



## COMMUNITY SERVICES BLOCK GRANT DESK REVIEW MONITORING TOOL

GENERAL INFORMATION	
AGENCY NAME:	CONTRACT NUMBER:
DCED CSBG MONITOR/REPRESENTATIVE:	
DATE OF REVIEW:	AGENCY STAFF INVOLVED IN REVIEW:
<input type="checkbox"/> Yes <input type="checkbox"/> No   Was a CSBG Pre-Visit Questionnaire mailed out to the agency at least two weeks in advance of the scheduled review?	
<input type="checkbox"/> Yes <input type="checkbox"/> No   Did the agency complete and return the questionnaire?	

**In preparation for the desk monitoring, review the agency's current contract file including log notes and correspondence to determine the following:**

REPORTING REQUIREMENTS	YES	NO	COMMENTS
Is the agency submitting the Program Invoice forms on a timely basis?	<input type="checkbox"/>	<input type="checkbox"/>	
Is sufficient documentation submitted with each invoice to support the expenditures reported?	<input type="checkbox"/>	<input type="checkbox"/>	
Are expenditures reported by the agency to date within the budgeted amounts by category per the contract?	<input type="checkbox"/>	<input type="checkbox"/>	
If reported expenditures exceed budgeted amounts by line item, has the agency requested an amendment to the original budget and/or provided adequate explanation for any significant variances?	<input type="checkbox"/>	<input type="checkbox"/>	
Is the agency on track to draw down the remaining balance of the award within the contract period?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the agency submitted required reports, including COPOS entries, on a timely basis?	<input type="checkbox"/>	<input type="checkbox"/>	
Is the agency participating in the ROMA system for measuring performance and results?	<input type="checkbox"/>	<input type="checkbox"/>	
Based on the reports submitted to DCED, does the agency demonstrate that they understand national indicators?	<input type="checkbox"/>	<input type="checkbox"/>	
Regarding the Organizational Standards, what is the number of non-compliant indicators? _____ out of a possible _____			
Please list non-compliant indicators, if applicable:			

Review the agency's Board roster and the information provided by the agency on the CSBG pre-visit questionnaire, and interview appropriate agency staff and/or Board Members to complete the following:

Elected Public Officials	Low-Income Representatives	Private Sector Representatives
# of Seats: _____	# of Seats: _____	# of Seats: _____
# of Vacancies: _____	# of Vacancies: _____	# of Vacancies: _____

BOARD COMPOSITION	YES	NO	N/A	COMMENTS
Is the composition of the board appropriate, e.g., at least 1/3 democratically elected representatives of low-income individuals and at least 1/3 elected officials or their representatives?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Does the agency have in place a tripartite board to administer its CSBG program?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Are election/selection procedures in accordance with agency by-laws and CSBG policy issuance?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

BOARD GOVERNANCE SYSTEM	YES	NO	N/A	COMMENTS
Are all three sectors of the Tripartite Board represented in accordance with Federal legislation and the Community Action Agency's by-laws?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Has agency ensured there are no vacancies in board membership, both overall and by sector?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Are board meetings conducted at least quarterly?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Do the minutes list board members in attendance at board meetings and other guests present?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Is there evidence in the minutes that the board receives programmatic and financial information relating to CSBG and all other programs?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Did the review of the minutes support that the board fully participated in the development, planning, implementation, and evaluation of the CSBG program?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Do the minutes accurately reflect the actions taken at board meetings, including the exact wording of motions?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Does the board follow the by-laws for such issues as board membership, removing board members for lack of attendance, etc.?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Is the board active and engaged in fulfilling the mission of the agency?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Is the board a true policy-making body, or does the board wander into operational or procedural matters (micro-managing the agency)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Does the board actively set policy or does it just endorse the Executive Director's plans?				
Do the by-laws include selection procedures for members of the board?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Do the by-laws define the officer positions, selection process and terms of service?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Are there term limits for all board members?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Do the by-laws contain a definition of a quorum?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Are the provisions for the removal of a member explained in the by-laws?	C	C	C	
Are there clear procedures for filling a vacancy on the board?	C	C	C	
Are board meetings open to the general public? (Other than confidential matters)	C	C	C	
Are meeting notices published in the local media? How far in advance?	C	C	C	
Are the procedures for hiring, supervising, evaluating and dismissing an Executive Director clearly outlined in the by-laws?	C	C	C	
Are Robert's Rules of Order followed for all board meetings?	C	C	C	
Is there a section of the by-laws dealing with the compensation of board members?	C	C	C	
List of Committees as Outlined in the by-laws:				

