

# 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



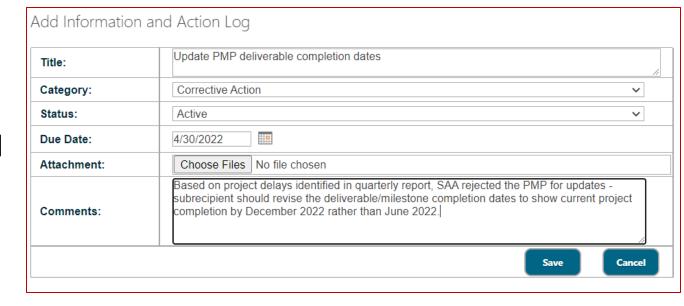
#### Reimbursement Review

- 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







## **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

