

CITY OF EL CAJON
COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM
SUBRECIPIENT MONITORING CHECKLIST

Organization: SET FREE ARTIST FELLOWSHIP
Address: 1527 E MAIN ST.
Agency Staff: IVAN ANDULAR, DEVISE VALENCE, SCHOD CRFT, AUBREY, REEL
City Staff: XAVIER VELASCO
Date of Visit: 5/20/10

1.0 PERFORMANCE EVALUATION

- 1.1 Which National Objective is being met? LIMITED CLIENTELE - HOMELESS
How is it being addressed? CASE MANAGEMENT & MOTEL VOUCHERS
- 1.2 What is the eligibility citation? 520.201e
- 1.2 What are the contract objectives? PROVIDE TEMP EMERGENCY HOUSING
Are they being met? YES
If not, explain _____

2.0 RECORD-KEEPING SYSTEM

- 2.1 Are separate files kept for each client? yes
- 2.2 Information kept on income, race, & gender? yes
- 2.3 Are files orderly, comprehensive and up-to-date? yes
- 2.4 Is proper client confidentiality maintained? Yes, Records are kept in secure plan.
- 2.5 Are records retained for minimum of four years? yes - 5 Yr.

3.0 FINANCIAL MANAGEMENT SYSTEM

- 3.1 Is there an adequate internal control system? yes
- 3.2 Does the financial management system include the following?
- | | |
|---|--|
| <input checked="" type="checkbox"/> Chart of Accounts | <input checked="" type="checkbox"/> Reconciliation |
| <input checked="" type="checkbox"/> Journals | <input checked="" type="checkbox"/> Data processing |
| <input checked="" type="checkbox"/> Ledgers | <input checked="" type="checkbox"/> Reporting system |
- 3.3 Do the accounting records include?
- | | |
|---|---|
| <input type="checkbox"/> Draw down requests | <input type="checkbox"/> Bank records |
| <input type="checkbox"/> Payroll records/timesheets | <input type="checkbox"/> Receipts/disbursements |
| <input type="checkbox"/> Cost allocation plan | |

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- 3.4 Are costs eligible, allocable, and reasonable? yes see attached item #5
- 3.5 Are CDBG funds identified separately? yes.
- 3.6 Is Program Income properly accounted for? yes.
- 3.7 Are payment requests adequately documented? yes.
- 3.8 Was Independent Audit or Single Audit done and submitted for clearance? NO AUDIT
FOR SET FIVE MINISTRIES, WILL BEGIN TO HAVE AUDITS START 2010
- Any questioned costs or findings? N/A

4.0 NON-DISCRIMINATION

- 4.1 Is there a policy of Equal Employment Opportunity? yes see attached copies #4
- 4.2 Is there a policy of Non-Discrimination for services? yes. #4

5.0 PROPERTY MANAGEMENT

- 5.1 Are acquisition records maintained? N/A
- 5.2 Was any property disposed of? _____
If so, were CDBG funds repaid? _____
- 5.3 Are there any safeguards to prevent damage or theft? _____

6.0 PROCUREMENT AND BONDING

- 6.1 Are there written procurement procedures? N/A
- 6.2 Were competitive bids? _____
- 6.3 Were any debarred, suspended or ineligible contractor used? _____
- 6.4 Were conflict of interest provisions and bonding requirements included in all contracts? _____

7.0 LABOR STANDARDS

- 7.1 Was appropriate Davis-Bacon wages paid? N/A
- 7.2 Is documentation in files?
_____ Wage determination _____ Certified Payrolls
_____ Employee interview forms
- 7.3 Person responsible for Labor Standards: _____

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8.0 OVERALL EVALUATION

- 8.1 Is sub-recipient fulfilling reporting requirements and regulations? YES
- 8.2 Corrective action(s) needed: NONE
- 8.3 Training needed: N/A
- 8.4 Additional comments: _____

Monitor Signature: *[Handwritten Signature]*
Title: *Sc. Mgmt Analyst*

Date: *5/20/10*

**CITY OF EI CAJON
REDEVELOPMENT AND HOUSING DEPARTMENT
CDBG PROGRAM
ON-SITE MONITORING REVIEW**

SUBRECEPIENT:

PROJECT:

SERVICE CATEGORY:

CITY AMOUNT & FUNDING SOURCE(S):

\$ 89,557.00 CDBG

LOCATION(S) OF REVIEW: 1527 E. MAIN ST.
El Cajon, CA

DATE OF REVIEW: 5/20/10

TEST PERIOD REVIEWED: 2009-10

REVIEW TEAM: **Xavier Velasco**

SUBRECEPIENT CONTRACTOR
CONTACT PERSON(S):

