**Grant Monitoring Tool**

**MONITORING REVIEW FOR:**

Sub-Award or Vendor Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Phone Number: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Address: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Primary Contact and Title: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Phone Number: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ E-mail: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Monitoring Completed by: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Title: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Phone Number: \_\_\_\_\_\_\_\_\_\_\_\_E-mail: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_

**GENERAL ADMINISTRATIVE PROCEDURES**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Area of Review:** | **Y** | **N** | **NA** | **D** | **O** |
| 1. Has organization provided a current copy of their written policies on purchasing?
 |  |  |  |  |  |
| 1. Has the organization provided a current copy of their written policies on travel?
 |  |  |  |  |  |
| 1. Has the organization provided a copy of their most recent audit?
 |  |  |  |  |  |
| 1. Does the latest audit have any findings noted?
 |  |  |  |  |  |
| 1. If so, have these finding been resolved or is adequate progress being made in the resolution of these findings?
 |  |  |  |  |  |
| 1. Does the organization have a satisfactory level of internal control?
 |  |  |  |  |  |
| 1. Does the organization identify federal equipment in their inventory schedules and have a plan to review these items at least every two years?
 |  |  |  |  |  |
| 1. Has the organization disposed of any equipment purchased with funds from this grant?
 |  |  |  |  |  |

Code: Yes, No, NA; Desktop Review, On-Site Review

**Comments / Risk Assessment / Response to Non-Compliance:**

**EXPENDITURES AND SUPPORTING DOCUMENTATION**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Area of Review:** | **Y** | **N** | **NA** | **D** | **O** |
| 1. Does each expenditure have adequate supporting documentation, such as time and effort reports and payroll ledgers, detailed invoices, evidence that proper procedures were followed, proof of payment, or other information necessary to determine that the expense is necessary and reasonable?
 |  |  |  |  |  |
| 1. Are expenses being charged to appropriate accounts?
 |  |  |  |  |  |
| 1. Does the organization have a system to prevent co-mingling of grant funds with other funds?
 |  |  |  |  |  |
| 1. Does the organization’s purchases show compliance with the most restrictive of all applicable policies, including their own?
 |  |  |  |  |  |
| 1. Are personnel expenditures charged to the grant supported by appropriate job descriptions?
 |  |  |  |  |  |
| 1. Is documentation available to show that capital expenditures of $5,000 or more have received the required approval from the Department of Labor?
 |  |  |  |  |  |
| 1. Is the organization aware of their commitment for leveraged resources in support of the grant if applicable? Do valuations for any leveraged resources currently booked comply with the program guidance available?
 |  |  |  |  |  |
| 1. Has adequate supporting documentation been included for leveraged funds?
 |  |  |  |  |  |
| 1. Are administrative funds within the cap for non-lead member organizations?
 |  |  |  |  |  |
| 1. Is the organization using state and federal guidelines to assign administrative costs?
 |  |  |  |  |  |
| 1. Is the organization reporting and submitting all obligations and expenditures for reimbursement in a timely manner?
 |  |  |  |  |  |
| 1. Does the institution check for debarment and suspension of prospective vendors and comply with other applicable federal regulations for contracts?
 |  |  |  |  |  |

Code: Yes, No, NA; Desktop Review, On-Site Review

**Comments / Risk Assessment / Response to Non-Compliance:**

**BUDGET**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Area of Review:** | **Y** | **N** | **NA** | **D** | **O** |
| 1. Does the budget line item detail provided by the member match the master budget maintained by the Lead Applicant?
 |  |  |  |  |  |
| 1. Are budget line items within the acceptable variances approved by the awarding agency?
 |  |  |  |  |  |
| 1. Are expenditure levels on track with relation to the progression of the period of performance?
 |  |  |  |  |  |
| 1. Do program personnel have the most current copy of their project budget?
 |  |  |  |  |  |
| 1. Does the organization have a sustainability plan that appears feasible?
 |  |  |  |  |  |
| 1. Does the organization have a good understanding of program income and the rules for program income under this grant?
 |  |  |  |  |  |

