

[Date]

Honorable [Name]  
Mayor  
[Name of City]  
[Address]  
[City, State, Zip]

Subject: Edward Byrne Memorial Justice Assistance Grant (JAG) Monitoring

Dear Mayor [Salutation]:

This letter forwards for your review the results of the recent onsite monitoring for the Edward Byrne Memorial Justice Assistance Grant (JAG), grant [Subaward Number] conducted on [Date]. Our grant manager, [Name], conducted the monitoring visit and the results of your agency's responses and accompanying documentation were reviewed for compliance with state and federal regulations.

We found three of your agency's operating procedures to be out of compliance with grant conditions and/or state or federal requirements. There are also four recommendations being provided that should be addressed to prevent future areas of non-compliance.

The enclosed provides the final monitoring report with an overview of the compliance areas reviewed and description of the violation and required corrective action. Please implement the procedural change and notify us in writing of your progress within 30 days. Depending on the nature of the finding, a withholding of federal funds may be required until you are back in compliance.

Please contact your grant manager or Senior Management Analyst Supervisor [Name] at (850) 617-1250 with any questions or for additional information regarding this matter.

Sincerely,

[Name]  
[Title]

XXX/xx

cc: Ms./Mr. [Title], Project Director, [Implementing Agency]

Enclosure

**Justice Assistance Grant - County-wide**  
**\*\*SAMPLE\*\* Site Visit Monitoring Report**

Contract No:

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Project Director:

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Telephone No:

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Subgrantee:

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Project Title:

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Other Person(s) Contacted:

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On-site Visit Date:

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Project Monitored By:

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Report Number:

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Date Written Report Complete:

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Date of Approval:

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Approved By:

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Report Summary:

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**Category : Administration**

1. Does the agency maintain a grant file?

N

Monitoring Finding/Recommendation:

Findings:

Recommendations:

At the time of monitoring, the [name of subrecipient entity] project staff were generally unfamiliar with the grant management process; they were not maintaining a separate grant file, were unacquainted with the JAG standard conditions and the US DOJ Financial Guide, and did not understand the process for requesting a grant adjustment. We note that the city had recently experienced a significant change to grant project staff and were somewhat disorganized due to this

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**Category : Administration**

staff transition. We recommend that project staff familiarize themselves with the grant program, as well as, the state and federal laws governing this agreement.

2. Are all organization officials in SIMON current and correct?	Y
2. Are project staff aware of and familiar with the Standard Conditions section of the approved contract?	N
3. Are project staff familiar with the USDOJ/OJP Financial Guide?	N
4. Does the financial officer/project director understand that only costs incurred between the beginning and ending dates of the contract are eligible for reimbursement and that an invoice must have been paid prior to the expenditure being reported to the FDLE?	Y
5. Does the project staff understand the procedure for requesting a grant adjustment and the due date for adjustment requests?	N
6. Does project staff understand the reporting requirements? Is project staff aware of the reporting process and which roles may submit transactions in SIMON?	Y
7. If subgrantee has delegated signature authority for submitting grant adjustments in SIMON, do they have written documentation of this in the file?	N/A
8. Have audits been submitted as required by the grant agreement for this and prior years?	Y
9. If yes, are there any findings and recommendations that require response by the subrecipient or implementing agency and/or follow-up by the Office of Criminal Justice Grants?	N

**Category : Civil Rights**

1. Is the subgrant recipient in compliance with the Equal Employment Opportunity (EEO) Plan requirement?	N
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Monitoring Finding/Recommendation:

Findings:

Recommendations:

At the time of monitoring, the [name of subrecipient entity] had not submitted an EEO certification to the Office for Civil Rights (OCR) via the online EEO Reporting Tool (<https://ojp.gov/about/ocr/eeop.htm>). The OCR has stated that each subrecipient of a federal award or subaward authorized under the Omnibus and Safe Streets Act must submit an EEO Certification via the online EEO Reporting Tool within 120 days of receiving a federal award or subaward. It is recommended that the [name of subrecipient entity] submit the EEO Certification and EEO Utilization Report (if necessary) online via the method recommended by the Office for Civil Rights, and provide documentation of this submission to the FDLE Office of Criminal Justice Grants to avoid withholding

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**Category : Civil Rights**

on the drawdown of federal funds on future subawards.

