



Monitoring for CED Grantees

This resource will help Community Economic Development (CED) grantees understand the monitoring process administered by the Office of Community Services (OCS) and how to ensure a successful monitoring visit.

What is Monitoring?

Monitoring provides a programmatic and fiscal review of a CED project. Each year, OCS chooses a group of CED grantees to receive an on-site monitoring visit. Undergoing a set of monitoring visits each year is a part of OCS' ongoing efforts to implement methods to constructively assist in the facilitation of project implementation, increase impact, and secure successful project outcomes. The objectives of the monitoring visits include:

- Obtaining a clear understanding of grantee's interpretation of the requirements of the applicable Federal statute, regulations, and grant award terms and conditions.
- Understanding how grantees are implementing Federal and State requirements, as applicable.
- Analyzing grantee policies and procedures for preventing, detecting, and resolving waste, fraud, and abuse.
- Gather information on best practices and strategies to create new training and technical assistance tools and resources for current and future grantees.

What are the Steps in the Monitoring Process?

The monitoring process begins when OCS selects the grantees to be monitored in the upcoming fiscal year. Once the grantee organization is notified that it will be the recipient of a monitoring visit, the grantee and the monitor work together to prepare for the visit. Leading up to, during, and after the monitoring visit, the grantee is expected to assist the monitor by responding to requests for documentation, answering questions, and facilitating meetings as requested.

Step 1: Grantee Selection

Each year, OCS selects a set of active CED grantees to be monitored based on:

- Date of last on-site monitoring visit
- Year in grant life cycle
- Progress toward key performance metrics
- Compliance with programmatic and financial reporting

Monitoring is aimed at ensuring grantees are operating in compliance with:

- Federal grant requirements (e.g., reporting, accounting, etc.)
- Grant administration policies and procedures (e.g., properly processing administrative changes)
- CED programmatic requirements (e.g., tracking the creation of jobs for low-income individuals)

Communication with Grantees Selected for Review

After the OCS Director approves the list of grantees that will be monitored, the monitoring contractor will draft a letter to each grantee informing them that they will be monitored. The contractor will then follow-up with the grantee to plan for the visit.

Step 2: Pre-Site Visit

Once a grantee has been selected for monitoring, OCS sends a monitoring letter to the grantee at least **30 days** prior to the visit. The monitor and the grantee are expected to work in partnership to prepare for the site visit.

Responsibilities are as follows:

Monitor	Grantee
<ol style="list-style-type: none"> 1. Read grantee documents 2. Talk to Program Specialist about the grantee 3. Prepare a draft agenda for the visit 4. Hold a conference call with the grantee at least 10 days prior to the visit 	<ol style="list-style-type: none"> 1. Gather and send requested documents to the monitor within 20 days after receipt of the letter (see <i>Documents that May be Requested During a Monitoring Visit</i> below) 2. Conference call with the monitor to provide input on the visit agenda and ask questions

Step 3: Site Visit

Several activities may occur during the site visit. After the activities, the monitor and grantee will debrief the visit.

Monitor	Grantee
<ol style="list-style-type: none"> 1. Review project’s performance, financial management, and grantee actual performance against the project’s proposed timeline 2. Meet with key staff, project partners, and the Board 3. Tour the project location(s) 4. Verify the documents 5. Ask follow-up questions as needed 6. Answer any grantee questions 	<ol style="list-style-type: none"> 1. Provide a project overview 2. Facilitate meetings 3. Provide additional documents 4. Answer monitor’s questions 5. Ask follow-up questions as needed
Debrief	
<ol style="list-style-type: none"> 1. The monitor and grantee discuss the findings of the visit 2. The grantee may request, or the monitor may recommend, TA 3. The monitor shares concerns with the grantee that will be included in the monitoring report 	

Step 4: Post-Site Visit

After the on-site monitoring visit, a monitoring report will be created to review the visit and provide next steps.

Monitor	Grantee	OCS
Prepares and submits a report and letter to OCS 45 days after the visit	<ol style="list-style-type: none"> 1. Supplies any additional documentation upon request 2. Takes feedback survey 30 days after the visit 	Sends a draft monitoring report 90 days after visit to the grantee and post in GrantSolutions

How Can Grantees Ensure a Successful Visit?

Grantees can complete the following to ensure a successful monitoring visit.

- Be responsive to the monitor
- Submit requested documents on time
- Coordinate any interviews and activities for the CED-funded project visit as discussed with the monitor
- Coordinate with Board Member(s) and other stake holders (listed above) to be available to discuss the progression of the grant
- Gathering information about the project (e.g., budget documentation, etc.) and be prepared to share it with the monitor

Documents that May be Requested During a Monitoring Visit

- Most recent Independent Audit Report
- List of all program income related to the CED grant
- Documentation of businesses created or expanded
- Documentation of permanent, full-time positions created (w/salaries and benefits)
- List of all bank accounts associated with the CED grant
- List of loans, collaterals pledged, and supporting documentation
- Copies of signed Contracts
- Copies final signed loan documents.
- Listing of individuals/organizations that have or are projected to have ownership interest in the project
- Copy of most recent Board of Directors meeting minutes
- Proof of insurance coverage for assets related to the CED grant (if applicable)
- Letters, Beneficiary Agreements, Memoranda of Understanding (MOUs) entered after the grant award
- Temporary Assistance for Needy Families (TANF) & Child Support Enforcement (CSE) agreements