CALIFORNIA EMERGENCY MANAGEMENT AGENCY (Cal EMA)

PROGRAM: Anti Drug Abuse

PERFORMANCE ASSESSMENT / SITE VISIT REPORT

1. **GRANT AWARD NUMBER:** DC09017994 **DATE OF SITE VISIT:** 08/12/10

2. **GRANT PERIOD:** 07/01/09 - 06/30/10

3. **RECIPIENT/IMPLEMENTING AGENCY:**
   City of South Lake Tahoe

4. **PROJECT DIRECTOR:**

PERSONS INTERVIEWED DURING SITE VISIT:

NAME	TITLE	AGENCY
	SLED NET Comm.	BNE
	Lieutenant	South Lake Tahoe
	Grants Administrator	South Lake Tahoe
	Admin Assistant	South Lake Tahoe

Signature of Program Specialist — Date 3.24.10

Signature of Section Chief — Date 8/24/10

Signature of Project Representative — Date

PERFORMANCE ASSESSMENT/SITE VISIT REPORT

SECTION I – ADMINISTRATIVE and PROGRAMMATIC REVIEW

	YES	NO	N/A
1. OPERATIONAL DOCUMENTS			
Review hard copy/verify the ability to access on line:			
• The Cal EMA Recipient Handbook (R.H.)	✓		
• The Approved Grant Award Agreement			
• The RFA/RFP (supersedes the requirement of the R.H.)	✓		
• The Program Guidelines (supersedes the requirement of the R.H.)	✓		
• Is the project familiar with Office of Management and Budget, OMB Circulars which govern your organization? Circulars may be found at www.whitehouse.gov/omb/circulars.	✓		

Comments:

	YES	NO	N/A
2. FIDELTY BOND CERTIFICATE - COMMUNITY BASED ORGANIZATIONS (CBO) & AMERICAN INDIAN ORGANIZATIONS ONLY			
• Obtain copy of required Fidelity Bond Certificate? *[R.H. Section 2161]* Does not apply to state, city, or county units of government.			✓
• Does the certificate show:			
o Bonding company's name			✓
o Bond number			✓
o Description of coverage			✓
o Amount of coverage (50% of allocation)			✓
o Bond period			✓
o Grant award number			✓
o Form A, Employee Dishonesty			✓
o Form B, Forgery Coverage			✓
o Is the State of California, California Emergency Management Agency named on the bond as the beneficiary?			✓

Comments:

	YES	NO	N/A
3. ENVIRONMENTAL IMPACT – CEQA COMPLIANCE (*R.H. Section 2153*)			
• Does the project have its CEQA documentation on file?(Ask to view)		✓	
o Certified Exempt			
o Recipient has adopted or certified an environmental document which complies with the requirements of CEQA.			

Comments:
Provided CEQA docs

SECTION I – ADMINISTRATIVE and PROGRAMMATIC REVIEW (Continued)

	YES	NO	N/A
4. PROOF OF AUTHORITY (*R.H. Section 1350*)			
• Does the project have a written authorization/resolution on file as required by the Grant Award Agreement? (Ask for copy)	☑	☐	☐

Comments:

5. ORGANIZATIONAL CHART

• Review the organizational chart. Are all budgeted positions identified?	☑	☐	☐

Comments:

6. Cal EMA MODIFICATION (Cal EMA 2-223)

• Review the purpose/preparation of Grant Award Modification Request (Cal EMA 2-223). *[R. H. Section 7500]* ***(Instruct project staff on the procedure to obtain the most recent forms from Cal EMA's website.)*** A modification is needed for the following:	☐	☑	☐
o Budget changes			
o Change in key personnel			
o Adding/changing additional signers			
o Change goals/objectives, or activities			
o Address change			
o Other			

Comments:

