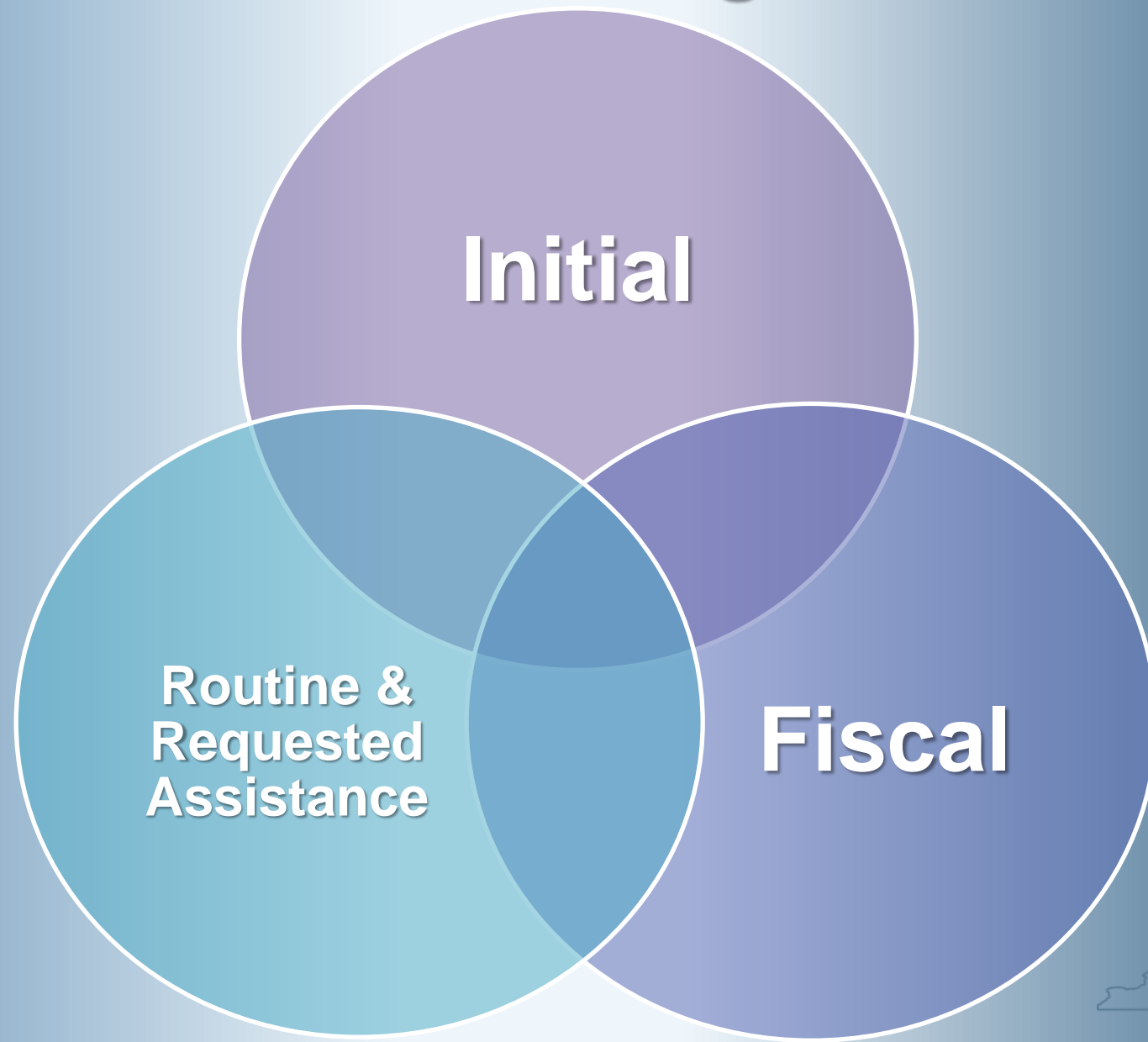


Monitoring Visits

A person in a dark suit and glasses is looking down at a tablet device. A magnifying glass graphic is overlaid on the tablet, focusing on a specific area. The background is a dark blue gradient with faint circular patterns and a dotted line on the right side.

