



## **Desk Compliance Assessment**

The desk compliance assessment focuses on all or part of a reimbursement request and involves a review of all related transactions and processes to verify that Grant Subaward funds were expended in compliance with federal and state regulations and the terms and conditions of the Subaward. The review is conducted via phone, mail, and/or email, although any equipment inspections that cannot be accomplished with photographic or other means of inspecting remotely, may require an abbreviated onsite visit. If a desk assessment identifies inaccurate expenditure reporting or misunderstanding of, or noncompliance with, federal or state requirements, the Program Monitor follows up with the Subrecipient to provide assistance in correcting any inefficiencies, errors, or policies/procedures. A Corrective Action Plan (CAP) is required for each finding.

### **Before the Assessment**

One or more payments or Grant Subawards will be identified to be monitored. Approximately four weeks prior to the time requested that information and documents are due, 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. 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. In order 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 is available to answer your questions and provide assistance throughout the monitoring process.

### **The Assessment**

The Program Monitor will conduct an entrance meeting to discuss the monitoring process and obtain additional information and insight into the organization and its operations. The Program Monitor will review the documentation that has been provided and will contact you to request clarification or additional information. Findings and advisory recommendations will be based on the information that is provided during the assessment. Assessments that include the review of one or more equipment purchases may require a brief onsite visit by the Program Monitor, depending on the type or



cost of the equipment to be checked. The Program Monitor will schedule a time with the Subrecipient to complete this portion of the assessment.

### **After the Assessment**

The Program Monitor will complete the assessment and hold an exit meeting to discuss the issues and concerns identified during the assessment and the corrective actions that may need to be implemented. The Program Monitor will then prepare a draft report of the results of the assessment, 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.