eligibility verifications pertinent to compliance with this award condition in accordance with Form I-9 record retention requirements, as well as records of all pertinent notifications and trainings.	
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33. Does the grantee have written procedures in place to respond in the event of an actual or imminent "breach" of personally identifiable information or PII?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	The subgrantee's breach procedures must include a requirement to report actual or imminent breach of PII to DCJS no later than 24 hours after an occurrence of an actual breach, or the detection of an imminent breach. Obtain of the copy of the policy.	
34. Does the subgrantee make determinations of suitability before certain individuals may interact with participating minors?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Determination of suitability required, in advance, for certain individuals who may interact with participating minors), and are incorporated by reference here. The details of this requirement are posted on the OJP web site at https://ojp.gov/funding/Explore/Interact-Minors.htm .	
35. Does the grantee have a written conflict of interest policy?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	The subgrantee certifies that it will disclose in writing any potential conflict of interest to DCJS in accordance with applicable federal awarding agency policy as required in 2 C.F.R. Part 200, Subpart E § 200.112.	

Final Recommendation(s):

