



To: Bay Area UASI Approval Authority

From: Tristan Levardo, CFO

Date: November 18, 2021

Re: Item 08: Subrecipient Monitoring and Desk Review 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 June through October of this year, the Grants Management Unit conducted comprehensive desk reviews in lieu of monitoring site visits that covered 18 jurisdictions. Our testing included sampled claim items that received the funding source – FY19 UASI grant.

The monitoring revealed findings in the following areas:

Compliance Category	Number of Findings	Nature of Findings
Procurement	3	Lack of competition in the procurement of goods; non-adherence to established purchasing policies and procurement standards; and lack of cost and price analysis in compliance to the grant provisions
Internal Control	1	Inadequate accounting records and source documentation; vendor payment issues; and delayed reimbursement claims
Corrective Action	1	Lack of implementation of submitted corrective action plan
Program Management	2	Delays in completing milestones

Our findings yielded recommendation and required corrective action plan from the jurisdictions. In our next monitoring scheduled in next spring, we shall review those action items to ensure that full implementation is achieved.