

# INDEX A

**MONITORING DOCUMENTS: TOOLS OF THE TRADE  
STANDARD USES AND FREQUENCY**

TOOLS	PURPOSE	FREQUENCY	STANDARD
<b>CONTRACT DOCUMENTS</b>			
• Contract	Legal agreement between CSS and another entity, usually a CBO, which establishes a guide for Contractor provision of services and includes program goals and a budget.	Annually.	Executed 60 days from date of Board authorization.
• Amendment	Legal document used to add/reduce money or extend time to an existing contract.	As needed.	Executed 30-60 days after Board authorization.
• Advance	Funds that are released prior to a fully executed contract upon written request from the Contractor. A contract number and invoice not to exceed 1/6 <sup>th</sup> of grant award is needed in order to execute an advance.	Once, in the beginning of a fiscal year.	Executed 30 days after Board authorization.
• Agreement to Accept Advance Contract Payment	Form used to execute the advancement of funds prior to a fully executed contract.	Once, at the beginning of the contract year.	Executed 30 days after Board authorization.
- Justification for Advance Payment	Form used by the Agency to request and justify advance payment.	Once, at the beginning of the contract year.	
• Modification	Document used in accordance with contract guidelines to make changes to the Contractor's program or budget. Request must be in writing one (1) month before the beginning of the 2 <sup>nd</sup> or 3 <sup>rd</sup> quarter of the program year.	In accordance with contract.	Completed within 30 calendar days of submission by the Contractor. All program modifications are subject to authorized regulations and official guidelines.
- Program	A type of contract modification where goals can be reduced or increased at the discretion of the monitor. Program goal adjustments are dependent upon circumstances of the request.	In accordance with contract.	Completed within 30 calendar days of submission by the Contractor
- Budget	A type of contract modification requesting a change in the budget. The request cannot exceed 15% of a line item or \$20,000.	In accordance with contract.	Completed within 30 calendar days of submission by the Contractor.

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<b>MONITORING DOCUMENTS</b>			
Monitoring Instrument	A document designed to determine contractual compliance and identify program deficiencies based on Contractors' documentation to substantiate performance and fiscal reports submitted to CSS.	Completed at least twice after site visits.	Refer to the program's specific guidelines.
<ul style="list-style-type: none"> <li>Desk Review</li> </ul>	Both a document and a process, which prepares the Monitor for program and fiscal review of an Agency's performance before the monitoring instrument is completed on site.	Completed at least twice as part of the monitoring instrument;  Once a month for monthly reports;  In preparation for site visit.	Desk reviews are part of the monitoring procedures, which are completed by Monitors for each contract/Contractor.
<ul style="list-style-type: none"> <li>Program Instrument (Generic Monitoring Instrument)</li> </ul>	A monitoring document, which contains program specific and contractual compliance items for review.	Completed at least twice after site visit as part of the Monitoring Instrument.	Program reviews are part of the monitoring procedures, which are completed by Monitors for each contract/Contractor.
<ul style="list-style-type: none"> <li>Fiscal Review Instrument</li> </ul>	A monitoring document, which contains fiscal contractual compliance items for review.	Completed at least twice after site visits as part of the Monitoring Instrument.	Fiscal reviews are part of the monitoring procedures, which are completed by Monitors for each contract/Contractor.
Contact Log	A log used to track the Monitor's communications with the Contractor including phone calls, various correspondence, CAP and technical assistance.	Ongoing	
<b>SITE VISIT</b>			
Site Visit Notification Letter	Letter to Contractor that includes: purpose, date, time and CSS contact w/phone number for site visit.	For each site visit.	
Agency Site Visit Report	A report that details the results of the site visit. It is designed to insure that the Contractor is aware of the status of the organization's operations and if there are any issues or problems that need immediate attention. It is completed before the Monitor leaves the Agency.	Following each site visit.	
Agency Site Visit Approval	A summary report issued to the monitor's Supervisor and Management describing the Agency's administrative and	Following each site visit.	

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Monitoring Site Review Report-CAP not Required	<p>program condition.</p> <p>Letter from the Monitor notifying Contractor of the results of the on-site review; the letter states that no significant findings were discovered during the review.</p>	Following each site visit.	The letter acknowledges that the Agency is in full compliance in the areas reviewed during the site visit.
Supplemental Document Checklist	A form used as an on-site checklist of all CSS required documents on file at the Contractor's administrative site. (Refer to the Agency Notification Letter)	Annually.	
Verification of Contract Expenditures	Report designed to determine whether actual program costs billed are properly documented and allowable under the contract and applicable federal, State and local guidelines.	Annually.	The report is to be completed by September following the end of the contract year.
Client/Participant Log	A register used to maintain an on-going log tracking (dates) of services received by clients/participants receipt of services.	On-going.	
Client/Participant File Review	The review of documentation that substantiates the delivery of services to clients and is verified by CSS.	Twice a contract year.	
Personnel/Staff File Review	The review of staff positions listed in the contract; verification is made to determine whether these positions are filled and that staff is working on the contracted program.	Annually.	
Out of Office Log	A register used by CSS staff to document the following information: activity, sign out date, address and telephone number where Monitor can be reached.	On-going.	
<b>CORRECTIVE ACTION DOCUMENTS</b>			
Monitoring Review Report-CAP Required	Letter containing: the finding(s) in question; the reason for corrective action and date for CAP to be submitted to CSS.	As needed and depending on the severity of the problem.	<p>Monitor sends letter within ten (10) business days indicating that issue(s) were cited and requests CAP.</p> <p>Contractor responds within ten (10) business days from date of the letter.</p> <p>Time may vary depending on the issue and program.</p>

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Monitoring Review Report-CAP Received	Letter response including: purpose of letter; provide approval or denial of CAP response; and obtain clarification of issues or problems.	As needed.	Letter is issued within ten (10) business days from receipt of CAP from Contractor.
Verification of Corrective Action	Form designed to follow-up and verify that corrective actions (as approved by CSS Monitor) detailed in Agency's CAP have been implemented.	As needed.	Verification of corrective action is needed in response to findings discovered through either an on-site review or an audit.
Site Visit/Corrective Action Log	A register used by Monitors to track the deadlines and implementation actions of Contractor's CAP.	On-going.	
Master Site Visit/ Corrective Action Log	A register used by Monitoring Supervisors to track the deadlines and implementation actions of Contractor's CAP.	On-going.	
<i>Interviews (where applicable by program regulations)</i>			
Client Feedback Questionnaire	A survey used to follow-up on services received by participants/clients.	During monitoring visit, depending on program requirements.	The questionnaires are collected, reviewed and summarized (i.e. obtain a consensus) by Monitor.
Client Interview Questionnaire	A form designed to capture and verify that contracted services were rendered and received by clients.	During monitoring visit, depending on program requirements.	The questionnaires are collected, reviewed and summarized (i.e. obtain a consensus) by Monitor.
Vendor/Third Party Interview Questionnaire	A form designed to capture and verify that contracted services were rendered and received by clients.	During monitoring visit, depending on program requirements.	The questionnaires are collected, reviewed and summarized (i.e. obtain a consensus) by Monitor.
Volunteer & Staff Questionnaire	A written survey completed by Agency personnel on the Contractor's delivery of service to clients.	Annually.	The questionnaires document the degree of compliance with what is in the Statement of Work detailed in the contract.