REVIEW PLANNING TOOL

For the U.S. DOL ETA Core Monitoring Review Guide

GRANTEE ______________________ FEDERAL PROJECT OFFICER ______________________ REVIEW DATE ______________________

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 into "Name and Title" column. Refer to the Core Monitoring Guide for the detailed description of each core activity and objective.

REVIEW ACTIVITIES & OBJECTIVES	DOCUMENTS TO MAKE AVAILABLE FOR REVIEW	INTERVIEW STAFF	NAME & TITLE
CORE ACTIVITY 1: DESIGN AND GOVERNANCE		***Estimated Time Needed – hours***	
☒ **1.1 Strategic Planning**	▪ 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.	▪ *Grantee leadership/management staff* ▪ *Primary staff responsible for LMI analysis*	
☒ **1.2 Service Design**		▪ *Grantee management; staff responsible for providing business and job seeker services*	
☒ **1.3 Program Integration**		▪ *Appropriate staff*	
CORE ACTIVITY 2: PROGRAM AND GRANT MANAGEMENT SYSTEMS		***Estimated Time Needed –hours***	
☒ **2.1 Administrative Controls**	▪ Policies and Procedures for core management functions and program operations ▪ Monitoring tools and procedures and documentation of monitoring ▪ Record retention and access policy	▪ *Primary staff responsible for development and issuance of policy, monitoring, and record retention*	
☒ **2.2 Personnel**	▪ Personnel policy, including hiring process and procedures ▪ Grantee organizational chart ▪ Project organizational chart	▪ *Staff responsible for personnel and human resources; other staff as appropriate*	
☒ **2.3 Civil Rights**	▪ Grievance/complaint resolution and non-discrimination policies and procedures	▪ *Equal Opportunity officer and/or staff assigned responsibility for ensuring organization's compliance with the EO laws*	
☒ **2.4 Sustainability**	▪ A plan for sustaining grant activities, if applicable.	▪ *Project directors, other staff as appropriate*	
☒ **2.5 Match Requirements**	▪ Policy and procedures for grant match ▪ Financial documentation of match	▪ *Staff responsible for documenting the use of leveraged resources & match*	
☒ **2.6 Equipment**	▪ Organization's policies and procedures on purchasing, managing, and disposing of equipment ▪ Documentation of requesting and receiving written approval prior to purchasing equipment	▪ *Appropriate staff*	
☒ **2.7 Procurement**	▪ Procurement policies and procedures ▪ Procurement files for subgrants/subcontracts for services and goods procured under the grant	▪ *Staff who are familiar with procurement requirements*	

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☒ **2.8 Audit and Audit Resolution**	▪ 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	▪ *Financial staff; other staff as appropriate*	
☒ **2.9 Reporting Systems**	▪ 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	▪ *Project administrator and other appropriate staff*	
CORE ACTIVITY 3: FINANCIAL MANAGEMENT SYSTEMS			***Estimated Time Needed – hours***
☒ **3.1 Budget Controls**	▪ Organization's/project's most current approved budget ▪ Method to compare actual line expenditures to budgeted line item amount	▪ *Staff responsible for modifying the budget and comparing budgeted to actual expenditures*	
☒ **3.2 Cash Management**	▪ 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	▪ *Appropriate staff*	
☒ **3.3 Program Income**	▪ Program income policies and procedures, if applicable	▪ *Appropriate staff*	
☒ **3.4 Cost Allocation**	▪ 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	▪ *Appropriate staff*	
☒ **3.5 Allowable Costs**	▪ Policies and procedures used to determine allowable costs	▪ *Appropriate staff*	
☒ **3.6 Internal Controls**	▪ Policies and procedures for separation of duties or other safeguards in place to prevent unauthorized purchases and disbursements of grant funds	▪ *Appropriate staff*	
☒ **3.7 Financial Reporting**	▪ Description of accounting system including accrual and subrecipient reporting ▪ Documentation to demonstrate the use of accrual accounting method	▪ *Accounting staff*	
CORE ACTIVITY 4: SERVICE/PRODUCT DELIVERY			***Estimated Time Needed – hours***
☒ **4.1 Operating Systems**	▪ 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	▪ *Appropriate staff* ▪ *Staff performing outreach and recruitment activities*	
☒ **4.2 Participant Files**	▪ All participant files; FPO to select 10+ at random.	▪ *Case management staff; other staff as appropriate*	
☒ **4.3 High-growth Jobs**	▪ 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	▪ *Staff responsible for LMI information and job placement*	

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☒ **4.4 Integrated Services**	▪ Grantee's service flow plans ▪ Non-financial agreements of memoranda of understanding with workforce development agencies participating in the project	▪ *Management staff, front line staff other staff as appropriate*	
☒ **4.5 Business Relationships**	▪	▪ *Staff serving employer customers*	
CORE ACTIVITY 5: PERFORMANCE ACCOUNTABILITY			***Estimated Time Needed – hours***
☒ **5.1 Service Goals**	▪ 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	▪ *Staff responsible for administering the program of services.*	
☒ **5.2 Performance Outcomes**	▪ Most recently available outcome reports	▪ *Appropriate staff*	
☒ **5.3 Subrecipient Performance**	▪ Copies of subrecipient/contractor agreements	▪ *Appropriate staff*	
☒ **5.4 Performance Data**	▪ Description of the process used to assess the quality of service/product delivery based on performance data	▪ *Appropriate staff*	