



SAMPLE STGP Grant Monitoring Checklist

The San Diego Association of Governments (SANDAG) has developed a Monitoring Checklist to assist in the monitoring of subrecipients of federal funds and recipients of TransNet Senior Mini-Grant funds, collectively referred to as “grantees.” The elements will monitor the consistency of the grantee’s delivery with that which is reflected in the original grant application and the grantee’s compliance with each of their grant agreement terms. This Monitoring Checklist provides grantees with an example of a checklist that SANDAG uses during desk reviews and/or site visits to assess the performance of the grantees and during the competitive process to determine a past performance adjustment to applicant scores. Should a deficiency be found, SANDAG staff will determine appropriate follow-up actions. **If an agency program has multiple STGP grants of one grant type, each grant target will be totaled and scored cumulatively in Section II. If an agency program has multiple STGP grants on one grant type, each grant will be scored individually in Section III and totaled. Scoring calculations will be provided if necessary.**

Part I: General Grantee Compliance

Grantee Information and Review Details

Grantee Name	[Enter Grantee Name]
Grantee Contact Name	[Enter Grantee Project Manager Name]
SANDAG Program Manager Name	[Enter SANDAG Program Manager Name]
Date of Review	Click or tap to enter a date.
Review Period	[Enter Fiscal Year (Date-Date)]

I. Grantee Compliance (25%)

Question	Response	Explanation & Solution
Code of Conduct		
1. Does the grantee have a written code of conduct to govern the actions of its officers, employees, board members, or agents engaged in the award or administration of subagreements, leases, or third-party contracts?	Choose an item.	
Insurance		
2. Has the grantee submitted and maintained evidence of compliance with insurance requirements?	Choose an item.	
Cost Principles/Financial Management		
3. Did the grantee maintain an accounting system and records that separate grant expenses from non-grant-related expenses?	Choose an item.	
4. Did the grantee maintain adequate financial control mechanisms (e.g., financial management system, mileage logs, expense ledgers, etc.) containing all required information?	Choose an item.	
5. Did the grantee review, whether in a formal or informal audit, the financials of its agency, officials, and program, including, but not limited to its Single Audit, Program Audit, or an annual financial audit?	Choose an item.	
6. Did the grantee receive no material findings in the audit or, if material findings were identified, work to rectify those said findings within the timeline listed in the report?	Choose an item.	

Records		
7. Are project documents and accounting records readily accessible and available for review by SANDAG upon request and kept separate from documents not related to the project? SANDAG staff will review any third-party contractor documents and accounting records to ensure necessary requirements are included.	Choose an item.	
8. Does the grantee's record retention policies align with the grant agreement's record retention requirement?	Choose an item.	
9. Was program participation tracked sufficiently to fulfill requirements for tracking the Needs Accommodation Policy?	Choose an item.	
Outreach		
10. Did the grantee submit program marketing materials to SANDAG for review?	Choose an item.	
11. Did the grantee provide SANDAG with program information, testimonials, and photos to support media and communication efforts?	Choose an item.	
Title VI and ADA Compliance		
12. Did the grantee submit Title VI Program updates on time?	Choose an item.	
13. If a grantee has office(s) that are open to the public, are they accessible and usable to individuals with disabilities (i.e., ramps or elevators)?	Choose an item.	
14. Does the grantee have a nondiscrimination policy, a written complaint form, and complaint procedures that are posted?	Choose an item.	
15. Did the grantee receive either no discrimination complaints or, if complaints were received, did the grantee provide written notice to SANDAG within 72 hours of receiving the complaint and work toward a resolution?	Choose an item.	
16. Does the grantee have a method for recording service, discrimination, and/or Title VI-related complaints and documenting the steps taken toward resolution?	Choose an item.	
17. Did the grantee adequately track client demographic data, including frequency of client access, and provide the data to SANDAG?	Choose an item.	
18. Are outreach materials translated into appropriate languages given the communities served or the agency's Language Assistance Plan?	Choose an item.	
19. Are the grantee's policies and procedures based on offering an integrated service?	Choose an item.	
20. If requested, did the grantee permit portable oxygen supplies that complied with Department of Transportation hazardous material rules?	Choose an item.	
21. Are the geographic service area or hours and days of service the same for all riders?	Choose an item.	
22. If requested, did the grantee permit service animals for individuals with disabilities in its vehicles and facilities?	Choose an item.	
23. Are grantee's operating personnel trained to proficiency in operation of ADA equipment including wheelchair securement?	Choose an item.	
24. Are telephone wait times equivalent for persons with disabilities and persons without disabilities?	Not Applicable	

25. Is the provision of service the same for all riders and the days and hours to request service the same?	Choose an item.	
26. Are capacity constraints, including trip denials, waiting lists or trip caps the same for all riders?	Choose an item.	
27. Do riders with disabilities have access to the same information and reservation systems than persons without disabilities, including information in alternate formats?	Choose an item.	
28. Is general information including application forms, fares, schedules etc., available in alternative formats (Braille, TTY)?	Choose an item.	
29. If the grantee held public meetings, were the meeting presentations and information provided in alternative formats upon request?	Choose an item.	
30. If the grantee held public meetings, were they accessible to individuals with disabilities?	Choose an item.	
Transit Asset Management (TAM)		
31. Did the grantee submit TAM asset data by SANDAG's deadline?	Choose an item.	
32. Did the grantee appoint an accountable executive by the SANDAG deadline?	Choose an item.	
Total Applicable Questions	[Enter #]	
Total Affirmative Responses	[Enter #]	
Percentage of Affirmative Responses	[Enter %]	
Score	Choose an item.	

