

# Monitoring Checklist

**TOTAL SCORE:**

The San Diego Association of Governments (SANDAG) has developed a Monitoring Checklist to assist in the monitoring of all grantees under the specialized transportation grant programs. While some elements of the checklist are related to good business practices, most elements will monitor the consistency of the grantee's project delivery with that which is reflected in the original grant proposal and the grantee's compliance with the terms of the grant agreement. The Monitoring Checklist is used at site visits to assess the performance of the grantees and during the competitive process to determine a past performance adjustment to the scores of the applicants. When used during a routine site visit, SANDAG and grantee will discuss each box checked NO to determine whether or not it is considered a deficiency, and any responses or solutions the grantee proposes to come into compliance, when applicable. SANDAG will send a final version of the Monitoring Checklist, including a total score (between positive 2% and a negative 10%) within one week of the date of the site visit. This score can be used by the grantee as an indicator of performance. When the Monitoring Checklist is used to determine a past performance adjustment, SANDAG will make the completed Monitoring Checklist available to grantees as part of the debriefing process after projects have been awarded funding.

<input type="checkbox"/> Initial Review	<input type="checkbox"/> Annual Review	<input type="checkbox"/> Final Review	<input type="checkbox"/> Performance Based Adjustment
Grantee:	Date of Site Visit:		
Contract No.:	Contract No.:		
Contract Start/End:	Contract Start/End:		
Months of Activity:	Months of Activity:		
Contract No.:	Contract No.:		
Contract Start/End:	Contract Start/End:		
Months of Activity:	Months of Activity:		
Grantee Staff:			
SANDAG Staff:			

## Section 1 – Cost/Unit

Types of units of service:

Proposed cost per unit of service delivered:

Actual cost per unit of service delivered:

Percentage (above/below) proposal:

### Score

More than 10% under proposed cost per unit	+ 0.5%
+/- within 10% of proposed cost per unit	0%
10 – 15% over proposed cost per unit	- 0.5%
15 – 20% over proposed cost per unit	- 1.0%
20 – 25% over proposed cost per unit	- 1.5%
25 – 30% over proposed cost per unit	- 2.0%
30% or more over proposed cost per unit	- 2.5%

## Section 2 – Quantity of Service Delivered

Proposed number of units of service delivered:

Actual number of units of service delivered:

Percentage (above/below) proposal:

### Score

More than 10% over proposed number of units of service	+ 0.5%
+/- within 10% of proposed number of units of service	0%
10 – 15% under proposed number of units of service	- 0.5%
15 – 20% under proposed number of units of service	- 1.0%
20 – 25% over proposed cost per unit	- 1.5%
25 – 30% under proposed number of units of service	- 2.0%
30% or more under proposed number of units of service	- 2.5%

## Section 3 - Project Management

1. Did the grantee exhibit timely progression on each task included in the scope of work? YES NO N/A

Task 2: ☐ ☐ ☐

Task 3: ☐ ☐ ☐

Task 4: ☐ ☐ ☐

Task 5: ☐ ☐ ☐

Task 6: ☐ ☐ ☐

Task 7: ☐ ☐ ☐

Task 8: ☐ ☐ ☐

	YES	NO	N/A
2. Did the grantee maintain sufficient staff capacity to manage the project and comply with the terms of the grant agreement?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Did the grantee request prior authorization from SANDAG before making any significant changes to the project?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Did the grantee request prior authorization from SANDAG before entering into any non-budgeted purchase or sub-grantee agreement exceeding \$500?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

<b>Budget Management</b>	YES	NO	N/A
1. Was the budget managed such that no revisions were made during the period?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Were funds drawn down in a timely manner?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. If indirect costs are included in the project budget, does the grantee have an indirect cost rate approved by a cognizant agency for Federal grants or by SANDAG for <i>TransNet</i> grants?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Was the methodology for calculating in-kind contributions towards matching funds reasonable?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Were all travel costs in accordance with the per diem rates specified by the State of California for similar employees?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. If the program has a user fee, did the grantee collect the amount of revenue from user fees projected in the application? Projected User Fees: _____ Actual User Fees: _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. Did the grantee maintain a separate set of accounts for the project?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. Did the grantee have sufficient cash flow to support the reimbursement aspect of the grant program?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9. Were the matching funds provided from the source identified in the original proposal? Source: _____ Actual: _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

<b>Records</b>	YES	NO	N/A
1. Are accounting records available for review by SANDAG?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Are all expenditures accounted for in accounting records?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Did the grantee maintain a mileage reimbursement log available for inspection by SANDAG?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Are documents related to project expenses readily accessible and available to SANDAG upon request and kept separate from documents not related to the project?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Does the grantee have a plan to comply with the grant agreement's records retention requirement?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. Was ridership and associated program data tracked adequately and available to SANDAG?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. Was program participation tracked sufficiently to fulfill requirements for Title VI reporting and tracking for the needs accommodation policy?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. Did the grantee maintain an inventory of grant purchased equipment (includes date acquired, total cost, serial number, legal description, model identification, and any other identifying information necessary)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

<b>Administrative Costs</b>	YES	NO	N/A
1. Are administrative costs a reasonable portion of costs given the nature of the project?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

