

Tip Sheet – Additional Oversight Requirements

The following are suggestions for providing additional oversight or grant contract agreement requirements for common risks identified in the preaward risk assessment conducted in accordance with [OGM Policy 08-06: Preaward Risk Assessment of Potential Grantees](#). These suggestions could also be considered for a first-time grantee or situations where agencies need to provide enhanced oversight.

Segregation of Duties

- Require monthly board or executive officer review and approval of expenditures.
- Require grantee to obtain services of a third-party bookkeeper.
- Grantee to hire additional staff.

Lack of Experience with State Grants

- Grant management training through third party.
- Agency partners grantee with a more experienced grantee.
- Agency led trainings or coaching sessions for grantees.
- Provide technical assistance meetings with agency staff.
- Agency provided training manuals on specific compliance requirements, e.g. bidding and contracting.

Inadequate or insufficiently documented policy and procedure

- Grantee to develop documented policies and procedures and submit copy to agency.
- Grantee to train staff on policies and procedures.
- Grantee to have policies and procedures reviewed and approved by board or executive officer.

Turnover or Staffing Issues

- Implementation of a system with supervisory review to track allowable grant costs.
- Grantee to develop plan to notify agency of key staff turnover and transition plan.

Financial Reporting and Accuracy

- Contract with a third-party bookkeeper, fiscal agent, or software system provider.
- Monthly reconciliations and tracking of receipts.
- Preapproval of certain expenditures, e.g. supplies, equipment, or travel.
- Submitting detailed invoices, with all supporting documentation, for first 3-6 reimbursement requests.
- Agency to conduct a financial reconciliation within the first six months of the grant.
- Training sessions where agency personnel demonstrate how to complete reimbursement requests and other required submissions.

Programmatic Issues

- Agency site visits to observe grant activities and provide direct assistance.
- Grantee to provide more frequent progress reports, with more detail.
- Agency to provide grantee with specific performance indicators and data collection to report on so the agency can directly measure progress toward goals.
- Agency to conduct more frequent of focused monitoring.