
2014

SELF-MONITORING PLAN

*Prepared by the Tribal Operations/Compliance Division
February 2014*



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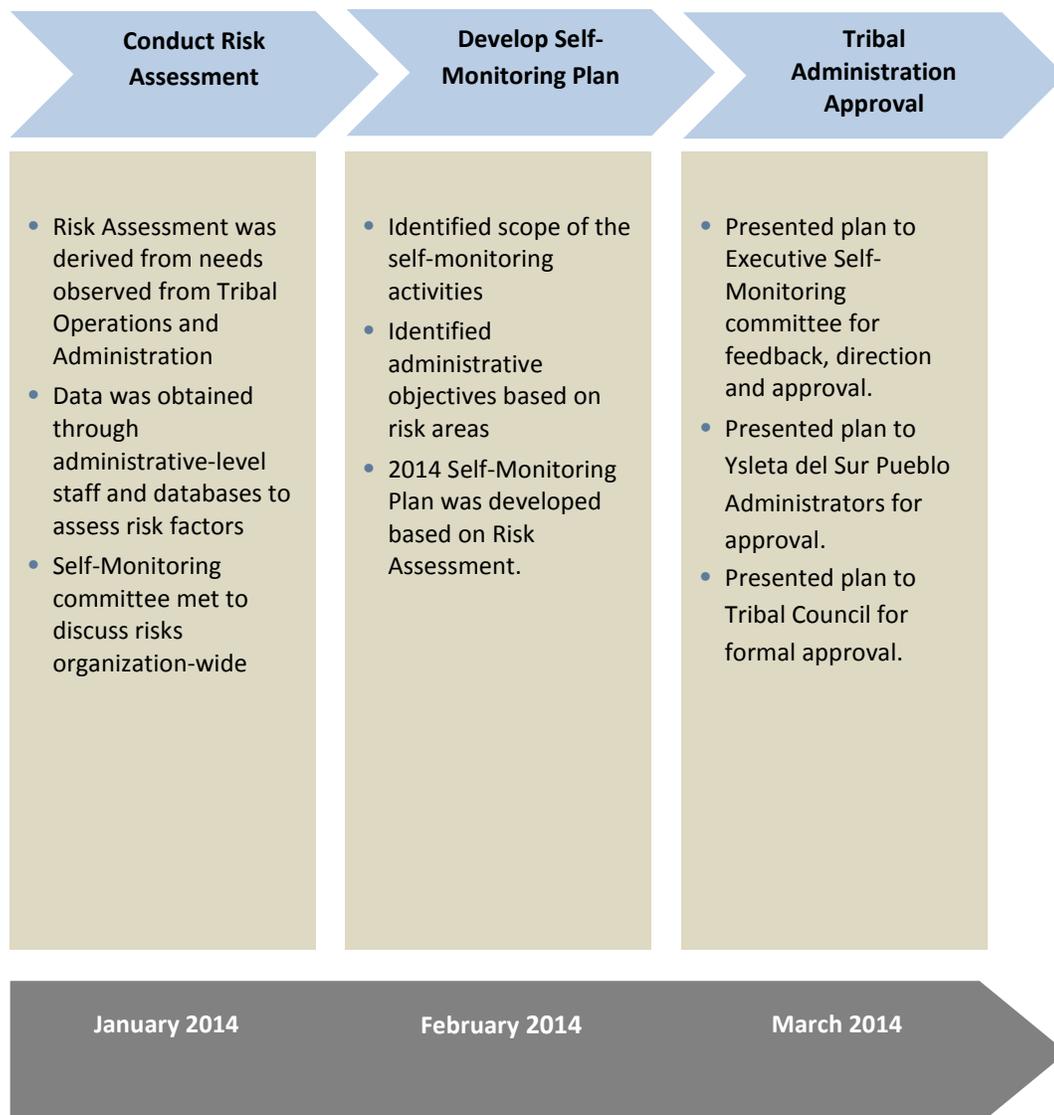
INTRODUCTION

In accordance with the Self-Monitoring and Evaluation Policy, the YDSP Tribal Operations/Compliance Division has prepared the Self-Monitoring Plan for calendar year 2014. The 2014 Self-Monitoring Plan is a description of the monitoring activities based on an organization-wide risk assessment.

