



**Community Development Block Grant (CDBG)
Home Investment Partnership Program (HOME)
*On-site Subrecipient Monitoring Form***

Application No.:

Date of Visit:

Project / Agency:

Funding Sources: *(if HOME see attached)*

Executive Director:

Persons at Monitoring:

Pre-Visit:

- Review file for any outstanding issues
- Review for any gaps in the file, e.g., audit, invoices, quarterly reports, etc.

Introduction:

- 1) Purpose of monitoring (program performance, records, fiscal systems)
- 2) Agency to review monitoring report, comment and respond to findings
- 3) Project goals and objectives as established in application
- 4) Review pre-monitoring form completed by subrecipient; attach to this document and file.

Performance Monitoring:

	<u>Yes</u>	<u>No</u>	<u>N/A</u>
1) Do the reports present all the needed information in an effective and concise manner?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2) If applicable, review year-end Performance Report and check against records.			
A) Is there sufficient documentation for the following:			
1) Ethnic / racial makeup of clients	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2) Age of clients	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3) Economic / income level of clients	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

	<u>Yes</u>	<u>No</u>	<u>N/A</u>
B) Can completed portions of contract be verified? (Check documentation and conduct visual inspection)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
C) Have all Affirmative Action and Prevailing Wage requirements been met?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
D) Are special records or conditions, as called for in contract agreement, sufficiently detailed and carried out?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
E) Are screening and/or interviewing processes sufficient? (Check documentation and talk to all persons involved if necessary)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
F) Accurate number of recorded funded positions? (Check all records and documentation to verify)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
G) Does the project administrator/manager make regular site visits/checks? (Ask to verify through documentation)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3) Summary of activities going on during visit. Include any clients on site.			
4) Is project site different than site of monitoring interview?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5) Ask questions concerning pertinent past issues. (Specific program questions)			
6) Does the evaluation system determine the effectiveness and efficiency of the program in terms of cost/time expended in relation to objectives/benefits achieved?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Records:

	<u>Yes</u>	<u>No</u>	<u>N/A</u>
1) Are record keeping procedures written?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2) Are records current, legible, and complete?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3) Do program records include all required data reporting elements?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4) Do program records provide for data collection and Reporting that allows measurement of program objectives?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5) Is grantee aware of Federal contract requirements? Check for conflict of interest.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Fiscal Monitoring:

- 1) What internal controls are observed?

- 2) Review total agency budget and final balances for last completed fiscal year. Does budget list all income by source and amount, and list all expenses by program component or type of service?

- 3) How are funds obtained from fundraising activities expended?

	<u>Yes</u>	<u>No</u>	<u>N/A</u>
4) Does this program generate program income?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

5) If the answer to #4 is YES, identify specific program income type (e.g., principal / interest on loans, fees, etc).

6) Are there written procedures that address the following areas: purchasing authority, accounts receivable, cash, billings, or cost allocation?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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7) Accounting procedures:

A) Separate accounts maintained for each funding source?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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B) Is one person assigned to maintain fiscal records?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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C) Review general ledgers. Are they current?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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D) Who authorizes expenditures?

E) Complete an audit trail, as follows:

1) Randomly select six (6) paid invoices submitted for reimbursement.

2) Confirm that the original invoice shows the date paid, source of funds used to pay bill, check number, and amount of check.

3) Check general ledger for entry of each item.

4) Review the canceled check for each item. Is amount and date correct? Do they have the signatures of authorized personnel?

8) Are the decision makers in the agency provided with up-to-date financial information?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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9) Is there a regular procedure for generating all required internal and external reports, including tax reports, income statements, balance sheets, fund balance reports, bills paid listing, and budget reports?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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10) Discuss any fiscal changes or budget revisions planned or recently implemented.

Exit Interview (with Director):

- 1) Explain preliminary findings.
- 2) Explain remaining process (written preliminary report within two weeks, final report after client evaluations are received). Discuss content of Grantee Performance Report to be prepared at the end of the program year.
- 3) Answer questions.
- 4) Discuss progress / changes since last monitoring visit.
- 5) Additional comments observation. Include impact of outside agencies or events (attach additional sheets if necessary).
- 6) Recommendations for future action, including corrective measures if applicable:

Additional Comments: