

**Dutchess County Community Investment Programs  
Monitoring Form**

<b>Organization:</b>	<b>Activity:</b>
<b>Location:</b>	<b>Contract #:</b> <b>Cty. Att. File #:</b> <b>Contract Period:</b>
<b>Individual(s) Interviewed:</b>	<b>Contract Amount:</b>
<b>Monitor(s):</b>	<b>Date of Site Visit:</b>

**I. Pre-Monitoring Review**

**A. Organization** (to be provided by organization 5 business days prior to monitoring visit)

1. Provide a list of the names and titles of staff working on this activity.
  
2. Who is the target population and how many clients are served?

**B. County** (to be completed by County staff prior to and / or during monitoring visit)

1. Review central database, if available, for below information and request any missing information from agency (to be provided by organization 5 business days prior to monitoring visit):

- List of current board of directors
- Schedule of board meetings for the last 12 months
- Board minutes from the last three meetings
- Bylaws (if updated since last monitoring or for new grants)
- Most recent annual report (if applicable)
- Most recent audited financial statement
- Proof of non-profit status – Info from IRS Master File
- IRS Form 990
- CHAR 500

2. Review paper and / or electronic copies of the following:

- Original application
- Budget
- Scope of Services
- Activity Outcome Progress Report(s):

Outcomes were:  Achieved  Partially Achieved  Not Achieved

Comments:

3. Is the organization reaching the target population as described in the Scope of Services?

Yes  No

Comments: N/A

4. Review of Board of Directors' meeting schedule, minutes, and responsibilities.

- How often does the board meet?

**Dutchess County Community Investment Programs  
Monitoring Form**

- What are the board term limits?
- List observations, comments, and / or concerns identified in the board minutes:
- Do board members review the organization’s financial statements? Yes  No  
If so, what financial statements are reviewed and what is the process?
- Do board members perform an annual evaluation / performance review of the Executive Director? Yes  No

Comments:

- Are board members involved in organizational planning? Yes  No  
If yes, how so?

5. Are payment request submissions timely? Yes  No Comments:

6. Are payment request submissions complete? Yes  No Comments:

7. Are Activity Outcome Progress Report submissions timely? Yes  No  
Comments:

8. Are Activity Outcome Progress Report submissions complete? Yes  No  
Comments:

9. Does the organization respond to requests for information in a timely manner?  
Yes  No Comments:

10. Does the organization respond to requests for information accurately? Yes  No  
Comments:

**II. Monitoring Questions**

**A. Client and Activity Information**

1. How do you outreach to clients least likely to use your services?

2. Review activity marketing tools (flyers, presentation material). Does material include the Dutchess County Seal and the statement “paid for in part by Dutchess County?”

Yes  No

Comments:

3. Are volunteers or interns used to provide activity services? Yes  No

If so, what are their duties and have they been trained?

**Dutchess County Community Investment Programs  
Monitoring Form**

4. If applicable, review several client files (selected randomly from a list provided by the organization).

Client File Identifier	Comments

5. Does the organization have a client termination and / or appeal procedure?  Yes  No  
Comments (What is the procedure? If no procedure, could one be implemented?):

**B. Organization / Activity Evaluation**

1. What authority does the board have over organization policy, procedures and financial approvals?

2. What tool and data evaluation method does the organization use to track clients, services and outcome? Review the tool and results of evaluation.

3. How are clients involved in activity planning and evaluation? Review documentation.

4. How does the organization plan to overcome obstacles identified on the final activity outcome progress report?

5. How and with whom does the organization share its' evaluation findings? Review documentation.

6. Did the agency receive the other activity funding outlined in the application?  Yes  No  
If not, how did this affect the activity? Does the activity remain financially feasible?

**C. Financial Information**

1. What accounting system does the organization use? Review ledgers.

**Dutchess County Community Investment Programs  
Monitoring Form**

2. Does the organization's accounting system meet generally accepted accounting procedures?

Yes  No

3. Explain the organization's payment and approval process for expenses related to the activity.

Does the process provide for separation of duties?

4. What methodology is used for allocating costs that are shared by more than one activity?

Does the method meet standards in Policies and Procedures?

5. Review the last audit or financial statement. Does this organization appear to be financially stable?

**D. Compliance Information**

1. As applicable, were services, supplies, materials, equipment etc. procured in accordance with County procurement policies and procedures?

2. Does the organization have a complete file(s) of activity documents?

- Application
- Agreement
- Payment Requests
- Receipts / Invoices (< \$300.00)
- Timesheets
- Payrolls
- Progress Reports
- Procurement documentation

**III. Summary / Comments**