

Sample Monitoring Report All OHHLHC Programs

Monitoring Report (Grantee/Project Name)

On _____ (date), _____ (GTR's name) monitored the _____ (grantee/project name). This was part of HUD's ongoing management oversight of lead hazard control grant programs administered by the Office of Healthy Homes and Lead Hazard Control. The purpose of the review was, first, to determine whether the _____ (project name) is in compliance with the grant agreement with HUD, the NOFA, and other federal laws and regulations, and second, to offer assistance in achieving program goals and objectives.

The review was guided by the Management and Work Plan which described the management and organization structure, the activities to be carried out, benchmarks, and production targets. Particular attention was given to obstacles and impediments to progress. Technical assistance was provided on site for addressing identified issues. A list of persons interviewed is included in an attachment to this report.

EXECUTIVE SUMMARY

The following are the most significant findings and concerns:

1. Not enough new cases are being enrolled in the program each month. The primary reasons are:
 - The primary anticipated source of referral of cases to the program is the _____ (organization/agency), which was to refer an average of 20 cases per month. Only 10 cases on average are being referred each month.
 - There has been a reluctance to share information such as addresses and phone numbers, the results of lead hazard investigations, and the status of the cases.
2. The _____ (grantee) has not signed an agreement with _____ (faith-based or community-based organization) which is to provide outreach and education in the target area.
3. The person who prepares work specifications has left the organization and has not been replaced. Other staff members are filling in addition to their regular duties.
4. There are insufficient controls on eligibility of applicants. Two elderly households that are not involved in child care received assistance.

These and other issues are discussed in more detail in the following report. Required or recommended actions are included.

BACKGROUND

HUD awarded the ___(grantee)___ a Lead Hazard Control (LHC) grant for \$[insert award amount] in [insert date]. The grant is for a xx-month period of performance. The project start date was [insert date]; the completion date is [insert date]. A Management and Work Plan was approved on [insert date]. The Request for Release of Funds was approved on [insert date]. The grant agreement called for treatment of lead hazards in [insert number] units through a combination of low-level intervention, interim controls, and abatement of lead hazards. The overall average cost was estimated at \$[insert cost] per unit.

The grant is administered by ___(department/agency)____. There are several key partners: ___(describe partners and their role)_____.

(Add as much background as is necessary to set the scene for a discussion of contemporary issues.)

PROGRAM STATUS

As of December 31, 2002, 8 units had been completed and cleared. An additional 14 units were “in progress.” The following table compares the actual progress with the benchmarks in the Management and Work Plan.

	Enrolled	Evaluated	In Progress	Cleared
Benchmark: 12/31/02	NA	108	NA	24
Actual: 12/31/02	62	30	2	8

The ___(grantee)___ has fallen substantially behind the benchmark for both evaluations (paint inspections/risk assessments) and cleared units. Enrollment picked up during the last quarter when 28 new applications were received and approved. Risk assessments were performed on 20 units, but only 4 units were put out to bid during the quarter. Furthermore, only 2 units were completed in the last quarter.

PROGRAM MANAGEMENT AND CAPACITY BUILDING

There have been several changes in the management and organization of the program in the first year of operation. The original Program Manager accepted another position and the current Program Manager; ___(name)___ has been in that position for approximately four months.

Article 6 of the Cooperative Agreement between HUD and ___(grantee) states that the GTR and Grant Officer are to be immediately informed in writing of any changes in key personnel. HUD is to have the opportunity to review the qualifications of the new key personnel and to approve the change. Although HUD was not notified at the time of the change, that has since been corrected by submission of the new Program Manager’s resume for HUD review.

Finding No 1: No agreement with community based organization. Article 29(q) of the grant agreement states that no Federal funds are to be disbursed until OHHLHC is provided documentation, such as a MOU, a subcontract agreement or Letter of Commitment, that indicates that a formal partnership exists between the grantee and one or more Faith-Based or Community-Based Organizations. We were advised that a letter of commitment existed between ___(grantee)___ and Southside Neighborhood Housing Services whereby SNHS would conduct outreach, screening, and counseling services for the program. Our on-site monitoring disclosed, however, that the tentative agreement was never formalized and that SNHS currently has no plans to provide those services. The lack of these outreach activities may be one reason for the slow referral and intake process.

Corrective Action: Establish a formal partnership with another Faith-Based or Community-Based Organization as required by the grant agreement.

Concern No 1: Rehabilitation Specialist position not filled. The Rehabilitation Specialist position has been vacant for five months. That is the person that reviews the risk assessment, and prepares the work specification and bid documents. Other staff members have attempted to do the work on an interim basis; however, only 4 properties were put out to bid last quarter. Failure to complete work specifications on a timely basis will cause the program to fall even farther behind its production benchmarks.

Corrective Action: Hire a new Rehabilitation Specialist, assign another person to that position, or contract out the work.

LEAD HAZARD CONTROL ACTIVITIES

The ___(grantee)___ has had a great deal of difficulty establishing a smooth process for moving an application/case through the system: intake, eligibility, risk assessment, work specifications, bid documents, temporary relocation, lead hazard reduction, and clearance. The GTR was able to assist the Program Manager with development of a flow chart with assigned responsibilities and time frames for each activity. While this may need to be refined as experience is gained, it serves as a useful model to enhance performance. However, the initial steps—intake and enrollment—are not working well.

Finding No 2: Agreement for referral of cases from ___(organization/agency)___. The Management and Work Plan stated that ___(organization/agency)___ would serve as the primary source of referrals of cases for the program. However, referrals are sporadic, the case files are often incomplete, and there is no ongoing exchange of information between the two organizations. The result is that referrals are too few and far between, and that most do not lead to actual enrollments in the program. The program will continue to fall behind its benchmarks if there is not a substantial increase in referrals and enrollment.

Corrective Action: Enter into an agreement with ____ (referral agency) ____ that clearly specifies the responsibilities of each agency and performance standards for each. The agreement should cover:

- Exactly what cases should be referred (cases with EBL above 10µg/dL; properties in certain target areas; backlogged cases, etc.)
- Frequency of referral (daily, weekly or monthly)
- What should be in the case folder (address, name and phone number of owner, results of lead intervention activities, etc.)
- Regular meetings and reports that flow back and forth.

Alternatively, other sources of referral and intake can be explored: Section 8 properties with children under 6 years of age, CDBG rehabilitation properties, and enhanced outreach activity.

A finding is a condition that is not in compliance with the grant agreement, the Management and Work Plan (which is incorporated as part of the grant agreement when approved by the GTR), the NOFA, grantee certifications, or other federal statutes and regulations. The noncompliance must be discontinued. Therefore, corrective action is required for a finding by the date established in the monitoring letter. If you do not agree with the finding, or propose a different corrective action, please advise us immediately.

A concern is a deficiency in performance or an issue that HUD believes should be brought to the attention of the grantee. A concern is not based on a violation of the grant agreement, NOFA, or regulatory or statutory requirement. However, a concern is of such importance that, if allowed to continue, it could lead to a finding. Corrective actions for concerns are recommendations. You have the option of adopting a different form of corrective action if it will resolve the cause for the concern.

HUD stands ready to assist you with timely and successful implementation of the ____ (project name) ____.

