

CHAPTER 3. STATE COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM

3-1 Monitoring Approach

A. Review the State monitoring strategy for:

1. Justification of areas covered and areas excluded;
2. Consultation with technical reviewers;
3. Scheduling of visit (using a team when feasible);
4. Negotiation process with the State; and
5. Written confirmation of the visit.

The monitoring strategy should be consistent with yearly Operating Instructions and the Departmental Management Plan (DMP). For example, accounting for and use of program income both at the State and local level should be given attention. Written confirmation is required for both the original strategy and all amendments.

B. Check that Program Managers and CPD Division Directors are involved, as appropriate, in the development of the monitoring strategy and other aspects of the monitoring process.

C. Ensure that on-site review strategies were developed and approved by the Program Manager.

D. Review monitoring letters to ensure that they follow the format in Chapter 13 of the Monitoring Handbook and are submitted to States within the 30 day time frame. Copies of letters should also be submitted to the Regional Office and Headquarters.

E. Review conclusions reached in areas monitored to ensure that they are supported by facts stated in the monitoring letter. Determine if the review check-lists in Chapter 13 of the Monitoring Handbook were used. Determine if findings, questions of performance and concerns are consistent with the guidance provided in Chapter 13. Data in the checklists should support the conclusions reached.

F. Determine whether conclusions reached on national objectives and eligibility are adequately documented, including ensuring that census data and survey data used to document the area benefit are acceptable.

G. Check to determine if the sample selected by CPD Representatives (CPD Reps) for their review was adequate when compared with the number of grants awarded by the State.

- H. Determine whether staff reviewing economic development activities have the skills needed to review grantee necessary or appropriate assessments.
- I. Ensure that monitoring of each State has been conducted in a comprehensive fashion, including all appropriate years reviewed for timeliness of distribution and conformance with the method of distribution, so that over time, all funds are reviewed in these areas. In addition, all other program areas identified in Chapter 13 and the Departmental Management Plan should be reviewed over time to ensure that States and recipients are in compliance with all applicable program requirements.
- J. Ensure that on-site reviews of State recipients are completed in accordance with the requirements of the Departmental Management Plan and Paragraph 13-18(f) of the Monitoring Handbook.

3-2 Other Areas

A. Final Statements

- 1. Determine if Final Statements were adequately reviewed and that the following are met:
 - a. Nothing in the statement is contrary to law.
 - b. All funds are included and all funding categories contain a method of distribution.
 - c. Program income is adequately addressed.
 - d. Amendments are made as necessary.
- 2. Determine if grant awards were made within 30 days of receipt of Final Statements or fund allocation, whichever is later. Ensure that Field Offices are entering data correctly in FORMS/CPD on grant awards and findings and that this information is reviewed and checked to ensure its accuracy.

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B. Performance and Evaluation Reports (PERs)

- 1. Ensure that reports were received on time and reviewed for accuracy. Was a copy of the PER sent to Headquarters?
- 2. Review to ensure that Reps conducted the necessary reviews.

C. CPD Rep Interview

1. Ensure that there is a CPD Rep responsible for each State and that adequate time is devoted to the program. Also check to ensure that staff are accounting properly for time spent on administering the program through ETRS.
2. Ensure that the CPD Rep is experienced or is being provided the training necessary to become experienced in the State Program. This includes ensuring that staff is allowed to take advantage of national, Regional Office, Field Office and other training opportunities that are offered.
3. Ensure that staff has a complete set of program guidance materials.

D. Filing System. Check to determine if there is a complete file for each State containing all pertinent information. The file should be well organized in order to allow a person unfamiliar with the filing system to obtain information on the State's program.

E. Technical Assistance. Check to determine how guidance material is distributed to States and if there is any follow-up with States to answer questions about the material and/or how it may apply to their programs. This review should also include a determination on the kinds of and quality of technical assistance being provided.

F. Collection of Data. Determine if staff is responding, in a timely manner, to the periodic Headquarters requests for an accurate report on the status of State grantee distribution of funds.