Monitoring



Who should attend?

Staff from the organization that are programmatically and fiscally responsible for grants



DHSES GPA Contract Representatives and FMU Monitors



Programmatic Visit Objectives

**Contract
Status**

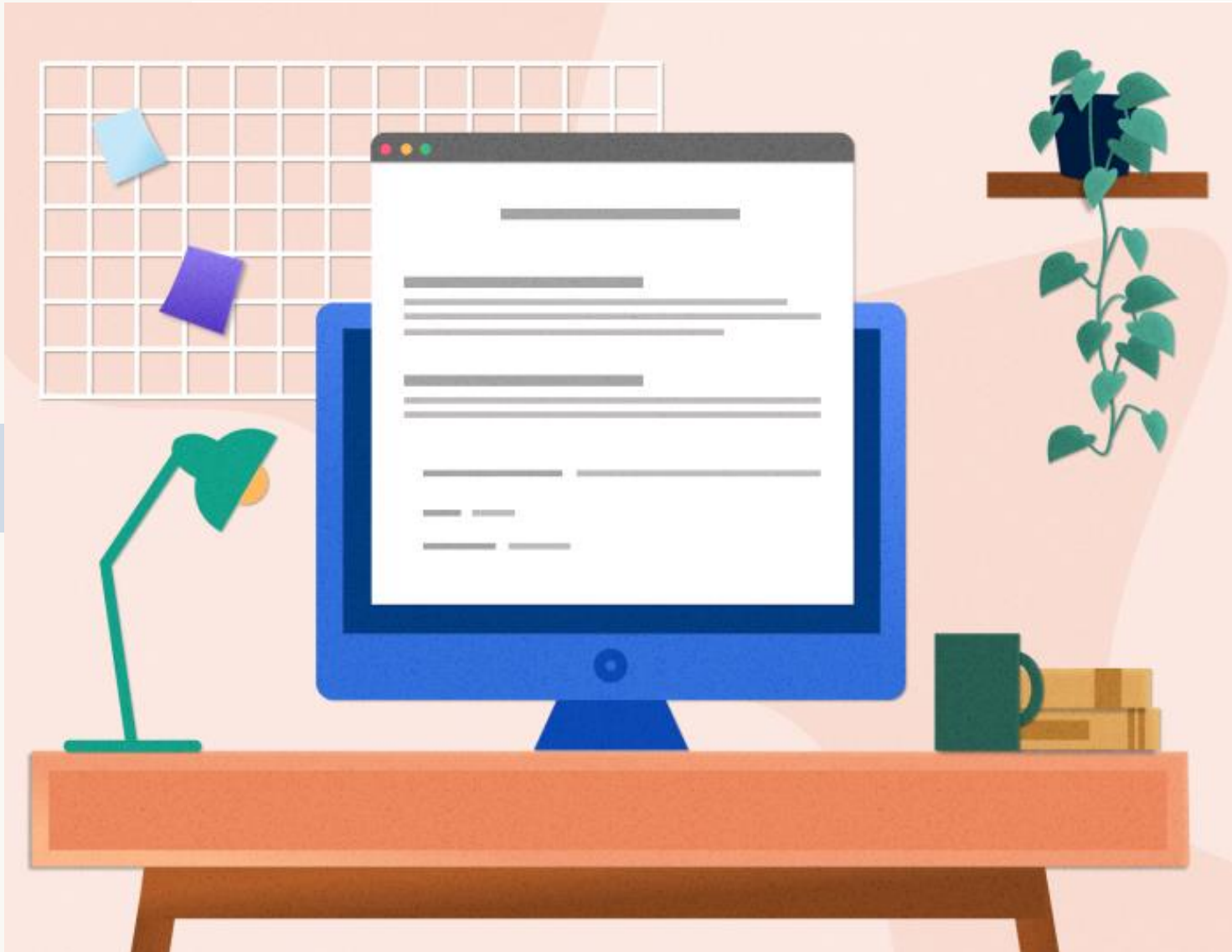
**Quarterly
Progress
and Fiscal
Reporting**