Does the agency have a Tripartite Board in place to oversee its CSBG programs?	C	C	
Does DCED have a copy of the most recent board roster? Include date in comments.	C	C	
Does the Board roster include the name, title, address, sector represented, date appointed or elected, and term expiration date for all board members?	C	C	
Do representatives of low-income persons reside in the neighborhood from which they were elected?	C	C	
Have either public or low-income sector board seats remained vacant for more than 90 days?	C	C	
Does DCED have a copy of the most current by-laws?	C	C	
Is there a Code of Ethics for the board?	C	C	
Is the mission statement in the agency's Board Manual?	C	C	
Does the board approve the agency's annual budget? Include date of minutes showing approval in comments.	C	C	

Does the board approve the agency's policies?	C	C	
Do board members receive ROMA training?	C	C	
What is the date of the last ROMA training meeting conducted for the board?			
Does the board have committees structured to fully address its fiduciary and governance responsibilities? Please list the standing committees:	C	C	
Does the board have an adequate system for the orientation of new board members?	C	C	

Review the minutes of several of the agency's recent board meetings to determine the following:

BOARD MEETINGS AND MINUTES	YES	NO	COMMENTS
How often does the Tripartite Board meet?			
Are the regular board meetings open to the public?	C	C	
Has DCED been provided with a schedule of board meeting dates?	C	C	
What is the date of the most recent board meeting attended by the Program Specialist?			
Have all board minutes been submitted to DCED?	C	C	
Do the minutes list the board members in attendance & absent?	C	C	
Is there a quorum present at all meetings?	C	C	
Do the minutes indicate that the board members are aware of their roles and responsibilities with regard to the CSBG program?	C	C	
Are financial reports communicated regularly to the agency's board and policy groups?	C	C	
Is the board provided with current financial information?	C	C	
Is there evidence in the minutes that the board uses community needs and service gap analysis to establish service priorities and adopt program objectives?	C	C	
Do the minutes indicate that the agency's board fully participates in the development, planning, implantation and evaluation of the CSBG program?	C	C	
Does the board monitor staff development/training needs, plans and outcomes?	C	C	
Does the board monitor program performance by comparing outcome goals to outcomes achieved?	C	C	
Does the board evaluate major programs every three years, including regulatory compliance and outcome analysis? Tools/approach used?	C	C	
Additional comments on the board:			

Based on the agency's operations and the updated information gathered during the current review, assess the agency staff assigned to CSBG program:

PERSONNEL	YES	NO	COMMENTS
Does the agency have adequate staff assigned to administer the CSBG program activities effectively and efficiently?	C	C	
Did agency staff involved in the review demonstrate knowledge of CSBG program guidelines and procedures?	C	C	
Has the agency experienced recent turnover in staff assigned to administer the CSBG program?	C	C	
Are all staff positions identified in the CSBG Contract application, and any amendments thereto, filled?	C	C	
Are all staff members performing the duties described in the job descriptions submitted when the CSBG contract was negotiated?	C	C	

**PROGRAM PERFORMANCE REVIEW**

Based on information obtained during the review, discuss the following with the agency's Executive Director or other responsible staff:

