

Alabama
Program Monitoring Questionnaire

Name of Organization: _____
City / State: _____
Grant Type: _____ Grant Number: _____
Project Cost: _____

Date of the Monitoring Visit: _____

Project Beginning Date: _____
Project Ending Date: _____

How long has the Program existed? _____ Years

How long has ADECA assisted in the Funding? _____ Years

Amount of the Award \$ _____ - Match: \$ _____ - %

Authorizing Official _____
Project Director _____
Financial Officer _____

Interviews conducted with:	Name	Position
	_____	_____
	_____	_____
	_____	_____
	_____	_____

General Information

Purpose of the Grant:

Does the subgrantee have a SAM Manual? _____

Is there a complete grant file maintained in a central location?

- _____ Approved grant application
- _____ Acceptance of Award, signed and dated?
- _____ Resolution of Applicant for Matching Funds
- _____ Grant award document with special conditions
- _____ Request for funds (Form 92 with vouchers and invoices)
- _____ Quarterly fiscal reports
- _____ Program and/or budget modifications
- _____ Release of funds
- _____ Related correspondence
- _____ Have the grant application budget pages (pages 6 & 7) been properly completed?
- _____ Are any unallowable or questionable cost listed in the grant?

_____ Is a written certification that federal funds will not be used to supplant State or local funds, part of the application for assistance?

Page 2, SAM paragraph 1.3.h.

_____ Are all quarterly reports up to date?

_____ Financial Reports
_____ Quarterly Narratives

_____ Has this program experienced a change in personnel?

_____ Was a LETS Form 129 Submitted?

Page 26, SAM, paragraph 4.4, a.

_____ Does the project have an executive board?

_____ How many members?
_____ How often do they meet?

_____ Does the organization have Policy and Procedure manuals?

_____ Leave Policy _____ Travel Policy
_____ Pay Structure _____ Volunteer Policy

_____ Are any MFRs on file that address discrepancies or problems?

Financial Questions

_____ Are all financial records, supporting documents, statistical records pertinent to the grant being retained for at least three years for purposes of Federal examination and audit?

Page 20, SAM, paragraph 3.5

_____ Can budgeted cost, actual cost, and variances be identified in detail needed by management for effective control?

Page 19 Sam paragraph f. (2)

_____ Are matching funds clearly delineated and demonstrate a cost relationship to the Federal award that is being matched?

Page 81, SAM, Glossary of Terms

_____ Are the sources of the match, amount, and timing clearly identified?

Page 1, SAM, paragraph 1.3, c.

_____ Is the grant money being drawn down in accordance with the time passed?

Accounting system requirements are on page 16 SAM item 3.3

_____ Are the Forms 92 being submitted monthly?

Page 11 SAM paragraph c. Frequency of Payments

_____ Do Forms 92 include calculator tapes totaling the expenses?

Page 11 SAM item #6

_____ Are all expenses (less personnel and confidential) supported by invoices?

Page 10, SAM, paragraph 2.3, b.

Are Forms 54 being submitted quarterly?

Page 13, SAM, paragraph 2.3, e.

Is the form signed by the Financial Officer or Authorized Official?

Page 13, SAM, paragraph 2.3, e.

Does the form reflect the actual receipts and expenditures for the period covered?

Page 13, SAM, paragraph 2.3, e.

What other organizations fund this program?

_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

What is the total operating budget?

Does the program have over \$500,000 total federal expenditures?

Does the program require an A133 audit?

Page 56, SAM, paragraph 6.2, f.

Is there a copy of the last audit available?

Page 56 SAM paragraph 6.2 a. & f.

Are expenditures, approvals for expenditures, and finances being managed by separate individuals?

Who signs the checks?

Who are the invoices billed too?

Time and Attendance

Are time and attendance sheets being properly maintained for employees?

Page 27 SAM paragraph c.

Are time and effort sheets being maintained for consultants?

Page 23 SAM paragraph a.

Are time and attendance/effort sheets signed by the employee/consultant and the approving official?

Page 29, paragraph c.

