Section 8.2.2: Pre-Monitoring Activities

PURPOSE AND POLICY

Prior to conducting monitoring activities, grant program managers are responsible for completing a number of tasks, as outlined below, and should be documented on the pre-monitoring checklist within the subgrantee's eCivis or agency Subrecipient manager (SRM) solution file. Pre-monitoring activities must be completed prior to undertaking monitoring activities including site visits, meetings conducted at the event site where a project deliverable is being presented (i.e., training), monitoring as part of conferences, meetings convened by subgrantees in connection with the project, and cluster meetings with subgrantees. The section below outlines the steps involved in conducting the pre-monitoring activities and documenting these activities in the subgrantee's eCivis or agency SRM solution file.

PROCEDURE

1. **Review reference materials**. Adequate preparation prior to a monitoring visit provides grant program managers with the background information necessary to conduct a thorough visit. The first step grant program, managers should take in preparing for a monitoring visit is to review reference materials and reports to obtain an understanding of the subgrantee's accomplishments relative to stated goals and objectives. Review of reference materials should include, but not be limited to:

    a. Review previous site visit reports with programmatic or financial findings, questioned cost, corrective action plan, and the status of the action items identified in the corrective action plan. Grant program managers should contact the author of these materials plus agency/departmental financial staff for further information on questioned costs and other findings, or to determine how to follow up appropriately or address these issues during the site visit, if necessary.

    b. The State of Arizona's Annual Monitoring Plan, as detailed in Section 8.2.1, to determine if site visit to the same subgrantee occurred or is planned by another agency/department. Grant program managers are responsible for working with each other and coordinating monitoring visits in instances involving the same subgrantee whenever feasible. This is intended to maximize monitoring efforts and minimize burden on the subgrantee. At a minimum, grant program managers are required to make contact with staff planning to monitor the same subgrantee to ensure they are aware of any findings or issues that should to be addressed.

    c. A review of the subgrantee's organization chart or list of key personnel in the subgrant application may help the grant program manager to understand the major players involved in the project as well as the directors and other personnel that should be included in the visit for protocol reasons.

2. **Conduct a Desk Review**. See Section 8.2.3 for desk review policies and procedures.

3. **Schedule site visit or arrange conference monitoring visit.** Grant program managers are responsible for contacting the subgrantee point of contact (SPOC) to arrange a time for the site visit or conference monitoring visit and request participation of all of the key personnel involved in the subgrant. The grant program manager should work with the subgrantee to develop an

agenda that addresses the grant program manager's objectives for the visit. The agenda specifies the issues to be discussed, the schedule, and the names of the people who will attend the site visit. The grant program manager should request that the subgrantee schedule entrance and exit interviews with the director of the organization, or a designated representative for the subaward(s).

4. **Notify subgrantee in writing of impending site visit**. Site visits are planned, grant program managers are required to send a pre-site visit letter to the SPOC, and carbon copy (CC) the agency head, or designated representative, to confirm the date of the visit and confirm the agenda. The letter should be sent at least 45 calendar days prior to the date of the scheduled visit. The letter can be sent to the subgrantee via mail, fax or e-mail. Letters sent via e-mail must include the formal letter as an attachment; the e-mail can explain the purpose of the attachment.

5. **Complete travel authorization**. Grant program managers are responsible for completing travel authorization paperwork prior to site visits, if required. Grant program managers are responsible for taking the travel authorization forms with them on monitoring visits. Grant program managers should refer to agency/department policies, as well as, the State of Arizona Accounting Manual (SAAM) for specific requirements and responsibilities concerning travel.

6. **Compile materials to take to the site visit or other monitoring visit (i.e., conference, training, deliverable review, etc.)**. Grant program managers should gather materials to take on the site visit, if planned, including, at a minimum: a copy of the approved agenda, proper government identification, business cards, and a list of recent state publications or products applicable to the subgrantee to be visited. Grant program managers should also take a copy of the application, subaward document and special conditions, most recent progress and financial reports, and copy of the budget, if applicable. Grant program managers may wish to take an electronic or hard copy of the most recent SAAM, State of Arizona Grant Manager's Manual and applicable agency/department regulations, statutes, program guidance and/or the solicitation through which the project was funded.

Grant program managers may want to arrange for computer and internet access at the subgrantee site to facilitate information access during the visit, such as access to the agency/department website for policies and procedures or to access eCivis or agency SRM solution.

Where monitoring visits other than site visits are planned (i.e., conference, training, deliverable review, etc.), grant program managers are encouraged to review the list of site visit materials outlined above, and use professional judgment in determining any additional materials to bring to the visit.