**Supportive Services for Veteran Families (SSVF)**

**Financial and Operational Fitness Audit (FOFA)**

**Checklist**

In order to prepare and make the most of the FOFA experience the following checklist will help you prepare for, execute and take action after our visit.

**Upon Receipt of the Engagement Letter:**

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| **Completed** | **Person Responsible** | **Checklist** |
| ☐ Yes ☐ No |  | **Receive email from the FOFA Team Lead requesting availability to schedule the FOFA Kickoff call**.  Typically occurs within a few days of the Engagement Letter (EL) being issued. |
| ☐ Yes ☐ No |  | **Notify all required front line, management, fiscal, and subcontracted staff of the FOFA date and reserve a space for the visit to take place**.  Typical site visit is three days with two to three team members who will need space to review case files and meet with staff. |
| ☐ Yes ☐ No |  | **Gather all documents that are required per the Preliminary Document Request (PDR)**  These are listed in the EL and may require that some documents come from other departments. Remember, the due date to upload PDR into GIFTS is three weeks from the date of the EL. |

**Preparing for the Visit:**

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| **Completed** | **Person Responsible** | **Date to Complete** | **Checklist** |
| ☐ Yes ☐ No |  |  | **Upload PDR via GIFTS by the date specified in the Engagement Letter.**  Typically, three weeks after the EL is issued. |
| ☐ Yes ☐ No |  |  | **Receive the Expense, Administrative, and Payroll sample selections sent via email to the POC.**  FOFA Team will develop sample listing and send to POC within three weeks of initial PDR items being uploaded to GIFTS. This sample listing will contain the samples selected for review with specific directions as to what documents are required to be uploaded via GIFTS. |
| ☐ Yes ☐ No |  |  | **Consolidate all sample supporting documents and upload via GIFTS.**  Please double-check the specific requirements for each sample selection have been satisfied to prevent delays and the review team’s inability to verify the cost charged to the SSVF award. |
| ☐ Yes ☐ No |  |  | **Ensure selected staff that have received, and ICQ have response by the due date.**  Typically, three weeks after being issued to staff. |
| ☐ Yes ☐ No |  |  | **Complete the SSVF Self-Assessment Tool on your program.** |
| ☐ Yes ☐ No |  |  | **Prepare for on-site auditors**.  Ensure that all staff know what time they are needed and what to bring, if required. Not all staff will be required to be present while the FOFA Team is on site. FOFA Team Lead will coordinate with POC to have selected staff available during the site visit. |
| ☐ Yes ☐ No |  |  | **Ensure case file sample selections have been consolidated and brought to the central location where the FOFA Team will be on site.**  If case files are electronic, ensure FOFA Team will have unlimited access (read only) to all case files selected for review. |
| ☐ Yes ☐ No |  |  | **Ask questions prior to your visit.**  The FOFA Auditor and Regional Coordinator are there to help you if needed and can demystify any unclear elements. |

**Day of the Visit:**

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| **Completed** | **Person Responsible** | **Checklist** |
| ☐ Yes ☐ No |  | **Ensure POC or designated staff are available to let the FOFA Team into the facilities**.  FOFA Team Lead will coordinate with the POC a few days prior to arrival regarding any logistics: Travel to facilities (construction or detours), parking, facilities access and security. |
| ☐ Yes ☐ No |  | **Double check all selected case files or electronic access are available for immediate access by the FOFA Team after the initial Entrance Conference.** |
| ☐ Yes ☐ No |  | **Ensure selected staff are available for the entrance conference.**  Typical entrance conference starts at 9:00 am day one and includes: Grantee Leadership Representative, SSVF Program Manager, SSVF Supervisor, Case Managers (optional depending on mission requirements), Representative from Fiscal and Accounting, and Compliance/QA/QC Team (if applicable). A detailed agenda and site visit timeline will be provided and discussed during the entrance conference. |
| ☐ Yes ☐ No |  | **Have a contact person available for the FOFA Team all day in case the FOFA Team needs access to something or needs to speak with someone.** |
| ☐ Yes ☐ No |  | **Have a representative from Fiscal and Accounting available to meet with the FOFA Team at least one day during the site visit.**  Typically, the afternoon of day two. |
| ☐ Yes ☐ No |  | **Ensure applicable staff are available for the onsite Exit Meeting scheduled for the afternoon of the last day on site**.  Typically, between 3:30 and 4:30 pm on day three. |
| ☐ Yes ☐ No |  | **Ensure POC has obtained an "Outstanding Items List" from the FOFA Team Lead**  This will be any items not be available for review while on site by the FOFA Team. |

**After the Visit:**

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| **Completed** | **Person Responsible** | **Checklist** |
| ☐ Yes ☐ No |  | **Ensure any outstanding items that were not available are provided to the FOFA Team.**  Items not available while on site must be sent to the FOFA Team by Close of Business the following Wednesday for consideration. |
| ☐ Yes ☐ No |  | **Receive the SSVF Report of Audit. Typically issued 45 days after the site visit.**  The Report of Audit will include an Appendix A: Recommendation Response Form that will summarize any findings and recommendations. A response will be required within 14 days of the report being issued. |
| ☐ Yes ☐ No |  | **Prepare to provide additional information and documentation on corrective action taken.**  Based on Responses and Planned Completion Dates as noted within the Appendix A: Recommendation Response Form, the FOFA Team will circle back with the POC to complete the Recommendation, Implementations, and Verification (RIV) phase of the audit program to ensure any corrective action taken adequately addresses the findings noted within the report. |
| ☐ Yes ☐ No |  | **Receive the Close out Memo from the FOFA Team.**  Once all corrective action has been taken and RIV completed, the FOFA Team will issue a close out memo to the POC indicating the FOFA is completed for this audit cycle. |

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