



Grant Management and Recovery Division
VDEM EM Grants Monitoring Feature

APPLICANT JOB AID

March 2024

Property of Virginia Department of Emergency Management

Version 1.2

Feature Overview

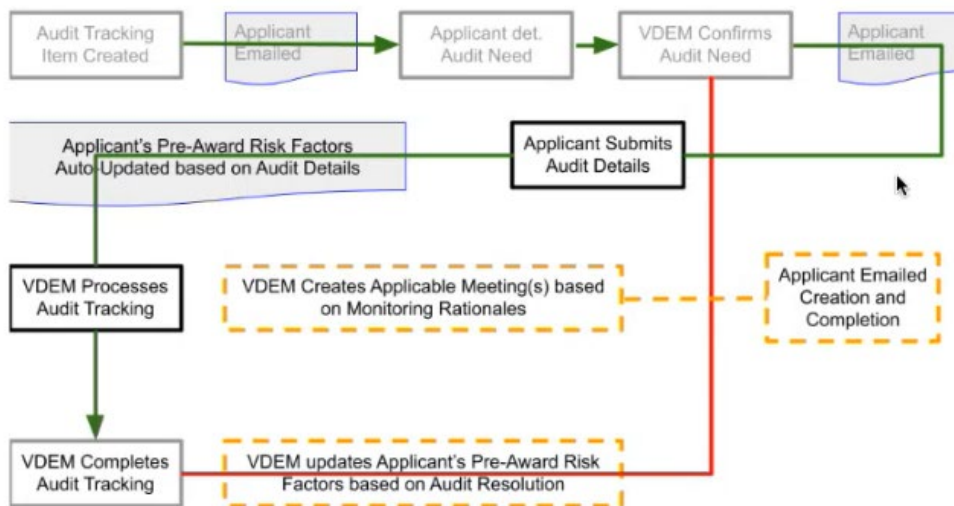
VDEM, as a Recipient of federal funds, is required “evaluate each applicant’s risk of noncompliance with Federal statutes, regulations, and the terms and conditions of the subaward or purposes of determining the appropriate applicant monitoring” – 2 CFR 200.332(b).

Applicants who spend \$750,000 or more in Federal awards from all sources in a fiscal year must be audited according to [2 CFR § 200 Subpart F](#) of the eCFR. Audits help ensure the applicants are using pass-through funding properly, following the rules and terms of award, and meeting the expected outcomes.

This process was developed for VDEM to utilize VDEM EM Grants to assess applicant risk, determine the appropriate monitoring techniques, and track each applicant’s risk from year to year.

The Audit Tracking feature within EM Grants offers a suite of tools designed to meet specific requirements. This job aid will walk you through the process as an applicant to help you effectively utilize this feature.

Process Diagram



The Audit Tracking workflow consists of six steps:

1. Applicant Submission
2. State Review
3. Pending Audit Results
4. State Audit Findings Review
5. Audit Finding Resolution
6. Complete

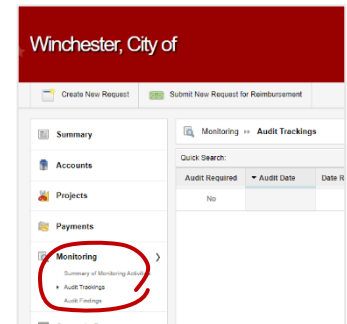
Completing the New Audit Tracking Form

Step 1: Applicant Submission

On or around April 1, 2024, all applicants with open projects in VDEM EM Grants will be notified to complete the audit tracking form. A notification email will be sent to contacts in VDEM EM Grants with the **Finance Officer and/or Chief Financial Officer*** position designation. The email will include a link and instructions to complete the form. Please contact your Grant Administrator if you are an applicant with open projects and do not receive the email.

1. Click on the **link** to the **Audit Tracking Item** provided in the email or from the **Audit Trackings** screen.

To access it from the Audit Tracking screen, go to the Applicant Profile and click on **Monitoring** in the left navigation panel to open the submenu. From there, click on **Audit Trackings**, then click on the Item you'd like to complete/update in the table that appears on the right. Click on **Form** to view the Audit Tracking form.



2. If your organization **is required** to do a single audit because it **spent \$750,000 or more** in Federal awards from all sources in the most recent fiscal year, select **Yes** from the dropdown provided.

A screenshot of the 'Create New Audit Tracking' form. The title bar is blue with the text 'Create New Audit Tracking'. Below the title bar are two buttons: 'Create' and 'Cancel'. The main content area is divided into a left sidebar and a right main panel. The sidebar contains a 'Form' menu item. The right panel shows a form with a question: 'Is your organization required to do a Single Audit?' and a 'Select One' dropdown menu.

If the organization did **not** spend **\$750,000 or more** in Federal awards from all sources in the last fiscal year and therefore is **not required** to do a single audit, select **No** and click **Create**, then skip to step 4.

3. If you selected **Yes** for step 2 above, a new field will appear. Add the **date of the single audit** performed from your **most recent fiscal year** or, if it has not yet occurred, please include the date (approximate) for which it is scheduled. Since this field is required, select the current date if you do not have one when you are completing the form. After selecting the **date of the single audit** click **Create**.

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** A financial officer has knowledge of the applicant's financial systems, staff, processes and procedures and audits. If one is not defined, the contact listed as an authorized agent will be assigned this position type. **An Authorized Agent is defined as someone who is delegated signatory authority for specific grant programs.** If there is no authorized agent listed, the primary for the applicant will be assigned.*

- After clicking the **Create** button, all applicants are required to answer **seven brief questions** about their financial processes and grant experiences. Complete each field by selecting responses from the dropdown boxes provided. Hint text will be available to provide context to help you answer this question.



