



Monitoring & Technical Assistance Guide for Video Gaming Revenue Grants

- ✚ **Ensuring Video Gaming revenue is used effectively to alleviate the harmful effects of gambling and enhance Lake County's behavioral health service sector.**
 - ✚ **Complying with program requirements**
 - ✚ **Building grantee capacity & improving program performance to assist the residents of Lake County**
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#	Requirement	Minimum Standard
Documentation Requirements		
1)	Program maintains adequate documentation to demonstrate participants are residents of Lake County.	All client files reviewed demonstrate program beneficiaries are residents of Lake County.
2)	Program has a recordkeeping system in place to ensure clients are unduplicated.	Each client should have a unique identifier assigned to their file that ensures their involvement with the agency is never counted more than once.
3)	Policies and procedures are in place to ensure documentation requirements are met.	Agency has a policy and procedure manual, that is reviewed from time-to-time by the agency, that provides instruction on how documentation should be carried out and a file review shows that these procedures are followed.
4)	When practicable, organizations benefitting from video gaming revenue will use ServicePoint for referrals.	When it is not otherwise clinically contraindicated, organizations should use ServicePoint for client referrals. If another means of referrals are being utilized, agencies will provide clear evidence demonstrating why this is necessary.
Facility		
5)	Facility is clean and safe including structure & materials, access, space & security, air quality, water supply, sanitary facilities, thermal environment, illumination & electricity, food prep (if applicable), sanitary conditions, and fire safety.	A walkthrough will reveal a reasonable standard of facility quality is being upheld and organizations will hold a Certification of Occupancy (when applicable).
Financial		
6)	Program follows written policies and procedures to maintain adequate oversight and control of its finances to ensure accurate, current, and complete disclosure of financial results. The organization maintains written standards of conduct governing the performance of its employees engaged in the award and administration of contracts.	Program follows written procedures to record financial transactions, determine the reasonableness and allowability of costs, separate duties to ensure no one individual has authority over an entire financial transaction, and routinely compares expenditure & budget.

#	Requirement	Minimum Standard
7)	Expenditures are eligible under the grant agreement / program regulations, are correctly classified, are supported by the general ledger, timesheets, payroll register, invoices, contracts, purchase orders, & receipts. Payment vouchers are submitted at least quarterly.	Payment vouchers are submitted at least quarterly and expenditures reviewed are eligible, correctly classified, & have sufficient supporting documentation to demonstrate expenditures were incurred & justified. As necessary source documents will be cross referenced with voucher submissions.
8)	Program maintains time sheets for chargeable salaries. If more than one funding source supports a staff position, then evidence is provided that the organization is accurately recording which funding source is paying for which portions of that person's salary.	For all positions funded with more than just VGR, the program maintains time sheets that are signed and dated by the staff member and their supervisor. Time is recorded as actual time engaged in VGR activities and corresponds with billing information.
9)	Program conducts an annual audit by an independent auditor that does not reveal findings or weaknesses that raise concerns about the agency's ability to sustain itself or meet grant obligations.	Most recent annual audit states that financial statements accurately reflect the actual revenues, assets, expenditures, & liabilities and the grantee quickly resolved any audit deficiencies, compliance findings, questioned costs, or recommendations.
10)	Program maintains a responsible financial plan and fundraising strategy updated annually.	Program follows a written financial & fundraising plan updated annually.
11)	Program follows written standards and guidelines for the procurement of supplies, equipment, construction, and services to ensure that they are obtained as economically as possible through an open and competitive process, and that purchases are managed with good administrative practices and sound business judgment & prohibit conflicts of interest.	Program follows written procurement procedures that specify the steps taken to avoid the purchase of unnecessary items, avoid conflicts of interest, some form of cost/price analysis for goods and services over an identified amount, and a system in place for tracking property and other assets bought or leased through grant funds.
Progress & Reporting		
12)	Program is progressing as described in their contract – outcome goals and proposed number of clients served are within reach.	Progress is in line with outcomes established in the contract, and actual clients served are in line with proposed number.
13)	Programs must show that VGR funding has contributed to a quantifiable capacity benefit at the agency and does not use VGR funds to replace State or Local government funds.	Agency demonstrates that, but for VGR funds, clients would otherwise not be served and does not use VGR funds to replace other available funds.
14)	Quarterly reports are submitted on time with accurate and quality data.	A review of quarterly reports will reveal complete and timely submittal of reports.
15)	Program is clearly meeting a VGR goal and has quantifiable data available for performance reporting.	Program demonstrates evidence that a VGR goal is being met and produces quantifiable quality data for performance reporting.