Grant Programs Monitoring Tool

Division of Programs and Services

1/22/2019

Monitoring is the process of reviewing, with staff of a grant-funded project, the project's implementation, activities, performance and expenditures to determine if it is operating as proposed in the approved grant application and in accordance with grant requirements, conditions, as well as any applicable regulatory requirements, and to identify any technical assistance needs of the grant recipient. Monitoring may include review of the fiscal and programmatic aspects of a grant-funded project. The term "monitoring" is used to describe both the broad overall system of reviewing and tracking the use of federal and state funds, **and** the more specific day-to-day review processes to assure that a particular sub-grantee is in compliance with federal or state rules and regulations, and is meeting the goals and objectives of the grant.

Please note this tool is designed to be printed and used during the site visit along with additional materials including documents to support program activities. DCJS staff will provide staff with a list of documents that will be reviewed prior to the visit. Obtaining and reviewing documentation that supports program activities and expenditures is a requirement of conducting an on-site visit. Documentation consists of any hard copy or electronic documents, including invoices, policies and procedures, logs, timesheets, etc., that provide evidence that an activity or expenditure reported by the grantee actually occurred. The length of a site visit varies and is based on many factors, including the number and complexity of awards being monitored, the nature of the program(s), and the analysis of variables that inhibit a grant program from being in compliance and auditable according to all appropriate federal and state grant provisions. DCJS advises that most site visits can be completed, on average, between three to five hours. The grant monitor will then have 90 days from the end of the site visit to complete site visit documentation, including post-site visit letters.

Instructions:
Section I. General Information
Site Visit Information: A single Monitoring Tool may be used for the review of multiple grants under a grant program or grantee, or for a specific grant. If multiple grants are being reviewed in one site visit, all grants must be listed in **Section I** below under "Grant Information."

Grantee:	**Site Visit Date:**
Grant Monitor:	**Staff Present:**

Grant Information: List each grant being reviewed during this on-site monitoring

Grant Number	Program	Project Period	Award Amount

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Section II. Interview

Record the names and titles of those attending the site visit as well as the date of the meeting in the table below.

Grantee Name	Title	Date

Interview Notes:

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Section III. Administrative Review

The administrative review consists of File Review and Personnel Review.   If documentation is missing or an issue is found in any grant under review, the grant number and issue should be noted under "Issues Found and Documentation Collected/Supporting Notes," including issues that require further documentation.

Administrative Review: File Review	Yes	No	TA Provided	N/A	Documentation/Procedures to Review, if applicable	Issues Found and Documentation Collected/ Supporting Notes
1. Are the grantee's files complete and is all information current?	☐	☐	☐	☐	**Review the grantee's award files for the current grant year and past 3 grant years to ensure they have the following documents, if applicable.** ☐ Signed award document ☐ Special Conditions ☐ Progress Reports	

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					Financial Reports Approved Application (budget, narratives, and other required documentation) Budget Amendment (s)	
2. Is property information being maintained, if applicable?	☐	☐	☐	☐	**Review record of inventory and observe the actual inventory.** ☐Purchase orders ☐Invoices, serial numbers, and/or proof of purchase ☐Liquidation policy	
	If the approved award budget includes salary and fringe benefit costs, ensure that adequate payroll and time and attendance records are maintained. Review payroll and time and attendance records for each grant for the last three to six pay periods and determine if these documents adequately support the costs for salaries and fringe benefits charged to the grant. These records should clearly identify the specific project or programs worked on by each grant funded employee.						

Administrative Review/File Review	YES	NO	TA **Provided**	N/A	Documentation/Procedures to Review, if applicable	Issues Found and Documentation Collected/ Supporting Notes
3. Are key personnel performing duties as originally proposed?	☐	☐	☐	☐	Through discussion, observations, and review of documentation, verify that key personnel identified in the project are actually working on the project and that any changes have been approved. **Verify that you have reviewed and conducted the following activities:** ☐Grant application ☐Interview key personnel ☐Civil Rights Training /Compliance ☐Confidentiality Policy ☐Release of Information	
4. Are actual hours worked accurately recorded on timesheets?	☐	☐	☐	☐	Have the grantee provide time sheets from the most recent three to six pay periods for its grant-funded employees. The time sheets should report 100% of the employee's time, and actual hours worked on the award project. If the employee is funded by multiple sources, time sheets should reflect	

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	Yes	No	TA Provided	N/A		Issues Found and Documentation Collected/ Supporting Notes
					distribution of time. Timesheets should be signed (either in writing or electronically) by the employee and/or supervisor.	
5. Are personnel charges in line with what was proposed in the approved budget?	☐	☐	☐	☐	Review personnel timesheets to ensure that charges related to staffing are in line with the proposed budget using the following documents: ☐Personnel timesheets ☐Approved budget ☐Overtime approval documentation	
6. Does the grantee maintain documents supporting approved/awarded expenditures?	☐	☐	☐	☐	Have the grantee provide cumulative budget to actual amounts for each approved budget category, as of the most recent quarter end. This will be in the form of a general ledger or in some cases a manual spreadsheet. Review the most recent auditor certification of fiscal responsibility letter.	

