



Onsite Compliance Assessment

The onsite compliance assessment is the most comprehensive monitoring activity, focusing on one or more reimbursement requests, or expenditures across multiple reimbursement requests, in which Cal OES assesses the capability, performance, and compliance of subrecipients against applicable administrative and fiscal grant regulations and requirements. Onsite assessments are conducted by one or more Program Monitors and may be performed in conjunction with Cal OES Program staff. These assessments are not considered to be an audit. The goal of Cal OES's onsite assessment process is to ensure the Subrecipient is aware of, and in compliance with, Grant Subaward requirements. Like desk compliance assessments, Cal OES works with Subrecipients to correct any inefficiencies, errors, or noncompliance with federal or state regulations. A Corrective Action Plan (CAP) is required for each finding. See below for more information on the CAP process.

Before the Assessment

One or more payments or Grant Subawards will be identified to be monitored. The Program Monitor will contact the Subrecipient to set up the dates for the onsite visit. Approximately four weeks prior onsite dates the Subrecipient will receive a notification letter advising them of the upcoming assessment, including a detailed list of the documents that need to be sent to Cal OES. Some of the documents will be due to Cal OES prior to the onsite visit. The remaining documents will need to be available to the Program Monitor onsite. A copy of this letter will also be sent to the assigned Cal OES program staff. It is important that the Subrecipient respond to these requests in the timeframe allotted to avoid delays in completing the monitoring process. To assist with information gathering, the Program Monitor will call the Subrecipient to clarify what is required and to answer any questions you may have. The Program Monitor will also request information related to accessing the organization's building parking, hours of operation, and other logistical items. The Program Monitor is available to answer your questions and provide assistance throughout the monitoring process.



The Assessment

The Program Monitor will conduct an entrance meeting to include the Executive Director, Project Director (if different), the Fiscal Officer, etc.) to review the scope and purpose of the assessment, explain the procedures, and answer any questions. The Monitor will then review the information and documents provided and may contact you throughout the onsite visit to request clarification or additional information. Findings and advisory recommendations will be based on the information that is provided during the assessment. The Program Monitor may review any equipment purchased with Grant Subaward funds. The Program Monitor will schedule the equipment review with the Subrecipient prior to the onsite. Towards the end of the onsite visit, the Program Monitor will conduct an exit meeting to discuss any issues or concerns identified during the assessment, and any corrective actions that may be needed, in addition to the time frame for completing the assessment and issuing the report.

After the Assessment

The Program Monitor will prepare a written report draft of the results of the assessments, to document findings and advisory recommendations along with the specific guidance citations associated with each. Once reviewed and approved by management, the report will be issued to the Subrecipient.

If the report contains findings, the Subrecipient normally has 30 days to prepare the CAP, although there may be additional time provided to implement the corrective actions. The CAP procedures and form are provided with the report. The Subrecipient may be required to submit documentation showing the CAP was implemented prior to the assessment being closed. CAPs are not required for advisory recommendations.

The Program Monitor will follow up with the Subrecipient to provide ongoing technical assistance to facilitate grant compliance, as needed. The Subrecipient may also request technical assistance from Cal OES Monitoring staff for non-programmatic grant management activities. Programmatic technical assistance is provided by Cal OES program staff.