

Grantee: Choose an item. Contract # Choose an item.  
 Date Created: Click or tap to enter a date. FFY:                      Contract Type: Entitlement

<b>Minimal Number of PROGRAM Monitoring Visits Planned for FFY*:</b> <small>Select one.</small>	<b>Minimal Number of FISCAL Monitoring Visits Planned for FFY*:</b> <small>Select one.</small>
<b>*NOTE: The frequency and focus of all Scheduled Monitoring activities are subject to change at the sole discretion of NYS DOS with or without prior notice.</b>	

MONITORING SCHEDULE /FREQUENCY* (minimum)	REVIEW TYPE	FUNCTIONAL AREA	(P) = Program (F) = Fiscal (P+F) = Both	PROGRAM AND FISCAL MONITORING ACTIVITY FOCUS <small>(Completion of all listed activities will be reported within the GSCR, GSCR-F or other related monitoring reports/documents)</small>
Based on Planned # of Onsite Visits	Onsite or Desk Review	CSBG Funding /Fiscal	F	Periodic Financial Report Expenditure Review: Trace expenditures per grantee’s records to expenditures reported and follow-up on discrepancies to verify that the expenditures were properly reported based on the accounting records of the agency.
Based on Planned # of Onsite Visits	Onsite or Desk Review	Programs /Services	P	Verify Work Plan is still relevant based on approved contract.
Based on Planned # of Onsite Visits	Onsite or Desk Review	Multiple Functional Areas	P	Monitor at least one CSBG funded program/service for operation consistent with Work Plan and test CSBG Eligibility of participants/recipients and accurate reporting of program/service outcomes. Functional areas: Programs/Services and Reporting.
Based on Planned # of Onsite Visits	Onsite or Desk Review	Reporting	P	Monitor quality of reporting systems needed for data on required CSBG related reports (PPR and Annual Report)
Based on Planned # of Onsite Visits	Onsite or Desk Review	Technical Assistance & Training	P+F	Provide agency staff with updates and information on reporting tools and processes (to include PPR, Annual Report, and NYS Contracting requirement reports).
Based on Planned # of Onsite Visits	Onsite or Desk Review	Multiple Functional Areas	P+F	Agency update with designated agency personnel to include discussion of changes, challenges, and improvements in functional areas that may have impact on agency operations. Functional areas: All
Based on Planned # of Onsite Visits	Onsite or Desk Review	Technical Assistance & Training	P+F	Provide training and information required for agency to satisfy all contract submission requirements including CSBG allocations, CSBG Work Plan and Budget, amendments, NYS contract documentation (i.e. signature pages, attachments, etc.) and processes (i.e. MWBE, Grants Gateway status, VRQ compliance, payment, etc.).
Based on Planned # of Onsite Visits	Onsite or Desk Review	Multiple Functional Areas	P+F	Conduct Follow up on ACROS/TRACS CIP(s) or QIP(s) until unmet standards (and/or indicators) are met. Functional Areas: All
Based on Planned # of Onsite Visits	Onsite or Desk Review	Multiple Functional Areas	P+F	Based on information provided in the Community Needs Assessment and Strategic Plan, discuss planned use of CSBG funds as it relates to upcoming contract amendments and/or the new year of anticipated CSBG funding. Provide training and information as to how these plans, when appropriate, can be reflected within the revised CSBG work plan and/or budget. Functional Areas: All

Individual Monitoring Plan (IMP)		NEW YORK STATE DEPARTMENT OF STATE		
CSBG INDIVIDUAL MONITORING PLAN		DIVISION OF COMMUNITY SERVICES		

Following Submission of Required Reports	Onsite or Desk Review	CSBG Funding /Fiscal	P+F	Verify CSBG Budget is still reflective of actual needs and expenditures based on the approved contract. This includes review for accuracy and completeness as verified through review of the Unaudited Financial Report to determine carryover/refund amount, if warranted.
Following Submission of Required Reports	Onsite or Desk Review	Reporting	P+F	Review for accuracy, completeness and compliance required reports (and supporting documentation, when applicable) submitted by Grantee to satisfy CSBG and contracting requirements (i.e. PPR, Attestation, MWBE, Periodic Financial Reports, etc.).
Ongoing	Onsite or Desk Review	Governance	P	Verification of board compliance with tripartite composition (to include appointment documentation) and its bylaws (to include routine monitoring of board minutes and meeting observation, as needed).
Quarterly	Onsite or Desk Review	CSBG Funding/Fiscal	P+F	Review and follow up, as needed, of the most recent Quarterly Attestation submitted by agency.
Ongoing	Onsite or Desk Review	Technical Assistance & Training	P+F	Provide agency staff with updates and information on annual and triennial assessment tools and processes (to include pre-reviews and follow up on CIPs and/or QIPs).
Triennial	Onsite or Desk Review	Multiple Functional Areas	P+F or NA	Conduct the NYS Triennial Review (this will either be the TRACS or STAR)
Annual	Onsite & Desk Review	Multiple Functional Areas	P+F or NA	Conduct ACROS Review
As Needed	Onsite & Desk Review, as needed	CSBG Funding/Fiscal	F	Conduct Personal Service Review: Test a sampling of activity reports for staff to verify that the records satisfy the 45 C.F.R. § 75.430 Requirements for “Standards for Documentation of Personnel Expenses.” <ul style="list-style-type: none"> <li>Review payroll payments and corresponding tax liability payments to verify that employees and corresponding tax liabilities are being paid in full pursuant to New York State and IRS requirements.</li> </ul>
As Needed	Onsite & Desk Review, as needed	CSBG Funding/Fiscal	F	Review bank account statements and corresponding reconciliation(s) for all accounts holding CSBG funds to verify that the bank accounts are fully reconciled in a timely manner.
As Needed	Onsite & Desk Review, as needed	Multiple Functional Areas	F	Conduct review of the Independent Audit (including Uniform Guidance Supplement), when applicable, in conjunction with the corresponding management letter. Reconcile expenditures reported on the Schedule of Expenditure of Federal Awards to expenditures reported to DOS for the period. Follow-up with the grantee on any deficiencies, weaknesses, or questioned costs within 6 months of receipt of audit. Functional areas: CSBG Funding/Fiscal and Technical Assistance and Training.
As Needed	Onsite & Desk Review, as needed	Multiple Functional Areas	F	Conduct internal control reviews or expenditure samplings to verify compliance with various contractual and statutory requirements. Reviews can include, but are not limited to, any of the following: Fiscal Policy and Procedures manuals, Revenue and Expenditure Reports, General Ledger transaction detail, balance sheet, payroll register and time distribution reports, time sheets, indirect cost agreement, indirect cost pool, paid invoices, cancelled checks, disbursement documentation, third party verifications, line of credit activity, purchase orders, employee expense (travel) reports, procurement documentation, insurance policies, state and federal filings, finance committee minutes, board packets and any additional items deemed necessary by the fiscal field representative or requested by the program analyst.