PROGRAM OBJECTIVES	YES	NO	COMMENTS
Are all of the counties and/or municipalities in the agency's service area served equitably?	C	C	
Is the agency gathering and tracking all information needed to complete the CSBG program reports?	C	C	
Are program outcomes sufficiently documented?	C	C	
Is the agency on track to meet the goals and objectives stated in the application and scope of work by the end of the contract period?	C	C	
Is the agency utilizing all of its current year performance measures in its service delivery area to measure outcomes?	C	C	
Is the agency fulfilling its responsibility to establish and maintain an effective internal control system to ensure that: <ul style="list-style-type: none"> <li>a. appropriate goals and outcome measures are met</li> <li>b. resources are safeguarded</li> <li>c. rules and regulations are followed</li> <li>d. reliable data is obtained, maintained and fairly disclosed</li> </ul>	C	C	
Is the agency fulfilling its responsibility to use resources efficiently, economically and effectively to achieve the purposes for which the CSBG funding was provided?	C	C	

ROMA REPORTING	YES	NO	COMMENTS
Has the agency received outcome/ROMA training from DCED and/or the Community Action Association of Pennsylvania?	C	C	
Has the agency developed a system, or does the agency use the existing ROMA system, to provide a description of outcome measures to be used to measure performance in promoting self-sufficiency, family stability and community revitalization?	C	C	

GENERAL OPERATIONAL ISSUES	YES	NO	COMMENTS
Are all client service locations, services provided and hours of operation accessible to persons with disabilities (to the extent feasible)?	C	C	
Do the service locations provide all of the CAA's services?	C	C	
What are the hours of operation?			
Has the agency taken appropriate steps to address language barriers with the clientele in its service area?	C	C	
Do the agency's policies for providing translation and interpretation meet the legal obligation to provide assistance to Limited English Proficiency (LEP) clients receiving or potentially receiving agency services?	C	C	
<b>Additional Comments:</b>			

**SUBCONTRACTS (If Applicable)**

SUBCONTRACTORS	YES	NO	N/A	COMMENTS
Does the agency subcontract for any of the services provided under the CSBG award?	C	C	C	
Total # of subcontracts during the grant period _____	C	C	C	
# of counties____municipalities____served	C	C	C	
Were all subcontracts identified in the contract available for review?	C	C	C	
Was a fully executed contract in place for all of the agency's sub-contractors?	C	C	C	
Do contracts for subcontracted services include a provision that the sub-contractor must follow State procurement requirements and the fiscal requirements of agency's contract with DCED?	C	C	C	
Are the amounts and activities of the subcontracts consistent with the descriptions in the contract?	C	C	C	
Is there evidence the agency monitors its subcontractors for contract compliance? How often are subcontractors monitored? _____	C	C	C	
Were subcontractors conducting their contracted activities and maintaining adequate supporting documentation?	C	C	C	
Were funds used only for allowable expenses?	C	C	C	
If the agency utilized a subcontractor in the previous year, did the subcontractor meet its goals? If not, was corrective action taken?	C	C	C	
Did a subcontractor identify any concerns that could not be satisfactorily addressed by the CAA/DCED?	C	C	C	
If any services were subcontracted in addition to those identified in the contract, was prior approval given by DCED?	C	C	C	
Does the agency's method of selecting service providers for subcontracts ensure fair competition to all interested parties?	C	C	C	
Is there evidence that women and minority subcontractors were actively recruited?	C	C	C	
Does the agency have procedures in place to ensure that subcontractors have current insurance policies for blanket fidelity bond coverage; comprehensive general liability; directors and officers liability; umbrella excess liability; professional liability?	C	C	C	
Is there proof that subcontractors have insurance?	C	C	C	
If client/participant interviews were conducted, were the clients/participants satisfied with the subcontractor's service?	C	C	C	
<b>Additional Comments on Sub-contractors/ Sub-grantees:</b>				

## PRIOR MONITORING

For the following, review previous monitoring reports and findings. If not satisfactorily resolved, list any unresolved findings in the current monitoring report.

