

# Oversite & Monitoring

ETP Monitoring Unit

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# Introductions



Shannon Rolf  
Monitoring Supervisor  
[Shannon.rolf@state.mn.us](mailto:Shannon.rolf@state.mn.us)



Linda Skogen  
Program Monitor  
[Linda.skogen@state.mn.us](mailto:Linda.skogen@state.mn.us)



Shaneaka Younger  
Program Monitor  
[Shaneaka.younger@state.mn.us](mailto:Shaneaka.younger@state.mn.us)

## Adult Career Pathways

- Cindy Boyle
- Claire Nelligan

## Dislocated Worker/ WIOA Adult

- Linda Skogen
- Shaneaka Younger

## Youth Programs

- Mohamed Farah
- Ahmed Mohidin

*“To provide consistent oversight and customized guidance to Grantee partners in order to ensure compliance and achieve successful outcomes for all.”*

- Monitoring Requirements
- Objectives of Monitoring
- Expectations During a Visit
- General Timelines & Next Steps
- Q & A

The background of the image shows the pages of an open book, with light reflecting off the edges, creating a sense of depth and texture. A solid dark blue rectangle is centered over the book, serving as a backdrop for the text.

# Monitoring Requirements

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DEED is required to conduct programmatic, fiscal, and administrative compliance monitoring of Federal and State awarded workforce development grantees. [20 CFR 683.410](#), [2 CFR part 200](#), & [MN OGM Policy 08-10](#)

# Subgrantee Monitoring Requirements

**Does your organization subgrant your DEED grant award?** If so, your organization is responsible for the monitoring of your subgrantees.

- Organizations receiving funding over \$50,000 must be monitored once during the grant period and annually for subgrants over \$250,000.





# Objectives of Monitoring

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- ✓ Assess compliance with statutes, grant agreement, & program policy.
- ✓ Ensure grant funds are used efficiently and effectively & are protected from fraud, waste, and abuse.
- ✓ Determine whether expenditures have been appropriately applied per cost categories.
- ✓ Assess whether performance goals are on track.
- ✓ Identify whether there are any technical assistance needs.

# Objectives of Monitoring

## What Monitoring Is:

- ✓ Required by Regulations and Policy
- ✓ Routine
- ✓ Opportunity for DEED to identify technical assistance needs of grantees

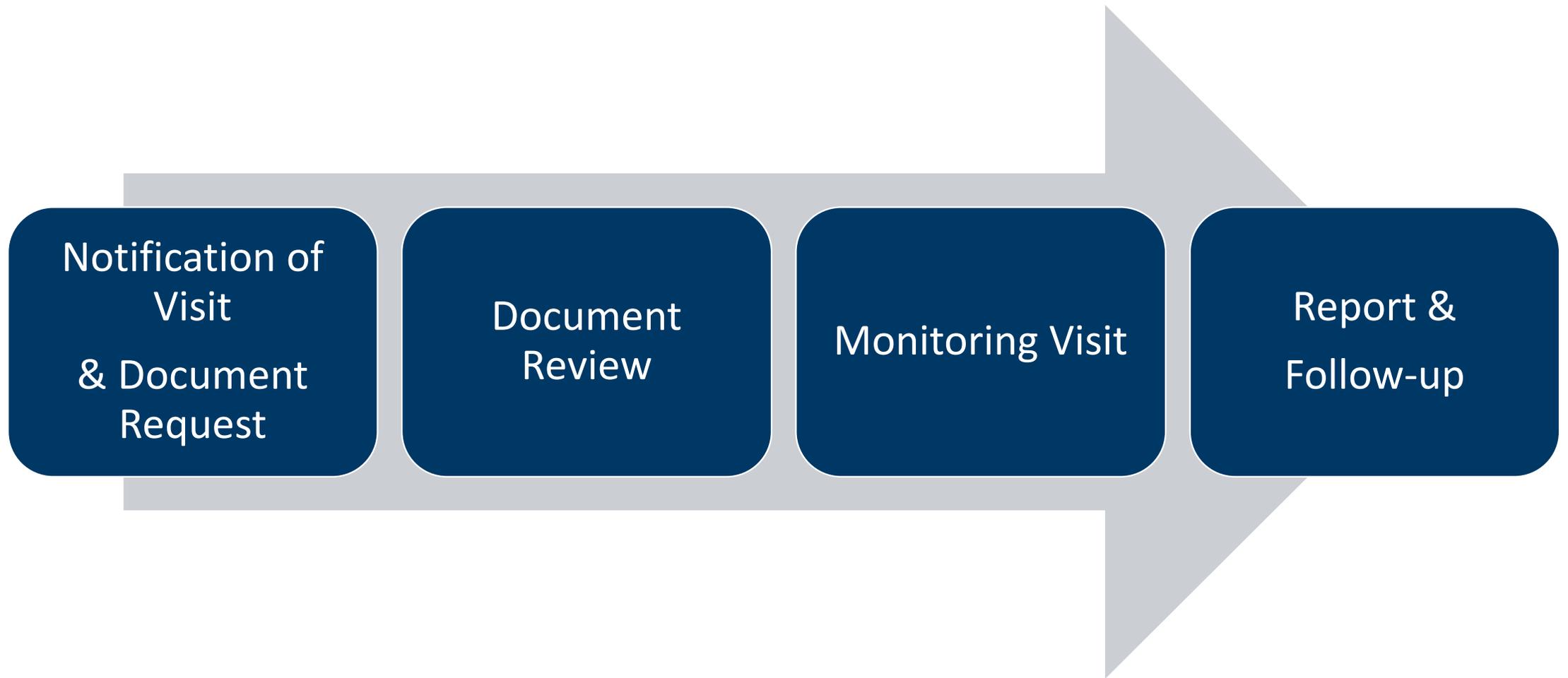
## What Monitoring is Not:

