

## CHAPTER 5. MONITORING TECHNICAL ASSISTANCE PROJECTS

- 5-1. SCOPE. This chapter provides guidance on monitoring actual performance of TA contractors and recipients.

This chapter is to be used in conjunction with chapter 4 of Handbook 2210.17, and chapter 3 of Handbook 2210.13.

- 5-2. OBJECTIVES. Monitoring performance of TA contractors and recipients is conducted by CPD to:

- a. Ensure that technical assistance funds are expended in compliance with applicable statutory and regulatory requirements.
- b. Detect early potential or actual performance problems in meeting the technical requirements of contracts, cooperative agreements, or grants to avoid waste, mismanagement, or fraud.
- c. Promote efficient and effective contractor or recipient performance.

- 5-3. MONITORING. In general, monitoring means to observe, watch, or check for a specific purpose. It is the principal means by which the technical staff provides progress or oversight of TA project/program activities.

- a. Responsibilities.

- (1) GTR/GTM. Each Headquarters/Regional office is responsible for the technical progress monitoring of assigned projects via assignment of a GTR.

The GTR/GTM monitoring responsibilities are described in chapter 3 of Handbook 2210.3 for procurement, and chapter 4 of 2210.17 for assistance. Also, see Handbook 2210.13, paragraph 1-6 for the designation of a GTR/GTM and paragraph 3-4 for duties and responsibilities not delegable to the GTR/GTM.

The GTR provides quarterly reports on the status of contracts, cooperative agreements, and grants, under his or her administration to the Director, Technical Assistance Division, Office of Technical Assistance.

- (2) TAS. Since many GTRs are working from offices

other than the Technical Assistance Division (TAD), oversight/progress monitoring is conducted by a Technical Assistance Specialist (TAS).

The TAS is responsible for ensuring that:

- (a) GTR project status reporting (HUD Form-24005) requirements are met.
- (b) Performance problems cited by the GTRs are being or have been resolved.
- (c) Deliverables (products/reports) are received.
- (d) Revised Project Management Plans (HUD Form 441.1) are received, accurate, and signed by the GTR and contracting, cooperative agreement, or grant officer.
- (e) GTR performance assessment forms (HUD-24003 for interim and HUD-24002 for final) are submitted by the GTR.
- (f) Project summaries are prepared for dissemination for departmental and public use.
- (g) Maintenance of the Technical Assistance Management Information System (TA/MIS) on key aspects of TA projects and awards in Headquarters and the Regions for generating the following:
  - 1 Report of all projects with overdue GTR project status reporting for follow-up and corrective action purposes.
  - 2 Report on untrained GTRs for training purposes.
  - 3 Report of TA projects in execution with problems for early intervention and resolution purposes.
  - 4 Report of contractor/recipient performance ratings with a

history of performance  
characteristics of organizations for  
on-going staff use.

- 5 Report on project products  
obtained/produced under each TA  
project, noting the general and  
specialized value of documents for  
use by a wider audience.
- 6 Annual CPD Notice on all TA projects  
for use by Headquarters and  
Regional/Field Office staff.

- 5-4. HANDLING CONTRACTOR/RECIPIENT PERFORMANCE PROBLEMS. The GTR handles contractor or recipient problems and takes corrective action in accordance with Paragraphs 3-7 and 3-8 of Handbook 2210.13 for procurement, and Paragraph 4-8 of Handbook 2210.17 for assistance.

The GTR coordinates contractor or recipient performance problems with the Technical Assistance Division director and the Contracting, Grant, Cooperative Agreement Officer (C/G/CAO) in a timely manner. The GTR should coordinate all proposed corrective actions with the C/G/CAO prior to suggesting them to the contractor/recipient. Only the C/G/CAO has the authority to change the terms of the agreement between HUD and the recipient/contractor. The GTR reports action taken to correct the problem to the Office of Technical Assistance, Attention: Director, Technical Assistance Division via the GTR Project Status Report (HUD Form-24005) with a copy to the Contracting, Cooperative Agreement, or Grant Officer as deemed necessary.

