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Diabetes Prevention and Control Program

CHRONIC DISEASE AND INJURY SECTION

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North Carolina Division of Public Health

# Grants Monitoring Plan

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DIABETES PREVENTION AND CONTROL BRANCH

CHRONIC DISEASE AND INJURY SECTION/DIVISION OF PUBLIC HEALTH

# Grants Monitoring Plan

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## INTRODUCTION

The Department of Health and Human Services, Division of Public Health, Chronic Disease and Injury Section, Diabetes Prevention and Control Program (DPCP) is working to reduce death and disabilities through education, policy change, and collaboration with community partners to ensure a long, productive, and healthy life for all North Carolinians. Overarching goals for the DPCP include eliminating health disparities and increasing linkages to promote health for people with diabetes and those at risk. The North Carolina Diabetes Prevention and Control Program is primarily funded by the Centers for Disease Control and Prevention (CDC). The DPCP has established partnerships with various national, state, and local government agencies, non-profit organizations, and educational institutions to increase the awareness of diabetes prevention and control strategies.

The Diabetes Prevention and Control Program has made a strong commitment to providing effective grants oversight and monitoring throughout the life of the grant. To this end, we are establishing with the publication and distribution of this manual a plan for grants monitoring that adheres to the mandates contained in OMB Circular A-133. This plan also encompasses the requirements contained in 09 NCAC 03M.0102 - .0802 and the federal grants management common rule. Effective monitoring is not a one-time event, but an ongoing process of planning, implementation, communication, and follow-up.

# Monitoring Frequency and Type

The Diabetes Prevention and Control Program will conduct multi-levels of monitoring with the involvement of several key staff members. The matrix below shows the type and frequency of monitoring provided by the Diabetes Prevention and Control Program:

Program/Subrecipient	Type of Monitoring	Frequency	Staff <sup>1</sup>	
Academy of Family Physicians – Improving Performance in Practice (IPIP)	<i>Pre-award</i>	<ul style="list-style-type: none"> <li>• Annually</li> <li>• Annually</li> </ul>	CHM, DN	
	<i>Periodic Monitoring</i>	<ul style="list-style-type: none"> <li>• Telephone contact</li> <li>• Site visit</li> <li>• Steering Committee Meeting</li> <li>• Team Meeting</li> <li>• Program evaluation progress reports &amp; updates</li> <li>• Fiscal compliance</li> <li>• Technical assistance</li> </ul>	<ul style="list-style-type: none"> <li>• CHM</li> <li>• CHM</li> <li>• CHM</li> <li>• CHM</li> <li>• CHM</li> <li>• CHM</li> <li>• CHM</li> <li>• CHM, DN</li> <li>• CHM</li> </ul>	
	<i>Completion of Grant</i>	<ul style="list-style-type: none"> <li>• Annually</li> <li>• Annually</li> </ul>	<ul style="list-style-type: none"> <li>• CHM, DN</li> <li>• CHM, DN</li> </ul>	
Diabetes Today (Hertford, Surry, Robeson, Wake)	<i>Pre-award</i>	<ul style="list-style-type: none"> <li>• Program compliance</li> <li>• Funds available</li> </ul>	CHM, DN	
	<i>Periodic Monitoring</i>	<ul style="list-style-type: none"> <li>• Telephone contact</li> <li>• Site visit</li> <li>• Program evaluation progress reports</li> <li>• Fiscal compliance</li> <li>• Technical assistance</li> </ul>	<ul style="list-style-type: none"> <li>Monthly</li> <li>Annually</li> <li>Quarterly</li> <li>Monthly</li> <li>As needed</li> </ul>	<ul style="list-style-type: none"> <li>CHM</li> <li>CHM, DN</li> <li>CHM, AR</li> <li>CHM, DN</li> <li>CHM, DN, AR</li> </ul>
	<i>Completion of Grant</i>	<ul style="list-style-type: none"> <li>• Program compliance</li> </ul>		CHM, DN

