



2013 CED Spring Webinar Series
Track 3: Managing Your Grant

Division of Community Discretionary Programs (DCDP)

Monitoring Site Visits

U. S. Department of Health and Human Services
Administration for Children and Families
Office of Community Services

May 9, 2013

Audio dial-in number: 888-471-3843

Passcode: 5230241



Agenda

- Welcome – Harold Taylor (OCS)
- Overview of Monitoring – Mitchell Greene
 - Selection & Notification
 - Documentation
 - The Visit
 - After the Visit
 - Leading Issues
- Questions & Answers



Introduction

- The purpose of grantee monitoring site visits is to provide fiduciary oversight of Federal community investments as well as to provide CED grantees guidance in the implementation and operation of effective and successful projects that will ultimately provide low income individuals with substantive employment.



Grantee Selection

- Healthy Food Financing Initiative grantees
- Exemplary grantees/grantees w/challenges
- Organizational/program types
- Grant award amount
- Multiple of CED grants
- Impact of technical assistance
- Location / Geographical diversity



Grantee Notification

- 1st notification by letter:
 - Minimum 30 days prior to site visit
- 2nd notification by phone:
 - 10-15 days prior to site visit to schedule conference call with DCDP Program Specialist and Monitor



The Grantee is Responsible for:

- Completing and submitting mandatory documentation
- Collaboration with contract monitor to prepare an adequate agenda
- Implementation of agenda
- Arranging interviews with agency staff, clients board members as well as project or community partners
- Gathering and providing requested materials
- Briefing agency staff about visit objectives



Documentation

Documents to be submitted to OCS in 20 days:

- Most recent Independent Audit Report
- Copy of most recent semi-annual report
- List of all program income related to the CED grant
- List of loans, collaterals pledged, and supporting documentation related to the grant (if applicable)



Documentation

Documents to be submitted to OCS in 20 days:

- Current grantee organizational documentation (including current listing of board members, resumes of any executive staff retained since grant award and organizational chart)
- Documentation of permanent full time jobs created (w/salaries)
- Documentation of businesses created
- Documentation of sources and uses of leveraged dollars (if applicable)



Documentation

Documents to be submitted to OCS in 20 days:

- Contracts/Loan Approvals/Agreements/MOU
- Financial Assistance Awards
- Methodology used to measure outcomes
- Copy of general ledger



Documentation

Documents that may need to be provided during site visit:

- Supporting documentation for most recent Financial Status Report that includes Federal expenditures
- Current and prior budgets (FYs 2011/2012)
- List of budget transfers and supporting documentation
- Last two funds draw-down and supporting documentation, including list of related
- Invoices or expenditures
- List of all bank accounts associated with the CED grant



Documentation

Documents that may need to be provided during site visit:

- Proof of Notice of Federal Interest inscription with the local jurisdiction (if applicable)
- Reconciliation procedures between fixed asset system and general ledger
- Written organizational procedures for funds drawdown
- Procedures for any asset operated by third party related to the CED grant
- Written codes of conduct for employees engaged in the grant
- Procurement procedures



Documentation

Documents that may need to be provided during site visit:

- Letters/Beneficiary Agreements/MOU's entered into subsequent to grant award
- TANF & Child Support Enforcement agreements/list of collaborating organizations
- Copy of most recent Board of Directors Meeting Minutes
- Proof of insurance coverage for assets related to CED grant (if applicable)
- Fixed asset reconciliation, disposal and inventory records related to the grant



The Visit

- Type and number of permanent, full-time jobs created for low-income individuals thus far;
- Verification that grant funds are being distributed and expended in accordance with statutory, regulatory, agency and programmatic guidelines;
- Amount of non-federal funds leveraged and in-kind services provided;
- Accurate completion and timely submission of required fiscal and programmatic reports; and
- Physical visit of project site
- Interviews w/ clients, staff and board members



Onsite Activities

- Job Creation
- Use of leveraged dollars
- Adherence to third party agreements
- Intangible Property
- Loan/Equity Investment
- Equipment
- Real Property
- Construction/Renovation
- Proof of Notice of Federal Interest



On Site Activities

- Financial Management System
- Methods For Making Payment
- Rules for Satisfying Cost Sharing
- Program Income
- Budget Revision Approval
- Determination that all costs are allowable
- Establishing Fund Availability



After the Site Visit

- Grantees should receive compliance letter with findings within 30 days of completion of site visit.
- Follow-up with non-responsive/non-compliant grantees 30 days after compliance letter issues
- Follow up with grantee regarding progress and outcomes 90 days after site visit.



5 Leading Issues

- Failure to document participant eligibility
- Failure to file Notice of Federal Interest/
Disposition of Assets
- Inadequate financial systems
- No written program (i.e. drawdown,
procurement) procedures
- **FAILURE TO CREATE JOBS**



Questions

- **Submit a written question via LiveMeeting.**
 - If you have a question, please change your feedback (status) from green to purple to let us know you have a question.
- **Press *1 on your phone.**
 - If your question is answered while you are waiting, please remove yourself from the queue by pressing *2. Wait until the indicated intervals for the question and answer period.
- **If you have further questions after this webinar, email OCSRegistrar@icfi.com.**