Part II: Individual Grant Agreement Compliance

Grant Agreement Information

Agreement Number(s)	[Enter grant agreement number(s)]
Program Name(s)	[Enter Project Name]
Grant Source/Program(s)	Choose an item.
Grant Type	Choose an item.
Subcontractor(s)	[Enter Subcontractor Name(S)]

II. Grant(s) Service Quantities (25%)

Target Number of Units of Service Delivered	[Enter Target]
Actual Number of Units of Service Delivered	[Enter Actual]
Percentage Over/Under Target Units	[Enter Percent Above/Below]
Target Cost Per Unit of Service Delivered*	[Enter Target Or Not Applicable]
Actual Cost Per Unit of Service Delivered*	[Enter Actual Or Not Applicable]
Percentage Over/Under Target Cost*	[Enter Percent Or Not Applicable]
Sum of Percentage Over/Under Targets	[Enter Percent Over/Under Or Not Applicable]
Average of Service Percentage Targets	[Enter Percent Or Not Applicable]
Score	Choose an item.

*Cost per unit of service is not applicable to capital vehicle or other equipment grants.

III. Grant(s) Management (50%)

Topic & Question	Response	Explanation & Solution
Scope(s) of Work		
1. Did the grant exhibit timely progression on each task included in the scope of work?	Choose an item.	
2. Did the grantee complete the Project according to the Project Schedule included in the grant agreement? If the grantee encountered or anticipated difficulty in meeting the Project Schedule, did the grantee notify SANDAG in writing? Did the notification include the reason(s) for the delay in performance and the date by which grantee expected to complete performance or delivery?	Choose an item.	
Grant(s) Management		
3. Are all services being delivered eligible under federal grant requirements and/or the grant agreement?	Choose an item.	
4. If the grantee encountered or anticipated difficulty in meeting the milestones or change in program management, did the grantee notify SANDAG in writing in a timely manner?	Choose an item.	
5. If a Corrective Action Plan was required, did the grantee implement proposed actions and correct deficiencies within the timeframe stated in the Notice to Complete a Corrective Action Plan?	Choose an item.	
6. Were all grant expenditures allowable and accounted for in accounting records?	Choose an item.	
7. Did the grantee charge allowable costs during the monitoring period?	Choose an item.	
8. Did the grantee provide evidence of a competitive procurement or obtain prior written approval of SANDAG to utilize a noncompetitive procurement for each third-party contract over \$10,000?	Choose an item.	
9. Did the grantee provide sufficient documentation to support grant expenses and, if indirect costs were included, were the necessary indirect costs methods used?	Choose an item.	
10. Did the grantee provide adequate matching funds from one or more allowable sources of matching funds?	Choose an item.	
11. Were all expenses in accordance with generally accepted accounting principles including, but not limited to 2 CFR Part 200: Uniform Administrative Requirements, Cost Principles, and Audit Requirements?	Choose an item.	
Grant(s) Reporting		
12. Did the grantee submit reports at least quarterly?	Choose an item.	
13. Were sufficient materials including required documentation consistently submitted with reports (at least 80% submitted with all required documentation, and free of errors)?	Choose an item.	
14. Are required grant reports submitted in a timely manner (at least 95% submitted on time)?	Choose an item.	
Grant-funded Vehicle Fleet Management*		
15. Were funds owed to SANDAG related to a vehicle purchase submitted in a timely manner (within 90 days)?	Choose an item.	

16. Did the grantee continually operate the vehicle(s) at least 20 hours per week unless a waiver was granted by SANDAG?	Choose an item.	
17. If vehicle(s) were placed out of service for more than seven business days, did the grantee fail to notify SANDAG within 72 hours more than five times?	Choose an item.	
18. If vehicle(s) were modified, did the grantee request and receive SANDAG prior approval?	Choose an item.	
19. If vehicle(s) were delivered, did the grantee complete a road test and submit a completed Vehicle Inspection Form, vehicle photographs, and delivery date information within two months of delivery?	Choose an item.	
20. Did the grantee put its vehicle(s) into service within three months of SANDAG notifying the grantee that its vehicle(s) were accepted and could be put into service?	Choose an item.	
21. Did the grantee maintain adequate records of vehicle usage including, but not limited to, preventative and routine maintenance, mileage logs, one-way-passenger trips, and damage reports?	Choose an item.	
22. If deficiencies were identified during SANDAG vehicle inspections, were these deficiencies resolved within two weeks of notification by SANDAG?	Choose an item.	
23. If vehicle(s) were candidates for disposition, did the grantee notify SANDAG immediately in the event of an early disposition or within 6 months of the end of the vehicle('s) minimum useful life?	Choose an item.	
24. If grantee returned a vehicle to SANDAG prior to the vehicle reaching its minimum useful life, was the reason for the return caused by a force majeure event or otherwise not due to a failure in grantee performance?	Choose an item.	
Total Applicable Questions	[Enter #]	
Total Affirmative Responses	[Enter #]	
Percentage of Affirmative Responses	[Enter %]	
Score	Choose an item.	

*Topic not applicable if a grantee does not have capital vehicle grants from Cycle 11 or above.

Signatures

By signing below, I confirm receipt of this completed Monitoring Checklist.

Grantee Project Manager (Print)

Signature

Date