APPENDIX A13

COMPLIANCE MONITOR INSTRUMENT

State of Nevada
DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF MENTAL HEALTH AND DEVELOPMENTAL SERVICES
SUBSTANCE ABUSE PREVENTION AND TREATMENT AGENCY
Administrative Compliance Monitor Instrument

A. Agency Information	**Complete prior to site visit.**					
Agency & Program Name						
Grant Number		Funding Amount		Funding Period		
Director						
Mailing Address						
Site Visit Address(es)						
Telephone		Fax		E-mail		
Person(s) Providing Information	Program Information					
	Fiscal Data					
Date(s) of Monitor						
SAPTA Analyst						

B. Grant File Review **Complete prior to site visit.**	**Documentation to be reviewed may include but is not limited to:**	**Y**	**N**	**Comments**
1. Has there been any scope of work and/or fiscal amendments to the subgrant? (Grant Assurances)	SAPTA grant file			
2. Does the grant file contain a copy of the agency's last audit and management letter? (Grant Assurances)	SAPTA grant file			Date of audit: Date of management letter:
3. Has the program submitted quarterly reports to SAPTA? [NRS 458.025, NAC 458.228 (5 a & b 1-2(I-III)]	SAPTA grant file			
4. Does the grant file contain a copy of the last Certification and Monitor Report? Were any discrepancies noted that need to be re-checked for compliance?	SAPTA grant file			

C. Fiscal Document Review	Documentation to be reviewed may include but is not limited to:	CAP Code	Y	N	Comments
1. Do agency policies and procedures specify that different people prepare checks, sign checks, reconcile bank accounts, and have access to bank accounts? (Grant Assurances)	Agency fiscal policy and procedures	B			
2. Do agency policies and procedures identify individuals in the organization who are authorized to sign checks? (Grant Assurances)	Agency fiscal policy and procedures	B			Titles of authorized individuals:
3. Do agency policies and procedures require the check signer to review documents in support of checks presented for his/her signature? (Grant Assurances)	Agency fiscal policy and procedures	B			
4. Are tax deposits up to date (FICA, Withholding, EICON, and ESD)? **Only necessary if SAPTA fiscal monitor has not been conducted within last 12 months.** (Grant Assurances)	Review deposit slip and bank statement for last quarter	B			Date of bank statements or deposit slip:
5. Does an inspection of program's last bank statements, deposit slips, etc. satisfactorily trace the deposit of grant funds into the agency's account? **Only necessary if SAPTA fiscal audit has not been conducted within last 12 months.** (Grant Assurances)	Last draw request, appropriate bank statements, deposit slips, journals, etc.	B			Date of reimbursement check: Date identified in fiscal records: Bank statement showing deposit:
6. Does the program have back-up documents (pay ledgers, invoices, etc.) to support the last Monthly Draw Request for Reimbursement (GA-14) submitted to SAPTA? **Only necessary if SAPTA fiscal monitor has not been conducted within last 12 months.** (Grant Assurances)	SAPTA staff will bring copy of last GA-14 backup and will cross reference to actual fiscal files	B			Date of GA-14: Amount: Documents Reviewed:

D. Agency Review	Documentation to be reviewed may include but is not limited to:	CAP Code	Y	N	Comments
1. Is the agency accomplishing the goals and objectives identified in the scope of work as indicated in the subgrant award including compliance with State and Federal rules and regulations? (Grant Assurances)	SAPTA grant file, Agency reports, observation	B			
2. Is the geographic area being served by the agency consistent with the scope of work as indicated in the subgrant award? (Grant Assurances)	Agency reports, meeting minutes, observation	B			
3. Has the agency encountered problems in meeting its scope of work and SAPTA reporting requirements? If yes, does the agency have a written plan to correct the problems? (Grant Assurances)	Agency reports, NHIPPS	B			
4. Has agency personnel received the required Prevention and/or related training? (Grant Assurances)	Individual training plans	B			
5. As appropriate, do agency documents identify the Mental Health Division, Substance Abuse Prevention and Treatment Agency, and SAMHSA as a funding source? Is correct attribution used? (Grant Assurances)	Agency literature, brochures, etc.	C			

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Findings/Recommendations/Follow-up: The following indicates specific observations, comments, recommendations and/or timelines.

Prepared By: _____ Date: _____
Agency Analyst

Reviewed By: _____ Date: _____
Agency Supervisor

Date Mailed to Agency: _____

The following reflects the timelines that will be observed during the monitor process:

- SAPTA must submit final monitor visit report to coalition within 20 working days.
- Within 10 working days of receipt of compliance action plan, SAPTA must approve or reject and return it.
- If plan is rejected, coalition has 5 working days from receipt of rejection to contact their assigned Program Analyst to resolve the conflicts.

The CAP Code column indicates the priority rating of each item and each item is ranked as A, B, or C. Noncompliance must be implemented based on the following:

A – Requires a Compliance Action Plan completed at Exit Interview and issue addressed within 24 hours.

B – Issues in this category are addressed at the Exit Interview and requires a Compliance Action Plan submitted to SAPTA within 10 days of the monitor visit.

C – Must be corrected before the next monitor visit – Does not require a Compliance Action Plan