



Subrecipient Monitoring

March 2022

FEMA R3 Quarterly

Overview of DC HSEMA Monitoring

- <https://hsema.dc.gov/page/grant-management-documents>
- Monitoring of reimbursements
- Monitoring of quarterly reports
 - Assigning project level corrective actions
- Annual monitoring process
 - Selection
 - Communications templates
 - Monitoring protocol
- Challenges
 - Scheduling
 - Virtual
 - Closeout

Reimbursement Review

- DC HSEMA Grants staff review all requests for reimbursement to ensure 100% compliance
 - Invoices
 - Proof of payment
 - Any accompanying narrative needed
- Multiple levels of review
 - Grant Program Manager
 - Grant Financial Manager
 - Grants Bureau Chief
 - DC OCFO
- Reimbursement documentation saved at HSEMA and OCFO

Quarterly Review

- All open subawards need a quarterly report submitted updating progress on deliverables, spending vs. budget, and any issues
- SAA staff review quarterly reports and identify any issues that rise to the level of flagging for follow-up action
- SAA staff assign project-specific corrective action tasks in the SAA.SP Information and Action log
 - Can assign due date
 - Subrecipient receives notice and can view in SAA.SP
 - Subrecipient can respond in SAA.SP
 - SAA staff can close out corrective action in SAA.SP
- SAA report on all subawards and any identified issues to local jurisdictions

Add Information and Action Log

| | |
|-------------|--|
| Title: | Update PMP deliverable completion dates |
| Category: | Corrective Action |
| Status: | Active |
| Due Date: | 4/30/2022 |
| Attachment: | Choose Files No file chosen |
| Comments: | Based on project delays identified in quarterly report, SAA rejected the PMP for updates - subrecipient should revise the deliverable/milestone completion dates to show current project completion by December 2022 rather than June 2022.] |

Save Cancel

Annual Monitoring Process - Selection

- Data analysis - top candidates identified by algorithm
 - Time since prior monitoring
 - Prior grants closed with unspent balance
 - Number of subawards
 - Total dollar amount of subawards, amount unspent vs. time remaining
- Other factors based on discussion with SAA staff
 - Prior audits / monitoring corrective actions
 - Results of quarterly review
 - Overall performance / compliance with SAA policies
 - Are all grant programs represented?
 - Other risk factors (staff turnover, changes in policies or systems, new federal requirements, need for training/technical assistance)

Annual Monitoring Process - Communication

- SAA communications templates for standard email communication
 - Announcement
 - Scheduling and documentation request
 - Post-monitoring closeout or corrective action
 - Corrective action closeout
- Monitoring visit scheduling job aid
 - For consistent use of shared calendar and meeting management
- Monitoring Protocol
 - Common point of reference for SAA staff and subrecipients

Monitoring - Challenges

- There's never a good time
- Whose job is it to lead monitoring?
- Scheduling on-site visits
 - Subrecipient staff availability – ensuring necessary staff are available without holding up visits for unnecessary individuals
 - SAA staff availability, travel time, vehicles
- Virtual meetings
 - Much easier to schedule, but may require more preparation and can encounter unexpected technical issues
 - HSEMA was increasing use of virtual monitoring pre-pandemic and will continue after as well. In-person will become less frequent.
- When and how to close out a monitoring visit
 - No corrective actions, or a complete corrective action – easy to forget
 - Disagreement over issues identified or sufficiency of corrective action
 - Corrective actions not addressed – never closed?
- Consequences – possible vs. practical