This plan outlines the Self-monitoring overview, proposed schedule, reporting and communication methodology and follow-up activities for the plan year.

APPROACH

The approach taken to develop the YDSP Self-Monitoring plan for 2014 is demonstrated in the diagram below:





MEETING FORMAT

OVERVIEW

The 2014 Self-Monitoring Meetings will occur between March - October. There will be a change this year to avoid saturating the monitoring activities and preventing monitoring fatigue. This change will be to address one self-monitoring objective over the course of the year. The annual objective that was chosen for this year will be to identify YDSP performance measures. This will enable the Compliance division to focus on setting performance measures for each department and to aid in entering information into the Grants Management Database. The objective will also assist Tribal Operations and Tribal Administrators with annual budget priority setting and program assessment.

METHODOLOGY

The Self-Monitoring Committee consists of members from Tribal Operations, Compliance and Finance who assemble to monitor operational, financial and compliance areas of each department. The structure of each meeting will follow the format below:

AGENDA

Each quarterly session of meetings follows a standardized Self-Monitoring Meeting Agenda. Below are the agenda items:

1. Task Table Review (A review of prior meeting assignments and completion status)
2. Evaluation:
 - a. Administration Objective (Varies based on objectives set for the plan year)
 - b. Financial Performance Review
 - c. Output Requirements
 - d. Administration Concerns

EVALUATION

Based on the standardized Self-Monitoring Agenda each department will be given an overall rating¹ from 1 to 4 based on the following four evaluation areas:

1. **Administration Objective** – identifies an audit objective that will be assessed. Specific objectives are outlined in the Scheduling Section.
2. **Financial Performance Review** –
 - a. Budget Performance Report (BPR) Review - A review of each funding source administered by each department is evaluated based on a 7% variance allowance from a target quarterly percentage. Target percentages used are based on the date funding began in relation to the period being evaluated (for example: Calendar year contracts 1st Quarter = 25% target usage, 2nd Quarter = 50% target usage). *Considerations are*

¹ Evaluation Rating: 1=not acceptable, 2=conditionally acceptable (pending action items), 3=fully met requirements, 4=exceeded requirements



made for those programs that experience seasonal activity such as Empowerment with relation to scholarships or summer operated programs.

- b. Revenue Performance Review – A review of each revenue source will be evaluated based on a targeted quarterly percentage. As an additional part of the review, reconciliation with Finance Department Records is required for variances of more than 10%.
- c. Credit Card Review – A review of credit card activity that includes reconciliation, spending analysis and timely receipt submissions

3. **Output Requirements –**

- a. Reporting requirements - A review of all reporting output requirements outlined per the General Information Sheets (GIS) and adherence to due dates.
- b. Deliverable requirements – A review of effective production of stated deliverables within scope of work or work plans.
- c. Staff requirements – Adherence to due dates of all personnel requirements for YDSP, such as probation evaluations, updated job descriptions, performance appraisals and staff certifications and trainings. A review of mandatory training requirements is also conducted under this evaluation area.
- d. Project Management Status – A review of the department’s on-going major projects and their progress toward project completion, as well as, a review of the department’s contract administration.

4. **Administration Concerns**

This section will address any concerns arising from administration functions that enable management to address potential risks in meeting organizational objectives. These concerns are reported from observations, GIS compliance, report content and budget management trends, and Internal Administration Concerns Reports generated by members of the Self-Monitoring Committee.

SCHEDULE

Scheduling for the Self-Monitoring Meetings will be coordinated through the Tribal Operations/Compliance Division. There will be one objective administered for the year and applied to all YDSP departments.

