

U.S. DOL ETA CORE MONITORING REVIEW GUIDE
Review Planning Tool

Grantee: _____

Review Date: _____

FPO: _____

Response Due: _____

Checked items indicate the activities/objectives that will be included in the monitoring review. To help plan the review, please fill in the names and titles of staff responsible for each activity/objective. Please refer to the Core Monitoring Guide for the detailed description of each core activity and objective.

REVIEW ACTIVITIES & OBJECTIVES	DOCUMENTS TO BE REVIEWED	INTERVIEW	NAME & TITLE
CORE ACTIVITY 1: DESIGN AND GOVERNANCE			
<input type="checkbox"/> 1.1 Strategic Planning	<ul style="list-style-type: none"> ▪ Grantee organization's vision, mission, strategy, and action planning documents ▪ Labor Market Information (LMI) used by the grantee organization to identify its area's high-growth businesses and industries, their workforce needs, and the need for certain skills and competencies. 	<ul style="list-style-type: none"> ▪ <i>Grantee leadership/management staff</i> ▪ <i>Primary staff responsible for LMI analysis</i> 	
<input type="checkbox"/> 1.2 Service Design		<ul style="list-style-type: none"> ▪ <i>Grantee management; staff responsible for providing business and job seeker services</i> 	
<input type="checkbox"/> 1.3 Program Integration		<ul style="list-style-type: none"> ▪ <i>Appropriate staff</i> 	
CORE ACTIVITY 2: PROGRAM AND GRANT MANAGEMENT SYSTEMS			
<input type="checkbox"/> 2.1 Administrative Controls	<ul style="list-style-type: none"> ▪ Policies and Procedures for core management functions and program operations ▪ Monitoring tools and procedures and documentation of monitoring ▪ Record retention and access policy 	<ul style="list-style-type: none"> ▪ <i>Primary staff responsible for development and issuance of policy, monitoring, and record retention</i> 	
<input type="checkbox"/> 2.2 Personnel	<ul style="list-style-type: none"> ▪ Personnel policy, including hiring process and procedures ▪ Grantee organizational chart ▪ Project organizational chart 	<ul style="list-style-type: none"> ▪ <i>Staff responsible for personnel and human resources; other staff as appropriate</i> 	
<input type="checkbox"/> 2.3 Civil Rights	<ul style="list-style-type: none"> ▪ Grievance/complaint resolution and non-discrimination policies and procedures 	<ul style="list-style-type: none"> ▪ <i>Equal Opportunity officer and/or staff assigned responsibility for ensuring organization's compliance with the EO laws</i> 	
<input type="checkbox"/> 2.4 Sustainability	<ul style="list-style-type: none"> ▪ A plan for sustaining grant activities, if applicable. 	<ul style="list-style-type: none"> ▪ <i>Project directors, other staff as appropriate</i> 	
<input type="checkbox"/> 2.5 Match Requirements	<ul style="list-style-type: none"> ▪ Policy and procedures for grant match ▪ Financial documentation of match 	<ul style="list-style-type: none"> ▪ <i>Staff responsible for documenting the use of leveraged resources & match</i> 	
<input type="checkbox"/> 2.6 Equipment	<ul style="list-style-type: none"> ▪ Organization's policies and procedures on purchasing, managing, and disposing of equipment ▪ Documentation of requesting and receiving written approval prior to purchasing equipment 	<ul style="list-style-type: none"> ▪ <i>Appropriate staff</i> 	

