*General Oversight Plan Components*

*HOPWA Grantee Oversight Resource Guide, pages 22-33*

**Roles & Responsibilities**

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| *One of the first steps in developing an Oversight Plan is designating responsible parties at the grantee and sponsor level, and establishing communication channels for the flow of information.* |

Grantee – designate responsible parties for:

* Processing billing
* Approving billing
* Reviewing performance reports
* General sponsor oversight/coordination
* Remote and on-site monitoring

Sponsor – obtain from the sponsor who is responsible for:

* Gathering project data and documentation
* Maintaining project data and documentation
* Sharing project data and documentation
* Coordinating HOPWA grant activities (TBRA, STRMU, Supportive Services, etc.)

General – review and clarify with the sponsor any of the following:

* Required usage of standardized forms
* Due dates for invoices and reporting
* Creation and approval of applicable policy manuals relevant to HOPWA grant activities

**Risk Analysis**

*A risk analysis provides a structured process of identifying areas of potential risk that a sponsor might have in managing their project. Conducting a risk analysis can assist the grantee to develop a reasonable schedule for where and when to do a site visit.*

* Develop a process and procedure for conducting sponsor risk analyses using regular review of invoices, accompanying documentation and reports.
  + Risk factors may include:
    - Late or poorly documented billing
    - Project complexity
    - Sponsor taking on new activities
    - Prior monitoring history & results
    - High vacancy rates
    - Achieving benchmarks/goals
    - Timely reporting (reviewing for accuracy & completeness)
    - Sponsor recently losing key staff
    - Sponsor spending at a slower or faster rate than anticipated
* Provide the sponsor with all applicable policies and a copy of the risk analysis tool

**Off-site Monitoring**

*Ongoing review of project activity and information provides the foundation of all sponsor oversight. Many oversight objectives can be addressed remotely as a regular part of the grantee’s working relationship with the sponsor.*

* Provide a thorough explanation of off-site monitoring
* Discuss and review what sponsor documents will be reviewed and frequency of review
* Establish a process connecting the submission of performance reports and the documentation of eligible activities with the submission and payment of invoices
* Design and utilize a risk analysis tool to evaluate information contained in regularly occurring sponsor activities;
  + Reporting
  + Invoices
  + Budget line-item spending rates
  + Correspondences or written documents detailing issues/concerns
  + Key staff turnover

**On-Site Monitoring**

*Periodic on-site monitoring complements ongoing remote monitoring, and fosters strong working relationships between grantees and sponsors by providing opportunities for more in-depth interaction.*

Action steps for On-site monitoring:

* Preparation
  + Risk analysis completion
  + Scheduling and sending advanced notice
    - In writing and at least one month ahead, and should include;
      * Date, time, location
      * Names of participating grantee and project sponsor staff
      * Activities and functions to be monitored
      * Required materials (i.e. financial records, participant files)
      * Required resources (i.e. conference room, internet)
  + Preparing for the site visit
    - Document review and assembling tools/materials
    - Confirm site visit details with grantee/sponsor
* Execution
  + Conduct a site visit opening meeting
  + Provide for and discuss client confidentiality
  + Data gathering
    - Agency file reviews – policies and financial documents
    - Client file reviews
    - Tours of project site or housing units
    - Interview with staff/clients
* Completion of monitoring tools
* Checklists relevant for the specific area to be monitored
* Site visit exit interview
  + Briefly review any findings, concerns/improvement areas
  + Briefly review areas of strengths, etc.
  + Provide an explanation of the site visit follow-up process
* Site visit follow-up
  + Results of the monitoring visit – findings, concerns/improvement areas
  + Information needed to resolve findings or concerns
  + Corrective action plan, as applicable
  + Timelines and responsible parties completing the corrective action plan, as applicable

**Monitoring Schedule**

*Establishing a schedule for remote and on-site monitoring activities is critical to ensuring that oversight activities are carried out on a consistent basis.*

Remote Monitoring:

* Provide the sponsor with a schedule for reviewing billing documentation and performance reports, etc.

On-site Monitoring:

* Provide the sponsor with a schedule for conducting annual or set-cycle visits depending upon;
  + Geographic scope
  + Risk analysis results