*General Oversight Plan Components*

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

**Roles and Responsibilities**

Grantee

*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.*

* Designate responsible parties for:
* Processing billing
* Approving billing
* Reviewing performance reports
* General sponsor oversight/coordination
* Remote and on-site monitoring

Sponsor

* Ascertain information on the parties 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 conduct 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 and results
    - High vacancy rates
    - Achieving benchmarks/goals
    - Timely reporting (reviewing for accuracy and 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, as well as 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, including:
  + Reporting
  + Invoices
  + Budget line-item spending rates
  + Correspondence 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
    - Advanced notice should be in writing and sent at least one month ahead of the site visit, and should include:
      * Date, time, and location of the site visit
      * Names of participating grantee and project sponsor staff
      * Activities and functions to be monitored
      * Required materials (e.g., financial records, participant files)
      * Required resources (e.g., conference room, Internet access)
  + Preparing for the site visit
    - Document review and assemble tools/materials
    - Confirm site visit details with grantee/sponsor
* Execution
  + Conduct a site visit opening meeting
  + Provide for and discuss client confidentiality
  + Gather data
    - Agency file reviews – policies and financial documents
    - Client file reviews
    - Tours of project site or housing units
    - Interviews with staff/clients
* Completion of monitoring tools
* Checklists relevant for the specific area to be monitored
* Site visit exit interview
  + Brief review of any findings, concerns/improvement areas
  + Brief review of areas of strengths, etc.
  + 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 to complete the corrective action plan, as applicable

**Monitoring Schedule**

Remote monitoring:

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

* 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