<b>Coordination</b>	<b>YES</b>	<b>NO</b>	<b>N/A</b>
1. Does a representative from the grantee's organization attend Council on Access and Mobility (CAM) meetings?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Does the grantee participate in countywide emergency preparedness efforts?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Does the grantee partner with others for combined purchasing of large quantity or high value items?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. If there is a volunteer driver component to the project, does the grantee participate in the volunteer driver coalition?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Does the grantee participate in other coordination efforts with partner agencies?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

<b>Service Area Adherence</b>	<b>YES</b>	<b>NO</b>	<b>N/A</b>
1. Were any changes to the service area approved by SANDAG in advance?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

<b>Project Schedule</b>	<b>YES</b>	<b>NO</b>	<b>N/A</b>
1. Did the grantee remain on schedule such that no extensions were required for any major milestones or the project completion date?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Did the grantee exhibit timely progress toward the completion of the project during this period?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Did the grantee wait to receive the notice to proceed prior to initiating project activities?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

<b>Invoice and Report Quality and Consistency</b>	<b>YES</b>	<b>NO</b>	<b>N/A</b>
1. Were sufficient materials including required documentation consistently submitted with the invoice packet? (at least 75% invoices submitted with all required documentation, and invoice forms filled out correctly)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Are required grant reports submitted in a timely manner? (at least 75% invoices submitted on time)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

<b>Grant Agreement Compliance</b>	<b>YES</b>	<b>NO</b>	<b>N/A</b>
1. Were competitive bids solicited for significant purchases greater than \$3,000?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Did the grantee include the necessary provisions in any subagreement?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Did the grantee adequately monitor any subgrantees/ subcontractors to ensure Federal and/or <i>TransNet</i> compliance with provisions in the subagreement?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Is the grantee in compliance with Title VI requirements, including a nondiscrimination policy and written complaint procedures that are posted?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Did the grantee maintain a written code of conduct or standards of conducts for persons engaged in the award or administration of sub-agreements, leases, or third-party contracts?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. Did the grantee provide evidence of compliance with insurance requirements (general liability, automobile liability, workers comp)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. If the grantee received more than \$500,000 in federal assistance in the previous fiscal year, was a Single Audit (OMB A-133) completed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. If a Single Audit was completed, were findings resolved within six months of receipt of the audit report?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9. If grantee has used non-federal funds for lobbying activities, was the proper disclosure submitted to SANDAG on OMB Standard Form LLL?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. Did the grantee submit all applicable forms on time including progress reports, Title VI Plan, Title VI Plan Resolution, Certificate of Civil Rights Assurances, Equal Employment Opportunity Certificate, Subrecipient Title VI Non-Discrimination form, Disadvantaged Business Enterprise Program Statement, Buy America Certificate, and Client Voluntary Demographic Data Survey?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

11. Are all services being delivered eligible under federal grant requirements and/or the grant agreement?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12. Did the grantee submit marketing materials to SANDAG for review and regularly provide SANDAG with project information and photos to support media and communication efforts?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
13. Is the grantee in compliance with applicable Americans with Disabilities Act requirements?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

## Score

More than 95% affirmative answers for applicable responses	+ 0.5%
90 – 95% affirmative answers for applicable responses	0%
85 – 90% affirmative answers for applicable responses	- 0.5%
80 – 85% affirmative answers for applicable responses	- 1.0%
75% – 80% affirmative answers for applicable responses	- 1.5%
70% – 75% affirmative answers for applicable responses	- 2%
Less than 70% affirmative answers for applicable responses	- 2.5%

## Section 4 - Service Quality

	YES	NO	N/A
1. Did the project represent an expansion in services provided?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Did the grantee maintain the service parameters as originally proposed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Are there accessible services available?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Are the service parameters an appropriate match for the clients' needs?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Quality Control Measures	YES	NO	N/A
1. Has the grantee developed and implemented criteria for prioritizing clients to be served where program resources are insufficient to meet the demand for services?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Does the grantee employ adequate quality control measures?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Is the effectiveness of the service analyzed at least quarterly?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Does the grantee track on-time performance?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. If so, does the service generally operate on time?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Customer Satisfaction	YES	NO	N/A
1. Has the grantee developed and distributed a customer satisfaction survey?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. If a survey is used, is the general feedback positive?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Do other methods of feedback indicate positive customer satisfaction?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Safety	YES	NO	N/A
1. If required, does the grantee participate in annual CHP terminal inspections?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Are drivers required to have a commercial driver's license to operate commercial vehicles?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Are program participants, drivers, and volunteers properly trained?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. CPR/first aid training? Sensitivity training?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Outreach	YES	NO	N/A
1. Does the program provide supporting services, information and assistance, and outreach?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Were outreach measures conducted at least quarterly?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Are the outreach materials effective, as indicated by growing clientele?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Are outreach materials translated into appropriate languages given the communities served?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

## Score

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80 – 85% affirmative answers for applicable responses	- 1.0%
75% – 80% affirmative answers for applicable responses	- 1.5%
70% – 75% affirmative answers for applicable responses	- 2.0%
Less than 70% affirmative answers for applicable responses	- 2.5%

No Check Boxes	Explanation

Identified Deficiencies	Responses and Solutions

Follow Up Items

\_\_\_\_\_  
SANDAG Project Manager

\_\_\_\_\_  
Grantee Project Manager