<sup>1</sup> LE=Laura Edwards, CHM=Cindy Haynes-Morgan, DN=Dannette Najera, CB=Christopher Bryant, JP=Joyce Page, AR=April Reese, DV=De Vernon

Program/Subrecipient	Type of Monitoring	Frequency	Staff <sup>1</sup>
	<ul style="list-style-type: none"> <li>Fiscal compliance</li> <li>Evaluation summary</li> </ul>	Annually	AR
Pediatric Diabetes Prevention Program <i>(ENERGIZE!)</i> : (Gaston, Johnston, Nash, Robeson, Wilkes, Watauga, Henderson, Cabarrus, Moore, Dare)	<i>Pre-award</i> <ul style="list-style-type: none"> <li>Program compliance</li> <li>Funds available</li> </ul>	Annually	CHM DN
	<i>Periodic Monitoring</i> <ul style="list-style-type: none"> <li>Telephone contact</li> <li>Site visit</li> <li>Program evaluation progress reports</li> <li>Fiscal compliance</li> <li>Technical assistance</li> </ul>	Monthly As needed  Quarterly  Monthly As needed	CHM CHM, DN  CHM, AR  CHM, DN CHM, DN
	<i>Completion of Grant</i> <ul style="list-style-type: none"> <li>Program compliance</li> <li>Fiscal compliance</li> </ul>	Annually	CHM DN
Pediatric Diabetes Prevention Program <i>(ENERGIZE!)</i> : WakeMed	<i>Pre-award</i> <ul style="list-style-type: none"> <li>Program compliance</li> <li>Funds available</li> </ul>	Annually	CHM DN
	<i>Periodic Monitoring</i> <ul style="list-style-type: none"> <li>Telephone contact</li> <li>Site visit</li> <li>Program evaluation progress reports</li> <li>Fiscal compliance</li> <li>Technical assistance</li> </ul>	Monthly As needed  Quarterly  Monthly As needed	CHM CHM, DN  CHM, AR  CHM, DN CHM, DN
	<i>Completion of Grant</i> <ul style="list-style-type: none"> <li>Program compliance</li> <li>Fiscal compliance</li> </ul>	Annually	CHM DN
ECU	<i>Pre-award</i> <ul style="list-style-type: none"> <li>Program compliance</li> <li>Funds available</li> </ul>	Annually	CB DN
	<i>Periodic Monitoring</i> <ul style="list-style-type: none"> <li>Telephone contact</li> <li>Site visit</li> <li>Program evaluation progress reports</li> <li>Fiscal compliance</li> <li>Technical assistance</li> </ul>	As needed Annually 3 times per year Monthly As needed  Annually	CB CB DV, AR  DN DN, CB
	<i>Completion of Grant</i> <ul style="list-style-type: none"> <li>Program compliance</li> <li>Fiscal compliance</li> </ul>		CB DN