PRIOR CORRECTIVE ACTION(S) REQUIRING FOLLOW-UP	STATUS (Corrected, Outstanding)
N/A	

Explain reasons for outstanding corrective action(s) provided by Contractor:

N/A

PROGRAM PERFORMANCE		YES	NO	N/A
1.	Is a copy of the City's contract and Operating Manual accessible to all individuals responsible for the provision of project services and/or project records maintenance? (List where they are maintained.)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Comments:				
2.	Does the project maintain location(s) and hours as specified in the contract?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Comments: 9AM - 10PM M-SUNDAY PLUS 24 hr Sec. ON STAFF				
3.	Is the project serving the intended population as described in the contract?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Comments:				
4.	Are programs and activities listed in the contract being performed in accordance with the terms of the contract?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Comments:				
5.	Does the project have a system that adequately documents and tracks all project services provided to clients listed in the contract, as well as the individuals responsible for the provision of contract services? Describe system and attach samples of reports, working papers, and case files.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Comments: INTAKE PERSON, FILLING OUT VARIOUS FORMS (#1)				
6.	Does the project have a system that adequately documents the accomplishments reported on the programmatic reports submitted to the City? Describe system and attach samples of reports, working papers.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Comments: AS INTAKE PERSON COMPLETE THE PROCESS SEE #2 They are entered into computer system for reports.				
7.	Does the project's system have the capacity to collect, aggregate and report required data elements such as client demographics characteristics and income levels?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Comments: ENTER INFO INTO SERVICE POINT				
8.	Can the information listed on reports submitted to the City be tracked back to the original recording forms?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Comments:				
9.	Does the project have a system that ensures that clients reported to the City as receiving contract services are not reported to any other funding source for the same services? the	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Comments: they coordinate with other service providers.				
10.	Is the contractor submitting required reports on time?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Comments:				
11.	Are all records retained for the required period of time?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Comments:				
12.	Are the personnel with positions providing direct services paid through the City contract located in the project facility?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

PROGRAM PERFORMANCE		YES	NO	N/A
Comments:				
13.	If subcontractors are utilized for the project, does the contractor have a system that verifies the services accomplished by subcontractors? Describe system.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Comments:				
14.	If volunteers are utilized to accomplish any portion of the contracted services, does the contractor have written records of all volunteer activities? (I.e., logs, timesheets)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Comments:				
15.	Are the subcontractors and volunteers utilized to provide contracted services, familiar with the contract requirements?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Comments:				
16.	Does the project have a system in place to allow review of client feedback at or before exit and client follow-up after exit from the program to assess the quality and effectiveness of program services?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Comments:				
17.	Does the project have a written grievance process accessible to all clients? Describe when the clients are given the information and attach a copy.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Comments:				
18.	For projects that collect fees/charges from clients/participants, does the contractor document the fees/charges collected in client files? Describe system.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Comments:				
19.	Does the project facility appear to be appropriately cleaned and maintained and free from obvious safety hazards?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Comments:				

FISCAL PERFORMANCE		YES	NO	N/A
20.	Do accounting records identify expenditures and revenues by specific funding source? Describe method used.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Comments:				
21.	For contractors receiving advances, do accounting records clearly identify the amount received and how the amount was disbursed?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Comments:				
22.	Does the contractor maintain up-to-date files of original source documentation (receipts, invoices, canceled checks, etc) for all financial transactions?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Comments:				
23.	Can receipts and expenditures be tracked through the fiscal system accurately? Crosscheck Requests for Payment items to contractor records.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Comments:				
24.	Are payments made by pre-numbered checks and do all checks require two signatures?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Comments: <i>NO PAYMENTS MADE, ONLY REQUEST REIMBURSEMENT OF HOTEL ROOM RATES.</i>				
25.	When checks are presented for signatures, are vouchers and invoices/bills attached?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Comments:				
26.	Are invoices marked with the "date paid stamp" and the check number, and does the person making the payment initial them?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Comments:				
27.	Are payroll entries based on time and attendance records? Review samples for personnel paid with City funds.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Comments:				
28.	Are salaries and wages of employees charged to more than one program or funding source supported by labor distribution records?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Comments:				
29.	Are the controls on checks, banking procedures and payroll transactions adequate?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Comments:				
30.	For projects that utilize subcontractors to accomplish any portion of the contracted services, does the contractor have a system that verifies the services accomplished by subcontractors prior to processing payment requests?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Comments:				
31.	Does the project have a system that adequately documents and tracks any fees/charges collected from clients and how the program income is expended?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Comments:				