**Status of
EHP or
any Other
Approvals**

**Procurement and
Grant Records**

Tour the Facility

**Answer any
Questions**



Items included in a Site Visit Report sent by a Contract Representative

- Date/Location of the visit
- Attendees
- Status of Quarterly Progress and Fiscal Reports
- Procurement and grant records reminders
- Status of open contracts
- Summary of topics discussed
- Photos of equipment viewed
- No response is required





If your organization is selected for a fiscal monitoring visit, you will be contacted and asked for specific documentation to be reviewed.





Monitoring vs. Auditing

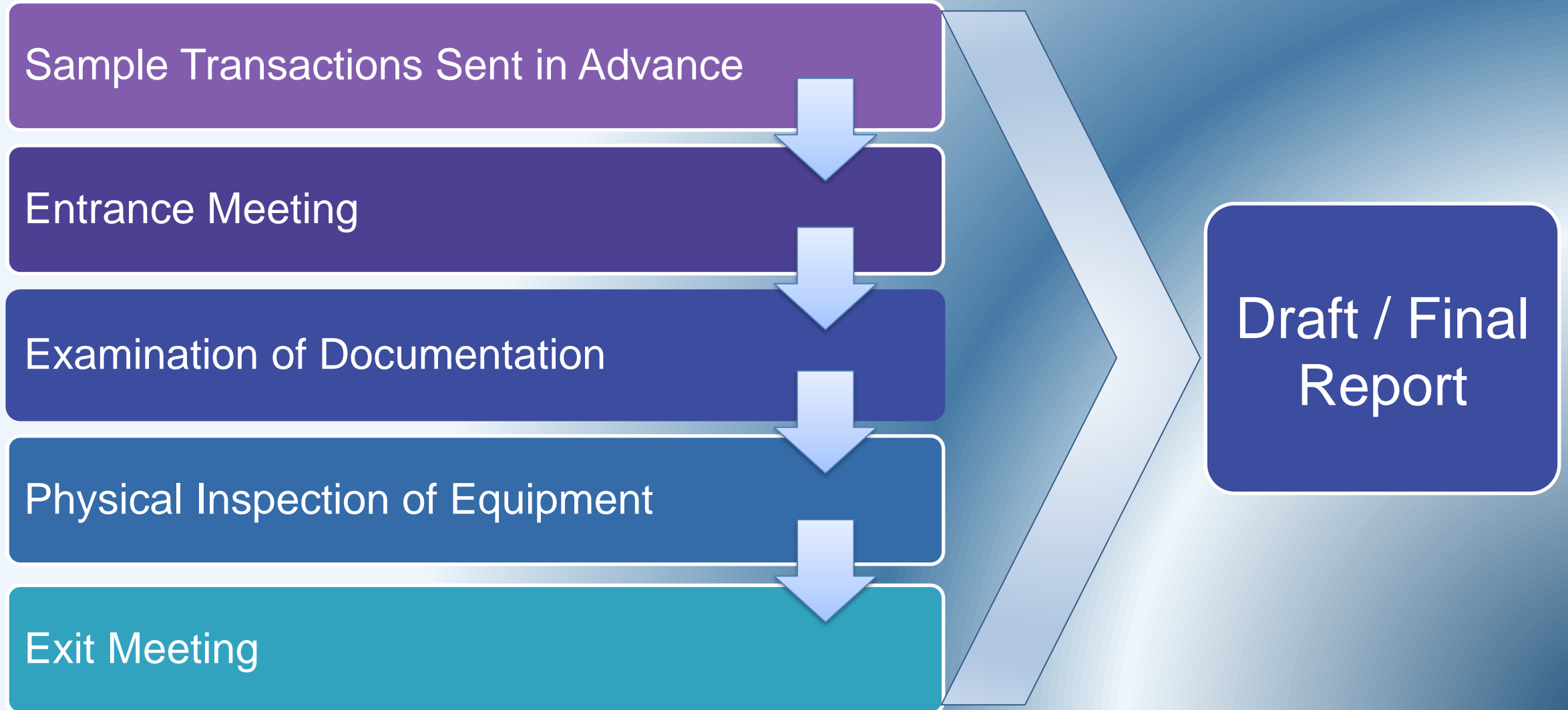
Monitoring

Monitoring is an ongoing review by DHSES of our grantees' projects and records to ensure compliance.