Program/Subrecipient	Type of Monitoring	Frequency	Staff <sup>1</sup>
Project DIRECT (Wake)	<i>Pre-award</i>	Annually	JP DN
	<ul style="list-style-type: none"> <li>• Program compliance</li> <li>• Funds available</li> </ul>		
	<i>Periodic Monitoring</i>	Weekly	JP JP
	<ul style="list-style-type: none"> <li>• Telephone contact</li> <li>• Site visits</li> <li>• Desk review</li> <li>• Technical assistance</li> <li>• Program evaluation progress reports</li> </ul>	Monthly Monthly As needed Monthly	JP JP JP JP
<i>Completion of grant</i>	Annually	JP DN JP	
<ul style="list-style-type: none"> <li>• Program compliance</li> <li>• Fiscal compliance</li> <li>• Evaluation summary</li> </ul>			
Project DIRECT Academy	<i>Pre-award</i>	Annually	JP DN
	<ul style="list-style-type: none"> <li>• Program compliance</li> <li>• Funds available</li> </ul>		
	<i>Periodic Monitoring</i>	As needed	JP
	<ul style="list-style-type: none"> <li>• Telephone contact</li> <li>• Site visits</li> <li>• Technical assistance</li> <li>• Progress reports</li> </ul>	As needed As needed As needed	JP JP JP
	<i>Completion of grant</i>	Monthly	JP
	<ul style="list-style-type: none"> <li>• Program compliance</li> <li>• Fiscal compliance</li> </ul>	Annually	JP DN
	<i>Participant Pre-award</i>	Annually	JP DN
	<ul style="list-style-type: none"> <li>• Program compliance</li> <li>• Funds available</li> </ul>		
	<i>Periodic Monitoring</i>	As needed 1-2 times per year	JP JP
	<ul style="list-style-type: none"> <li>• Telephone contact</li> <li>• Site visits</li> </ul>		
	<ul style="list-style-type: none"> <li>• Technical assistance</li> <li>• Program evaluation progress reports</li> </ul>	As needed Annually	JP JP
	<i>Completion of grant</i>	Annually	JP DN
	<ul style="list-style-type: none"> <li>• Program compliance</li> <li>• Fiscal compliance</li> </ul>		
UNC- Department of Family Medicine	<i>Pre-award</i>	Annually	CHM
	<ul style="list-style-type: none"> <li>• Program compliance</li> </ul>		

Program/Subrecipient	Type of Monitoring	Frequency	Staff <sup>1</sup>
	<ul style="list-style-type: none"> <li>• Funds available</li> </ul> <p><i>Periodic Monitoring</i></p> <ul style="list-style-type: none"> <li>• Telephone contact</li> <li>• Lead Team Meetings</li> <li>• Program evaluation progress reports</li> <li>• Fiscal compliance</li> <li>• Technical assistance</li> </ul> <p><i>Completion of Grant</i></p> <ul style="list-style-type: none"> <li>• Program compliance</li> <li>• Fiscal compliance</li> </ul>	<p>As needed</p> <p>Monthly</p> <p>Monthly</p> <p>Monthly</p> <p>As Needed</p> <p>Annually</p>	<p>CHM</p> <p>CHM</p> <p>CHM</p> <p>DN</p> <p>CHM</p> <p>CHM</p> <p>DN</p>
NC ADA Diabetes Education Recognition Program	<p><i>Pre-award</i></p> <ul style="list-style-type: none"> <li>• Program compliance</li> <li>• Funds available</li> </ul> <p><i>Periodic Monitoring</i></p> <ul style="list-style-type: none"> <li>• Telephone contact</li> <li>• Program evaluation progress reports</li> <li>• Fiscal compliance</li> <li>• Technical assistance</li> </ul> <p><i>Completion of Grant</i></p> <ul style="list-style-type: none"> <li>• Program compliance</li> <li>• Fiscal compliance</li> </ul>	<p>Annually</p> <p>As needed</p> <p>Monthly</p> <p>Monthly</p> <p>As Needed</p> <p>Monthly</p> <p>As Needed</p> <p>Annually/ As Needed</p>	<p>LE</p> <p>LE</p> <p>LE</p> <p>LE</p> <p>LE</p> <p>LE</p>

Note: The ECU and UNC contracts are both Purchase of Services Contracts. However, we monitor those the same way we do the Financial Assistance Contracts.

Site Visits are conducted one to two times a year unless otherwise requested by grantees. During a site visit grantees are to review the objectives/deliverables and the status of them based on the agreed timeline and expenditure reports. In addition during site visits interventions are observed and documented. For documentation purposes, the site visit information is recorded on the Division's Grants Monitoring Site Visit Worksheet.