7. PERSONNEL POLICIES

• Does the project staff have access to written personnel policies as required? *[R. H. Section 2130]*	☑	☐	☐
• Do the personnel policies include:			
o Work hours	☑	☐	☐
o Compensation rates including overtime and benefits	☑	☐	☐
o Vacation, sick, and other leave allowances	☑	☐	☐
o Hiring and promotional policies	☑	☐	☐

SECTION I – ADMINISTRATIVE and PROGRAMMATIC REVIEW (Continued)

- Do the personnel files include:
  - Staff note: Complete a sample review of a personnel file
  - Job application ☑ ☐ ☐
  - Resume ☑ ☐ ☐
  - Performance evaluations ☑ ☐ ☐
  - Salary rates ☑ ☐ ☐
  - Benefits ☑ ☐ ☐
  - Current job duties/descriptions ☑ ☐ ☐
  - Other terms of employment ☑ ☐ ☐
- Does the project have a current Drug Free Workplace policy statement on file signed by the employee? *[R. H. Section 2152]* ☑ ☐ ☐
- Did the Board approve the agency's existing personnel policy? ☑ ☐ ☐

Comments:
Drug Free Workplace Policy is located in personnel files

8. FUNCTIONAL TIMESHEETS

- Does the project use functional timesheets for each grant funded position less than 1 FTE? OR Time Study Allocation plan updated within the last 2 years? *[R. H. Section 11331]* ☑ ☐ ☐
- Are timesheets (paid staff & volunteer) signed by staff & approved by supervisor? (Review timesheets to ensure signatures of staff and supervisor.) ☑ ☐ ☐

Comments:
Functional timesheets should be created for entire grant period.

9. DUTIES OF FINANCIAL OFFICER AND BOOKKEEPER

- Are the duties of the financial officer and the bookkeeper separate to ensure no one person has complete authority over a financial transaction? ☑ ☐ ☐
  - Name of individual who approves purchases.
  - Name of individual who writes checks.
  - Name of individual(s) who signs checks.

Comments:

SECTION I – ADMINISTRATIVE and PROGRAMMATIC REVIEW (Continued)

	YES	NO	N/A
10. SOURCE DOCUMENTATION-Fiscal *[R. H. Section 11000]*			
• Does the project maintain a record-keeping system which accurately supports costs claimed on Report of Expenditure and Request for Funds (Cal EMA Form 2-201)?	☑	☐	☐
• Does the project maintain an accurate inventory log of equipment purchased with grant funds?	☐	☐	☑

Comments:

11. PROJECT EXPENDITURES			
• Is the project's expenditure rate commensurate with the elapsed period of the grant?	☑	☐	☐
• Are the project's expenditures being made in accordance with the terms of the Grant Award Agreement?	☑	☐	☐
• Does the project need to submit a Grant Award Modification Request (Cal EMA Form 2-223)?	☑	☐	☐
• Is the project up-to-date with the submission of Cal EMA Form 2-201?	☑	☐	☐

Comments:

12. MATCH REQUIREMENTS			
• Does the project have a match requirement?	☐	☑	☐
• Is the project meeting the match requirement?	☐	☐	☑
• Review the supporting documentation to substantiate cash or in-kind match.	☐	☐	☑

Comments:

13. EEO POLICY			
• Go over EEO checklist. (Separate document)	☑	☐	☐

Comments:
Left all EEO docs with Lori Marino who will forward to Janet Emmett

SECTION I – ADMINISTRATIVE and PROGRAMMATIC REVIEW (Continued)

GENERAL	YES	NO	N/A
14. PROGRAM GOALS AND OBJECTIVES			
• Review the goals and objectives of the program and the programmatic requirements of the Grant Award Agreement. Is the project meeting the program's goals and objectives?	☑	☐	☐
• Does the project need to submit Cal EMA Form 2-223 to modify grant objectives?	☑	☐	☐

Comments:

15. PROGRESS REPORT

• Discuss and review the programmatic Progress Report requirements.	☑	☐	☐

Comments:

16. SOURCE DOCUMENTATION-Programmatic

• Is the project maintaining a record keeping and data collection process that which accurately supports the project's reported data on the Progress Report form?	☑	☐	☐
• Review the project's file system and data collection process.			

