

## JAG Monitoring Visit Report

Name of Subrecipient:   
 Date of Visit:

Project Number:   
 Amount Awarded:

Project Title:

Project Period From:  to:

**VISIT PERFORMED BY:**

**TYPE OF VISIT:**

Initial Visit  
  Routine Monitoring  
  Follow up  
  Technical Assistance  
  Special Purpose  
  Closeout  
  Other

<b>Subrecipient Staff present:</b>				
	Name	Title	Email	Phone
1				
2				
3				
4				
5				
6				

<b>OTHER SOURCES OF FUNDING FOR THIS PROJECT, <i>and/or matching requirements:</i> <input type="checkbox"/> N/A</b>	
Name of Source	Amount/percentage allocated to the project:

<b>DOCUMENTS and RESOURCES</b>		
<b>Is Subrecipient familiar with:</b>	Was document available for viewing?	
1. OCJA's Directors' Manual ( <a href="http://www.ocj.nv.gov">www.ocj.nv.gov</a> )	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
2. U.S. OMB Supercircular Requirements ( <i>Code of Federal Regulations, Title 2, Part 200</i> ) <a href="http://www.ecfr.gov/">http://www.ecfr.gov/</a>	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
3. U.S. DOJ, Department of Justice Programs most current Financial Guide <a href="http://ojp.gov/financialguide/index.htm">http://ojp.gov/financialguide/index.htm</a>	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No

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<b>DOCUMENTS and RESOURCES</b>	
<b>For Reference Purposes</b>	
4. Society for Human Resource Management <a href="http://www.shrm.org/pages/default.aspx">http://www.shrm.org/pages/default.aspx</a> - Civil Rights & EEOP	<input type="checkbox"/> Yes <input type="checkbox"/> No
5. Circle all documents applicable to this award: Interlocal agreement, memorandum of understanding, waiver for non-profits, or sub-subaward?	<input type="checkbox"/> Yes <input type="checkbox"/> No

<b>OPERATIONS</b>				
Item	Y	N	N/A	Comments/Observations
<b>A. Mission, Goals and Objectives</b>				
1. Is a file maintained which includes the signed award document, Special Conditions, program and/or budget modifications and other pertinent records? If not, explain				
2. Did project implementation take place within 60 days of the start of the performance period? If not, explain				
3. Do statistics support the achievement of goals and objectives? If not, explain				
4. Is the program on track with its work plan and objectives? If not, explain				
If award does not fund a task force or include Confidential Funds, go to Section D -Evaluation				
<b>B. Investigative Personnel</b>				
1. Have task force personnel completed the Bureau of Justice Assistance's Task Force Leadership & Integrity Training? If not, explain If yes, <i>copy of certificate of completion in file?</i> Did the training have any value? Explain.				
<b>C. Confidential Funds</b>				
1. Amount of confidential funds awarded. \$ _____				
2. Does the subrecipient have written policies and procedures for : a. File security and contents; b. Management and utilization; and c. Payments				<i>Procedure Name/number</i>  a. b. c.

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Item	Comments/Observations	Y	N	N/A
	<i>Requirements found on DOJ's Current Financial Guide Chapter 3.12; OCJA's Director's Manual, Chapter 9</i> Were documents available for review?			
3	Do the policies/procedures include provision for unaccounted funds?			
4	Does subrecipient maintain case files with case number, informant true and assumed name(s), including informant's signature? Were files available for viewing?			
5	When was the last audit conducted?			
6	Who conducted the audit?			
7	Were there any recommendations? If no, skip to question 9			
8	Was a follow-up conducted for previous recommendations?			
9	Was audit document available for review?			
10	Who is the Fund Custodian?			
	Name & Title			
11	Does the Division Chief receive monthly reconciliation reports? If no, explain.			
12	What bank is used to deposit confidential funds?			
13	Does subrecipient deposit any grant funds in interest bearing accounts? If yes – does subrecipient understand any interest above \$150 reverts to OJP?			
14	Does the balance on file correspond to the monthly financial reports? If no, explain.			
15	Is the "Flash Roll" established independently from the Confidential Funds? If yes, how does the subrecipient protect the "Flash Roll" from losses? <i>E.g. recording serial numbers</i>			
16	Who authorizes access to the account?			
	Name & Title			

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Item		Y	N	N/A	Comments/Observations
17	List name and title of employees with access to the account: 1. 2. 3.				
18	How long is the “flash roll” allowed to be held before returning it to the Custodian? <i>48 hrs is max.</i>				
19	Do documents for payments to informants include signatures of two law enforcement officers? If not, explain.				
20	How does subrecipient account for funds recovered during arrests?				
21	Does the project receive funds from drug-related forfeitures/seizures? If no, skip question 22.				
22	Does subrecipient report funds received from drug-related forfeitures and seizures as program income? If no, explain.				
<b>D. Consultant/Contractual Services</b> <input type="checkbox"/> <b>Not Applicable, go to Section E</b>					
1	Are contract or consultant services included in the Grant Award?				
2	Is a formal contract on file specifically outlining the work to be performed by the contractor/consultant? <i>(the grant file should include a copy of the document)</i> If not, explain				
3	Are the terms of the contract being met? If not, explain				
4	Does the file include programmatic and financial documentation? If not, explain				
5	Did the contract(s) result from a competitive bid process? If not, explain				
6	Did the contract(s) result from a sole source supplier?				

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Item		Y	N	N/A	Comments/Observations
	If Yes, is the justification documented? If not, explain				
7	Do contract/consultant rates fall within the federal guidelines? If not, explain				
<b>E. Travel/Training</b> <input type="checkbox"/> <b>Not Applicable, go to Section F</b>					
1	Does the grant award include travel/training expenses?				
2	What is the benefit of the training for the project/employees? Explain.				
3	Do the project employees need additional training in the next 12 months? Explain				
<b>F. Evaluation</b>					
1	How do you assess the project?				
2	Who does the Fiscal reporting?				
3	Who does the program reporting?				
4	Who reviews the reports?				
5	Current status of project timeline? (on time?)				
<b>G. OCJA Staff Comments</b>					
1	Innovative practices				
2	Problems encountered/lessons learned				
3	Based on responses to the above questions & general observation, does the subrecipient have reasonable procedures & controls for the proper operations of project?				
4	Other operational issues?				
5	Technical assistance requests?				
Staff Interviewed:					

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<b>FISCAL</b>					
Item		Y	N	N/A	Comments/Observations
<b>A. Audits</b>					
1	Latest single audit report time period & date				From:          to:          Date:
2	Who completed the audit? <input type="checkbox"/> State auditor <input type="checkbox"/> Independent CPA				
3	Were there any audit findings related to the project?				
4	If finding(s) exist, is it/are they solved?				
5	Did the auditor make recommendations related to the project? If YES, what were the recommendations?				
6	The audit was: <input type="checkbox"/> Fiscal only <input type="checkbox"/> Included program & performance compliance				
<b>B. Accounting System</b>					
1	Has the accounting system changed significantly?				
2	Have the fiscal controls changed significantly?				
3	Are award funds accounted for by revenue and expenditures?				
4	Are award and match funds separated from other project funds?				
5	The system identifies receipts and expenditures by: a. Source b. Budget category				
6	Does the financial/accounting system include budgetary controls to ensure obligations are not in excess of: a. Total funds awarded b. Total funds awarded by category				
7	Are the federal award amount and related expenditures easily identified?				
8	How long are fiscal records maintained?				#    yrs.          #    months.
9	Does funding supplant funds otherwise available for the project?				
10	If Federal grant/contract funds are comingled with organization funds, are the federal grant funds and related costs and expenses readily identifiable?				
<b>C. Invoices and Supporting Documentation</b>					
1	Are invoices complete, correct and signed (authorized)?				
2	Expenditure records support the match claimed?				

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Item		Y	N	N/A	Comments/Observations
<b>D. OCJA Staff Comments</b>					
1	Based on responses to the above questions & general observation, does the subrecipient have reasonable procedures & controls for the proper administration & accounting of project funds?				
2	Other fiscal issues?				
3	Technical assistance requests?				
Staff Interviewed:					

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<b>Administrative</b>					
Item	Comments/Observations	Y	N	N/A	
<b>A. Sub-subrecipients and Interlocal Agreements – <input type="checkbox"/> Not Applicable, go to Section B</b>					
1	Who are the sub-subrecipients/other formal participants?				
2	Do the sub-subrecipients/other participants share the grant funds or contribute funds counted as match?				
3	Are there written policies and procedures in place passing federal compliance requirements on to sub-subrecipients/participants? If yes, what is the policy/procedure name/number?				
4	How does the subrecipient ensure that Sub-subrecipients/participants comply with requirements?				
5	Does the subrecipient verify sub-subrecipients/other formal participants require and maintain time and attendance records for each employee funded by grant or match funds? If not, explain				
6	Does the subrecipient verify reimbursed funds correlate with time and attendance records and other authorized/documented expenditures by sub-subrecipients/other formal participants?				
<b>B. Property Management</b>					
1	Were equipment purchases routed through the 1122 program to check for better pricing?				Explain:
2	Did the purchase of equipment take place within the first six (6) months of the grant period? a. If no, what is the justification?				
3	Did the subrecipient complete OCJA's Property Record form? a. If yes, ensure a copy is found in the OCJA file b. If no, explain				
4	Did the monitor/auditor make a physical inspection of the property?				
5.	Did the project purchase property with grant or match funds over \$1,000 or low-cost/high-risk items in the last five years?				
6	Does the project have written procurement procedures?				

