

## 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.

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#### **1. Local Agency Responsibilities**

- Maintain records for each participant and program activities, which are to be made available to State or Federal Offices as requested.
- 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.
- 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
- Implement approved corrective actions 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 during monitoring, including:
  - Scoring Matrix (small, medium, or large version)
  - Corrective Action Plan (CAP) Verification Template
  - Monitoring Process Flowchart