Code: Yes, No, NA; Desktop Review, On-Site Review

**Comments / Risk Assessment / Response to Non-Compliance:**

**MISCELLANEOUS FISCAL**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Area of Review:** | **Y** | **N** | **NA** | **D** | **O** |
| 1. Does the organization understand the relationship between the expenditures and the strategies identified in the crosswalk?
 |  |  |  |  |  |
| 1. If applicable, is evidence provided to show that students are not being charged for tuition for classes?
 |  |  |  |  |  |
| 1. Does the organization have a current copy of the organizational chart for the grant project?
 |  |  |  |  |  |
| 1. Do program personnel show evidence of clear communication and coordination with the finance personnel?
 |  |  |  |  |  |

Code: Yes, No, NA; Desktop Review, On-Site Review

**Comments / Risk Assessment / Response to Non-Compliance:**

**STATEMENT OF WORK**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Area of Review:** | **Y** | **N** | **NA** | **D** | **O** |
| 1. Does the organization demonstrate an understanding of their obligation to meet the deliverables outlined in the Statement of Work (SOW)?
 |  |  |  |  |  |
| 1. Is there evidence that students are benefiting from services?
 |  |  |  |  |  |
| 1. Does the organization have a clear and concise plan for meeting project goals?
 |  |  |  |  |  |
| 1. Does the organization have clear communication and coordination with NSCC?
 |  |  |  |  |  |

Code: Yes, No, NA; Desktop Review, On-Site Review

**Comments / Risk Assessment / Response to Non-Compliance:**

**PARTICIPANT FILE REVIEW**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Area of Review:** | **Y** | **N** | **NA** | **D** | **O** |
| 1. Are files available for review upon request?
 |  |  |  |  |  |
| 1. Do the files maintain the content and order standard as defined by the SOW / contract / or project manager?
 |  |  |  |  |  |
| 1. Are case notes up to date and clearly indicate an attempt at building a relationship with the participant?
 |  |  |  |  |  |
| 1. Do the files meet state and federal compliance or student and/or participant records?
 |  |  |  |  |  |

Code: Yes, No, NA; Desktop Review, On-Site Review

**Comments / Risk Assessment / Response to Non-Compliance:**

**COST PRINCIPLES**

OMB Circular A-21 (2 CFR 220) for Institutions of Higher Education, A-87 (2 CFR 225) for State Government, and A-122 (2 CFR 230) for Non-Profit Organizations (Cost Principles)

29 CFR Part 95 for Institutions of Higher Education and Non-Profit Organizations

or Part 97 for State Government (Uniform Administrative Requirements).

29 CFR Part 96 and 97 (Single Audit Act)

29 CFR Part 93 (Lobbying Certification)

29 CFR Part 37 (Nondiscrimination and Equal Opportunity Requirements)

29 CFR Part 98 (Debarment and Suspension and Drug Free Workplace)

20 CFR 667.200 and 667.220, Administrative Rules, Costs and Limitations

20 CFR 667.260, Prohibition on Real Property

20 CFR 667.300, Reporting Requirements

20 CFR 667.410, Oversight Roles and Responsibilities

20 CFR 667.500 & 667.510, Resolution

20 CFR 667.700, Procedure to Impose Sanctions

29 CFR Part 37, Implementation of the Nondiscrimination and Equal Opportunity Provisions of the Workforce Investment Act of 1998 (WIA)

20 CFR Part 652 et al, (Workforce Investment Act)

The Office of Management and Budget (OMB) issues circulars to address standards for the administration of federal grants. The Code of Federal Regulations (CFR) provides detail on the legislation that governs federal grants and is divided into individual sections that address specific topics. These regulations and many others can be accessed through the search feature at <http://www.gpo.gov/fdsys/>.



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