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<b>Administrative</b>					
Item		Y	N	N/A	Comments/Observations
	a. If yes, provide name/number of procedure b. If no, explain				
7	How and by whom are purchases made? Name and title of authorized purchaser?				
8	Are the individuals making purchases aware of procurement procedures? How are they notified?				
9	Are controls in place for high dollar and sole source purchases? a. If yes, what is the procedure? b. If no, explain				
10	Are the custody, use, and value of the property dedicated to the project? If no, explain.				
11	Have losses, damage or theft of property occurred? If yes, when and how				
12	Has any grant related property been disposed of? If so, request a copy of OCJA approving document. <i>(email, letter, memo, etc.)</i>				
13	Were proceeds or credits received (if any) returned to the project?				
14	Has the subrecipient conducted an inventory within the last 13 months? If Yes, approximate date – name and title of person responsible for inventory. If NO, explain				
<b>C. Reports</b>					
1	Were Progress Reports submitted as required? If not, explain				
2.	Did the reports contain the required information? If not, explain				
3	Do public reports and publications include a clause crediting federal funding? <i>Director's manual Page 29</i> If not, explain –				
<b>D. Personnel</b>					
1	List personnel salaried with grant funds and percentage of time				

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Administrative				
Item	Y	N	N/A	Comments/Observations
devoted to the project: -If Overtime is paid – list employees approved for OT. <i>Should be in file confirm list is still correct</i> 1  2  3  4  5  6  7  8  9  10				
2				Are time and attendance records maintained for all individuals funded by grant or match funds?
3				Do time and attendance records clearly show the distribution of time for employees paid from multiple sources of funds? If not, explain
4				Were grant funded positions filled by new employees? If no, explain
5				Were grant funded positions filled by transfer of existing employees? a. If yes, were their old positions back-filled by new hires?

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	b. If no, explain				
6.	Are staff salaries consistent with the Grant Award? If not, explain				
<b>E. Special Conditions</b>					
1	Does the subrecipient comply with the Audit Arrangement Condition? If not, explain				
2	Does the subrecipient comply with the Confidential Funds Condition? If not, explain				
3	Does the subrecipient comply with the Reimbursement of Grant Expenditures Condition? If not, explain				
4	Does the subrecipient comply with the Equipment Purchase Coordination with 1122 & 1033 Programs Condition? If not, explain				
5	Other (Title) If not, explain				
6	Other (Title) If not, explain				
7	Other (Title) If not, explain				
<b>F. OCJA Staff Comments</b>					
1	Based on the answers to the preceding questions and general observations, does the subrecipient have functional and appropriate administrative processes?				
2	Other Administrative issues?				
3	Technical Assistance requests				
Staff Interviewed:					

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FEDERAL MANDATES					
Item		Y	N	N/A	Comments/Observations
<b>A. Conflict of Interest</b>					
1	In relation to the grant, has any allegation or finding of "Conflict of Interest" been made against any employee or official of the subrecipient, or its sub-subrecipients/formal participants? If yes, describe the allegation or finding.				
<b>B. Equal Employment Opportunity Plan</b>					
1	If the subrecipient is required to prepare an Equal Opportunity Plan (EEO) in accordance with 28CFR 42.301-.308, does the subrecipient have an EEO on file for review? If no – explain If yes, what is the date of the document? Date: _____ <i>Make a copy of the title page showing the date for the award file</i>				
2	If the subrecipient is required to submit an EEO Utilization Report (short form) to the office of Civil Rights (OCR), Office of Justice Programs (OJP), U.S. Department of Justice (DOJ) in accordance with 28CFR42.301-.308, has the subrecipient done so? If no –explain If yes, what date did the subrecipient submit the EEO Utilization Report? <i>Make a copy of the title page showing the date for the award file</i>				
3	Has the subrecipient submitted a Certification Form to the OCR certifying compliance with the EEO requirements? If no- explain If yes, what date did the subrecipient submit the Certification Form <i>Need a copy of the email certifying compliance – DOJ has a 10-day window for review of the submitted EEO. Confirm the period of time between the submission of the Certification Form and the email certifying compliance is in accordance with the 10-day period.</i>				
4	How does the subrecipient notify program participants and beneficiaries that it does not discriminate on the basis of race, color, national origin, religion, sex, disability, or age in the delivery of services? (e.g. posters, inclusion in brochures or other program materials)? <i>Is the notice given during the application process?</i>				
5	How does the subrecipient notify employees that it does not discriminate on the basis of race, color, national origin, religion, sex, disability or age in the delivery of services? e.g. posters, inclusion in brochures or other program materials) <i>Orientation package? Training policies? On recruitment notices? Is there a hotline? Does the agency use 5 in 1 or 8 in 1 posters? – key is that all employees have easy access to information.</i>				

