



State of Utah
Department of Workforce Services
PROGRAM MONITORING CHECKLIST

INSTRUCTIONS: Review the required documentation and complete the checklist at least annually for each federal award and information sharing agreement. Notify the grantee of the results and recommendations. Failure to comply with recommendations may result in termination of the award.

Organization name: _____

Program name: _____

Contract number: _____

Funding amount: \$ _____

Contract start date: _____

Contract end date: _____

Monitoring date: Year 1: _____

Monitored by: Year 1: _____

Monitoring Attendees: Year 1: _____

Risk level: **Low** **Medium** **High**

Determination:

Year 1: **Meets grant requirements** **Action Required to Become Compliant**

Requirements	Yes / No / NA	Comments
Program Summary		
1. Does the organization provide the funded services agreed upon? • See proposal		
1a. Program description		
1b. Population served and marketing		
2. Is the organization addressing the outcomes described in the		

	proposal? <ul style="list-style-type: none"> • What? • How tracked? • How measured? 		
3.	Does the organization have a system for addressing customer grievances?		
4.	Is the facility adequate to deliver the contracted service?		
5.	Does the organization collaborate with the local DWS office regarding services available to families?		
6.	<p>Does the organization subcontract out a portion of the program? If so, describe the monitoring process and provide documents.</p> <p>Organization must provide verification of subcontractor(s) compliance with the following:</p> <ul style="list-style-type: none"> • Insurance Certificate • Fiscal Requirements • Program Requirements <ul style="list-style-type: none"> ○ Outcomes • Eligibility Determination <ul style="list-style-type: none"> ○ Form 300 <ul style="list-style-type: none"> ▪ Supporting Documentation ○ Form 115 ○ TEVS • Grievance Policy • FFATA • Staff Files <ul style="list-style-type: none"> ○ Code of Conduct/Ethics ○ Non-disclosure ○ Background Check 		

	o Licenses and Certifications		
Staffing			
7.	Does the organization have the required licenses and certifications to administer the program?		
8.	Do the employee files contain the signed DWS Code of Conduct agreement?		
9.	Do the employee files contain the DWS Non-disclosure agreement?		
10.	Do the employees meet the Criminal Background Check requirements?		
11.	Are employee files kept in a secure location?		
Eligibility Requirements (If required)			
12.	Do the program participants meet the income eligibility requirements?		
13.	Do the program participant case files contain all of the required documentation?		
14.	Are participant's confidential files kept in a secure location?		
Grant Administration (Desk audit)			
15.	Did the program administrator and fiscal manager attend the in-person grant orientation?		
16.	Does the organization submit required reports in a timely manner? <ul style="list-style-type: none"> • Quarterly Outcomes • Annual Reports 		

17.	Does the organization have current documentation of required insurance?		
18.	Are current/past invoices submitted timely, expenditures documented, and the program follows the budget?		
19.	Does the organization enter client information into the TEVS system?		

Required Action Items

The following item(s) are needed in order to successfully meet the grant requirements:

Year 1:

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ORGANIZATION must submit a response with a corrective action plan by **DUE DATE**.
Failure to meet grant requirements may result in termination of the award.

Yr 1:

Notes Year 1:

Program Response (Optional):

Year 1:

Equal Opportunity Employer Program

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