



Contract Compliance Unit (CCU)

Monitoring - Documents and Records Required

Information for Sampling

E-mail the following (as Excel docs, if possible) to the lead monitor by: [Day, Month DD, 2020](#)

1. List(s) of UNDUPLICATED clients served and reported in **Output 1** in each APH-funded program during Qx, [mm/dd/2020 through mm/dd/2020](#) * and indicate clients reported eligible for APH funding and those eligible under other funding sources.
2. List of UNDUPLICATED clients reported in **Outcome 1** to APH, for each APH-funded program during Qx, [mm/dd/2020 through mm/dd/2020](#), * and indicate clients eligible for APH funding and those eligible under other funding sources.
3. List of any Volunteers and Employees working with clients served through APH agreement(s), along with their Start Date. *
4. Expanded General Ledgers for expenditures under each APH agreement for [mm/dd/2020 through mm/dd/2020](#).

** PLEASE **DO NOT** submit names of individuals or their social security numbers. Instead, submit lists of employees, volunteers, and clients electronically, identified by a unique code, such as a case or client number, or by a combination of first letters of last name and first name.*

Remote Desk Review

Monitors will select samples for review and email that information to you within 5 business days. After receiving the selected samples, please submit the documentation to the Box.com account within 10 business days.

Client Information, Records, and Performance

1. Selected client files, including intake forms/data, documentation of program eligibility verification, services provided, and acknowledgements of permission, grievance, and/or privacy policies
2. Client tracking database/spreadsheet for reporting quarter being reviewed

Financial Information

1. Form 940/941 filings and proof of payment for [Quarter x \(mm/dd/20xx – mm/dd/2020\)](#)
2. Invoices for, and bank statements showing payment of, selected expenditures per sample selected from detailed general ledgers by monitor

Personnel Management Information

1. Employee Personnel Files (per sample selected by monitor), including job description, application, any required licensure or certification, Forms I-9 and (if required by agreement or agency policy) proof of background check.
2. Volunteer Files (per sample selected by monitor), including job description, application, and proof of any required training, certification, and/or background check.

Business and Organizational Information

1. Minutes from most recent 3 board meetings.
2. Any sub-grantee MOU and monitoring records (please note that monitors may arrange to conduct part or all of the monitoring activity at a sub-grantee location, depending upon the nature of the services/agreement).



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Monitoring - What to Expect

General Information: Please note, per the notification email and Documents and Records Required sheet, that you'll need to provide some information in advance of the monitoring review so monitors can select samples to review.

During the monitoring activities, the following areas may be reviewed: performance measurement; service accessibility; community outreach; responsiveness to cultural diversity and customs (including CLAS standards); staffing (both paid and volunteer); operational procedures; client confidentiality; safeguarding of records; complaint and grievance procedures for staff, volunteers and clients; and business and financial operations and policies. An employee knowledgeable in these areas must be accessible to the monitoring team by email or phone. At the completion of the review, all agency records will be deleted from Box.com.

Parties Involved: Your APH Contract Manager has also been notified of the monitoring action and may be part of any after-action follow up.

After the Desk Review: Following the review, CCU will provide a draft of the monitoring report to the E.D. and main point of contact, and you will have 5 business days to provide a written response to any Findings & Concerns. Your response will be integrated into the monitoring report, then it will be finalized and approved by APH's Assistant Director and shared with you. If there are no significant Findings or Concerns, a close-out letter will be issued instead of a report. During all phases of the monitoring process, you and your staff will have the opportunity to ask questions and address concerns pertaining to monitoring.

Information / Access Needed: The information listed on the reverse side of this document must be available for review by the monitoring team as electronic files. If you have barriers to providing any of the required documentation to monitors electronically, please contact the Lead Monitor as soon as possible so alternative arrangements (such as a Teams or Skype for Business meeting and/or a COVID-safe on-site visit) can be made.

- If clients are not provided direct services, please disregard the request for a client list.
- If no employees are paid fully or in part via the agreement, please disregard the request for a staff list.
- The volunteer list pertains specifically to volunteers who have direct contact with clients served through APH agreements.

Thank you for your cooperation with this monitoring activity!