CALIFORNIA EMERGENCY MANAGEMENT AGENCY (Cal EMA)

PROGRAM: Victim/Witness Assistance Recovery Act

PERFORMANCE ASSESSMENT / SITE VISIT REPORT

1. **GRANT AWARD NUMBER:** VS09010560 **DATE OF SITE VISIT:** 07/13/2010

2. **GRANT PERIOD:** 07/01/2009 - 09/30/2010

3. **RECIPIENT/IMPLEMENTING AGENCY:**
   County of Ventura District Attorney's Office

4. **PROJECT DIRECTOR:**
   Michael Schwartz, Special Assistance District Attorney

PERSONS INTERVIEWED DURING SITE VISIT:

NAME	TITLE	AGENCY
Catherine Duggan	Senior Program Admin.	DA's Office, V.W.
Barbara Dixon	Program Administrator	DA's Office, VW
Linda Finnerty	Supervisor Victim Services	DA's Office, V.W.
Pat Wood	V/W Advocate (EA)	DA's Office, V.W.
Susy Rios	V/W Advocate (SE)	DA's Office, V.W.

Signature of Program Specialist 11/01/10 Date Signature of Section Chief 11/1/10 Date

Signature of Project Representative Date

PERFORMANCE ASSESSMENT/SITE VISIT REPORT

SECTION I – ADMINISTRATIVE and PROGRAMMATIC REVIEW

1. OPERATIONAL DOCUMENTS

	YES	NO	N/A
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:

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:			
○ Bonding company's name			
○ Bond number			
○ Description of coverage			
○ Amount of coverage (50% of allocation)			
○ Bond period			
○ Grant award number			
○ Form A, Employee Dishonesty			
○ Form B, Forgery Coverage			
○ Is the State of California, California Emergency Management Agency named on the bond as the beneficiary?			

Comments:

3. ENVIRONMENTAL IMPACT – CEQA COMPLIANCE (*R.H. Section 2153*)

• Does the project have its CEQA documentation on file?(Ask to view)	✓		
○ Certified Exempt	✓		
○ Recipient has adopted or certified an environmental document which complies with the requirements of CEQA.	✓		

Comments:

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:
For continuously funded grants authorization for grant application has been incorporated into the Preliminary Budget process, eliminating the need to file a separate Board letter for approval of each grant application.

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:	☑	☐	☐
○ Budget changes			
○ Change in key personnel			
○ Adding/changing additional signers			
○ Change goals/objectives, or activities			
○ Address change			
○ 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:			
○ Work hours	☑	☐	☐
○ Compensation rates including overtime and benefits	☑	☐	☐
○ Vacation, sick, and other leave allowances	☑	☐	☐
○ 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:

Not all jobs may require a resume.

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:

timesheets are electronically signed/approved by manager and submitted online, then they go to fiscal section for payroll processing

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.
    Ernestine Cook - Fiscal Manager
  - Name of individual who writes checks.
    County Auditor's Office
  - Name of individual(s) who signs checks.
    County Auditor

Comments:

SECTION I – ADMINISTRATIVE and PROGRAMMATIC REVIEW (Continued)

10. SOURCE DOCUMENTATION-Fiscal *[R. H. Section 11000]*

	YES	NO	N/A
• 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:

supervisor approves hours then they go to fiscal for final approval. There is a separate code for each grant, which tracks salaries and benefits.

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:

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:

	YES	NO	N/A
15. PROGRESS REPORT			
• Discuss and review the programmatic Progress Report requirements.	☑	☐	☐

Comments:

	YES	NO	N/A
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:

	YES	NO	N/A
17. OPERATIONAL AGREEMENTS			
• Does the project have current Operational Agreements as required by the Grant Award Agreement?	☑	☐	☐

Comments:

	YES	NO	N/A
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:

CALIFORNIA EMERGENCY MANAGEMENT AGENCY (Cal EMA)
PERFORMANCE ASSESSMENT / SITE VISIT REPORT

Checklist Items	Yes	No	Comments
SUPPLEMENTAL PROGRAMMATIC REVIEW	**VS09010560**		
1. MANDATORY SERVICES			
a. Crisis Intervention			
(1) Provide in person/telephone contacts	☒	☐	
(2) Provide crisis intervention and arrange for needed services	☒	☐	
b. Emergency Assistance			
(1) Arrange emergency assistance within the first 24 hours after initial contact	☒	☐	
(2) Written procedures in place for disbursing funds	☒	☐	
(3) OA(s) on file with service providers (i.e. shelters)	☒	☐	
c. Resource and Referral Assistance			
(1) Provide non-emergency referrals	☒	☐	
(2) OA(s) on file with service providers	☒	☐	
d. Direct Counseling			
(1) Provide in person or telephone guidance and/or emotional support	☒	☐	
(2) If counseling is provided, it is at a level that does not require a licensed professional	☒	☐	
(3) If counseling is referred, OA(s) on file with service providers	☐	☒	Refer out, to therapist
e. Victims of Crime Claims			
(1) Assist clients in preparing applications for compensation	☒	☐	
(2) Advocate is aware their role does not include determination of eligibility	☒	☐	
(3) Is a joint Powers unit locally located	☐	☒	
f. Property Return			
(1) Assist in the return of property held as evidence	☒	☐	
(2) If property cannot be returned, an explanation is provided	☒	☐	
Victim will get a packet explaining his/her rights, victim will be advised on the right to restitution			

CALIFORNIA EMERGENCY MANAGEMENT AGENCY (Cal EMA)
PERFORMANCE ASSESSMENT / SITE VISIT REPORT

Checklist Items	Yes	No	Comments
SUPPLEMENTAL PROGRAMMATIC REVIEW (Continued)			
1. MANDATORY SERVICES (Continued)			
g. Orientation to the Criminal Justice System			
(1) Provide information on the location, procedures, and functions of local criminal justice agencies	☒	☐	On-going as case moves to different levels
(2) Written material/brochures are available in languages appropriate to local ethnic needs	☒	☐	
h. Court Escort			
(1) Provide physical accompaniment during court appearances	☒	☐	
(2) Provide physical accompaniment during interviews with law enforcement and prosecution	☒	☐	
i. Presentations and Training for Criminal Justice Agencies			
(1) Conduct informational presentations regarding resources available through V/W Centers	☒	☐	Train at the academy, different units in the office
(2) Conduct informational presentations explaining the rights and needs of victims	☒	☐	Law enforcement topics, Elder Abuse topics, keeps a log of presentation
j. Public Presentations and Publicity			
(1) Promote public awareness of V/W services through public media	☒	☐	Spanish Radio, Farm Worker and Mexican Consulate outreach, Presentations are limited because of funding
(2) Conduct presentations to victim service organizations and community groups	☒	☐	
(3) Participate in Victims' Rights Week	☒	☐	
k. Case Status/Case Disposition			
(1) Advise victim of the progress and disposition of case	☒	☐	
(2) Assist victim with preparing Victim Impact Statements	☒	☐	
l. Notification of Family/Friends			
(1) Notify victim's relatives and/or friends of the occurrence of the crime	☒	☐	Upon request
m. Employer Notification			
(1) Notify employer that client was a victim/witness to a crime	☒	☐	

(2) Encourage employer to minimize any loss of pay or other benefits	☒	☐	Advise employer of labor code, most of the time easy to resolve
Checklist Items	**Yes**	**No**	**Comments**
SUPPLEMENTAL PROGRAMMATIC REVIEW (Continued)			
1. MANDATORY SERVICES (Continued)			
n. Restitution			
(1) Assist in obtaining restitution	☒	☐	Both Victim/Witness and Restitution Specialist
(2) Provide the Probation Department, District Attorney, and Court with information relevant the victim's losses prior to the imposition of sentencing	☒	☐	Get in probation report, prepare it right away instead of years later
2. OPTIONAL SERVICES			
(1) Employer Intervention	☒	☐	
(2) Creditor Intervention	☒	☐	
(3) Child Care Assistance	☐	☒	Have children's waiting room run by the court
(4) Witness Notification	☐	☒	Witness coordinator unit does this
(5) Funeral Arrangements	☐	☒	Don't make them, assist with application, assist with getting contracts
(6) Crime Prevention Information	☒	☐	
(7) Witness Protection	☐	☒	Bureau of Investigation does this
(8)Temporary Restraining Order (TRO) Assistance	☒	☐	Develop safety plans
(9)Transportation Assistance	☒	☐	Transport victim, bus tokens
(10) Court Waiting Area	☒	☐	
3. AGENCY ORGANIZATION			
a. Facility			
(1) V/W Center is open during normal business hours	☒	☐	
(2) Waiting Room	☒	☐	
(3) Private Interview Room	☒	☐	
b. Personnel & Organization			
(1) Reporting lines of Authority are consistent with the Project Contact Information form	☒	☐	
(2) Authorization for additional signature authority is current	☒	☐	

(3) Evidence of completion of 40 hour Entry-Level Training	☒	☐	In personnel files
SUPPLEMENTAL PROGRAMMATIC REVIEW (Continued)			
b. Personnel & Organization (Continued)			
(4) Evidence of completion of Advance Training, if applicable	☒	☐	A couple of the advocates may need this
(5) Evidence of completion of Coordinator's Training, if applicable	☒	☐	
(6) Volunteers utilized as required	☒	☐	
Additional Comments / Notes: sample caseloads are reviewed monthly to make sure information is being tracked			

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

	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:

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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:

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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:

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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:

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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:

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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:

- Budget comparisons and/or projections before and after the Recovery Act award date
- Formal layoff recommendations and retractions (memos, reports) or
- Minutes of formal meetings where official budget decisions were made.

(Specific to Recovery VOCA/VAWA funded programs only).

Comments: The funds were not significant enough; however, funding is down in the Victim Witness Center.

SECTION IV - ADDITIONAL COMMENTS:

NOTES: