- Uphold the Department's fiduciary responsibility to ensure funds are used for intended purposes

- Provide timely and appropriate technical assistance to grantees

Should be:

✓ technical assistance-oriented

✓ standardized and transparent

✓ data-driven and strive for triangulation of data from multiple sources

✓ a team effort that is dependent upon individual roles and responsibilities

✓ reflective of high standards of professionalism

Five Modules—

1. Performance Accountability
2. Fiscal
3. State Leadership
4. Competitions and Monitoring of Local Providers
5. WIOA Collaboration (Shared Module)

Please contact your Area Coordinator for the Modules

Desk Monitoring

On-site Reviews
- ✓ Full
- ✓ Targeted

Virtual Reviews
- ✓ Targeted

Desk Monitoring

- ✓ NRS statistical reports *(due October)*
- ✓ Data quality checklists *(due December)*
- ✓ State assessment policies *(due December)*
- ✓ Narrative State reports *(due December)*
- ✓ Initial and final financial status reports *(due December)*
- ✓ Match and maintenance of effort reports *(January – February)*
- ✓ WIOA Unified or Combined State Plan modifications *(due spring 2022)*
- ✓ Progress in satisfying audit resolution requirements, if applicable to the State grantee *(ongoing)*
- ✓ Progress in routine monitoring of G5 drawdowns *(ongoing)*
- ✓ Routine and issue-specific correspondence and technical assistance to State grantee *(ongoing)*
- ✓ Progress in developing and implementing an acceptable corrective action plan (CAP) resulting from a prior on-site program monitoring visit, if applicable to the State grantee *(ongoing)*
- ✓ Progress in satisfying special conditions attached to active grant awards with current grantees, if applicable to the State grantee *(ongoing)*

On-site Reviews

✓Reviews all modules on the DAEL monitoring tool

✓Visits are usually five days

✓Employs four program reviewers

Targeted Reviews

✓Reviews a selected module of the DAEL monitoring tool

✓Visits are two-three days

✓Employs two-three program reviewers

Virtual Reviews

✓Reviews a selected module of the DAEL monitoring tool

✓Visits are two-three days

✓Employs two-three program reviewers

Risk Analysis Factors

Include:

- ✓ Lack of on-site full monitoring review in last several years
- ✓ Receipt of significant allotment of AEFLA funds
- ✓ Consistent low performance on NRS indicators in several categories
- ✓ Prospective noncompliance with grant requirements or past unobligated balances of program funds identified through desk monitoring
- ✓ Need for verification of data quality
- ✓ Progress in resolving required actions from prior monitoring visit
- ✓ Significant staff turnover in State offices or recent/imminent State transfer of program governance
- ✓ Program-specific Unresolved or Recurring Audit Findings
- ✓ WIOA Implementation

❑Pre-Review Activities

❑Review Activities

❑Post-Review Activities

Pre-Review Activities

Onsite

- ✓ Contacting the State and setting the date

  (States notified 3 months prior to review)
- ✓ Three Federal Team work sessions
- ✓ Three Federal/State conference calls
- ✓ Management Information System

  (MIS) demonstration (as applicable)

Virtual

- ✓ Contacting the State and setting the date

  (States notified 30 days prior to review)
- ✓ One Federal Team work session
- ✓ One Federal/State conference call
- ✓ Management Information System

  (MIS) demonstration (as applicable)

Get ready!

Review Activities

On-site

- ✓ Entrance Conference
- ✓ Document Review
- ✓ MIS Demonstration (as applicable)
- ✓ Interviews with State Staff
- ✓ *Local Site Visits*
- ✓ *Focus Groups (Local Directors, Workforce Partners)*
- ✓ Exit Conference

Virtual

- ✓ Entrance Conference
- ✓ Document Review
- ✓ MIS Demonstration (as applicable)
- ✓ Interviews with State Staff
- ✓ Exit Conference

Post-Review Activities

✓ Write & Issue Report

✓ Negotiate Corrective Action Plan (CAP) for all findings

✓ Monitor CAP to completion

✓ Close CAP

The Report

- Recognizes noteworthy practices in State administration of the federal grant

- Identifies compliance findings, required actions with authority citations and describes observations that result in findings

- Provides recommendations to promote improvement

Corrective Action Plan (CAP)

TEMPLATE FOR STATE PROGRAM AND TECHNICAL ASSISTANCE MONITORING CORRECTIVE ACTION PLAN

State: _____   Date of Visit: _____   Received Report:_____

State Required Action	Strategy to Meet Required Action	Evidence of Action Completed	Projected Date for Completion	Assigned Staff if Appropriate	Status of Action Completed or Pending

- Evidence is received and reviewed by the Area Coordinator

- Once the evidence of completion is accepted, required actions are closed

- Formal closure letter is then sent to the State

Monitoring and Administration Branch

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