



To: Bay Area UASI Approval Authority
From: Tristan Levarado, CFO
Date: February 13, 2014
Re: Item 8: Subrecipient Monitoring Results

Staff Recommendation:

Information only

Action or Discussion Item:

Discussion only

Summary

The Bay Area UASI is required to monitor grant supported activities to ensure compliance with applicable Federal requirements and that performance goals are being achieved. From the months of August through November 2013, the Grants Management Unit conducted monitoring site visits that covered 18 jurisdictions. Testing included sampled transactions from funding sources: FY10, FY11 and FY12 UASI, FY10 IECGP and FY10 RCPGP.

The monitoring revealed findings in the following areas:

Compliance Category	Number of Findings	Nature of Findings
Procurement	12	Missing sole source approval; use of local geographical preferences in bid documents; and non-compliance to Federal debarment and suspension program
Standards for Financial Management Systems	8	Lack of written fiscal policy and procedures e.g., accounting, travel, purchasing, record retention, fraud, and equipment
Internal Control	6	Inadequate accounting records and source documentation; vendor payment issues; and delayed reimbursement claims
Equipment tracking	2	Insufficient equipment tracking
Program Management	1	Delays in completing milestones

The three jurisdictions that did not have any findings are San Jose, NCRIC, and Santa Cruz. The findings yielded recommendations and required corrective action plans from the jurisdictions. All jurisdictions except for the Central Marin Police Authority (formerly Twin Cities Police Authority) agreed to the recommendations and submitted their corrective action plans, which were found to be acceptable and in compliance with the grant requirements. In the next monitoring, scheduled for late summer this year, staff shall review those action items to ensure that full implementation has been achieved.