

Section II: Local Agency Procedure Manual

X. Local Monitoring and Audits

A. Local Agency Monitoring

Purpose

Ensure Local Agency staff understand and comply with the monitoring requirements and expectations of the biennial monitoring process.

Policy

Local agencies are required to adhere to local agency monitoring procedures.

1. Local Agency Responsibilities

- The local agency will maintain records for each participant and program activities, which are to be made available to State or Federal Offices as requested.
- The local agency will participate in the biennial monitoring process by having participants scheduled for review, preparing and/or submitting documents for review as requested in the monitoring letter, having appropriate staff available to observe and interview, and coordinating schedules with needed staff for entrance and exit interviews.
- If a local agency operates a Breastfeeding Peer Counselor Program and/or a Farmer's Market Nutrition Program (FMNP), these will be reviewed during the regular program monitoring using additional materials specific to those programs.
- If appointments or activities are not available for actual observation, the monitor will interview local agency staff on their processes for validation of compliance and understanding.
- The local agency will be responsible to respond to any findings by developing a Corrective Action Plan (CAP) to be sent to the State Office within 30 days of receipt of the monitoring report
- Local Agency staff will implement approved corrective actions in order to comply with regulations and policies and improved program services.
- The local agency is responsible for self-monitoring activities as determined by their tier level during biennial state monitoring.
 - Tier 1 self-monitoring will be reviewed by State staff at the agency's next monitoring review.
 - The local agency will use state monitoring forms and procedures to complete this self-review. State office will provide the list of charts to be used in the self-review.
 - Tier 2 and 3 agencies will submit self-monitoring to the State office per the schedule set forth in the monitoring letter.
 - The local agency will use state monitoring forms and procedures to complete this self-review. State office will provide the list of charts to be used in the self-review.

2. Monitoring Forms

- The entire monitoring process is described in the attachment *Monitoring Process*. This process is reviewed and updated at the end of each two-year cycle.
- Forms used in the monitoring process include:
 - *Monitoring- Breastfeeding Peer Counselor Program (BFPCP)*

- *Monitoring- Financial Questionnaire*
- *Monitoring- Chart Review Areas Explained*
- *Monitoring- Chart Review Form*
- *Monitoring- Farmers Market Nutrition Program (FMNP)*
- *Monitoring- On-site Observation for Clinic*
- *Monitoring- On-site Observation for Appointments*
- *Monitoring- Pre-Visit Worksheet*
- *Monitoring Process*
- Additional resources may be located on eLearn or sent directly to the local agency in the course of monitoring, including:
 - Scoring Matrix (small, medium or large version)
 - Corrective Action Plan (CAP) Verification Template
 - Monitoring Process Flowchart