

SCBG Monitoring Checklist

Grantee:			
Grant Number:			
Grant Year:			
Date:			
Attendees:			

Pre-Visit

	Yes	No	N/A	Notes:
Org Chart				
Travel Policy				
Procurement Policy				
Accounting Manual				
Most Recent Audit				

Organization

Audit:

	Yes	No	N/A	Notes:
Do grant expenditures necessitate that an annual audit is conducted (Expenditure more than \$750,000)				
Has an audit been performed by a certified public accountant within the past two years?				
Are the audit and management letters on file?				
Were any significant findings reported?				
Is follow up on significant findings documented?				

Accounting System:

	Yes	No	N/A	Notes:
Can the source and use of funds be identified from the accounting system?				
Do the records on file adequately show the source and application of funds?				
Can all program income received and expended be identified in its accounts?				
Can accounting records be matched to draw requests?				
Are comparisons of expenditures with budget amounts for the award kept track of?				
Does the recipient have written procedures for determining the allowability of cost in accordance with cost principles and the terms and conditions of the federal award?				

Internal Controls:

	Yes	No	N/A	Notes:
What, if any, procedures are in place to minimize the time elapsed between receipt and claim request?				
Are their procedures in place to determine allowability of expense? What are they?				
Are written personnel policies and procedures maintained? (i.e., position				

<i>requirements, trainings, and personnel files)</i>				
Are procedures in place to monitor grant funded personnel expenses? What are they?				
Are internal controls in place to delegate authority and identify staff responsibilities? ()				
Is a list of authorized signers maintained? Who are they?				
Does a cost allocation plan exist for expenditures split between multiple funding sources?				
Is a written travel policy maintained and accessible?				
Are procedures in place to preapprove all travel requests? What are they?				

Property Standards (for grant purchased equipment)

	Yes	No	N/A	Notes:
Is grant funded equipment being used for the program or project for which it was acquired? If other, why?				
Are property records maintained? What do the records include?				
Has a physical inventory of the property been taken at least every two years?				
Is a control system in place to prevent loss, damage, or theft of the property? Explain.				

Are there maintenance procedures in place to keep the property in good condition? Explain.				
Have proper equipment disposition procedures been followed?				

Procurement:

	Yes	No	N/A	Notes:
Are procurement procedures maintained that reflect applicable state, local, tribal laws, and regulation?				
Is oversight maintained to ensure that contractors perform in accordance with their contracted specifications. If so, explain.				
Does the recipient maintain written standards of conduct covering conflicts of interest? If so, does this cover both organizational and employee?				
Are procedures in place to avoid acquisition of unnecessary or duplicate items?				
Are procurement records retained? If so, how?				

Records Retention and Access:

	Yes	No	N/A	Notes:
Are financial records, supporting documents, statistical records, and all records pertinent to a				

federal award retained for a period of three years from date of submission of the final expenditure report? If so, how?				
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Grant Project

Amendments

Has prior approval by MDA been granted for:

	Yes	No	N/A	Notes:
Change in scope, outcomes and indicators, or project objectives.				
Change in key personnel named in the award.				
<i>Was this requested within 30 days of the personnel leaving the project?</i>				
Addition of equipment not initially approved in the award.				
Addition of contractual services not initially approved in the award.				
Change in budget that exceeded 20% of the total project budget.				
A one year no cost extension.				
<i>Was this requested within the 10 day window prior to closeout?</i>				

Documentation of Expenses:

	Yes	No	N/A	Notes:
Have all expenditures on this grant been allowable, reasonable, and necessary? If not, explain.				

Are all purchase approvals documented? If so, how?				
Are employee payroll reports supported by appropriate documentation? How are timesheets documented and approved?				
Are staff travel expenses signed and approved? If so, by who? Is this done before or after travel is completed?				
Are records present to assure compliance with the Buy America and Fly America Act?				
Can all grant expenses documentation be easily retrieved and justified? If not, explain.				
Are expenses for this grant split between multiple sources? If so, how are the expenses disbursed for each funding source?				

Programmatic Compliance:

	Yes	No	N/A	Notes:
Are all grant position currently filled?				
Have personnel working on the grant remained consistent? If no, explain.				
Are systems in place to engage stakeholders in the direction of the grant? If so, explain.				
Is date being tracked on the progress of this grant toward the performance measures? If so, how?				

Have mid-year and annual reports been submitted on time?				
Does the grantee have a copy of the current grant award, including all amendments, on file?				
Does the project have promotional materials? If so, do they solely pertain to specialty crops?				
Can all grant purchased equipment be accounted for?				

Project Review:

	Yes	No	N/A	Notes:
Is the project on track to meet all outcomes and objectives by the closeout date? Explain.				
Has the grant experienced any major challenges that have caused delays in work? If so, explain.				
Has there been any recent deviation from the grants project scope? If so, explain.				
Has there been any change in activities initially intended in the projects narrative that have changed? If so, explain.				
Is the project on track with expending funds (<i>i.e., final year more than 60% spent</i>)? If not, explain.				

Remaining Questions:

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PI Required Actions:

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SCBG Specialist Required Actions:

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Completed	<input type="checkbox"/>	Completed pending requests	<input type="checkbox"/>	Not completed/ new monitoring scheduled	<input type="checkbox"/>
MDA staff signature:					