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 allowable or questionable cost listed in the grant?

Page 1 of 7
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?

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?

LET$ Form 54 Subgrant Fiscal Report
LET$ Form 55 Subgrant Narrative Progress Report
LET$ 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: