



Community Economic Development

Division of Community Discretionary Programs (DCDP)

Preparing for Your Monitoring Visit

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

March 31, 2016

Purpose of Monitoring Site Visit

- ❑ Programmatic review
- ❑ Fiscal Review



Grantee Selection

- ❑ CED and HFFI grantees
- ❑ Exemplary grantees and grantees with challenges
- ❑ Grant award amount



Code of Federal Regulations

Monitoring is tied to the CFRs



Grantee Selection

- ❑ Grantees with multiple active CED grants
- ❑ To assess the impact of previously provided technical assistance



Grantee Selection

- Location
- Grantees in close out year
- Grantees who never received a site visit



Grantee Notification

□ Two step process

1. Mail

2. Phone call



CED

Grantee Responsibility

- ❑ Complete and submit mandatory documentation
- ❑ Collaborate with contract monitor to prepare an adequate agenda



Grantee Responsibility

- ❑ Arrange interviews with agency staff, clients board members as well as project or community partners
- ❑ Gather and provide requested materials
- ❑ Brief agency staff about visit objectives



CED

Document Submission to OCS

- ❑ Most recent Independent Audit Report
- ❑ Copy of most recent semiannual report
- ❑ List of **all** program income related to the CED grant
- ❑ List of loans, collaterals pledged, and supporting documentation



Document Submission to OCS

- ❑ Documentation of permanent full time jobs created (w/salaries)
- ❑ Documentation of businesses created
- ❑ Contracts & MOUs
- ❑ Financial Assistance Awards



Document Submission to OCS

- ❑ Methodology used to measure outcomes
- ❑ Copy of general ledger
- ❑ Current grantee organizational documentation
- ❑ Documentation of Sources and Uses



Document Submission to OCS

- Most recent Financial Status Report
- Current and prior budgets
- List of budget transfers
- Documentation of fund drawdowns



Document Submission to OCS

- ❑ List of all bank accounts associated with the CED grant
- ❑ Listing of individuals/organizations that have or are projected to have ownership interest in project



Request During the Site Visit

- ❑ Proof of Notice of Federal Interest filing with the local jurisdiction (if applicable)
- ❑ Reconciliation procedures between fixed asset system and general ledger
- ❑ Written organizational procedures for funds drawdown



CED

Request During the Site Visit

- ❑ 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



Request During the Site Visit

- ❑ Copy of most recent Board of Directors Meeting Minutes
- ❑ Proof of insurance coverage for assets related to CED grant (if applicable)



Request During the Site Visit

- ❑ Letters , Beneficiary Agreements, MOU's entered into subsequent to grant award
- ❑ TANF & Child Support Enforcement agreements
- ❑ List of collaborating organizations



The Site Visit

- ❑ Assessment of jobs created: data and empirical analysis
- ❑ Verification of use of grant funds
- ❑ Determination of amount and use of leveraged non federal funds and in-kind services



CED

The Site Visit

- ❑ Verification of accurate completion and submission of required fiscal and programmatic reports
- ❑ Physical visit of project site
- ❑ Interviews w/ clients, staff and board members



The Site Visit

- ❑ Discussion of project challenges
- ❑ Adherence to third party agreements
- ❑ Review of financing structure of project
- ❑ Verification of Equipment & Real Property



CED

The Site Visit

- ❑ Assess Financial Management System
- ❑ Review Program Income
- ❑ Obtain verification of Budget Revision Approval



The Site Visit

- ❑ Discussion of project challenges
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CED

After the Site Visit

- OCS Monitor submits report PS
- Grantees receives compliance letter
- Follow up with grantee



Universal Concerns

- ❑ Discussion with PS when specific grant actions are needed
- ❑ Failure to file Notice of Federal Interest
- ❑ Financial accounting requirements



Universal Concerns

- ❑ Inadequate written program procedures
- ❑ Accurate accounting of jobs
- ❑ **FAILURE TO CREATE JOBS**



2016 Site Visits

35 grantees

Various project types

Completed prior to September 30, 2016



Questions & Answers



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CED

Closing

Thank you for your time and attention