REVIEW OF PRIOR MONITORING REPORTS	YES	NO	N/A	COMMENTS
Have all financial corrective action requirements from the previous monitoring reports been satisfactorily addressed?	C	C	C	
Have all programmatic corrective action requirements from the previous monitoring reports been satisfactorily addressed?	C	C	C	
Have all administrative corrective action requirements from the previous monitoring reports been satisfactorily addressed?	C	C	C	
Other than the annual independent audit, has the agency had any of its programs reviewed by representatives of other funding sources, such as Head Start <i>Prism</i> ?	C	C	C	

## PERSONNEL POLICIES AND PRACTICES

Obtain and review a copy of the agency's personnel policies and procedure to determine the following:

GENERAL PERSONNEL POLICIES & PROCEDURES	YES	NO	N/A	COMMENTS
Does the agency have written personnel policies and procedures?	C	C	C	
Is there a provision in the personnel policies to prohibit conflict of interest and nepotism?	C	C	C	
Do personnel policies correctly address partisan activities?	C	C	C	
Is there a provision to provide equal opportunity and prohibit discrimination on the basis of race, color, religion, sex, national origin, age, handicap, political affiliation or belief?	C	C	C	
Do personnel and EEO policies address a system by which discrimination complaints will be resolved?	C	C	C	
Is there a provision to prohibit political activity or lobbying?	C	C	C	
Is there a provision insuring that any person reporting a violation by the Community Action Agency shall not be discriminated against? ( <i>Whistle-Blower Policy</i> )	C	C	C	
Do the agency's whistleblower policies inform employees of their rights to disclose information to the proper authorities?	C	C	C	
Does the agency whistleblower policy contain the telephone numbers of the Pennsylvania Auditor General and the Office of the Pennsylvania Attorney General?	C	C	C	
Does the Agency have written drug-free Workplace policies?	C	C	C	
Does the Agency have written ADA compliance policies?	C	C	C	
Are the Agency's facilities smoke-free environments?	C	C	C	
Is the Agency compliant with the Child Support Services Assurances?	C	C	C	
Do personnel policies state that the Community Action Agency may employ no board member during his/her service on the board, or for a period of twelve months thereafter?	C	C	C	
Comments:				

**ADMINISTRATIVE**

GENERAL	YES	NO	N/A	COMMENTS
Does the agency maintain all issuances and memoranda regarding CSBG funding in a centralized file or notebook?	C	C	C	
Does agency staff have access to CSBG guidelines?	C	C	C	

**Obtain and review a copy of the agency's by-laws to address the following:**

BY-LAWS	YES	NO	N/A	COMMENTS
How many Board members do the by-laws specify?				
How often is the board required to meet?				
What is the date the board last reviewed the by-laws?				
Does DCED have a copy of the CAAs most recent by-laws?	C	C	C	
Do the by-laws specify a method for selection that is appropriate for each board sector?	C	C	C	
Do the by-laws contain an acceptable limitation on board service for representatives of the private and poverty sectors?	C	C	C	
Do the by-laws address non-discrimination policies?	C	C	C	
Do the by-laws state that decisions made in closed session must be finalized in a meeting open to the public?	C	C	C	
Do the by-laws state that written minutes of all open meetings shall be kept?	C	C	C	
Do the by-laws state that written advance notice, including an agenda, shall be given to the Board members 5 days in advance of board meetings?	C	C	C	
Do the by-laws state that public notices shall be posted at least 72 hours prior to the time of the meeting?	C	C	C	
On what date were the Agency's by-laws were last amended by the board?	C	C	C	
Is there a written policy outlining the process for amending the by-laws?	C	C	C	
How often are the by-laws reviewed by the board?				
Comments On By-laws:				



**FINDINGS OR CONCERNS**

Identify strengths and best practices of the agency:

Note follow-up points from the agency's Pre-Monitoring Questionnaire:

Preliminary summary of findings and need for corrective action(s):

As a result of the review, the following need(s) for training or technical assistance have been identified:

If appropriate, indicate a scheduled date for a follow-up, on-site visit to assess the implementation of corrective actions:

**SIGNATURE**

DCED PROGRAM SPECIALIST:

DATE: