

# Procedural Monitoring Best Practices

**Robert Garber**

Missouri Department of Economic Development /  
Division of Energy



**NASCSP 2017 Spring Training Conference**

*Weatherization  
Works*

# Let's Start with a Straw Poll

- How often does your state do on-site procedural monitoring at each subgrantee?
- Do you schedule all of the visits for a Program year after the start of and before the end of that Program year?
- When and how do you schedule those visits?
- Do you desk reviews? How often, and to what extent
- **Monitoring is one of the primary ways to ensure the public purpose of the Program is being met at all times.**

DOE WPN 16-4

*Works*

# What's in YOUR Procedural Monitoring Plan?

Missouri's Monitoring Tool is broken down  
into six major categories:

- **Conflict of Interest**
- **Expenditures**
- **Program Compliance**
- **Financial Controls**
- **Procurement**
- **Prior Monitoring & Audits**

*Weatherization  
Works*

# Conflict of Interest



- Client / Subgrantee Relationships
- Subgrantee / Contractor Relationships
- Others?

*Weatherization  
Works*

# Financial Controls

- Policies and Procedures Manual Review
- Bank Accounts
  - Bank Authorization Forms (who can do what)
  - Pledged Securities Agreement
  - Bank Account Reconciliations
- Revenues (payments from the State) Postings

*Weatherization  
Works*

# Expenditures

- Invoice and Payment Voucher Reviews
- Indirect Rate / Cost Allocation Plans
- Administrative Expenditures
- Training and Technical Assistance Expenditures
- Single Audit Expenditures

*Weatherization  
Works*



# Procurement

- Contractors
- Weatherization Materials
- Insurance Policies
- Single Audit

*Weatherization  
Works*

# Program Compliance

- Waiting List/Priority Points
- Vehicles and Equipment
- County Service Statistics
- Production Progress
- Contractor Files Review
- Wx Materials Inventory
- Client Files
- Expenditures Progress
- Average Cost per Home
- Timeliness of Reporting

*Weatherization  
Works*



# Prior Monitoring and Audits

- Agency-wide Single Audit
- Previous Year's Fiscal / Procedural Monitoring Report

*Weatherization  
Works*



**One Last Question:**

**How do you view  
your subgrantees?**

*Weatherization  
Works*

# Like this?



**or like this?**



# Contact Information

Robert Garber

Energy Specialist III

Missouri Department of Economic Development

Division of Energy

PO Box 1766

Jefferson City, MO 65102-1766

Telephone: (573) 522-6930

Email: [robert.garber@ded.mo.gov](mailto:robert.garber@ded.mo.gov)

*Weatherization  
Works*