



Quality Control & Monitoring Unit

Meet the Team
What We Do
Future Initiatives

Quality Control & Monitoring

Meet the Team:

Daniel Stone, Unit Chief

Heather Kearns

Lou Gonter

Angie Real

Helen Tarasco



Cal OES
GOVERNOR'S OFFICE
OF EMERGENCY SERVICES₂

Quality Control & Monitoring

What We Do

Collaborate with:

Recovery Programs
(HM, PA, IA)

Financial Assistance
(FAB)

Local Agencies



Quality Control & Monitoring

What We Do

Review local projects for compliance:

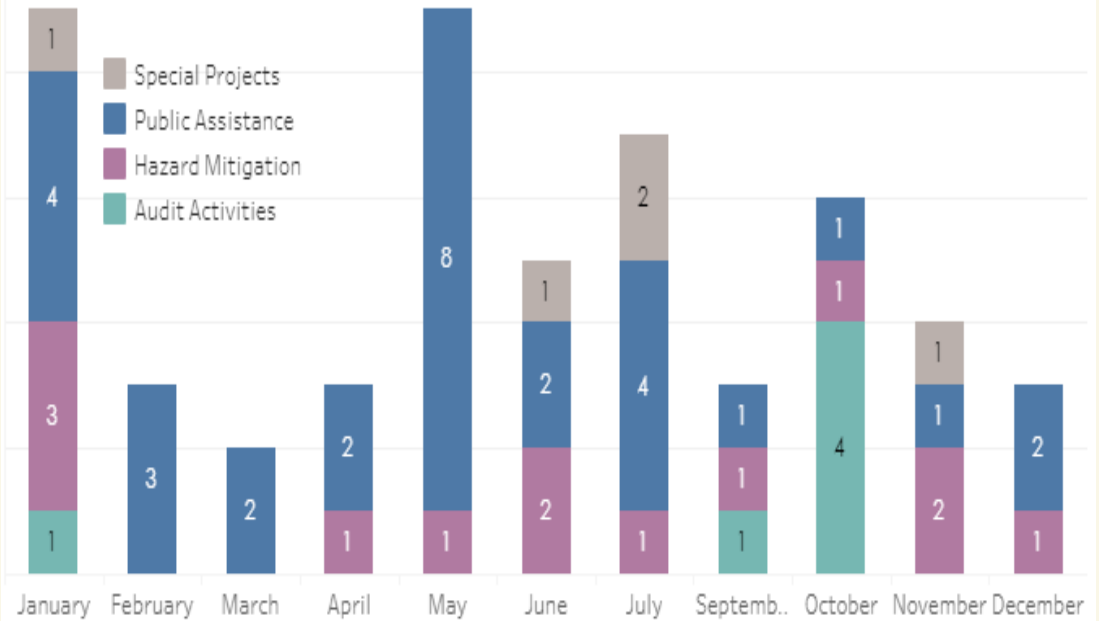
Hazard Mitigation

Public Assistance

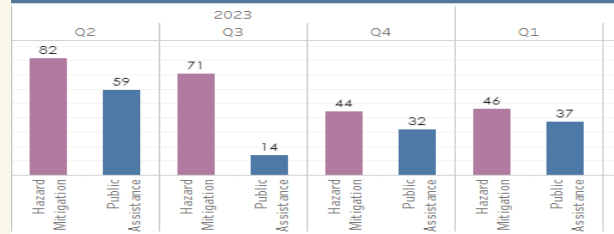
FMAG; PDM;

Crisis Counseling

Project Tasks by Start Date



Average Days to Completed Desk Assessment



Quality Control & Monitoring

Outcomes & Trends

Common Findings: Contracts Procurement Internal Controls

Percent of Total Award Amount Monitored Previous vs Current year



Total Findings - All Projects



Findings by Section

Finding	Count
2 CFR 200 Appendix II (h)	38
2 CFR 200 Appendix II (i)	30
2 CFR 200 Appendix II (g)	20
2 CFR 200.318(c)	12
2 CFR 200 Appendix II (b)	8
2 CFR 200.318(i)	7
2 CFR 200.303(a)	7
2 CFR 200.430	5
2 CFR 200.320(f)	5
2 CFR 200.403	4
2 CFR 200.319(a)	4
2 CFR 200.318	4
2 CFR 200.326	3
2 CFR 200.320	3

Percent of Total Award Amount Monitored



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Darker Purple indicates higher % of the Total Award Amount Monitored.



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Future Initiatives

Finding of the Month:
Why it's important
Corrective Action
Technical Assistance

- (c) Consider imposing specific subaward conditions upon a subrecipient if appropriate as described in § 200.208.
- (d) Monitor the activities of the subrecipient as necessary to ensure that the subaward is used for authorized purposes, in compliance with Federal statutes, regulations, and the terms and conditions of the subaward; and that subaward performance goals are achieved. Pass-through entity **monitoring** of the subrecipient must include:
 - (1) Reviewing financial and performance reports required by the pass-through entity.
 - (2) Following-up and ensuring that the subrecipient takes timely and appropriate action on all deficiencies pertaining to the Federal award provided to the subrecipient from the pass-through entity detected through audits, on-site reviews, and written confirmation from the subrecipient, highlighting the status of actions planned or taken to address Single Audit findings related to the particular subaward.
 - (3) Issuing a management decision for applicable audit findings pertaining only to the Federal award provided to the subrecipient from the pass-through entity as required by § 200.521.
 - (4) The pass-through entity is responsible for resolving audit findings specifically related to the subaward and not responsible for resolving crosscutting findings. If a subrecipient has a current Single Audit report posted in the Federal Audit Clearinghouse and has not otherwise been excluded from receipt of Federal funding (e.g., has been debarred or suspended), the pass-through entity may rely on the subrecipient's cognizant audit agency or cognizant oversight agency to perform audit follow-up and make management decisions related to cross-cutting findings in accordance with section § 200.513(a)(3)(vii). Such reliance does not eliminate the responsibility of the pass-through entity to issue subawards that conform to agency and award-specific requirements, to manage risk through ongoing subaward **monitoring**, and to monitor the status of the findings that are specifically related to the subaward.