

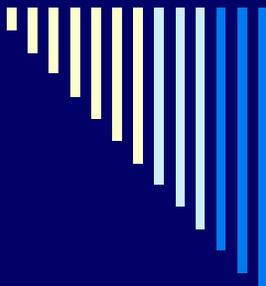
# Monitoring

Region 3

Discretionary Roundtable

May 31, 2007 – June 1, 2007

Sherrill MitchellRobison



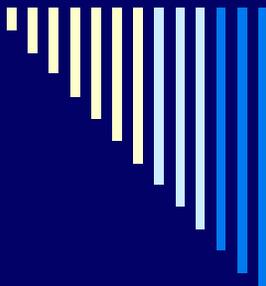
---

# Monitoring

- Purpose

- Content

- Structure

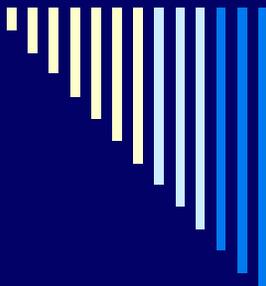


---

# Monitoring

## Purpose

The purpose of a monitoring review is to provide any necessary technical assistance and to determine your level of compliance with federal regulations and the performance and financial requirements of your grant.



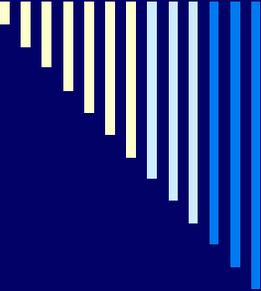
---

# Monitoring

## Content

### ***Core Monitoring Guide***

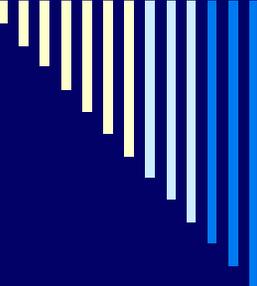
- **Design and Governance**
- **Program and Grant Management Systems**
- **Financial Management Systems**
- **Service/Product Delivery**
- **Performance Accountability**



# Monitoring

## Structure

- Logistics to be coordinated between FPO and Project Director
- Entrance and exit briefing with Signatory and other leadership staff
- Typically include tour of facility, equipment, observe class, meet with partners and participants



---

# Design and Governance

## □ Strategic Planning

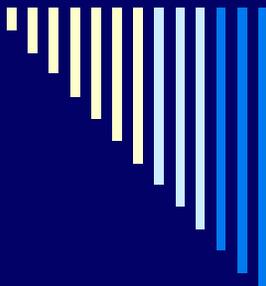
-- Goals and objectives of the grant are aligned with agency's strategic plan

## □ Service Design

-- The program is designed to respond to workforce development needs

## □ Program Integration

-- Functions as a partners with the public workforce system, business and industry, economic development agencies, and educational and training providers



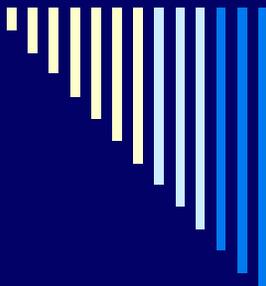
# Program and Grant Management Systems

## □ Administrative Controls

- Policies and procedures for core management functions and program operations
- Monitoring tool used with subrecipients
- Personnel aligned with SOW

## □ Civil Rights

- Compliance with Federal Civil Rights laws



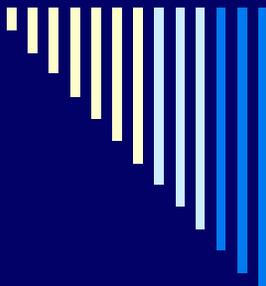
# Program and Grant Management Systems

## □ Sustainability

- Viable plan for sustaining grant activities
- Continuation of services to participants who have not completed program by the end of the grant period

## □ Match Requirements

- Written policy and procedures that describe grant match requirements, allowable match, and methods for tracking match have been issued to all parties affected



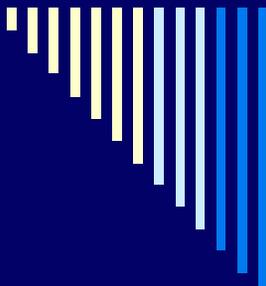
# Program and Grant Management Systems

## □ Equipment

- A system for the acquisition, management, and disposition of equipment purchased with grant funds

## □ Procurement

- Follows established procurement procedures which reflect applicable state and local laws and regulations, provided that the procurements procedures conform to applicable Federal laws standards



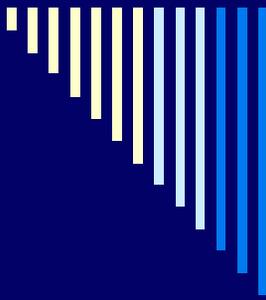
# Program and Grant Management Systems

## □ Audit and Audit Resolution

- A system for audit in compliance with OMB Circular A-133

## □ Reporting Systems

- Maintains data collection and reporting systems to fulfill external reporting requirements, both financial and programmatic



---

# Financial Management Systems

## □ Budget Controls

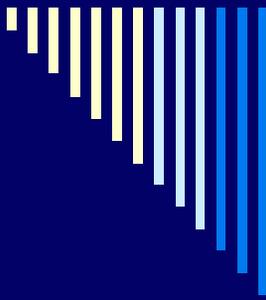
- An approved budget that compares actual expenditures or outlays to planned or estimated expenditures on a regular basis

