



# Multi-Agency Site Visit

North Dakota Office of Attorney General

**From:** Scott, Ann M.  
**Sent:** Friday, October 5, 2018 12:44 PM  
**To:** 'Jeff.Hensley  
**Subject:** FW: DOJ Site Visit  
**Importance:** High

Mr. Hensley,

I am Sarah Couture's supervisor and she has informed me that you and she spoke over the phone yesterday afternoon about a possible site visit occurring in early November. Unfortunately, a visit this fall/winter will not work for our office for a variety of reasons.

First, our office has recently experienced some important **changes** in the grant section that have caused us to be in a **training** mode since the fall of 2017 and will continue into December 2018 (and beyond). **We lost two of our three grant managers** within 6 months of each other in 2017, and hired one replacement in November 2017, still leaving the section one grant manager short.

Shortly thereafter, I was recently promoted from a Grants-Contracts Officer II/Team Lead position to an Accounting Manager position for the office. In this new role, I will continue to supervise and oversee grant related duties but will cease grant management duties. The new role adds budgetary and financial duties for the entire office as well as increased supervisory duties. Due to lack of staff and the my need to train replacements, I have just started assuming my **new responsibilities**. It is imperative that my training be completed as soon as possible due to other anticipated staff changes such as retirements.

While we did hire two replacement grant managers in June, the individual that had been hired to replace me resigned, terminating his employment in early September. We have now hired another replacement who will start October 15<sup>th</sup>. I (and the current grant managers) will be responsible for her training and guidance as she learns her new job duties over the next few months. Again, due to my move to Accounting Manager and being **short staffed**, it is extremely important that she complete her training as soon as possible.

A second issue with the fall/winter timeframe is that we are gearing up for our **JAG application and competitive award process**. This is a time consuming process that involves a meeting of ND The Drug and Violent Crime Policy Board to review the applications and make funding recommendation to the ND Attorney General. The award hearings (meeting of the Board) is scheduled for October 16<sup>th</sup>. Following that, Sarah will be very busy gathering the recommendations to present to the Attorney General and preparing award documents etc.

Third, grants staff has **planned annual leave** both the week before (Sarah) and the week of (Darcy) your suggested site visit date which will result in either their inability to have adequate time to prepare of your visit and/or their ability to be present during your visit.

Lastly, we are preparing for our **biennial legislative session** to begin in early January and end late April/early May. This is a very busy time of the year for us as we are required to provide information and data to the legislators at a moment's notice as well as assist in (and write) fiscal notes for proposed legislation. I will likely be a part of our budgetary hearings as well.

Do to the many conflicting issues this fall and winter, we would like to suggest the site visit occur after our legislative session has ended; perhaps sometime between May 13-24<sup>th</sup>. Would that be possible?

I also wanted to add that we have had conversations with the JAG and the Human Trafficking federal program managers about possibly upcoming site visit regarding their programs and they had both indicated they would likely come in late spring/early summer to conduct those visits, so perhaps the

May timeframe would be better for reason as well. You will likely enjoy the **weather** more during that time of year too, as we received our **first snowfall** of the year yesterday already!

Also, can you tell me if this site visit is a result of standard monitoring procedures?

I look forward to hearing from you soon.

**Ann Scott**  
Accounting Manager  
ND Office of Attorney General



U.S. Department of Justice

Office of Justice Programs

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Washington D.C. 20531

October 22, 2018

Kathy Roll  
Director  
North Dakota Office of Attorney General  
600 East Boulevard Avenue  
Bismarck, ND 58505

Dear Ms. Roll,

**This letter is to confirm that the U.S. Department of Justice, Office of Justice Programs (OJP) will conduct a site visit to the North Dakota Office of Attorney General scheduled for November 27-29, 2018 beginning at 9:00 AM.** These site visit dates were confirmed with Ann Scott, Accounting Manager via Phone on October 9, 2018. The site visit will include a review of the programmatic, financial, and administrative activities related to the awards listed below.

This site visit is part of OJP's federally-mandated requirement (see Uniform Guidance 2 C.F.R. § 200) to conduct grant monitoring and oversight of the financial, administrative, and programmatic activities of grantees. The focus of the visit will be to to assess and ensure compliance with the regulations, terms, and conditions for each grant under review; examine the programmatic progress of each grant; validate information that has been reported; perform routine grant financial monitoring; and provide technical assistance for grant management requirements.

