



Department of Community &
Economic Development

CENTER FOR COMMUNITY SERVICES

Title: Monitoring Procedures

Directive #: C2016-06

Effective: July 1, 2016

To: Community Action Agency/Limited Purpose Agency Directors

From: Lynette Praster, Director – Center for Community Services

1.0 Purpose:

To provide guidance and an outline of the protocol of the Department of Community and Economic Development's (DCED) monitoring of Community Services Block Grant eligible entities.

2.0 Background:

Beginning in 2016, PA's goal is to conduct a full on-site program review once every two (2) years as stated in the 2016-2017 CSBG State Plan submitted by Pennsylvania. A desk monitoring will be implemented for those grantees not receiving an on-site monitoring. Reviews will be conducted for the 44 eligible entities. More frequent on-site visits either program or fiscal will also be scheduled as needed when performance and/or risk factors are identified.

3.0 Policy:

Program Monitoring

It is the responsibility of the Department of Community and Economic Development (DCED) to monitor the CAAs at least once during every three year period to assure compliance with contractual obligations as per Article V. Compliance with Applicable Statutes and Department Regulations of the Community Services Block Grant contract. This monitoring process also advises DCED of the effectiveness and outcomes of local agencies in conjunction with the objectives of the Community Services Block Grant (CSBG), and federally issued CSBG Organizational Standards

An on-site monitoring visit is conducted for the following purposes:

- ensure programmatic and contractual compliance through the review of agency records and interviews with agency personnel, board members and clients;
- follow-up on program and personnel complaints;
- comply with an agency's request for an on-site visit; and
- discuss technical assistance needs.

Following either a desk review or an on-site visit, a verbal review will be conducted during the exit interview. A finalized written report will be mailed to the grantee within thirty (30) days of the completion of the monitoring visit. It shall identify strengths and weaknesses of the program and any required remedial actions.

Fiscal Monitoring

Further, any entity receiving Community Services Block Grant funds is subject to a fiscal monitoring conducted by the Department's Financial Management Center.

When sub-recipients are being fiscally evaluated, the following areas are tested, using checklists, observations, interviews, and management representations, to meet the objectives of fiscal review:

- Internal Controls
- Separation of Duties
- Expenditure Reporting and Testing
- Cash Management
- Payroll
- Inventory

Attachment D provides instructions and involve a series of questions for each of the areas listed above. Upon completion of testing, one should be able to identify both the fiscal strengths and weaknesses of any organization.

4.0 Notations:

This directive shall supersede and replace in entirety the following directive:

- *Directive C2014-06.*

5.0 Effective Date:

This directive shall take effect January 1, 2016 and replaces Directive #C2014-06. It shall remain in effect, in its entirety, until such time as it is amended, replaced, superseded, or nullified. Only a directive from the Center for Community Services or equivalent office may countermand any statement herein contained.

6.0 Attachments:

Attachment A - Pre-Visit Questionnaire

Attachment B - On site Monitoring Review Guide and Tool utilized by DCED

Attachment B-1- Client File Worksheet

Attachment B-2 -Board Meeting Attendance Report

Attachment C - Desk monitoring Tool to be utilized by DCED.

Attachment D - Fiscal Monitoring Checklists used by Financial Management Center

cc: Center for Community Services Staff
Financial Management, DCED