- 5-5. MONITORING VISITS. At times, it may be necessary for the the GTR, a TA Program staff member, the C/G/CAO or a project team to make a site visit, if required, to check on the performance of a contractor or recipient.

The visit may include, but may not be limited to, a check on the following:

- a. Contractor or recipient compliance with the TA statutory and regulatory requirements.
- b. CDBG recipient benefits from TA provided.
- c. Actual performance versus scheduled or reported performance.

- d. Changes in technical performance which may affect

financial status, personnel, etc.

- e. For cost reimbursement projects, verify the number and type of personnel charged and are actual working under the contract, cooperative agreement, or grant.
- 5-6. SITE VISIT CRITERIA. Projects will be selected for a site visit on a case by case basis. Criteria to be considered include:
- a. Known or potential performance problems,
  - b. complexity, or size of project,
  - c. Insufficient project progress,
  - d. Lack of compliance with agreement terms including the need for a CDBG nexus,
  - e. No on-site review during the previous year.
- 5-7. TIMING OF SITE VISIT. The monitoring visit should be near the mid-point or early enough during the project while time remains to take appropriate corrective action. Also, visits may be made at other times as warranted.
- 5-8. SITE VISIT. An on-site monitoring visit has three stages: previsit, visit, and post-visit.
- a. Previsit. During the previsit, preparation for the on-site monitoring visit is made. This stage includes:
    - (1) Preparation of an agenda (at least two to three weeks) prior to the visit.
    - (2) Notification of the contractor, recipient, and/or agency.
    - (3) Project information review; such as, the proposal/application, statement of work requirements, performance/financial reports, vouchers/invoices, and any outstanding audits.
    - (4) communication with the CPD representative, contracting, cooperative agreement, or grant officer, and/or other appropriate personnel.

10/90

5-4

---

6549.01

- b. Visit. The actual site visit should include the following:
  - (1) A meeting with appropriate project officials

to explain the purpose and scope of the visit.

- (2) A review, as appropriate, of project materials (including workshops and training) generated by the contract, cooperative agreement, or grant.
- (3) A review of work progress being made by the contractor/recipient, or subcontractor.
- (4) An interview of members of staff to discuss project performance.
- (5) A closing meeting to discuss preliminary conclusions resulting from the visit.

c. Post-Visit. After the on-site visit, the visitor or team prepares a written report and takes the necessary corrective and/or follow-up action to see that problems or concerns have been corrected. The site visit report should include, but may not be limited, to the following:

1. Name(s) of visitors, timeframe of the visit, name of the organization visited, and the contract, cooperative agreement or grant number.
2. Purpose and the scope of the visit.
3. An overview of the project activities.
4. Highlights of monitoring visit.
5. Findings, conclusions, and recommendations.
6. Follow-up and/or corrective actions to be taken to correct violations or performance problems.
7. Signature(s) and date.

---

6549.01

- 5-9. DISTRIBUTION OF SITE VISIT REPORT. A copy of the site visit report is placed in the GTR file and distributed to the Office of Technical Assistance, Attention: Director, Technical Assistance Division, and to the Contracting, Cooperative Agreement or Grant Officer in Headquarters or the Region.
- 5-10. FINAL ASSESSMENT/PROJECT CLOSEOUT. When all services, products, and requirements of a contract, cooperative

agreement, or grant have been completed, the GTR proceeds to make a final project assessment and closes out the project in accordance with paragraph 3-13 in Handbook 2210.13 for procurement and paragraph 4-13 in Handbook 2210.17 for assistance.

The GTR submits copies of final (technical/financial) reports and the final project assessment to the Technical Assistance Division, Office of Technical Assistance.

Final products are assessed and project summaries are submitted to HUD user for wider use.