## Risk Analysis

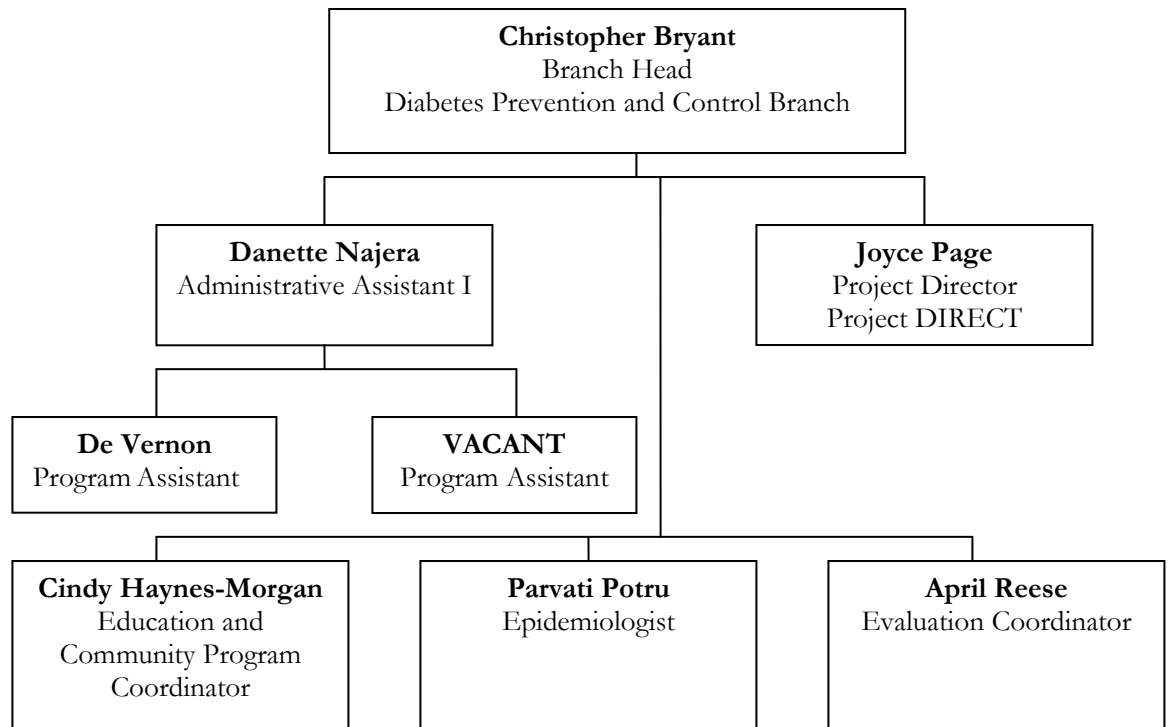
A risk analysis for each grant will be maintained in the file for that grant and is an objective assessment of risk based upon information from a variety of sources, including:

- Recent desk reviews
- Input from program or monitoring staff
- Information from other sources
- Results of previous on-site reviews and follow-up activities

Monitoring staff looks for specific "signs" of risk, also called risk factors, to help assess risk. Examples are: 1) grantee staff experience/competence; 2) number of transactions; 3) prior year problems, etc.

## Reporting Structure— Staffing and Scheduling

Reporting Structure: Monitoring staff will report through the organizational chart shown below. If any problems arise with a grant, the monitor should immediately communicate that information to his/her direct supervisor. The communication should be written and a copy of the document placed into the grantee's monitoring file. Once problem issues have been identified and communicated to the supervisor, it is his/her responsibility to determine the course of action the department should take.



## Documentation

**Monitoring Records:** Each monitor is expected to fully and accurately document all monitoring efforts. A monitoring file for each grantee is being maintained and includes:

- Pre-award assessment checklist
- Individual grant monitoring plan worksheet
- Periodic reports from grantee
- Desk review monitoring report
- On-site visit report
- Telephone contact report
- Assistance report
- Corrective action plan
- Annual reports checklist
- Copies of e-mail, memos, or other written correspondence with grantee, including notification informing grantee of the results of monitoring

Documentation for the various programs within the DPCP is maintained with the program Coordinators personal files.