

Tripartite Board:		
Board Representative:		
Completed by:		
Date:		
NOTES:	<u>CSBG Monitoring Tool</u>	
	<p>How are the CSBG Funding allocated?</p> <p style="padding-left: 40px;"> <input type="checkbox"/> Sub-contracted # of Service Providers _____ <input type="checkbox"/> On-site </p> <p>Description of how funds are utilized: Service Provider Contracts?</p> <p>How often are service providers monitored? Describe Process.</p>	
	<p>Multi-county Agency? Y / N # of Counties being served: _____</p> <p>Describe the collaboration that occurs to address poverty issues.</p>	
	<p>Federal Objectives being met:</p> <ol style="list-style-type: none"> 1. <input type="checkbox"/> Education 2. <input type="checkbox"/> Emergency Services 3. <input type="checkbox"/> Employment 4. <input type="checkbox"/> Health 5. <input type="checkbox"/> Housing 	<ol style="list-style-type: none"> 6. <input type="checkbox"/> Income Management 7. <input type="checkbox"/> Linkages 8. <input type="checkbox"/> Nutrition 9. <input type="checkbox"/> Self-Sufficiency
	<p>National Goals being met:</p> <ol style="list-style-type: none"> 1. Low-income people become more self-sufficient. _____ 2. The conditions in which low-income people live are improved. _____ 3. Low-income people own a stake in their community. _____ 4. Partnerships among supporters and providers of services to low-income people are achieved. _____ 5. Agencies increase their capacity to achieve results. _____ 6. Low-income people, especially vulnerable populations, achieve their potential by strengthening family & other support systems. _____ 	
	<p>Does Grantee understand National Performance Indicators? Y / N</p> <p>Does the Grantee understand the Information System (IS) Survey? Y / N</p>	

Description of Grantee's CSBG Tripartite Board			
	Elected Public Officials	Low-Income Representatives	Private Sector Representatives
	# Seats: _____ # Vacancies: _____	# Seats: _____ # Vacancies: _____	# Seats: _____ # Vacancies: _____
	<p>How often does the Board meet?</p> <p>Does the Board adhere to the by-laws? Y / N</p> <p>Does the Board have access to the State Plan? Y / N</p> <p>Does the Board comply with the requirements of the assurances/certifications? Y / N Child Support? Y / N</p> <p>Do CSBG Policies and Procedures exist? Y / N</p> <p>How are board members made aware of their roles and responsibilities and oriented to the CSBG process?</p> <p>Is the building handicapped accessible? Y / N</p> <p>Does the Program ensure that people are not discriminated against? Y /N</p>		
	Program		
	Who handles the oversight responsibilities related to your project(s)?		
	What service gaps do you encounter in your area?		
	How does the Board ensure that the most needy are being served?		
	Has the Board received any grievances regarding CSBG use or distribution? Y / N Is there a written grievance policy? Y / N		
	Is there documentation of participation by low-income and/or homeless individuals in the planning processes?		
	Please describe your CSBG collaborative efforts. Please share how you know you have made an impact (measurement tools).		
	What Technical Assistance or Training is needed by the Board?		
	Client File Review & Eligibility		
	<p>Describe Process for determining eligibility.</p> <p>___ Proof of Identity for Head of Household (DL, BC, SS)</p> <p>___ Proof of Identification of ALL Household Member's (SS)</p> <p>___ Proof of Income (Is Income at 125%?) (30 days paystubs)</p> <p>___ Proof of Residency (utility bill or similar)</p> <p>___ Type of Assistance Requested (Allowable?)</p> <p>___ Dates of Service (within grant term?)</p> <p>___ Services Received or Reason for Denial</p> <p>___ Client requirements for services (budgeting class?)</p> <p>___ Demographic Detail Obtained? (IS Survey)</p> <p>___ National Performance Indicator Data Obtained?</p>		

	Record Keeping
	Are client files kept confidential? Y / N
	Are files maintained for a period of six (6) years?
	Was grant implemented prior to approval? Y / N
	What process does Grantee use and maintain in regards to written notification of denial?
	Is there a grievance process for those denied? Y / N
	Were funds spent within grant term? Y / N
	Are monthly financial and programmatic reports submitted in a timely manner with appropriate documents? Y / N
	Are grant expenditures consistent with application and plan? Y / N
	Financial Process
	What systems do you accurately use to keep track of CSBG funding allocation?
	Has the budget been amended or modified after the original encumbrance? Y / N
	Are the expenditures reported consistent with the cash requested to date? Y / N
	Were funds used for unallowable expenses? Y / N (Ineligible acquisition or construction of shelter; preparation of work spec, loan processing, inspections, cost to renovate, rehab or convert buildings owned by religious organizations, bad debts, entertainment, fines and/or penalties, interest or other financial costs; or any activities that would result in the displacement of a place of business.)
	Any findings or concerns expressed in the audit report regarding expenditures of CSBG funds or any compliance issues? Y / N
	Have the audit deficiencies been addressed and/or corrective actions have been implemented? Y / N
	Could a sample of cash disbursements be traced from original accounting entries to cancelled checks? Y / N
	Approved activities identified in the contract? Y / N
	Appropriate bills and invoices? Y / N
	Are all general ledger entries traceable to source documentation? Y / N
	Are invoices marked "paid" with the check number on the check? Y / N
	Are the following accounting records posted to date? <ul style="list-style-type: none"> ▪ General Journal ▪ Cash Receipts ▪ Cash disbursements
	Do the accounting records agree with monthly financial reports?

	Has an individual been designated responsible for posting and balancing all ledgers and journals?
	Is the cash receipts log (register) maintained by someone not responsible for accounting records?
	Are administrative costs and indirect costs posted to the general ledger on a timely basis?
	Do administrative and indirect costs charged to the program have supporting documentation to form the basis for their amounts charged to the program?
	Does the audit contain a report of financial expenditure by category for each program?

Please give a sample of expenditures monitored for this grant:

Payee	Date	Amount	Invoice	Check#	For

Who signs:

- Travel requests
- Vendor invoices for payment
- Employee time sheet
- Deposits cash and/or cash receipts
- Signs checks
- Payroll processing
- Accounts payable
- Blank checks/deposit slips
- Signature stamp
- Monthly expenditure reports
- General ledger process and ledger reconciliation

Are the following kept locked?

- Blank checks
- Signature Stamp
- Personnel records

Insurance

- FDIC Coverage?
- Are all insurance policies current?

FINDINGS:

RECOMMENDATIONS:

PLAN OF ACTION: