# DAEL’s Monitoring Process

# Federal Responsibility

- Driving Principles
  - -Transparency
  - -Standardization
  - -Data Driven
  - -Multi-sourced
- Risk Assessment
- Types of Visits

# Risk Analysis Factors

- Lack of on-site full monitoring review in last several years
- Need for verification of data quality
- 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
- Progress in resolving required actions from prior monitoring visit
- Significant staff turnover in State offices or recent/imminent State transfer of program governance
- Receipt of significant allotment of AEFLA funds
- Program-specific Unresolved or Recurring Audit Findings
- WIOA Implementation - NEW

# The Process for Full Review

- Goal is for the process to be transparent to the State
- Pre-Visit conference calls with State
- Data driven review process confirming conclusions with data from multiple sources
- Local site visits and focus groups
- Use of peer reviewer

# Areas Reviewed

- National Reporting System
- State Leadership
- Funding Local Grants
- Financial Consideration
- Evaluating Local Programs
- Collaboration/WIOA Partners
- TBD

URL for Monitoring Tool

TBD

# 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

# CAP Template

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 |
|---|---|---|---|---|---|
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# Close-Out

- 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

# Technical Assistance Contacts

## Area Coordinators

- Stephanie Washington, Area I, 202-245-6952, Stephanie.Washington@ed.gov
- Sharon Harrington, Area II, 202-245-7709, Sharon.Harrington@ed.gov
- Rebecca Moak, Area III, 202-245-7807, Rebecca.Moak@ed.gov
- Zina Watkins, Areas IV and V, 202-245-6197, Zina.Watkins@ed.gov

Kenneth Kalman, Management/Program Analyst

202-245-7529, Kenneth.Kalman@ed.gov

Karla Ver Bryck Block, Team Leader

202-245-6836, Karla.Verbryckblock@ed.gov