Program Monitoring Tool

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| Project Title: |  |
| Date: |  |
|  |  |
|  |  |
| Performed By: |  |
|  |  |
|  |  |
|  |  |
| Monitoring of Homeless Service Program of: |
| Recipient Agency: |  |
| Sub-recipient Agency: |  |
|  |  |
|  |  |
| Agency |  |
| Agency Address |  |
|  |  |
| Primary Point of Contact |  |
| Email |  |
| Phone Number |  |
|  |  |
| Alternate Point of Contact |  |
| Email |  |
| Phone Number |  |

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| --- | --- |
| Project Title: |  |
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| General Recordkeeping | Yes | No | N/A | Comments |
| 1. Are all records regarding the project (outside of financial records) centrally located?
 |  |  |  |  |
| 1. Do these records contain:
 |  |  |  |  |
| 1. Program Grant Agreements with program regulations
 |  |  |  |  |
| 1. Grant Agreement Amendments and Budget Revisions
 |  |  |  |  |
| 1. Is there a program policies and procedures manual?
 |  |  |  |  |
| 1. Is there a system in place to monitor process in completing program milestones?
 |  |  |  |  |
| 1. Does the agency subcontract for any services in administration of program activities?
 |  |  |  |  |
| 1. Are grant agreement requirements passed along to sub-recipients/subcontractors?
 |  |  |  |  |
| * 1. Are there written agreements (MOUs, contracts, etc.) with program partners?
 |  |  |  |  |
| 1. Is there regular contact with sub-recipients/subcontracts in program administration/implementation
 |  |  |  |  |
| * + 1. Is there evidence of a monitoring process for program partners?
 |  |  |  |  |
| 1. Are homeless or formerly homeless persons participating on board of directors or other equivalent policy-making entity of the recipient or sub-recipient?
 |  |  |  |  |
| 1. Is the agency HMIS data quality up to local standards? Has the agency provided a copy of the HMIS data quality?
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| Financial Records | Yes | No | N/A | Comments |
| 1. Are all project financial records centrally located and stored in a secure location?
 |  |  |  |  |
| 1. Does the agency financial management system provide evidence that there are controls in place to account for all funds, property, and other assets?
 |  |  |  |  |
| 1. Does the agency compare budgeted line item costs against incurred costs in order to identify over/under spending on a line item basis so that adjustments can be made in a timely fashion?
 |  |  |  |  |
| 1. Are all project expenditures supported by timesheets, invoices, contracts, purchase orders, etc.?
 |  |  |  |  |
| 1. Is there evidence of financial records for any program funds given directly to clients?
 |  |  |  |  |
| 1. Does the agency prepare and submit monthly, or at a minimum quarterly, reimbursement reports?
 |  |  |  |  |
| 1. Does the agency understand that project records need to be retained for a minimum of five (5) years after close—out of the grant or clearance of any audit findings, and 15 years after close-out of a grant that funds acquisition, construction or rehabilitation activities?
 |  |  |  |  |
| 1. Has the agency been audited by independent auditors? If yes, were there any findings that the recipient is required to resolve?

Note: obtain a copy of the agency’s most recently completed audit. |  |  |  |  |

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| Program Participant File Recordkeeping | Yes | No | N/A | Comments |
| 1. Are all records regarding the program participants centrally located?
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| 1. Do these records contain:
 |  |  |  |  |
| 1. Is there a valid lease (if applicable) and program occupancy agreement or program participation agreement signed by program participants
 |  |  |  |  |
| 1. Documentation for verification of homeless status
 |  |  |  |  |
| 1. Does the file include verification of the participant’s disability? (required for Permanent Housing programs funded through CoC)
 |  |  |  |  |
| 1. Documentation for all sources of income
 |  |  |  |  |
| 1. Does the file contain documentation of total adjusted income and rent calculation? Annual re-certification?
 |  |  |  |  |
| 1. Documentation for termination if the participant has been terminated from the program.
 |  |  |  |  |
| 1. Documentation of any appeals by program participants
 |  |  |  |  |
| 1. Documentation that the case manager has met with the household at least monthly during their program enrollment period to develop individual service plan. Do these records include:
 |  |  |  |  |
| 1. Program intake/eligibility documentation; e.g. participant application, executed release of information forms, etc.
 |  |  |  |  |
| 1. Identification; e.g. government issued proof of citizenship: birth certificate, social security card, driver license, passport
 |  |  |  |  |
| 1. HMIS consent to Release Information Form signed by both client and staff
 |  |  |  |  |
| 1. Evidence that participants have been notified of program requirements/regulations, termination reasons and process, appeals process, privacy and other participant rights at intake
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| 1. Are the most recent unit FMR and Rent Reasonableness guidelines being used? (for permanent housing programs)
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| Housing Quality Management | Yes | No | N/A | Comments |
| 1. Are units providing housing/shelter inspected on an annual basis?
 |  |  |  |  |
| 1. Are unit/building inspections completed by agency staff? If so, is there evidence of the most recent inspection showing the unit/building is up to appropriate standards?
 |  |  |  |  |
| 1. Are unit/building inspections completed by third party agencies? If so, is there evidence of the most recent inspection showing the unit/building is up to appropriate standards?
 |  |  |  |  |
| 1. Are the units in compliance with local Fire codes? Is there documentation in program files supporting this?
 |  |  |  |  |
| 1. Do all units/buildings have the proper Certificate of Occupancy documentation issued by the local municipality?
 |  |  |  |  |