ADMINISTRATIVE OBJECTIVE 2014

The Administrative Objective for this plan year is to create YDSP driven performance measures. These performance measures will aid in creating the YDSP Budget Priorities Model for the Tribal



Council during the budget planning period and to help generate milestones for the Grants Management database.

Period	Departments	Objective
2014	YDSP Service Providers	Set departmental performance measures and track them on a database maintained in Tribal Operations.

DEPARTMENT SCHEDULE

This plan year all of the departments will be scheduled for a meeting at least once this year. The schedule is formatted to meet with 2 departments each month until all the departments have been scheduled. The order they are scheduled is based on the frequency of their last meetings. The schedule is as follows:

Target Month	Period	Department	Time Allotted
April 2014	January 2013 – December 2013	Cultural Center	4 hours
	January 2013 – December 2013	Maintenance	4 hours
May 2014	January 2013 – December 2013	Tuy Pathu Daycare	4 hours
	January 2013 – December 2013	Recreation & Wellness Center	4 hours
June 2014	January 2013 – December 2013	Housing Department	4 hours
	January 2013 – December 2013	Tribal Police	4 hours
July 2014	January 2014 – March 2014	Tribal Judicial Department	4 hours
	January 2014 – March 2014	Office of Emergency Management	4 hours
August 2014	January 2014 – June 2014	HHS-ASAP	4 hours
	January 2014 – June 2014	HHS-Social Services	4 hours
September 2014	January 2014 – June 2014	HHS-Health	4 hours
	January 2014 – June 2014	Tribal Empowerment Department	4 hours
October 2014	January 2014 – September 2014	Environmental Management Office	4 hours
	January 2014 – September 2014	Economic Development Department	4 hours

REPORT AND COMMUNICATION

A Self-Monitoring Report will be drafted summarizing the results of the meeting and self-monitoring committee comments. Ratings below 2.5 will be included in the report and disbursed to department directors who are offered the opportunity to comment or revise the draft report. After the comment



phase, the report is finalized and communicated to the Tribal Administrators within 45 days following the last Self-Monitoring meeting held in the session.

FOLLOW-UP

Each Self-Monitoring session follow-up will be conducted based on the schedule below:

Self – Monitoring Follow-Up Schedule			
Engagement	Tools	Follow-Up Time Frame	Description
Self-Monitoring Meetings	Task Assignments to address operational and financial gaps and encourage proactive risk management activities	Next Scheduled Self-Monitoring Meeting	At the next scheduled Self-Monitoring Meeting for each department a status of "Complete", "Not Complete" "Pending" or "Deferred" is issued to all pending tasks

STAFF TRAINING

The Tribal Operations/Compliance Division recognizes the benefits to the Pueblo of ongoing training and staff development since these investments yield a more effective workforce. Therefore, a reasonable amount shall be included in the Compliance Division's annual operating budget for continuing professional education and development, to include necessary professional memberships and certifications.

In plan year 2014, the IPM will work to fulfill these standards by obtaining at least the minimum of 18 hours of Continuing Professional Education Credits, continue membership in the Institute of Internal Auditors-El Paso Chapter and work toward obtaining the Certification of Internal Auditors.

TECHNICAL ENHANCEMENTS

In plan year 2014, the Tribal Ops/Compliance and Finance/Grants Management functions will coordinate the implementation technical enhancement activities related to grants management. This will include software training, set-up of users, set-up of grants/programs and input all grant management activities. Activities will be on-going until all departments are phased into the software.

PERSONNEL CONSULTED

Administration personnel have been consulted and provided valuable insights in their area of expertise to help contribute to the development of this plan. These members are considered part of the Risk Assessment Workgroup and include the following:



TRIBAL OPERATIONS
SILETA DEL SAN PUEBLO

Self-Monitoring Plan

2014

Name	Position Title
Linda Austin	Director of Tribal Operations
Laura Baeza	Grants and Cost Accounting Manager
Jennifer Hoagland	Director of Finance



PLAN AUTHORIZATION

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Date

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Governor Frank Paiz, Tribal Administrator

Date