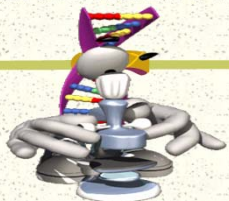



**Office of
ECONOMIC OPPORTUNITY**
**North Carolina's Monitoring &
Corrective Action Processes**


NASCSP Monitoring Training
NC-DHHS Office of Economic Opportunity
Verna P. Best, Director
November 4, 2011

Consistency & Integrity
The Foundation for ALL Processes
 "But change must always be balanced with some degree of consistency."
 ~Ron D. Burton


 "Your integrity is on the line. Want me to say you're in a meeting?"
 If you have integrity, nothing else matters. If you don't have integrity, nothing else matters.
 ~Alan Simpson

Clearly **IDENTIFY** and **SOURCE**
 the Area(s) of Non-Compliance



 "I need you to identify the problem. Here's your mirror."

Clearly **IDENTIFY** and **SOURCE**
 the Area(s) of Non-Compliance

- ❖ **Federal Legislation**
- ❖ **State Rules/Administrative Code**
- ❖ **Contract**
- ❖ **OMB Circulars**
- ❖ **Agency Bylaws**
- ❖ **Agency Policies & Procedures**


COMMUNICATION

1. **Summary** (during exit conference)
 - IDs potential findings/trends for concern (may not be all inclusive, pending further review of documents)
 - Gives agencies opportunity to be proactive
 - Demonstrates a level of "shared accountability" - signed/dated
2. **Official Monitoring Report/Letter**
 - Reinforces requirement (678 B)
 - Defines process & scope
 - Outlines Expectations*
 - Thanks agency officials
 - Notifies appropriate officials (Governor's Office, OCS, Controller, etc.)
 - Documents your monitoring
3. **Corrective Action Worksheet (CAW)**
 - Reiterates finding
 - Establishes cause (how or why)
 - Details actions to be taken, target date for completion, responsible persons and actual date accomplished
 - Captures approval and follow-up*


 "So what you're saying is that we've been defunct and out of business for over two years and you've just been waiting for the right time to tell me?"

Sample Letter/Outlines Expectations

- ☐ Findings (Administrative, Programmatic, Fiscal)
- ☐ Required Actions
- ☐ Observations
- ☐ Recommendations
- ☐ Additional Comments
- ☐ Attachments



Communication (continued)



Lessons Learned from **"The MEDIA"**...

Training & Technical Assistance

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- # Prepared on-site TA
(based on Pre-Assessment Questionnaire, Risk Assessment and/or desk-top monitoring)
- # Training Conference
(annual contractors' training)
- # Webinar
- # State Association
- # Website
- # Advisory Task Force
- # External Entity

Follow-Up & Follow-Through



Follow-Up & Follow-Through...

(Don't MISS the MARK...)

- # Keep your eyes on the ball
- # Timeliness often determines relevance
- # Lack of follow-through diminishes credibility



Monitoring Affirmations



- I am going to monitor.
- I am going to expect excellence and report reality.
- I am going to give honest feedback - praise or constructive criticism.
- I will do it with competence and tact.
- I will ask open-ended questions and review documentation.
- I will communicate effectively...even admitting when I am in error.
- I will offer quality, comprehensive training and technical assistance.
- I will advocate through responsible administration!

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