

Name of Sub-grantee:

Test Period:

Monitor Date:

Areas of review:

CASH DRAWS / RECEIPTS

Verify source documents to substantiate cash draws requests to DES during the test period. Review documents to verify receipts / deposits of cash reimbursements received. Verify program income, if applicable

DISBURSEMENTS

Review of Expenditure reports for the test period, review of source documentation to substantiate the disbursement – invoices, approval of payments by the authorized person, proof of payments – checks/electronic transfers etc.

MONITORING GUIDE QUESTIONNAIRE

Review sections 1&2 of the WIA Fiscal On-Site Monitor Questionnaire completed by you for the prior year. **Inform if there are any changes to policy or procedure.**

ORGANIZATION CHART

Copy of most current chart

CHART OF ACCOUNTS

Copy of Chart of Accounts

FRAUD AND ABUSE POLICY

Copy of most current policy

EMPLOYEE LISTING

Listing of all employees and WEX participants paid out of WIA funds

TIME SHEETS

Will review a sample of the time sheets of Employees and WEX participants during the monitor

COST ALLOCATION PLAN

Copy of most current plan

INDIRECT COST RATE PLAN

Copy of current, approved, Indirect Cost rate plan, if applicable

CONTRACTS

Review contracts in place with sub-recipients/vendors, if applicable

ONE-STOP OPERATOR PROCUREMENT

Solicitation Documents

Documentation of advertisements, website posts, etc.

Local WDA cost estimate and Cost/Price Memorandum. Negotiated Profit (only if for-profit company)

Approval Letter or communication (Sole Source)

Approved written agreement (Operator performing multiple functions – Conflict of Interest)

Local Area written Standards of Conduct including all Conflicts of Interest and Firewalls

Written Policy and Procedures and/or Local WDA MOU

Local Area meeting minutes regarding OSO Procurement

Request for Proposals (RFP)

System for Award Management (SAM) documentation (Awarded Contractor)

Evaluation tool

Evaluations for each Offeror

Resulting Contract

SUBRECIPIENT MONITORING, IF APPLICABLE

List of sub-recipients

Review reports and work papers of sub-recipients monitored

SMALL PURCHASES

Review policy and approval process

LEASE AGREEMENTS

Review of agreements

EQUIPMENT INVENTORY

Review most recent listing of equipment

Will take inventory of equipment purchased out of WIA funds

Will review documentation of purchases, if required

MOU/IFA

Review MOU's with One-Stop partners, if applicable

Review IFA (Infrastructure Funding Agreement) with One-Stop partners, if applicable