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<input type="checkbox"/> 2.7 Procurement	<ul style="list-style-type: none"> ▪ Procurement policies and procedures ▪ Procurement files for subgrants/subcontracts for services and goods procured under the grant 	<ul style="list-style-type: none"> ▪ <i>Staff who are familiar with procurement requirements</i> 	
<input type="checkbox"/> 2.8 Audit and Audit Resolution	<ul style="list-style-type: none"> ▪ Description of the tracking system to ensure that all required subrecipient audits are performed and resolved ▪ Policies and procedures for subrecipient debt collection ▪ A written status report of questioned costs and findings as a result of the latest Single Audit performed, if applicable 	<ul style="list-style-type: none"> ▪ <i>Financial staff; other staff as appropriate</i> 	
<input type="checkbox"/> 2.9 Reporting Systems	<ul style="list-style-type: none"> ▪ Description of the Management Information System (MIS) used by the grantee organization to track program participants and outcomes. ▪ Example written project reports produced by MIS 	<ul style="list-style-type: none"> ▪ <i>Project administrator and other appropriate staff</i> 	
CORE ACTIVITY 3: FINANCIAL MANAGEMENT SYSTEMS			
<input type="checkbox"/> 3.1 Budget Controls	<ul style="list-style-type: none"> ▪ Organization's/project's most current approved budget ▪ Method to compare actual line expenditures to budgeted line item amount 	<ul style="list-style-type: none"> ▪ <i>Staff responsible for modifying the budget and comparing budgeted to actual expenditures</i> 	
<input type="checkbox"/> 3.2 Cash Management	<ul style="list-style-type: none"> ▪ Organization's cash management/drawdown policies and procedures ▪ Summary of drawdowns and expenditures for one month ▪ Documentation of monitoring cash management activities of subrecipients, if applicable 	<ul style="list-style-type: none"> ▪ <i>Appropriate staff</i> 	
<input type="checkbox"/> 3.3 Program Income	<ul style="list-style-type: none"> ▪ Program income policies and procedures, if applicable 	<ul style="list-style-type: none"> ▪ <i>Appropriate staff</i> 	
<input type="checkbox"/> 3.4 Cost Allocation	<ul style="list-style-type: none"> ▪ Policies and procedures for distributing program costs, staff time, and general and administrative costs among programs; appropriate documentation, e.g. staff timesheets. ▪ Most recently approved Indirect Cost Rate, if applicable ▪ Cost allocation plan, if available 	<ul style="list-style-type: none"> ▪ <i>Appropriate staff</i> 	
<input type="checkbox"/> 3.5 Allowable Costs	<ul style="list-style-type: none"> ▪ Policies and procedures used to determine allowable costs 	<ul style="list-style-type: none"> ▪ <i>Appropriate staff</i> 	
<input type="checkbox"/> 3.6 Internal Controls	<ul style="list-style-type: none"> ▪ Policies and procedures for separation of duties or other safeguards in place to prevent unauthorized purchases and disbursements of grant funds 	<ul style="list-style-type: none"> ▪ <i>Appropriate staff</i> 	
<input type="checkbox"/> 3.7 Financial Reporting	<ul style="list-style-type: none"> ▪ Description of accounting system including accrual and subrecipient reporting ▪ Documentation to demonstrate the use of accrual accounting method 	<ul style="list-style-type: none"> ▪ <i>Accounting staff</i> 	
CORE ACTIVITY 4: SERVICE/PRODUCT DELIVERY			
<input type="checkbox"/> 4.1 Operating Systems	<ul style="list-style-type: none"> ▪ Outreach and recruitment materials ▪ Participant assessment procedures or tools ▪ Eligibility procedures and documentation requirements ▪ Copies of project plan and written agreements with subrecipients or contractors, if applicable ▪ Latest participant data, including: names, target group, enrollment dates, specific services and training provided to each participant, exit dates, and outcomes. ▪ Training curriculum and/or course descriptions developed with grant funds ▪ Supportive services policy and documentation, if applicable 	<ul style="list-style-type: none"> ▪ <i>Appropriate staff</i> ▪ <i>Staff performing outreach and recruitment activities</i> 	
<input type="checkbox"/> 4.2 Participant Files	<ul style="list-style-type: none"> ▪ All participant files; FPO to select 10+ at random. 	<ul style="list-style-type: none"> ▪ <i>Case management staff; other staff as appropriate</i> 	

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<input type="checkbox"/> 4.3 High-growth Jobs	<ul style="list-style-type: none"> ▪ LMI information made available by the grantee to job seekers and employers, including a list of high-growth occupations and a list of occupations in which job placements are occurring 	<ul style="list-style-type: none"> ▪ <i>Staff responsible for LMI information and job placement</i> 	
<input type="checkbox"/> 4.4 Integrated Services	<ul style="list-style-type: none"> ▪ Grantee's service flow plans ▪ Non-financial agreements of memoranda of understanding with workforce development agencies participating in the project 	<ul style="list-style-type: none"> ▪ <i>Management staff, front line staff other staff as appropriate</i> 	
<input type="checkbox"/> 4.5 Business Relationships	<ul style="list-style-type: none"> ▪ 	<ul style="list-style-type: none"> ▪ <i>Staff serving employer customers</i> 	
CORE ACTIVITY 5: PERFORMANCE ACCOUNTABILITY			
<input type="checkbox"/> 5.1 Service Goals	<ul style="list-style-type: none"> ▪ Project implementation plan, identifying project goals, activity levels, spending targets, and timeframes that are directly linked to achieving grant goals. ▪ Most recently available enrollment reports ▪ Most recently available expenditure reports 	<ul style="list-style-type: none"> ▪ <i>Staff responsible for administering the program of services.</i> 	
<input type="checkbox"/> 5.2 Performance Outcomes	<ul style="list-style-type: none"> ▪ Most recently available outcome reports 	<ul style="list-style-type: none"> ▪ <i>Appropriate staff</i> 	
<input type="checkbox"/> 5.3 Subrecipient Performance	<ul style="list-style-type: none"> ▪ Copies of subrecipient/contractor agreements 	<ul style="list-style-type: none"> ▪ <i>Appropriate staff</i> 	
<input type="checkbox"/> 5.4 Performance Data	<ul style="list-style-type: none"> ▪ Description of the process used to assess the quality of service/product delivery based on performance data 	<ul style="list-style-type: none"> ▪ <i>Appropriate staff</i> 	