

## Oregon Department of Emergency Management Monitoring Assessment Questionnaire

As the federal grantee and pass-through agency, Oregon Department of Emergency Management (OEM), is responsible for monitoring subrecipients throughout the subgrant lifecycle. OEM must evaluate each subrecipients' risk of noncompliance with Federal statutes, regulations, and the terms and conditions of the sub-award for the purpose of determining the appropriate level of monitoring to ensure proper accountability and compliance with program requirements and successful achievement of performance goals.

This questionnaire should be completed by an Authorized Subrecipient Representative or Financial Manager.

<b>Subrecipient Name:</b>	
<b>Tax ID Number (EIN):</b>	
<b>UEI #:</b>	

<b>General</b>						
<i>1. What is your agency's prior grant experience (in years) with each of the following programs as a sub-recipient? [§200.332(b)(1)]</i>						
Emergency Management Performance Grant	0	1	2	3	4	5 or more
Homeland Security Grant Program (SHSP/UASI)	0	1	2	3	4	5 or more
Public Assistance Grant (Declared Disasters)	0	1	2	3	4	5 or more
Mitigation Grant (HMGP/FA/FMA/PDM/FMAG)	0	1	2	3	4	5 or more
<b>Comments:</b>						

2. Within the past five years has the entity had any grants audited as part of a major program? [ <i>§200.332(b)(2)</i> ]. If Yes, please provide copy of latest Audit Report						
Emergency Management Performance Grant	0	1	2	3	4	5
Homeland Security Grant Program (SHSP/UASI)	0	1	2	3	4	5
Public Assistance Grant (Declared Disasters)	0	1	2	3	4	5
Mitigation Grant (HMGP/FA/FMA/PDM/FMAG)	0	1	2	3	4	5

**Comments:**

3. Within the past year have there been new personnel (financial or programmatic) or new or substantially changed systems? If so, please explain. [ <i>§200.332(b)(3)</i> ]			
Emergency Management Performance Grant	None	Some	Major
Homeland Security Grant Program (SHSP/UASI)	None	Some	Major
Public Assistance Grant	None	Some	Major
Mitigation Grant (HMGP/FA/FMA/PDM/FMAG)	None	Some	Major

**Explanation for "Some" or "Major" responses:**

4. Does your agency, receive, or has your agency received, any Federal funds directly? If yes, how many different sources? <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 or more	Yes	No
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**Comments:**

5. If you answered yes to #4, did you receive any Federal monitoring? What are the extent and the results of any Federal monitoring? [ <i>§200.332(b)(4)</i> ]	Yes	No
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**Findings or Recommendations:**

**Comments:**

**Audit Requirements (§ 200.500)**

A non-Federal entity that expends \$750,000 or more in Federal awards during the entity's fiscal year must have a single or program-specific audit conducted for that year.

Single Audit	Yes	No	N/A
6. Did the entity expend a total of \$750,000 or more across all federal awards during the most recent fiscal year? If No, skip to "Internal Controls" question #21			
7. Was an audit conducted for the past two fiscal years?			
8. Was a copy of the report forwarded to the Federal Audit Clearinghouse			

9. For the past two fiscal years were there any significant deficiencies cited in the audit report?			
10. For the past two fiscal years were there any material weaknesses cited in the audit report?			
11. If yes, did the report include a summary of your response to the finding(s), including any planned corrective actions to be taken to resolve the findings?			
12. Was the Major Programs' Compliance Opinion in the Summary of Auditor's Results in the Schedule of Findings <i>unqualified</i> ?			
13. Were there any OEM sub-grant related findings cited in the audit report that referred to questioned or disallowed costs? If yes, attach a statement describing the resolution of these findings to this form.			
14. Have all program-specific audit findings for the last two years been addressed?			
15. Have all generic audit findings for the jurisdiction for the last two years been reviewed, discussed and addressed?			
16. Have all audit findings and/or questioned costs (if any) from current and previous years been resolved?			
Comments:			

<b>Management Letter</b>	<b>Yes</b>	<b>No</b>	<b>N/A</b>
17. Was there a management letter issued related to the audit report? a. If yes, please forward a copy of this letter and audit to OEM?			
18. Were any financial operations or control weaknesses identified which would impact the processing of federal dollars? If yes, please explain.			
19. Were any other operations issues such as the handling of assets, lack of policies and procedures, contract or non-compliance, etc., which would impact federal dollars received?			
20. If a yes is answered on any of the above, please comment on the issues noted from the audit and how this will be/has been addressed and resolved.			
<b>Response:</b>			
Comments:			

<b>Internal Controls</b> [ <i>§200.303</i> ]	<b>Yes</b>	<b>No</b>
21. Are there sufficient internal controls in place to provide reasonable assurance the award is being managed in compliance with Federal statutes, regulations, and the terms and conditions of the sub-award? [ <i>§200.303(a)</i> ]		
<b>Additional Details (if you marked no to the above question):</b>		
22. Have separate "cost" accounts been setup in the accounting system to specifically track all financial transactions for each separate federal grant or sub-grant?		

