



Victims Services Grant Programs Monitoring Tool

Division of Programs and Services

1/19/2017

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: Alexandria Sexual Assault Center	Site Visit Date: May 8, 2017
Grant Monitor: Michelle Miles	Staff Present:

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

Grant Number	Program	Project Period	Award Amount
16-T9393VA15	VSTOP	CY16	\$42,376 (Match- \$56,065)
16-C3124SP15	SASP	CY16	\$11,403
16-Q3458SA14	SADVGP	FY16	\$188,062

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
Lorena Escalante	Hispanic Outreach Specialist	5/8/17 (phone)
Monica Huerta	Therapist	5/8/17
Lydia Guirguis	Volunteer Developer	5/8/17
Beatriz Barr	Admin Support IV	5/8/17
Kristy Theodore	Senior Therapist	5/8/17
Giordana DeAltin Popiolek	Therapist	5/8/17



Tammie Wilson	Fiscal Officer II	5/8/17
Rolanda Tate	Fiscal Officer I	5/8/17
Erika Callaway Kleiner	LGBTQ Consultant	5/8/17
Soffia Fraser	Family Service Specialist	5/8/17 (phone)
Magdalia Martinez	Family Service Specialist	5/8/17
Deborah Warren	Center Director for Children, Youth and Families	5/8/17

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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" 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 checked="" type="checkbox"/> Signed award document <input checked="" type="checkbox"/> Special Conditions <input checked="" type="checkbox"/> Progress Reports <input checked="" type="checkbox"/> Financial Reports <input checked="" type="checkbox"/> Approved Application (budget, narratives, and other required documentation) <input checked="" type="checkbox"/> Budget Amendment (s)	Provided technical assistance on the requirements for progress report.
2. Is property information being maintained, if	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Review record of inventory and observe the actual inventory. <input type="checkbox"/> Purchase orders	



applicable?					<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.</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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p>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:</p> <input checked="" type="checkbox"/> Grant application <input checked="" type="checkbox"/> Interview key personnel <input checked="" type="checkbox"/> Civil Rights Training /Compliance <input checked="" type="checkbox"/> Confidentiality Policy <input checked="" type="checkbox"/> Release of Information (VAWA)	
4. Are actual hours worked accurately recorded on timesheets?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p>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.</p>	
5. Are personnel charges in line with	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p>Review personnel timesheets to ensure that charges related to staffing are in line with the proposed budget using the</p>	



what was proposed in the approved budget?					following documents: <input checked="" type="checkbox"/> Personnel timesheets <input checked="" type="checkbox"/> Approved budget <input type="checkbox"/> Overtime approval documentation	
6. Does the grantee maintain documents supporting approved/awarded expenditures?	<input checked="" 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. Review the most recent auditor certification of fiscal responsibility letter.	

Administrative 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 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	YES	NO	TA	N/A	Documentation/Procedures to Review, if applicable	Issues Found and
----------------	-----	----	----	-----	---	------------------



Review/File Review			Provided			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"/>		Activities are performed at the project site, the safe house, and various locations throughout the community.
12. Can the grantee identify the performance measures they are required to collect?	<input checked="" 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 checked="" 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.	
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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	For each performance measure, the grantee must provide evidence that supports the information reported.	
15. Can the grantee explain how their performance measurement data is collected? What type of data is collected, who	<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).	Staff enter services and clients in VAData at least quarterly. Case files are kept and client information is entered in a database which the Director will



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?						use to validate information in VAData. The director also uses supervision meetings and case management meetings. Case review meetings with law enforcement, prosecution and advocates are held every other month.
---	--	--	--	--	--	---

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.

Final Recommendation(s):

As a reminder, grant goals and objectives provides a description of what your organization hopes to achieve and spells out specific, concrete results or outcomes you plan to accomplish. Please, submit revised goals and objectives to include measurable targets, to your grant monitor by August 23, 2017.

As a reminder, grant programs can have different progress report requirements. To see a list of these requirements, please refer to "Victims Services Grant Cycles and Progress Reporting" found on the forms page of the Victim Services section of the DCJS website.

<https://www.dcjs.virginia.gov/victims-services/forms>

