



Grant Programs Monitoring Tool

Division of Programs and Services

1/22/2019

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.

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: Lancaster Sheriff’s Office/VSTOP	Site Visit Date: September 9, 2019 & December 2, 2019
Grant Monitor: Dione Bassett & Courtney Meyer	Staff Present: Major William Webb

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

Grant Number	Program	Project Period	Award Amount
18-C3247VA17	VSTOP	1/1/2018-12/31/2018	\$45,637
19-D3247VA18	VSTOP	1/1/2019-12/31/2019	\$45,637



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
Major William Webb	Project Director	9-9-2019 & 12-2-2019
Sara Smith	Dispatcher	12-2-2019
Shelby Bush	Dispatcher (interview via phone)	12-2-2019
Betty Stevens	Finance Department/Lancaster County	12-2-2019

Interview Notes:

It is clear that the VSTOP grant has benefitted the Lancaster Sheriff’s Office and their response to domestic violence and sexual assault. It has ensured that trained dispatchers are available 24 hours a day. The Lancaster Sheriff’s Office has been an accredited law enforcement agency for 15 years. They are currently utilizing the Blueprint for Safety, An Interagency Response to Domestic Violence Crimes, as a best practice framework to assess and strengthen their response to victim safety. In addition, they have a good working relationship with the local DV/SA program, The Haven.

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 checked="" type="checkbox"/>	<input type="checkbox"/>	<p>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.</p> <ul style="list-style-type: none"> <input checked="" type="checkbox"/> Signed award document <input type="checkbox"/> Special Conditions <input checked="" type="checkbox"/> Progress Reports <input checked="" type="checkbox"/> Financial Reports <input type="checkbox"/> Approved Application (budget, narratives, and other required documentation) <input type="checkbox"/> Budget Amendment (s) 	Provided TA regarding grant files and maintaining all grant related items in one file for each FY. Grant files must be maintained for the current year



						plus the past three years.
2. Is property information being maintained, if applicable?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" 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 checked="" type="checkbox"/> Liquidation policy	Grantee was not sure whether the 2 computers listed in the grant application were purchased with grant funds or not and will follow-up about it. TA provided that purchase orders, receipts, serial numbers, and location of item are important to keep with the grant files. Liquidation policy provided with pre-visit letter.
<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.</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 checked="" 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 checked="" type="checkbox"/> Grant application <input type="checkbox"/> Interview key personnel <input checked="" type="checkbox"/> Civil Rights Training /Compliance	VSTOP grants pays for two part-time dispatchers. The dispatchers were interviewed and time sheets provided. TA regarding the civil



					<input type="checkbox"/> Confidentiality Policy <input type="checkbox"/> Release of Information	rights compliance requirement. Confidentiality and Release of Information are not applicable for this project.
4. Are actual hours worked accurately recorded on timesheets?	<input checked="" 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.	Timesheets are being maintained for the two dispatchers on the grant.
5. Are personnel charges in line with what was proposed in the approved budget?	<input checked="" 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 checked="" type="checkbox"/> Personnel timesheets <input type="checkbox"/> Approved budget <input type="checkbox"/> Overtime approval documentation	

Administrative Notes:

Grantee maintains timesheets for the two grant funded dispatchers. Both dispatchers were interviewed and seem to understand the goals and objectives of the grant. The Project Director was encouraged to take advantage of the many free training opportunities offered by DCJS as well as the ability to use grant funds for training purposes. Technical assistance was provided regarding purchases. The grant application requested two computers that were not purchased this fiscal year.



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. Is the grantee able to track budget to actual expenditure amounts per approved budget category or spending plan?	<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.	Monitor met with Betty Stevens in the Lancaster Finance Department. The locality is able to separate out the VSTOP funds for tracking purposes and to remain in compliance by not comingling funds.
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"/>	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, time card, dates of training, description of training, etc.	Provided TA regarding computer purchases. Grantee might not be able to use funds allocated for computers in FY19 because it is past the due date for a budget amendment. Single Audit verification received by Grants Management. DCJS grants were reviewed and unmodified.
9. Do the grantee expenditures seem reasonable and allowable?	★	<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"/>	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	Grantee has been calculating match. Follow-up with Compliance Supervisor to assist with making this easier to calculate for grantee.

Financial Review Notes:

Lancaster County Finance Department was able to verify that the VSTOP funds are being tracked separately and funds are not being comingled. Project Director understands supplantation and the Sheriff’s Office will not use grant funds to replace funds already available for the purpose established in the grant. Single Audit verification was submitted to Grants Management; DCJS grants reviewed; unmodified.



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 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 GMIS.

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 checked="" 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 checked="" type="checkbox"/>	<input type="checkbox"/>	For each service/activity described in submitted progress reports, the grantee must provide evidence that supports the information reported.	Grantee should be able to provide number of 911 calls received by dispatch.
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	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" 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.	Grantee is involved in the local SART meetings. Encouraged grantee to include attendance at regular SART meetings as part of their goals and objectives for the grant and document number of meetings attended.

and reasons cited by grantee.						
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 checked="" type="checkbox"/>	<input type="checkbox"/>		Grantee needs to provide a program update form to DCJS whenever there is a change in grant funded staff members. Form provided for grantee.
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 checked="" 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).	Grantee is able to pull statistics on domestic violence and sexual assault calls due to an improved computer system that allows them to query the information.



Programmatic Review Notes:

Grantee needs to report number of 911 dispatch calls received if possible. Project Director was encouraged to submit progress reports, finance reports, and program update forms in a timely manner.

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.

The grantee has been an accredited law enforcement agency for 15 years and the only one nearby that hold this accreditation. They follow the Blueprint for Safety in their handling of DV/SA cases. In addition, they created cards for dispatchers that detail important questions to ask when they receive a DV/SA call for service. The VSTOP grant provides funding to ensure that trained dispatchers are available 24 hours a day.

Final Recommendation(s):

Submit progress reports and financial reports in a timely manner and program update forms as needed. Encouraged continued training for dispatchers.

