

Pre-Monitoring Tool – GOCS may use Monitoring Tool questions as appropriate in document review.

Subrecipient/Program Name			
Grant Number		Year	Risk Level
Subrecipient Contacts			
Participating GOCS Staff			
Visit/Desk Review Date			

Information in GOCS files, NSCHC vendor reports, and eGrants	
Review Date	Item (Note: Each item should already be on file. This chart is to ensure a review occurred and note any items to be requested or issues to be addressed in monitoring.)
	Documentation of current liability insurance meeting subaward requirements (e.g., general liability \$1M/occurrence, \$2M aggregate; motor vehicle \$1M/occurrence).
	Subaward agreement
	Current authorized signers list
	Completed Segregation of Duties sheet/Debarment check
	Current contact information (program, fiscal, leadership, HR if applicable) in Organizational Contacts spreadsheet U:/Organizational Contacts.
	Current indirect cost rate documentation - 2 CFR 200.332(a)(4) (if applicable)
	Single audit, if applicable
	GOCS Management decision (if applicable, after reviewing any single audit)
	eGrants member roster report
	eGrants enrollment rate report
	eGrants enrollment approval cycle time report
	eGrants exit approval cycle time report
	eGrants retention rate report
	MyAmeriCorps service opportunity listings
	Most recent progress report(s)
	Periodic expense reports and any backup documentation, noting below if subrecipient is NOT on track to fully expend the grant or to meet match requirements
	NSCHC vendor reports
	LITMOS Training certificates – NSCHC, key concepts of financial management, fraud awareness, developing policies and procedures
	Training records – GOCS trainings and directors’ calls, ASC NST and/or Bootcamp
Notes to follow up on regarding any of the items above	

Annual Document Review – For All Subrecipients Due to Identified Nationwide High-Risk Areas			
Request Date	Review Date	Item – Request from subrecipients ~ 8 weeks before GOCS monitoring visits	Notes (to follow up, strengths, suggestions)
		Two (2) timesheets, staff/member and time period randomly selected by GOCS)	
		Two (2) NSCHCs, staff/member randomly selected by GOCS (see tables below)	
		Simple log (see tables below)	
		One (1) travel voucher with backup documents, randomly selected by GOCS	

	One (1) member file, randomly selected by GOCS	
	Any policy, procedure, or handbook that has substantively changed, changes indicated	
	Other documents requested due to nationwide high-risk areas (not individually assessed)	

NSCHC 1 – spelling, adjudication, timing. Write Yes, No, or NA in each box.				
Applicant Name:	eGrants Roster	Simple Log	Vendor Report	Member file
Name spelled correctly, as in ID?				
Documented as adjudicated?				
Adjudication date(s) prior to member start date?				
Notes				

NSCHC 2 – spelling, adjudication, timing. Write Yes, No, or NA in each box.				
Applicant Name:	eGrants Roster	Simple Log	Vendor Report	Member file
Name spelled correctly, as in ID?				
Documented as adjudicated?				
Adjudication date(s) prior to member start date?				
Notes				

Program-Specific Sampling – Individualized Risk				
Check if requesting, or write NA.				
Items - Policies, procedures, and relevant forms				
	Civil Rights		Member exit	Records retention
	Conflict of Interest		Member living allowance	Release for Compelling Personal Circumstances
	Data Collection & Quality		Member training	Service site selection and support
	*Fiscal management		Non-discrimination	Supervisor training
	Grievance		Personal Identifying Information	Suspension of Service
	Housing allowance		Procurement	Teleservice
	In-kind match		Program Income	Termination of Service
	Internal controls		Prohibited Activities	Timekeeping
	Member discipline		Reasonable Accommodation	Whistleblower
	Member enrollment		Other:	Other:

*Fiscal policies/procedures should address: resolving audit findings, delegation of authority, approval/documentation of expenditures, cash management/check issuance, check processing, cost allocation, bank reconciliation, travel, financial reporting, payroll, timekeeping for AC staff, match requirements, property management, self-monitoring of source documentations and financial records, and budget-to-actual comparisons.

Items - Fiscal Records					
	Bank statement(s)		In-kind match documentation		Program income documentation
	Chart of accounts		Inventory list of equipment		Staff payroll systems information
	Cost allocation plan		Living allowance backup documentation		Travel vouchers/backup documents (if > one)
	General ledger:		Other:		Other:
Items – Other Materials (GOCS to communicate with subrecipient re details of request)					
	Data-related materials		Member handbook		Supervisor handbook
	Evaluation (plan) materials		Member training (plans, agendas, handouts, sign-ins)		Supervisor training (plans, agendas, handouts, sign-ins)
	Service location MOUs		NSCHCs (if >2, request at least 10%)		Timesheets (if >2, request at least 10%)
	Labor union concurrence(s)		Progress report documentation		Training materials (agendas, sign-ins, slides)
	Member file (if >1, request at least 10%,)		Recruitment materials		Other:

GOCS Preliminary Observations (Write 1-2 sentences for each)
What areas were identified in the risk assessment or during pre-monitoring as indicating risk (e.g., enrollment, fiscal)? Apply this in determining which sections of monitoring tool to use below.
On the program website, any materials sent to GOCS by the program, member service gear, and other publicly available materials, is this program using appropriate AmeriCorps Montana branding? If no, give examples to follow up on and request other relevant documents (MOUs, position descriptions) to ensure compliance with AC Gen T&Cs III.H and III.O2 and 45 CFR 2522.100 (e.g., acknowledgment and disclaimer, unaltered logo).
Programmatic summary of items to follow up on (items from check-ins, third party comments/feedback about program to GOCS, progress reports, other programming-related issues)

Fiscal summary of items to follow up on (PERs, any fiscal issues staff is aware of), including any questions about whether (1) the subrecipient's accounting system tracks grant/funding sources with separate codes, and (2) the subrecipient adequately ensures that AmeriCorps members are excluded from unemployment insurance contributions.
Program strengths and other areas to address during site visit or desk audit

Monitoring Tool Subsections (check in left column if using these questions in this monitoring cycle)			
	#	Subsection Title	Notes (tie to risk assessment or pre-monitoring, other reasons for review, addressed in other process if not asking here, etc.)
	I.A	Organization and Program Capacity	
	I.B	Drug Free Workplace Act of 1988	
	I.C	Organization Nondiscrimination	
	I.D	Reasonable Accommodation	
	I.E	Non-supplantation, Non-duplication, & Non-displacement	
	I.F	Member Recruitment and Enrollment	
	I.G	Member Service Agreement	
	I.H	Grievance Procedure – General	
	I.I	Service Location Performance	
	I.J	In Service & Site Supervisors	
	I.K	Member Service Hours	
	I.L	Member Training & Documentation	
	I.M	Performance Data & Evaluation	
	I.N	Member Exit	
	I.O	Access to Records	
	I.P	Health and Childcare Benefits	
	I.Q	NSCHC	
	I.R	Vendor Checks	
	I.S	Non-Vendor Checks	
	II.A	Accounting System & Management	
	II.B	Indirect Costs	
	II.C	Internal Controls	
	II.D	Fixed Award Only	
	III.A	Fiscal Sampling (line-item only)	
	III.B	Staff Timesheet Review	
	III.C	Travel Vouchers	
	IV	Member File Review Sheet (if reviewing more than one file)	
	V	AmeriCorps Member Interview	
	VI	AmeriCorps Site Supervisor Interview	

Pre-Monitoring Communications

Once pre-monitoring is complete, email each program that the materials the program has submitted for pre-monitoring have been reviewed, the factors affecting the program's assessed risk have/have not changed, and:

- No further action is needed;
- [Specified topics] will be addressed during [onsite visit/desk review] on [date or TBD];
- While no onsite visit or desk review will occur, GOCS requests additional documentation and information for further review and ongoing oversight; and/or
- Any other appropriate disposition in light of the assessed risk and situation.