Comments:
Kelly Spears provided samples of source documentation

17. OPERATIONAL AGREEMENTS

• Does the project have current Operational Agreements as required by the Grant Award Agreement?	☑	☐	☐

Comments:

18. PROJECT STAFF DUTIES

• Interview project staff and discuss their duties and the relationship to the grant. Are employees performing duties as stated in the Grant Award Agreement?	☑	☐	☐

Comments:

PERFORMANCE ASSESSMENT/SITE VISIT REPORT

SECTION II - SUPPLEMENTAL PROGRAMMATIC REVIEW & ADDITIONAL COMMENTS

Drug Enforcement Section
Anti-Drug Abuse (ADA) Enforcement Team Program
California Multi-Jurisdictional Methamphetamine (Cal-MMET) Enforcement Treatment Program

	YES	NO	N/A
1. If asset forfeiture funds are received and/or expended, are project income reporting forms completed and mailed to Cal EMA on a quarterly basis?	☐	☑	☐

Comments:
Provided a demonstration to Kelly Spears on how to complete the Project Income reporting Form

2. Does the project have staff assigned to more than one Cal EMA funded project? If yes, please explain (attach additional pages as necessary).	☐	☑	☐

Comments:

3. Does the project track the percentage of time staff spends on non-project related duties? If no, please provide recommendations made to the project (attach additional pages as necessary).	☑	☐	☐

Comments:

4. Does the project maintain confidential funds? If yes, please describe policies (attach additional pages as necessary).	☐	☑	☐

Comments:

5. Have all grant-funded positions been filled? If no, please explain (attach additional pages as necessary).	☑	☐	☐

Comments:

6. Does the project have on-file the following documentation supporting the:

o Signed DEC Protocol MOU	☑	☐	☐
o Copy of "project specific" duty statement, rather than a copy of the local agency job classification/position duty statement or description	☐	☑	☐
o ADA Steering Committee minutes signed by all required participants	☑	☐	☐
o Copy of all approved Grant Award Modifications/Amendments	☑	☐	☐

Comments:

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7. Is the Task Force a combined ADA/Cal-MMET Team? ☐ ☑ ☐
If yes, please describe how the task force ensures the statistics are not double reported on the ADA or Cal-MMET progress reports.

Comments:

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_____

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SECTION III- AMERICAN RECOVERY AND REINVESTMENT ACT OF 2009 (ARRA) PROGRAMMATIC REVIEW

Drug Enforcement Section
Anti-Drug Abuse (ADA) Enforcement Team Recovery Act Program
California Multi-Jurisdictional Methamphetamine Enforcement Team (Cal-MMET) Recovery Act Program

	YES	NO	N/A
1. Is the project aware that they must provide Cal EMA with a *valid* Data Universal Numbering System (DUNS) Number for the implementing agency and not the County's DUNS number?	☐	☐	☑

Comments:

2. Is the project aware of the Central Contractor Registry (CCR) requirements?			
o Register with a valid DUNS number; and	☐	☐	☑
o Renew CCR registration yearly for the life of the grant.	☐	☐	☑

Comments:

3. Does the project understand that they report Section 1512(c) information to Cal EMA and *not* to FederalReporting.gov directly?			
o Report the total number of hours worked for each ARRA funded position on the Jobs Data Collection Sheet; and	☐	☐	☑
o Completed Jobs Data Collection Sheets are due to Cal EMA by the 3rd working day of each month for JAG funded programs and by the 10th day of the each month for VOCA or VAWA funded programs.	☐	☐	☑
o Failure to submit Jobs Data by the due date could result in the project's award being suspended and/or revoked.	☐	☐	☑

Comments:

4. Does the project understand that by accepting the grant award, they agreed to:			
o Track, account for, and report on all ARRA funds (including specific outcomes and benefits attributable to Recovery Act funds) separately from all other funds, including Cal EMA award funds from non-ARRA awards awarded for the same or similar purposes or programs. (ARRA funds may be used in conjunction with other funding as necessary to complete projects, but tracking and reporting of ARRA funds must be separate.); and	☐	☐	☑
o Accounting systems must ensure that ARRA funds are not commingled with funds from any other source.	☐	☐	☑

Comments:

PERFORMANCE ASSESSMENT/SITE VISIT REPORT

5. Is the project familiar with Office of Management and Budget, OMB Circulars which govern their organization? Circulars may be found at www.whitehouse.gov/omb/circulars. ☐ ☐ ☑

Comments:

6. Is the project aware that potential fraud, waste, or abuse must be promptly referred to the federal Department of Justice, Office of the Inspector General? Additional information is available from the DOJ OIG website at www.usdoj.gov/oig. ☐ ☐ ☑

Comments:

7. Is the project aware that ARRA funds cannot be used by any State or local government, or any private entity, for construction costs or any other support of any casino or other gambling establishment, aquarium, zoo, golf course, or swimming pool. ☐ ☐ ☑

Comments:

8. Does the project understand that by accepting the grant award, they:

- Agreed to provide Cal EMA, federal DOJ (including OJP and the Office of the Inspector General (OIG)), and its representatives, and the Government Accountability Office (GAO), access to and the right to examine all records (including, but not limited to, books, papers, and documents) related to ARRA funds, including such records of any subrecipient, contractor, or subcontractor; and ☐ ☐ ☑
- Acknowledges that Cal EMA, federal DOJ and the GAO are authorized to interview any officer or employee of the recipient (or of any subrecipient, contractor, or subcontractor) regarding transactions related to this Recovery Act award. ☐ ☐ ☑

Comments:

9. Is the project aware of the Performance Measures and reporting timeline for ARRA funded programs:

- Reporting of Performance Measures will be accomplished using BJA's Performance Measurement Tool (PMT); ☐ ☐ ☑
- PMT reports must be completed on a quarterly basis (i.e., July 15, October 15, January 15, and April 15) for the life of the grant; and ☐ ☐ ☑
- Failure to submit PMT reports by the due date could result in the project's award being suspended and/or revoked. ☐ ☐ ☑

(Specific to Recovery JAG funded programs only).

Comments:

10. For existing staff positions, does the project have documentation that the position would have been eliminated if not for Recovery Act funding?

Documentation may include:

- o Budget comparisons and/or projections before and after the Recovery Act award date ☐ ☐ ☑
- o Formal layoff recommendations and retractions (memos, reports) ☐ ☐ ☑

Comments:

SECTION IV - ADDITIONAL COMMENTS:

NOTES:

Thank you for your time and cooperating during my site visit on August 12, 2010. I commend you for being organized and meticulous with the presentation of program materials. overall, the project meets most grant requirements, however, the following findings include actions required in order to bring the project into full grant compliance.

A. California Environmental Quality Act (CEQA)

Finding: Unable to locate any documentation on CEQA Policy.

Corrective Action: Please review Section 2153 of the California Emergency Management Agency (Cal EMA) Recipient Handbook. This document is most likely available in your Environmental Services Office – please verify.

B. Project Specific Job Descriptions

Finding: Not available at time of visit.

Corrective Action: Please prepare project specific duty statements for the personnel covered under your ADA and ADA Recovery grant. Forward a copy to me and place a copy in employees file. I have attached a copy of a sample duty statement to assist you.

C. Functional Time Sheets

Please be sure that you have functional time sheets for the entire length of the grant on all individuals whose salary or overtime are covered with grant funds.

Copies of Investigation Reports and journal pages that are used for source documentation were retrieved from project and are in file for review. I was also provided with a sample of the functional time sheets.