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|---|---|
| 2. Did the subgrantee provide any documentation related to civil rights compliance?   | N |
| <u>Monitoring Condition:</u><br><b>Monitoring Condition:</b> The [name of subrecipient entity] EEO Plan has been submitted to the U.S. Department of Justice, Office for Civil Rights, but was not approved at the time of monitoring. Once the approval letter is received, the [name of subrecipient entity] must submit a copy to the Office of Criminal Justice Grants. The current EEO Plan approval expired September 17, 2017. |   |
| 3. Is the subgrantee in compliance with the civil rights requirements?  | N |
| 4. Is the implementing agency in compliance with the Equal Employment Opportunity (EEO) Plan requirement?   | Y |
| 5. Did the implementing agency provide any documentation related to civil rights compliance?  | Y |
| 6. Is the implementing agency in compliance with the civil rights requirements?   | Y |
| 7. Does the agency utilize the Florida Law Enforcement Basic Abilities Test (LE BAT) score to help rank order or otherwise select among candidates for any law enforcement officer position?  | N |

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**Category : Compliance Issues**

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| 1. Does project staff understand and are all complying with the records retention requirements?  | Y   |
| 2. For state agencies, is there a Certification Regarding Lobbying on file, and is the agency complying with the stipulations of that certification?                                 | N/A |
| 3. Is the subgrantee's SAM registration current and does the agency verify each vendor/provider being paid from the grant is not suspended or debarred from receiving federal funds? | Y   |
| 4. If travel expenses are being charged to the grant, does the subgrantee/implementing agency have a written travel policy? If not, are they using the state policy?                 | N/A |
| 5. Does the agency have a Conflict of Interest Certification on file?  | Y   |
| 6. Did review of the agency's procurement policies and procedures during monitoring result in identification of any potential or actual conflicts of interest?                       | N   |

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**Category : Performance**

1. Have quarterly performance reports been submitted as required by the grant agreement?

Monitoring Condition:

**Monitoring Condition:** Prior to grant closeout, the [name of subrecipient entity] must submit a completed Training Accountability Metrics Survey to the Office of Criminal Justice Grants.

2. Is the grant program accomplishing activities in accordance with the subaward agreement?

3. Were site visits made or did you attend any meetings, events, or classes related to the project and were they consistent with those described in the grant?

**Category : Financial Management**

1. Are all agencies receiving funds actively involved in the activities described in the grant?

2. Do project staff know how to access financial reports in SIMON to confirm financial status?

3. Are system controls adequate to account for the receipt, obligation, and expenditure of project funds, and are financial records at the subgrantee, implementing agency, and service provider, if applicable, consistent with each other?

Monitoring Condition:

**Monitoring Condition:** The USDOJ Grants Financial Guide, Preaward Requirements, Section # 2.3 Standards for Financial Management Systems, requires the subgrantee and implementing agency "to establish and maintain adequate accounting systems and financial records and to accurately account for funds awarded [and] have a financial management system in place that is able to record and report on the receipt, obligation, and expenditure of grant funds." At the time of monitoring, the [name of subrecipient entity] could not document their financial management systems meet the requirements of the Financial Guide. Prior to grant closeout, the [name of subrecipient entity] must provide documentation that financial systems are in compliance with federal requirements.

4. Is the project expending funds at a rate that will allow for total expenditure of project funds within the grant period?

5. Have Project Expenditure Reports been submitted as required by the grant agreement?

6. Does backup documentation support expenditures reflected in the PER selected for review?

7. Did the PER reviewed include only costs incurred during the approved contract period?

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| 8. Did the PER reviewed include only invoices paid prior to submittal to FDLE for reimbursement?   | Y   |
| 9. If budget is based on unit cost, did available documentation support the number of units reported on the PER submitted for reimbursement?   | N/A |
| 10. Did the agency review proposed grant expenditures and line items to assure supplanting would not occur and local/state funds were not already allocated for the same items or purpose? | Y   |

#### Category : Purchasing

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| 1. Does recipient have sole source documentation on file and does it meet the requirements?                      | N/A |
| 2. Does recipient have written purchasing procedures?  | Y   |
| 3. Does documentation of procurement indicate these procedures were followed?                                    | N/A |
| 4. Did the procurement process for the purchase of grant funded items comply with federal procurement standards? | N/A |