Auditing

Auditing is a periodic review by an outside entity, such as the Office of the State Comptroller, to ensure compliance.

Overview of the Fiscal Monitoring Visit



Before the Visit

GPA
initiates contact
with grantee.
Confirms time,
date and location of
the Entrance
Meeting.

GPA sends an e-mail with:

- Sample transactions to be reviewed
- Internal Control Questionnaire and Listings of Persons Performing Fiscal Functions.

Entrance Meeting

Grantee Staff will:

- Submit any outstanding supporting documentation.
- Coordinate equipment inspection with GPA.

GPA Staff will:

- Review grant compliance policies, including fiscal and programmatic reporting.
- Go over the review process & documentation already received.
- Review budget workplans for any needed contract adjustments.
- Review progress made on programs and projects, including the spend down on funds.
- Request a walkthrough and ask questions about the grant process.
- Gather successes and best practices.
- Identify any issues.
- Address any issues the grantee may have.

Examination of Documentation

Equipment

Consultants

All Other
Expenses

Maintenance Records

Cancelled Checks /
Cleared EFT's

Equipment
Property Records



Control System /
Safeguard of
Equipment /
Physical Inventory

Documentation can be
provided in paper or
electronic form



Exit Meeting

On-site or virtual at the conclusion of the visit.

- 
- 
- Grantee will have an opportunity to submit any outstanding documentation.
 - GPA will discuss potential observations and other issues.
 - GPA will assist grantee with resolving any outstanding items.



Fiscal Monitoring Report

Final Report (no observations)

Draft Report (with observations)

- 30 days to respond

Final Report (with observations)

- 90 days to respond

Closeout Letter



Homeland Security
and Emergency Services

Common Fiscal Monitoring Observations



Common Observations from Monitoring Visits

General

A lack of documentation or inaccurate documentation to support grant activities

A lack of procurement and internal grant management procedures

Procurement

Restricting full and open competition

RFP not advertised

One bid received, but no other vendors were contacted to determine price reasonableness

Not Evaluating all bids received

Bid accepted after submission deadline has passed

Internal Controls/Grant Records

Equipment not installed and operational after the award was closed

Inadequate backup information to support fiscal forms and insufficient details on invoices

Incomplete Property Records

How to Prepare for a Fiscal Monitoring Visit



How to Prepare for a Fiscal Monitoring Visit

- Organize supporting documentation by grant award, as sampled.
- Keep an electronic backup when possible.
- Provide digital copies of supporting documentation in advance of review when possible.
- Have current policies and procedures available (such as grant management procedures).
- Have grant-focused staff available during review to answer potential questions.
- For more guidance visit <https://www.dhses.ny.gov/fiscal-monitoring-unit-fmu>.



Key Points



You cannot begin work on *ANY* equipment projects until your contract is EXECUTED AND FEMA has approved your EHP.



No changes can be made to your contract without *PRIOR* approval from FEMA/DHSES.



Failure to follow all the proper procurement policies, as outlined in the contract, will result in the reimbursement being rejected or costs being disallowed.



All equipment should be ordered, installed and paid for by 4/30/2028; final fiscal documentation must be submitted within 30 days after your contract end date.



You are required to provide quarterly reports once your contract is executed.



Please Do NOT ignore ANY correspondence from your Contract Representative and/or the Grants Mailbox. Please respond in a timely manner.



E-mail correspondence: Subject line should contain the name of the organization and identifying information about what contract you are referring to (Ex. ABC Organization 2024 NSGP-NSS).