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FEDERAL MANDATES					
Item		Y	N	N/A	Comments/Observations
6	Does the subrecipient have written policies or procedures in place for notifying employees how to file complaints alleging discrimination by the subrecipient? If yes, What is name or number of the policy/procedure? If no, explain – refer to shrm.org website <i>What is the process to notify employees? Do employees know where to find the procedure?</i>				
7	Does the subrecipient have written policies and procedures in place for notifying program participants and beneficiaries how to file complaints alleging discrimination by the subrecipient, including how to file complaints with the State Administering Agency (SAA), OCJA, and the Office of Civil Rights (OCR)? If yes, What is the procedure/policy name or number and is it accessible to all employees? If no, explain				
8	If the subrecipient has 50 or more employees and receives DOJ funding of \$25,000 or more, has the subrecipient taken the following actions: a. Adopted grievance procedures that incorporate due process standards and provide for the prompt and equitable resolution of complaints alleging a violation of the DOJ regulations implementing Section 504 of the Rehabilitation Act of 1973, found at 28 CFR Part 42 Subpart G, which prohibit discrimination on the basis of disability in employment practices and delivery of services. If yes, what is the process for investigation and resolutions? <i>Policy/procedure name or number</i> If no, explain – refer to shrm.org website b. Designated a person to coordinate compliance with the prohibitions against disability discrimination contained in 29CFR Part 42 Subpart G. If yes, provide the name of the designee and the title of the position. If no, explain – refer to shrm.org website c. Notified program participants, beneficiaries, employees, applicants, and others that the subrecipient does not discriminate on the basis of disability. If yes, what is the formal process? (e.g.posters, training, policies) If no, explain – refer to shrm.org website				

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FEDERAL MANDATES					
Item		Y	N	N/A	Comments/Observations
9	<p>If the subrecipient operates an education program or activity, has the subrecipient taken the following actions:</p> <ul style="list-style-type: none"> <li>a. Adopted grievance procedures that incorporate due process standards and provide for the prompt and equitable resolution of complaints alleging a violation of the ODJ regulations implementing Title IX of the Education Amendments of 1972 found in 28 CFR Part 54, which prohibit discrimination on the basis of sex. If yes, what is the process for investigation and resolutions? If no, explain</li> <li>b. Designated a person to coordinate compliance with the prohibitions against disability discrimination contained in 29CFR Part 54. If yes, provide the name of the designee and the title of the position. If no, explain</li> <li>c. Notified applicants for admission and employment, employees, students, parents, and others that the subrecipient does not discriminate on the basis of sex in the education program or activities. If yes, what is the formal process? (e.g. posters, training, policies) If no, explain</li> </ul>				
10	<p>Has the subrecipient complied with the requirement to submit to the OCR any findings of discrimination against the subrecipient issued by a federal or state court or a federal or state administrative agency on the grounds of race, color, religion, national origin, or sex? <i>Explain subrecipient must notify OCJA of any discrimination complaint submitted to OCR.</i> Has the subrecipient had discrimination complaints?</p> <p>Yes, need a copy of document submitted to OCR. No, justification in writing for not doing so. Reimbursements withheld until OCJA receives formal notice about process to comply with this requirement.</p>				
11	<p>What steps has the subrecipient taken to provide meaningful access to its programs and activities to person who have limited English Proficiency (LEP)? Comments, including an indication of whether the subrecipient has developed a written policy on providing language access services to LEP persons: <i>What is the policy or procedure name/number? (are there forms, signs, brochures, etc., in different languages?)</i></p>				

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<b>FEDERAL MANDATES</b>				
Item	Y	N	N/A	Comments/Observations
12				Does the subrecipient conduct any training for its employees on the requirements under federal civil rights laws? <i>Orientation, refresher courses, policy/procedure- what is the process to notify employees about changes?</i>
13				If the subrecipient conducts religious activities as part of its programs or services does the subrecipient do the following: a. Provide services to everyone regardless of religion or religious belief? If NO, continue to next question. If YES, where and when are the services provided? b. Ensure that it does not use federal funds to conduct inherently religious activities, such as prayer, religious instruction, or proselytization, and that such activities are kept separate in time or place from federally-funded activities? If NO, explain; if YES, where and when do the religious activities take place? c. Ensure that participation in religious activities is voluntary for beneficiaries of federally-funded program? <i>What is the method to ensure participation is voluntary?</i>
<b>C. OCJA Staff Comments</b>				
1				Based on the answers to the preceding questions and general observations, does the subrecipient have appropriate compliance with Federal Mandates?
2				Other issues?
3				Technical Assistance Requests
Staff Interviewed:				