All applicants are required to complete a set of seven questions that help us to evaluate potential risks associated with projects or activities. By gathering relevant information, the state can identify vulnerabilities, anticipate challenges, and implement necessary safeguards. Applicants' responses enable a comprehensive understanding of project dynamics, resource allocation, and compliance with regulations. Ultimately, this proactive approach enhances decision-making, promotes transparency, and contributes to successful project outcomes.

- Click the **Save** button located on the action bar along the top portion of the page to save your progress.
- Next, click the **Submit** button (also located on the action bar).

A popup window titled **Submit this Audit Tracking** will appear. Feel free to add a note in the textbox provided, then click **Submit** button in the bottom right corner.

- Another popup will appear indicating the form has been submitted successfully and advanced to VDEM personnel for review.

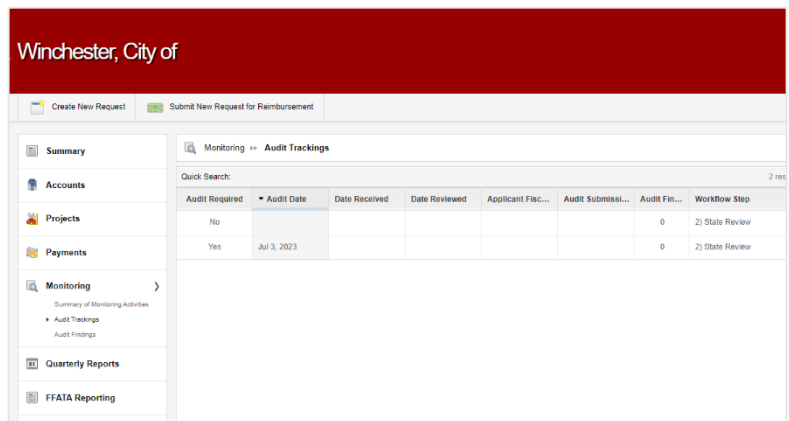
Completing the Audit Tracking Form

Step 3: Pending Audit Results

If you indicated your organization is required to do a single audit in Step 1, you will receive an email notifying you that additional information needs to be provided once VDEM has completed their review. The email will include instructions and a link to the audit tracking form which will include questions regarding your most recent audit. You will have the ability to save and return to the form later before Advancing.

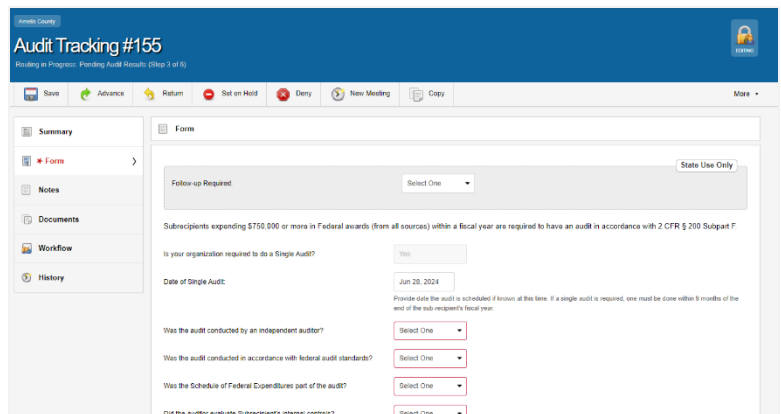
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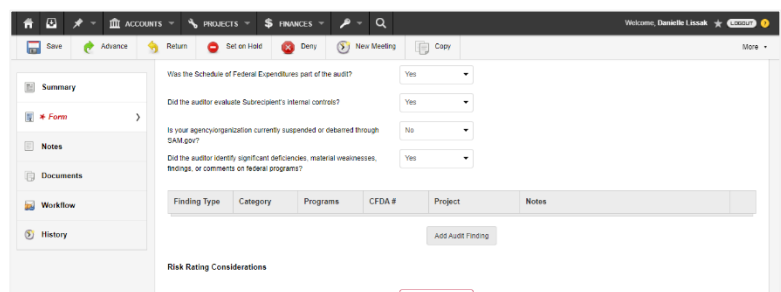


2. Complete each field by selecting responses from the dropdown boxes provided.

If the answer to "Did the auditory identify significant deficiencies, material weaknesses, findings, or comments on federal programs" is 'Yes', a table will appear where you can record audit findings.



3. Click on the **Add Audit Finding** button to open the Audit Finding form.
4. Use the dropdown boxes to complete the **Finding Type** and **Category** Fields.



5. Next, select the applicable **Program(s)** and **CFDA Number(s)** from the multiselect boxes provided.
6. The **Project** field will update based on the program selections. Select the project(s).
7. Add **Notes** to multiline text box provided (optional)
8. Then click **Save** to close the popup and update the table.

Repeat steps 3 – 8 as necessary.



Note: The responses and findings table can be edited prior to submitting/advancing the form.

If the answer to "Did the auditor identify significant deficiencies, material weaknesses, findings, or comments on federal programs" is 'Yes', an additional item will appear at the bottom of this section regarding the audit results **Risk Rating Considerations** that you will need to complete.

9. Any documents that are relevant to your single audit can be uploaded by clicking on **Add Document** on the lower right corner of the form.
10. When the form is completed, click the **Advance** button located on the action bar.