

Field Rep QAQC Preparation Checklist –

- DEP Field reps can visit the District prior to the QAQC and ensure they are properly prepared for the visit. This form is meant for field reps to give the Districts an “inside look” as to what the SCC will be looking at and to make sure they are properly prepared.

- Review SCC Pre-visit Letter**
 - Review Previous QAQC Report with District staff. Discuss how the District addressed all the required actions. Also, discuss how/if the recommendations were considered or followed.**
 - Was the GIS System updated within 3 weeks prior to the QAQC? Is all information on the GIS System accurate? Is the District updating the GIS System Quarterly as required?**

Attachment A

- Interviews**
 - District scheduled QAB & Alternate (optional) interviews (all at the same time is preferred)**
 - Prefer to be held Microsoft Teams prior to the actual visit**
 - See attached QAB interview questions**

 - All District Staff involved in the program scheduled for interview**
 - Prefer to be held via Microsoft Teams prior to the in-person visit. Contact Sherri to schedule.**
 - Two question forms, one for existing staff that participated in the previous QAQC, and one that is more detailed for new staff.**
 - Will go over findings from pre-visit review**
 - a. **Financial review findings**
 - b. **Policy Review**
 - c. **QAB meeting minutes**
 - d. **Etc.**

District Board & Chairman Notified / Encouraged to attend

- The QAQC team finds it important to have the Board Chairman / District Board Members attend the QAQC visit. There is no set or pre-developed interview for the Board Chairman. However, they can be interviewed if they prefer. Also, they are invited to participate in the field review visits as their schedule permits.

- Municipal Officials / Project Participants** (usually works best for the District to have a few municipalities available to meet on a flexible basis. But can have a set schedule of when to meet them if needed. The purpose of this is to have the municipality onsite during the field review so they can utilize it as a learning experience, and the QAQC team can get a feel for how the municipality works with the District.)

- District arranged for Officials to be involved in QAQC**

- Have officials onsite during project review?**

- Municipal officials set up for an interview if they prefer?**

- Hard Files**

- QAQC Team will review hard files the first day of the QAQC visit. The QAQC team will discuss any findings with the District at the time of the review.**

- Hard files need to be taken along to site visits as well**

- Field Reps can review previous project files with the District staff or ensure they reviewed project files for the three years prior to QAQC visit to have working knowledge of the sites the District has completed. This is helpful even if the staff member was not involved in all the projects.**

- It is helpful for the District staff member to be aware of project locations including starting and ending points in order for the QAQC to best review the project and provide educational opportunities to the District.

- District staff should also be aware of the issues of the site prior to the project as well as what was implemented to correct those problems.

- The QAQC team is aware that it may be difficult for a new District staff member that was not involved in any projects to be fully aware of all details of every project for the past 3 years.

Administrative Information

District submitted the following administrative information

- List of QAB members, alternates, and advisors and their affiliations and role on the QAB**
- Copy of the QAB policies**
- Minutes from past 3 QAB Meetings**
- Evidence that QAB meetings follow the Sunshine Act**
- Minutes from the most recent District Board meeting where DGLVR Projects were acted on (Projects approved for funding, etc.)**
- Itemized accounting of Program income and expenditures for 4 recent, consecutive quarters (typically previous fiscal year or calendar year) and matches the reported amounts in the GIS system**
 - Itemized accounting of DGLVR Program income:
 - a. Must detail the interest, advances, replenishments, and any other income for both DGR and LVR funds
 - Itemized accounting of DGLVR Program expenditures:
 - a. Must detail the Administration, Education/Training, Project, and any other expenses for both DGR and LVR funds
 - i. Must adequately detail how the expenditures claimed in the quarterly reports were utilized.
 - ii. If any shared expenses are partially paid for with DGLVR funds (such as rent, office supplies, vehicles, salary/benefits for staff who work on various Programs, etc.), then the Cost Allocation Method (CAM) utilized for shared expenses must be provided. The cost allocation method includes, but is not limited to:
 1. the total cost of each shared expense
 2. the amount of shared expenses paid for with DGR admin, DGR edu, LVR admin, and LVR edu funds
 3. how the portion paid for the DGLVR funds is determined

Attachment B

- Review the proposed QAQC Agenda**
 - The Commission and Center will work with the District to determine which projects will be reviewed during the field visit. Considerations will be made for distance between projects and fitting maximum project sites into the time allotted. The Schedule for QAQC's has been changed this round to allow more time for project reviews, based on the Districts recommendation. As always, if the District has any concerns or questions about the schedule or agenda, please have them contact the Commission.**
 - Discuss 2 or 3-day agenda depending on county allocation**
 - >\$400,000 combined allocation gets 3 day visit**
 - <\$400,000 combined allocation gets 2 day visit**
 - SCC reserves the right to extend the visit based on the amount of projects completed on a yearly basis or the findings during the initial visit**
 - Is the District ok with the agenda? If they would like to make any changes, have them contact the SCC to discuss. Agenda is flexible and can accommodate most changes.**

Attachment C

- Reviewed Local QAB Policies**
 - Local policy has all required sections?**
 - Local policies that are county specific or notable?**
- Reviewed / Discussed District Accounting**
 - Evidence of proper financial / accounting practices?**
 - District submitting quarterly reports that are accurate?**
 - Separate Accounting / Accounts for DGR & LVR?**
 - Accounts properly collateralized?**
 - Interest only used for projects?**
 - Admin and Education/training funds kept to their 10% limits**
 - Meeting 2-year spending requirements and 1-year spending limit on admin/edu funds**

- Have appropriate cost allocation method for shared expenses**
- Balance in GIS matches local account balance**
- District Administration**
 - District Board Acts on adopting policies and project recommendations of QAB?**
 - Schedule of Payments being followed?**
 - How does District handle cost over-runs?**
 - Are GIS and hard-copy files current? GIS updated Quarterly?**
 - Documentation that all permits are being applied for? Receiving permits prior to starting work?**
 - Complying with PA Sunshine Act?**
 - Keeping evidence that the provisions of the Prevailing Wage Act are being followed?**
 - Following all DGLVR Policies appropriately?**
- Functionality and Projects**
 - Discuss these sections of the pre-visit letter with the District. Ensure they are aware of the expectations of the QAQC Team.**
- Notes or Additional Comments**
- Call / Email with Commission Staff**
 - If the field rep deems necessary, email or call Commission staff (Roy and Sherri in Conference call?) prior to the QAQC visit to go over findings.**