#### Category : OCO/Expenses

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|--|-----|
| 1. Have expense and/or OCO items outlined in the current approved budget been ordered/received?  | N/A |
| 2. Were any expense and/or OCO items that had been received available for review?  | N/A |
| 3. Is equipment purchased with grant dollars being used as described in the contract?  | N/A |
| 4. Are property management records being maintained in accordance with contract requirements and is all grant funded property being insured in the same method as all other agency property? | N/A |
| 5. Are there any items that qualify under the BJA's controlled or prohibited expenditure list?   | N/A |
| 6. If yes, are all requests, documentation, and approvals from the agency, OCJG, and BJA on file?  | N/A |
| 7. If grant funds are used for bulletproof vests, does the implementing agency have a written mandatory wear policy in effect?   | N/A |
| 8. Have the type of vests funded by the grant been tested and found to comply with applicable National Institute of Justice ballistic or stab standards and are the vests American-made?     | N/A |

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9. If grant funds are used for body worn cameras, has the implementing agency provided a body worn camera policy and is the certification on file?	N/A
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**Category : Salaries and Benefits**

1. Does recipient have a current Policies and Procedures manual or clearly defined staff rules including a written overtime policy, a written leave and fringe benefits policy, and written job descriptions, as applicable?	Y
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2. If Salaries and Benefits are included in the budget, was documentation provided to support that a net increase in staff resulted due to the grant funds? If funds are used to retain positions that would have been laid off but for the availability of federal funds, documentation must substantiate the certification that these positions have been cut only because of a funding shortfall affecting the entire unit of government.	N/A
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3. Has a completed Personnel Tracking worksheet been submitted to the Office of Criminal Justice Grants?	N/A
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4. Do all personnel paid by the project, including personnel only receiving overtime, have timesheets that document that all hours charged to the project were worked on the project?	Y
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5. Have semi-annual certifications for all personnel who are assigned to work solely on the grant been completed and submitted to OCJG?	N/A
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**Category : Contractual Services**

1. If contractual services are included in the approved budget, has the executed contract been reviewed by the FDLE?	N/A
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2. Are effective dates of the contract consistent with the grant period?	N/A
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3. Are all parties to the contract clearly identified and consistent with the grant agreement?	N/A
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4. Were all subcontracted activities identified in the approved grant agreement?	N/A
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5. Are USDOJ compliance requirements passed through by contract provisions and are the subgrant standard conditions included by reference? This would include resolution of disputes, reporting, patents, rights in data and copyrights, examination of records, clean air and water, EEO, and termination of contract.	N/A
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6. Has the agency confirmed that the contractor(s) are not included on the federal government's Excluded Parties List?	N/A
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**Category : Treatment**

1. Were copies of any required current State of Florida License(s) for the treatment agency and treatment agency staff available for review and consistent with information provided in the approved contract?	N/A
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2. Was a copy of the most recent Monitoring Report from the State of Florida licensing agency provided for review, along with a copy of the treatment provider's response to identified deficiencies, if applicable?	N/A
3. Were both open and closed files selected at random for review to ensure that documentation maintained on each client supports their participation, clearly identifies services provided and supports associated costs?	N/A
4. If services to clients were provided, were they provided only to clients meeting the selection/eligibility criteria as per the subgrant?	N/A

#### Category : Multijurisdictional Task Forces

1. If this subgrant funds a multijurisdictional task force, have all required project staff attended the required training?	N/A
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#### Category : Project Generated Income (PGI)

1. Have PGI reports been submitted as required by the grant agreement?	N/A
2. Has the subgrantee requested approval to expend earned PGI on all projects with a remaining PGI balance?	N/A
3. Are system controls adequate to account for the receipt, obligation and expenditure of PGI?	N/A
4. Does backup documentation support earnings and expenditures reflected in the PGI Earnings and Expenditures Report selected for review?	N/A

#### Category : Confidential Funds

1. Is documentation of confidential funds adequate for the amount of expenditures made?	N/A
2. Does project staff understand that the amount of confidential funds reported on expenditure reports must represent only the amount spent?	N/A
3. Do financial records of confidential funds show adequate separation of accountability?	N/A
4. Does the implementing agency's management of confidential funds meet the requirements outlined in the Office of Justice Programs Financial Guide?	N/A
5. Was the quarterly reconciliation report on the imprest fund available for review?	N/A

#### Category : Meth Labs

1. For projects including the investigation and closure of Methamphetamine Labs, has the subgrantee/implementing agency provided documentation of compliance with the Federal, State, and local environmental health and safety laws and regulations applicable to the investigation and closure of such labs?	N/A
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