## □ Cash Management

- Draw downs, frequency, amounts

## □ Program Income

- Earning, spending, and reporting



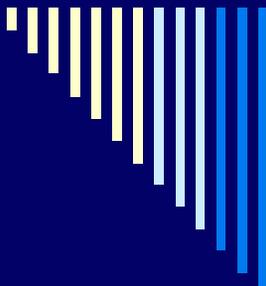
# Financial Management Systems

## □ Cost Allocation

-- Only allocates costs to the grant to the extent that a benefit was received

## □ Allowable Costs

-- A system in place to ensure the program is incurring **necessary** and **reasonable** costs and is only charging **allowable** and **allocable** costs to the grant



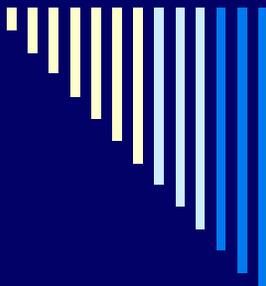
# Financial Management Systems

## □ Internal Controls

- Effective control, integrity, and accountability are maintained for cash, personal property, and other grant assets
- No one person controls the order, receipt, payment, and reconciliation of expenditures

## □ Financial Reporting

- Accounting system that allows accurate and complete disclosure of the financial activities and those of subrecipients



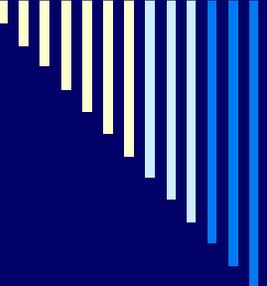
# Service/Product Delivery

## □ Operating Systems

- Providing the full range of services stipulated in the grant agreement
- Developing products stipulated in the grant agreement
- Subrecipients and contracts called for in the project plan are in place and fully operational

## □ Participant Files

- Participant files and case notes demonstrates that participants are receiving appropriate and effective services



---

# Service/Product Delivery

## □ High-growth Jobs

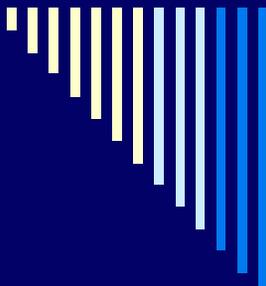
- Training activities are concentrated in occupational areas having high-demand / high-growth – SOW

## □ Integrated Services

- Coordinates training/service delivery with employers, workforce agencies and others to provide integrated services

## □ Business Relationships

- Tailors the delivery of services, training and products to meet the needs of business/industry



---

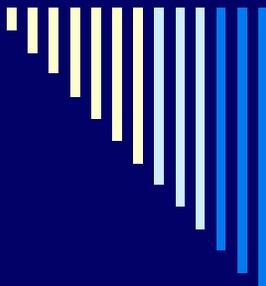
# Performance Accountability

## □ Service Goals

- Meeting service level and expenditure goals
- Training ~ Planned vs Actual

## □ Performance Outcomes

- Meeting performance outcome goals
- Numbers / % persons placed in jobs, earnings gained as a result of participation in the program, persons receiving a credential or diploma as a result of training, etc



---

# Performance Accountability

## □ Subrecipient Performance

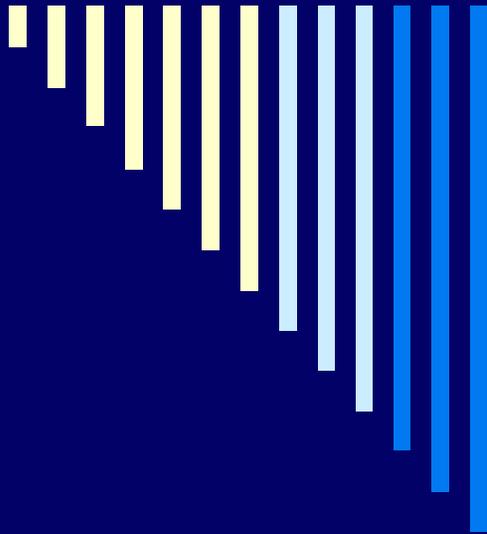
- Managing subrecipient and contractor performance
- Subrecipients accountable for actual versus planned accomplishments related to performance goals

## □ Performance Data

- Evaluate the system for managing performance

---

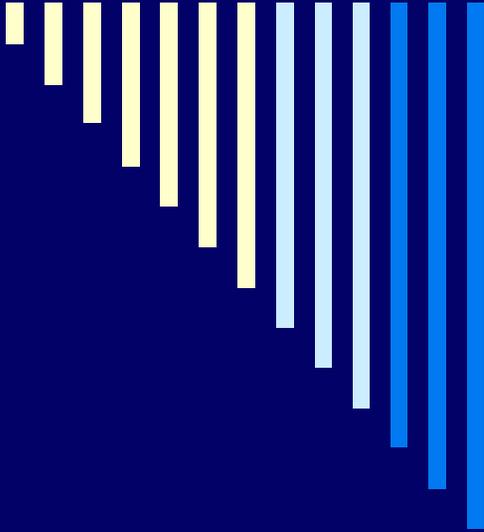
# Summary of Findings for Core Activity



Promising Practices

Observations

Findings



? Questions ?

? Questions ?

? Questions ?