Administrative Notes:

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The following questions are developed to guide the financial review of the grant project

Administrative Financial Review	Yes	No	TA Provided	N/A	Documentation/ Procedures to Review if Applicable	Issues Found and Documentation Collected/ Supporting Notes
7. Is the grantee able to track budget to actual expenditure	☐	☐	☐	☐	Have the grantee provide cumulative budget to actual amounts for each approved budget category, as of the most recent quarter	

amounts per approved budget category or spending plan?					end. This will be in the form of a general ledger or in some cases a manual spreadsheet.	
8. Does the grantee maintain documents supporting detailed expenditures made within each grant budget cost category?	☐	☐	☐	☐	Select a sample of expenditures for several quarterly periods and review supporting documentation. Request that grantee provide proper documentation for each expenditure in the form of purchase invoice, vendor receipt, payroll register, time card, dates of training, description of training, etc.	
9. Do the grantee expenditures seem reasonable and allowable?	☐	☐	☐	☐	Request a sample of expenditures by budget category and review to determine if they are allowable and reasonable	
10. If grant has a required match, is the grantee using cash or in-kind funding? If in-kind, ask grantee for supporting documents.	☐	☐	☐	☐	If the grantee is using cash match, the grantee would be able to account for this in their accounting records. If in-kind match, documentation may include such things as a sign-in sheet that tracks volunteer hours, office space, and/or equipment space donated	

Financial Review Notes:

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Section IV. Programmatic Review
Programmatic monitoring includes reviewing the content and substance of the grant program. It also involves a qualitative and quantitative review to determine whether grant activities are consistent with the grant implementation plan and the grant goals and objectives stated in the original application. Programmatic monitoring also involves assessing technical assistance (TA) needs and assessing the implementation of projects and/or suggesting any necessary modifications.

In general, grantees should be able to provide documentation for performance measures reported and for major activities conducted, such as training offered or groups held, that support the program's goals and objectives. In such instances, a log of attendees and date/location of training or group should be obtained. On occasion, grants may contain a special condition requiring that the grantee fulfill a requirement, such as attending training. In such cases, grantees should also provide documentation that the requirement was fulfilled, if not already documented in GMIS.

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Administrative Review/File Review	YES	NO	TA Provided	N/A	Documentation/Procedures to Review, if applicable	Issues Found and Documentation Collected/ Supporting Notes
11. Is the project site where one or more activities/deliverables are being performed? If no, note where activities are being performed.	☐	☐	☐	☐		
12. Can the grantee identify the performance measures they are required to collect?	☐	☐	☐	☐	For each service/activity described in submitted progress reports, the grantee must provide evidence that supports the information reported.	
13. As a result of your observations or discussions with grantee, are you able to validate that project goals and objectives (activities) being implemented as planned? Please note delays in implementation and reasons cited by grantee.	☐	☐	☐	☐	Examples of evidence could be logs of services provided with date, location, and recipients noted, sign in sheets for training or focus groups, list of taskforce or steering committee members, etc. For each performance measure, the grantee must provide evidence that supports the information reported.	
14. Did you observe or were you made aware of changes in the grant project? If so, were these changes allowable? Did the grantee follow procedures to request the change?	☐	☐	☐	☐		
15. Can the grantee explain how their performance measurement data is collected? What type of	☐	☐	☐	☐	Check that grantee has an adequate method for collecting performance measurement data. Adequacy can be assessed by checking to see that consistent procedures are used, whether they are based on a proven model, and whether	

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data is collected, who provides the data, who collects it and how often, and where is it stored? (In other words, what is the grantee's system for collecting and reporting data?) Can you verify that the reported performance data is valid and is being collected properly?					safeguards are in place to protect performance data integrity (i.e back up of data is the responsibility of the grantee).	

Programmatic Review Notes:

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Section V. Promising Practices
Briefly describe any innovative programs, initiatives or activities considered to be successful models for others to follow. Include any documentation if so desired.

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Final Recommendation(s):

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