2 CFR Part 200 - UNIFORM ADMINISTRATIVE REQUIREMENTS,  
COST PRINCIPLES, AND AUDIT REQUIREMENTS FOR FEDERAL  
AWARDS



**OJIP OFFICE OF CIVIL RIGHTS**

**DOJ**

**JAG**

**PROGRAM MANAGER**

**ICAC**

**OJP**

**HUMAN TRAFFICKING**

**GRANT MANAGER**

**NARIP**

**SORNA**

**OCFO**

**SMART**





**KEEP  
CALM  
AND  
GRANT  
ON**

# Tips for Success

- LOGISTICS

- Hotels & Restaurants
- Local Events/Attractions
- Transportation Options
- Include Address, Phone, and Website Point of Contact

- SCHEDULING

- Meeting Rooms
- Meeting Times

# Tips for Success

- PREPARATION

- Federal Monitoring Folder

1. Policies, Procedures, & Processes

- Federal Funds
- Travel
- Fixed Assets
- Cash Management
- Fiscal
- Conference
- Subaward Processes

# Tips for Success

- PREPARATION

- Federal Monitoring Folder (continued)
  2. Handbook
  3. Most Recent Audit
  4. Subrecipient Monitoring Form
  5. Organizational Chart
  6. Chart of Accounts
  7. Recent Inventory
  8. Certificates
  9. Contracts/Sole Source

# Tips for Success

- PREPARATION

- Grant File Review

- Application & Award Documents
- GANS
- Accounting Reports
- FFR's
- Leases/Contracts
- Progress/Performance Reports
- Correspondence
- Subrecipient Documents

# Tips for Success

- **PROVIDE**
  - **Financial**
    - **Accounting Ledgers**
    - **Budget Tracking**
    - **Cash or In-Kind Match**
    - **Program Income**
    - **Trust Fund or Interest Account**
    - **Subrecipient Reimbursement Claims**
    - **Chart of Accounts**

# Tips for Success

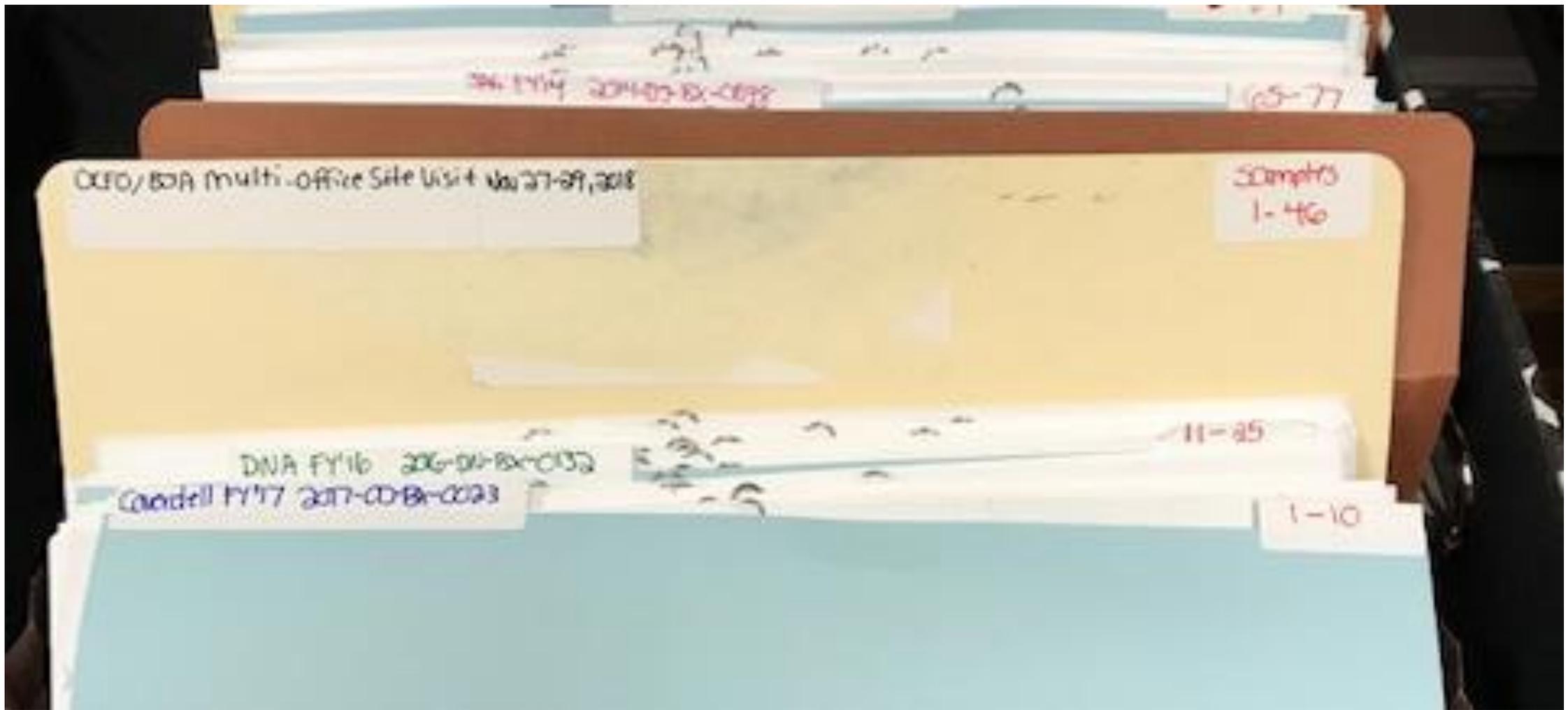
- PROVIDE
  - Administrative
    - Policies & Procedures
    - Key Personnel
    - Certificates/Certifications
    - Subrecipient Information
      - Entity
      - Funds Awarded & Disbursed
      - Monitoring Plan/Schedule