- X An Audit
- X A direct result of wrong doing (your organization isn't selected because your organization is "in trouble")



# What to Expect During a Monitoring Visit

# Cycle of a Monitoring Visit



# Notification of Visit & Document Request

## Monitor will:

- Notify grantee of pending monitoring visit.
- Include a list of fiscal and program documents needed from the grantee.
- Provide list of participant #'s that will be reviewed within WF1.
- Indicate a deadline (typically will provide approximately 30 days).

## Grantee will send DEED:

- A Completed Monitoring Guide.
- Detailed General Ledger from the start of the grant.
- Program policies (as needed per request).
- Other items upon request.

# Document Review

## Monitor will review (but not limited to):

- Grantee's financial audit reports
- Completed program and fiscal monitoring guides
- Progress reports
- Risk assessments
- Cash balances
- Workplan
- Workforce One (WF1) program reports
- Program performance outcomes
- Financial Status Reports (FSRs)/Reimbursement Requests (RPRs)



# During the Monitoring Visit (On-site or Virtual)



## Items discussed during a visit:

- Statutory compliance & policies and procedures
- Summary of items reviewed
- Fiscal documentation and reporting
- Program performance goals/outcomes
- Grantee challenges and questions
- Areas of concern and findings that require action.
- Recommendations and/or technical assistance (when appropriate)

# Monitoring Report & Follow-up

A report will be issued by the monitor in approximately forty-five (45) days from the completion of the monitoring visit and emailed to the grantee.

## **Corrective Actions**

When corrective actions are issued, the grantee is required to provide a response addressing each finding noted in the monitoring report within 30 calendar days. The corrective action plan, when required, shall include the action(s) the grantee will take to correct the problem and estimated date the finding will be resolved.





# General Timelines & Next Steps

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Estimated Timeframe	Activities
30 Days (approximately) Prior to Monitoring Visit	<ul style="list-style-type: none"><li>• Notification of Monitoring Sent to Grantee</li><li>• Monitoring Guide Sent</li><li>• Documentation Request</li><li>• Grantee Uploads Participant Documentation into WF1 (if requested)</li></ul>
Monitor Reviews Documents	<ul style="list-style-type: none"><li>• Grantee sends additional documents (as needed)</li></ul>
7 Days Prior to Monitoring Visit (On-site or Virtual)	<ul style="list-style-type: none"><li>• Monitor will work with each grantee to schedule a suitable date and time for the monitoring entrance and exit meetings.</li><li>• Agenda and/or MS Teams meeting invite is sent.</li></ul>
45 Days (approximately) Post Monitoring Visit	<ul style="list-style-type: none"><li>• Monitoring Report Sent to Grantee</li></ul>
30 Days from the issuance of the Monitoring Report (Only required if corrective actions are issued to the grantee).	<ul style="list-style-type: none"><li>• Grantee provides a response addressing each corrective action noted in the monitoring report.</li></ul>



Thank You!