Are time and attendance sheets being archived for the required three year period?

Page 22, paragraph a.b.c.d.

Travel

Do travel vouchers contain the following:

_____ Name of Employee	_____ Date and time of departure and return
_____ Travel to and from	_____ Signature of employee
_____ Private car mileage	_____ Approval of project director or supervisor

_____ Are both the traveler and the supervisor signing the travel voucher?

_____ Does the travel voucher have a date with a year?

_____ Is a base established and does the itinerary return to base?

Travel requirements are page 11 SAM item #5

_____ Are personnel submitting travel vouchers actual employees of the grant?
_____ N/A _____ If not, is a LETS Form 16 being submitted?

Page 29, SAM, paragraph 4.6.

Inventory

_____ Is a physical inventory of all property being maintained?

Page 50 and 51 SAM (Disposition of Equipment)

_____ Is a copy of the last inventory available?

_____ Has the subgrantee been provided any Federally owned equipment?

_____ Is an annual inventory listing being submitted?

Page 53, paragraph 5.8

_____ Has a PMU-1 Form been submitted for equipment purchases over \$5,000.

Page 11, SAM, paragraph 2.3,b.7.

_____ Has a Bill of Sale and copy of the Title been submitted for vehicle purchases?

Page 11, SAM, paragraph 2.3, b.7.

_____ Are all assets appropriately safeguarded and periodically inventoried?

Page 20, SAM, paragraph 3.3, h.

_____ Are equipment and/or inventory purchases in compliance with State and Federal bid laws?

Professional Services

(Including Contractors and Consultants)

_____ Does the subgrantee have arrangements and/or contracts with individuals?

_____ Is the consultant an employee of the State or grant?

_____ Is the contractual arrangement in writing?

_____ Are time and/or services for which payment is to be made and rates of compensation supported by adequate documentation?

_____ Does the subgrantee have arrangements with other government units?
Is work or services for which work is claimed directly and exclusively devoted to subgrant purposes?
_____ Are charges and/or rates in excess of actual costs of the contractor government agency?

_____ Does the subgrantee have arrangements with other non-government units?
Is the arrangement written, formal, proper, and consistent with usual practices and policies of the sub-grantee?
_____ Does the customary fix fee or profit allowance in cost-type arrangements exceed 10%?

_____ Is the compensation for individual consultant services reasonable and consistent with that paid for similar services in the market place?

Is the consultant associated with:

_____ Educational Institution
(Salary projected 12 months divided by 260)

_____ State and/or Local Government
(Not to exceed the daily salary rate paid by the unit of government)

_____ Employed with Profit, Non-Profit, and/or Not for Profit Organization
(Subject to competitive bidding procedures)

_____ Independent Consultant
(Must be reasonable and consistent with that paid for similar services in the market place)

Programmatic

_____ Does the program established Goals and Objectives that are achievable within the life of the grant?

_____ Do the Methods and Procedures defined in the grant coincide with the Goals and Objectives?

_____ Can the Goals and Objectives be quantified?

_____ Are the Goals and Objectives being met?

_____ Does the statistical data reflect achievement of the Goals and Objectives?

What services are being provided under this program?

What type of follow-up services are being provided?

_____ Can new clientele be distinguished from repeat clientele?
_____ Number of clients this grant _____ Cases generated this grant period
_____ Number of new clients _____
_____ Number of repeat clients _____

What are the internal evaluation procedures used to measure the progress of the program?

Does the subgrantee have plans for continuing this program if grant funds are depleted?

_____ Is the grant near close-out?

_____ Is the subgrantee familiar with close-out procedures?

_____ LETS Form 54 Subgrant Fiscal Report

_____ LETS Form 55 Subgrant Narrative Progress Report

_____ LETS Form 2, Inventory of Non-Consumable Personal Property

_____ Does the subgrantee plan to submit application for Continuation Funding?

_____ Has the request been submitted 60 prior to expiration of the on-going grant?

Comments on Significant or Noteworthy Accomplishments:

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-
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-
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