# Tips for Success

- PROVIDE
  - Programmatic
    - Progress Reports
    - Subrecipient Progress Reports
    - Evidence of Progress

# Tips for Success

- SAMPLES
  - General Ledger Report for Requested
    - Print the entry for each sample separately
    - Use this as a “cover sheet” for your backup
  - Number to correspond with request
    - Cover Sheet & First Page of Supporting Docs
  - Place supporting documentation behind cover sheet
  - Repeat for each sample and organize by grant



# Sample Files

Case# 1717 2017-0518-0093

Sample #1


**2018 SOFT Registration  
Attendee Registration Receipt  
Minneapolis, MN**

Register Date: June 8, 2018  
 Register Type: Member / Early Bird Registration  
 Register Name: Jacella L. Portscheller  
 Register Agency: 161 Office of Attorney General Crime Laboratory Division  
 Address: [Redacted]  
 Register Location: St. Louis, MO  
 United States of America

Registration Number: 18021  
SOFT # 000

3300 FEDERAL FUNDS  
 2017 CONRADSON GRANT  
 RESOURCE 03  
 CES 7/6/18  
 MIFARID/BJ

Email: [Redacted]  
 Emergency Contact: [Redacted]  
 Cell Number: [Redacted]  
 Cell Email: [Redacted]  
 Cell Number: [Redacted]  
 Cell Email: [Redacted]  
 Cell Number: [Redacted]  
 Cell Email: [Redacted]

175-230-6000 - 62367-1250 - AE23517-2017 - 109-00

Date	Qty	Description	Each	Extended
6/08/18	1	Registration for Jacella L. Portscheller (6-8)	\$150.00	\$150.00
6/08/18	1	(WS) "ISO Certified: How to Navigate ISO standards" (Half Day) Monday, October 8, 8:55am - 12:00pm	\$103.00	\$103.00
6/08/18	1	(WS) "Effective Communication Skills for Successful Forensic Toxicology Practice" (Half Day) Monday, October 8, 1:25-5:00 pm	\$122.00	\$122.00
6/08/18	1	(WS) "Sticky Substances: The dance between GC/MS/MS (7015-20) / 7x Risk Based Requirements and Forensic Toxicology Laboratories" (Full Day) Tuesday, October 9, 8 am-5:30 pm	\$250.00	\$250.00
6/08/18	1	Printing fee Mastercard	-\$1,000.00	-\$1,000.00
		Total Balance		\$0.00

DR

Badge Name	TF or Over	Welcome Exception	Locker	Driver	Pin Run
Jacella L. Portscheller	Yes	Yes	W/M	Vegetarian	No

Important Refund Policy: Refunds will be honored if a written request is received prior to August 31, 2018. No refunds will be issued beginning September 1, 2018. Registrations after August 31, 2018 are not guaranteed meeting giveaway items.

Account 7/18

# Supporting Documentation

# Questions



**Ann Scott, Accounting Manager**

**North Dakota Office of Attorney General**

**[amscott@nd.gov](mailto:amscott@nd.gov)**

**(701) 328-5506**