City of Shreveport
Department of Community Development
Bureau of Administration

MONITORING OUTLINE

OVERVIEW:

The Department of Community Development staff ensures long-term compliance by conducting regular on-site inspections to assure compliance with application, contract, regulations, requirements, and local and standard codes. The frequencies of inspections are based upon program regulations and requirements, and also on an as needed basis. Formal procedures for monitoring visits are established and incorporated into this manual which provides for more detail and accuracy.

The recipient will be given adequate notice in advance of the monitoring visit. The recipient will be notified at least seven (7) days in advance of the visit by telephone, and then followed up by a letter. The recipient will be advised of the areas to be monitored, the name of the monitor, the dates of the visit, and who on the staff should be available and which randomly selected files or information will be reviewed.

MONITORING VISITS:

When conducting a monitoring visit, the following steps are taken:

- Meet with appropriate staff personnel and explain the purpose, scope, and schedule of the visit
- Review as necessary appropriate material generated by the recipients which provides more detailed information on project description, budget, status eligibility, and national objectives;
- Review pertinent files for required documentation and verify the accuracy of information provided, particularly in the monthly performance report;
- Interview appropriate staff members;
- Visit project sites for a sample of activities being monitored.

Follow-up will occur as early as possible, particularly if there are major findings. In no case will the time between the last day of the visit and the date of the letter exceed thirty (30) calendar days. In the event that the monitoring findings are not answered at the target date for corrective action, a telephone call, along with a follow-up letter, will be made and documented for the files. The follow-up letter will also identify and recognize successes. If the corrective action has not been satisfied within thirty (30) calendar days, a warning will be giving in writing of the possible consequences of failure to comply as provided under the contract and applicable regulations.

When the responses have been received, the corrective action proposed or taken will be reviewed by the appropriate staff. The reviews will be completed within fifteen (15) calendar days. If the reviews indicated that the action was less than satisfactory, a letter will be sent which specifies needed additional action and due date. The letter will have concurrences of the Director or staff responsible for the follow-up. A new due date may be established subject to good faith efforts to resolve the finding. A follow - up may be necessary to verify corrective action or to provide the technical assistance when the findings are unable to be resolved or corrected. When the Department of Community Development determines that a corrective action is satisfactory, a letter will be sent stating that the finding(s) is closed.

CORRECTIVE ACTION

Finding: A deficiency in program performance based on a statutory or regulatory requirement for which sanctions or other corrective actions are authorized.

Concern: A deficiency in program performance which is not based on a statutory or regulatory requirement, whereby sanctions, or corrective actions are not recommended for concerns: (However, the Department may call the concern to the recipient's attention and where appropriate, may recommend actions to address concerns and/or provide technical assistance).

MAINTENANCE OF RECORD

Recipient must establish and maintain sufficient records to enable the City to determine whether the recipient has met it requirements. All records pertaining to each fiscal year of funding must be retained for the period of years specified in each funding source. Program / Project files are to be readily accessible during the course of all monitoring visits. Files such as; performance reports, financial records, audits, policies and procedures, participant intake information, statistical records, and all other supporting documentation relating to the program or project.