<b>Additional Details (if you marked no to the above question):</b>		
23. Is there a process in place to prevent co-mingling of federal, state, and local funds?		
<b>Additional Details (if you marked no to the above question):</b>		
24. Does the accounting system prevent obligation or expenditure of federal funds outside the sub-grant's period of availability/sub-award period? If not, how do you assure that expenditures are not incurred outside the grant award period (either before or after)?		
<b>Additional Details (if you marked no to the above question)</b>		
25. What is the process for approval and payment of expenditures and posting to the general ledger?		
<b>Additional Details:</b>		
Comments:		

<b>General Procurement Standards: [§200.318]</b>	<b>Yes</b>	<b>No</b>
26. Are there documented procurement procedures which reflect applicable State and local laws and regulations, provided that the procurements conform to applicable Federal law and standards in the CFR? [§200.318(a)]		
27. Does the sub-recipient maintain oversight to ensure that contractors perform in accordance with the terms, conditions, and specification of their contracts or purchase orders? [§200.318(b)]		
28. Does the sub-recipient maintain written standards of conduct covering conflicts of interest and governing the performance of its employees engaged in the selection, award and administration of contracts? [§200.318(c)]		
29. Do the sub-recipient's procedures avoid acquisition of unnecessary or duplicative items? [§200.318(d)]		
30. Does the sub-recipient enter into state or local intergovernmental agreements or inter-entirety agreements where appropriate for procurement or use of common or shared goods or services? (encouraged) [§200.318(e)]		
31. Does the sub-recipient use Federal excess and surplus property in lieu of purchasing new equipment and property whenever such use is feasible to reduce project costs? [§200.318(f)]		
32. Does the sub-recipient use value engineering clauses in contracts for construction projects of sufficient size to offer reasonable opportunities for cost reductions? Value engineering is a systematic and creative analysis of each contract item or task to ensure that its essential function is provided at the overall lower cost. [§200.318(g)]		
33. Does the sub-recipient only award contracts to responsible contractors possessing the ability to perform successfully under the terms and conditions of a proposed procurement? And, is consideration given to such matters as contractor integrity, compliance with public policy, record of past performance, and financial and technical resources? [§200.318(h)]		
34. Does the sub-recipient maintain records sufficient to detail the history of procurement, to include the rationale for the method of procurement, selection of contract type, contractor selections or rejections, and the basis for the contract price? [§200.318(i)]		

35. Does the sub-recipient ensure that the procurement transactions are conducted in a manner that provides full and open competition consistent with the CFR standards? [§200.319(a)]		
36. Does the sub-recipient have procurement policies and practices free from the following restrictive practices: Unreasonable requirements; requiring unnecessary experience and excessive bonding; noncompetitive pricing practices; noncompetitive contracts to consultants that are on retainer contracts; organizational conflicts of interest; “brand name” specifications instead of “an equal’ product; any arbitrary action in the procurement process? [§200.319(a)(1-7)]		
37. Does the sub-recipient take all necessary affirmative steps to assure that minority businesses, women’s business enterprises, and labor surplus area firms are used when possible? [§200.321(a)]		
38. Is there a procedure in place to ensure vendors/contractors are not on the suspension and debarment lists/database before expenditures are incurred?		
Comments:		

<b>Inventory</b>	<b>Yes</b>	<b>No</b>
39. Does the sub-recipient maintain equipment/property management records to include the following items? Mark all that apply: [§200.313(d)(1)]		
Description of equipment		
A serial number or other identification number		
Funding Source (including FAIN)		
Acquisition Cost		
Who holds the title		
Acquisition Date		
Cost of the item		
Federal participation percentage		
Location		
Use		
Condition		
Disposal data (including the date of disposal and sale price of the item)		
40. Is a physical inventory of the equipment/property taken and the results reconciled with the equipment/property records at least every two years? [§200.313(d)(2)]		
41. Is a control system in place, to ensure adequate safeguards to prevent loss, damage, or theft of the property? Is any loss, damage, or theft investigated? [§200.313(d)(3)]		
42. Are adequate maintenance procedures in place to keep the equipment/property in good condition? [§200.313(d)(4)]		
43. If the sub-recipient is authorized or required to sell the equipment/property, have procedures been established to ensure the highest possible return? [§200.313(d)(5)]		
Comments		

<b>Sub-Recipient File Maintenance</b>	<b>Yes</b>	<b>No</b>
44. Does the sub-recipient maintain a separate file for each sub-grant?		
<b>Additional Details (if you marked no to the above question):</b>		
45. Does the sub-recipient keep copies of the following materials in their sub-grant file?		
Award Documentation from FEMA – If Applicable		
Signed Sub-Recipient Infrastructure Contract from the State - OEM		
Exhibit A's and/or all Updated Contract Exhibits		
Requests for Amendments and Approved Amendments		
Quarterly Progress Reports		
Payment Requests / Requests for Reimbursement (RFR)		
Payment Request Supporting Documentation* (To include Proof of Payment)		
Procurement Documentation – Policy/RFP/Evaluation Criteria/Vendor Contract		
Regulatory, environmental, and/or cultural documentation		
Correspondence (including award letter, closeout letter, e-mails, etc.)		
Final Close-Out Documentation		
Comments:		

To the best of my knowledge and belief, the data furnished on this form is accurate, complete and current. I understand that any fraudulent information contained on this form may have an effect on future OEM sub-grant funding for this organization.

Prepared by:	Title:
Date:	Telephone #:

Thank you for completing this detailed questionnaire. We sincerely appreciate the time and effort you have taken to provide us with this valuable information. Thank you very much!