Emergency Solutions Grant and ESG Phase II (ESG)

Review Preparation Worksheet

Agency:	
Project Number:	
City:	
Contact Person:	
Contact Phone Number:	
Director of Agency	
Representatives Present:	
Grant Period Covered:	
Compliance Officer:	
Date of Review:	

Desk Review Conduct Prior to Site Visit

Application File	Yes	No	N/A	Comments
Review Approved Application and Attachments from Program file				
Other:				
Grant File	Yes	No	N/A	**Comments**
Review the Executed Grant Agreement				
Note any approved Grant Modifications (if applicable).				
Does this agency utilize sub-recipients agency's for administering the grant?				
What activities was this grant was awarded for? (Street Outreach, Emergency Shelter, Homeless Prevention, Rapid Rehousing assistance, HMIS, Administrative Activities)				

Financial Information	Yes	No	N/A	
Record the budget information				
Obtain copy of audit from agency - If agency expend over $500,000 in federal funds during the past operating year, agency audit required. (OMB Circular A-133 standards) Review for any audit findings and list if any reported. (be aware of noted audit findings during review)				
Obtain copy of current Program Budget				
Has the agency made changes to the budget? If so, do the changes adhere to the plan established in the application?				
Grant amount and budget category amounts.				
What are the approved budget categories?				
What is the dollar amount of required match for this grant? (Exhibit A grant agreement) Required 1:1				
Agency Financial Management Policies should be requested at the time of scheduling and reviewed in advance of on-site monitoring.	**Yes**	**No**	**N/A**	
Review the Financial Management Policies				
Does the agency's Financial Procedures address the recording of transactions, an account manual, and a chart of accounts?				
Does the agency's Financial Procedures address the maintenance of financial records?				
Does the agency's Financial Procedures provide guidelines for controlling expenditures, such as purchasing requirements and travel authorizations?				
Does the agency's Financial Procedures address the authority for approving financial transactions?				
Obtain copy of most current Authorized Signature Form, Who is authorized to sign checks?				

Agency Policy Review: (policies should be requested at the time of scheduling and reviewed prior to onsite visit.)	**Yes**	**No**	**N/A**	
Review policies for evidence of separation of duties - Are internal controls including segregation of duties defined that effectively reduce the opportunity for an individual to perpetrate or conceal errors or irregularities in financial transactions and in the course of normal duties?				
Review agency procurement procedures - Does the agency's procurement procedures adhere to Federal Procurement Regulations and THDA Policies?				
View agency Personnel Policies				
View agency's Drug Free Workplace Policy				
Obtain a copy of the agency written program policies and procedures (576.400 e) in advance of the review.	**Yes**	**No**	**N/A**	
Do agency policies define program intake system, rent processes, inspection requirements?				
Do the policies reveal language that supports fair housing practices?				
Does the agency have a written non-discrimination Policy and Equal Opportunity Policy? If so, Are services provided to clients without regard to race, color, national origin, sex, religion, disability, familial status, or age?				
Does agency policy adequately address equal access regardless of sexual orientation or identity? Does agency ensure that staff do not inquire about the sexual orientation, gender identity or marital status of an occupant?				
Does the agency have a conflict of interest policy meeting requirements at 576.404?				
Does the agency maintain a privacy protection policy which protects non-published personal client information?				

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Site Review	Yes	No	N/A	Comments
Is the agency location Section 504 Compliant?				
Are Fair Housing Posters prominently displayed at the agency?				
Does file evidence verify that clients are informed of their right to fair housing at application or intake?				
How is the agency's written Grievance Procedure shared with clients?				
Have there been any Fair Housing Discrimination complaints made against the agency during this grant term and if so has THDA been notified of the complaint?				
Does the agency maintain a written language assistance plan?				
Obtain a copy of the Agency Information Sheet				
Does the Agency Information Sheet indicate the agency employs more than 15 people?				
If Agency employs more than 15 people, who is the 504 Coordinator?				
Does the agency comply with 576.405 which states that the recipient must provide for the participation of not less than one homeless individual or formerly homeless individual on the board of directors or in other equivalent policy making entities?				
Are current or previous clients involved in operation activities of the shelter? (May also involve employment and volunteer opportunities) 576.405 c.				
Is there a designated staff person to ensure McKinney Act and Education Requirements are met?				
If the recipient agency utilizes sub-recipients, are there executed written agreements on file? (applies to cities)				
Are ESG funds utilized for salary costs?				

List staff and title for those persons paid with ESG funds				
Have there been changes in key personnel since application? If yes, was THDA notified of these changes?				
Does a review of Time and Activity sheets reveal ESG paid staff are working on ESG activities? (summary from time sheet tab)				
Are payments for employee salaries supported by timesheets indicating actual times? (Summary from Time and Activity Tab)				
Are the ESG Salaries and wages reported on the invoice based on supporting payroll documentation?				
If salaries are being paid from more than one source, do the fiscal records clearly define payments among the funding sources?				
Are all administrative costs properly classified?				
Are adequate time and activity sheets being used by the agency? (Refer to Time and Activity Sheet tab to input specifics)				
Are all funds used for Financial Assistance and Client Services allocated to the appropriate activity types and NOT to the administrative budget?				
Have admin grant funds been expended for eligible administrative costs? (cities only)				
If this agency is a Domestic Violence Provider, or provides legal services, verify that a data base is in use which generates unduplicated aggregate reports based on the data entered. Verify by viewing the data base and reports that can be generated.				
Are the agency's fiscal records and valuables secured in a limited-access area?				
Do the agency's financial records (bank statements & cancelled checks) indicate that no cash payments were provided directly to the program participants?				
Do the financial records indicate that the grantee has effective internal control over, and accountability of, all grant funds, property and other assets?				

Required total match funds per grant agreement. See Desk review tab				
Does the agency have a record of incoming match funds to date?				
Does the agency have a detailed record of match expenditures to date?				
Are grant expenditures on target to meet the grant requirements by the close of the grant?				
Beds designated for chronically homeless?_____				Beds filled with chronically homeless _____
Beds designated for veterans? _____				Beds filled with veterans_____
How many beds committed for families, youth and children_____				How many beds are filled with family, youth, or children _____
Total slots committed to be served_____				
How many persons are being/ have been served?				
What % of the grant is committed to Rapid Re-Housing?				
Does agency maintain a denied client file ?				
Are clients notified in writing of the reason for their denial of service?				
Are any instances noted in which a family has been denied services based upon the fact that the household has members under age 18? (24CFR576.102)				