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Introduction

Preparation for program and fiscal monitoring was viewed as an opportunity to organize Consortium operations and oversight, and gain consensus on policies and their implementation. Lead College staff took responsibility for analyzing Core Monitoring elements and creating subsets for co-grantees and individual Lead staff members for monitoring preparation. This construct provided actionable preparation items for everyone in the Consortium, making responsibility clear and manageable. Just as important, in this way a shared frame of compliance reference was assembled which has far reaching and sustained benefit for grant administration.

The Year 2 annual co-grantee onsite support visit by lead college staff reinforced preparation through simulation of a monitoring visit. As always, the support visit was followed up by a summary of observations and recommendations.
Stage 1: Lead Staff Review & Respond to Core Monitoring Guide Objectives

Participants: Executive Director, Fiscal Compliance Manager, Reporting & Data Compliance Manager, and other Lead Staff as appropriate

Timeframe: Quarter 2 – Quarter 7

Lead College staff met twice a month to review and begin assembling information for Core Monitoring Guide objectives, over the course of a year-long period.

Collaboration Tool: Microsoft OneNote was used as a tool to capture monitoring efforts

OneNote Dashboard of Responses

Lead Staff Review & Respond:

- Staff reviewed each objective, and indicator
- Each item received a response specific to Consortium progress, expectations and experiences
- Additional college and co-grantee stakeholders outside of the Leadership team were consulted to capture additional insight
- Objectives and indicators unrelated to our project were eliminated
- Sample of draft responses to Core Monitoring Guide Objectives

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Stage 2: Lead Staff Identify Core Monitoring Objectives Requiring Response from Specific Lead Consortium Staff Members

Participants: Executive Director, Fiscal Compliance Manager, Reporting & Data Compliance Manager, and other Lead Staff as appropriate

Timeframe: Quarter 4 – Quarter 6

Review: Leadership team extracted a subset of objectives and indicators aligned with specific individual Consortium lead staff responsibilities (i.e. 4.33 on job search/placement service aligns with the role of Employment Specialist)

Delegate Response to Individual Lead Staff Members:
- Role-specific indicators from the Core Monitoring Guide were discussed in the monthly lead staff meeting and templates distributed
- Staff created responses, and organized supporting file location
- Example of Lead Staff response:

Mat\text{hew (Reporting and Data Compliance Manager) – Core Monitoring Guide questions

2.12
1. In terms of content, is the information reviewed in the monitoring tools aligned to both individual grant goals and the Federal requirements? If not, what is missing?
2. Are the monitoring protocols and instructions clear and adequate to guide the monitoring process? Are the monitoring tools adaptable to all grants, or are there individual tools for each grant and subrecipient?
3. How does the grantee develop its subrecipient monitoring schedule? Is it followed?
4. Does there appear to be an assignment of risk to either subrecipients or to grants operated by the grantee? What is the basis for determining high-risk/low-risk levels?

Responses:
1. Compliance phone calls monthly, quarterly support visits, project dashboard maintained every quarter, quarterly reporting to the Lead from member colleges. These monitoring tools were agreed upon during inception of the grant, at the first meeting.
2. These tools are adaptable to any grant, and provide a clear form of communication to/from co-grantees.
3. Schedule was agreed upon at first Consortium wide meeting. Schedule has been adapted slightly as needs have changed and time has become an important factor. With few exceptions, reporting schedule is followed.
4. Examples include: self-reporting situations may be high risk, as well as Lead judging progress against goals, however through regular communication Lead becomes aware of varying risk levels and remedies appropriately.

Role Specific Responses, Reporting & Data Compliance Manager

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Stage 3: Lead Staff Identify Core Monitoring Objectives Requiring Response from Co-Grantee Staff Members

Participants: Executive Director, Fiscal Compliance Manager, Reporting & Data Compliance Manager, Co-Grantee Project Managers and Student Support Staff

Timeframe: Quarter 5 – Quarter 6

Review: Leadership team extracted a subset of specific objectives and indicators aligning with specific co-grantee roles (i.e. 4.22 on student services and the role of Student Navigator)

Delegate Response to Co-Grantee Staff Members:

- Process, timeline and support were discussed at the monthly co-grantee Project Manager’s meetings
- Co-grantee role-specific (examples: Project Managers, Student Navigators) questions from the Core Monitoring Guide were sent to each college’s Project Manager for local control
- Staff created responses, gathered supporting information and noted location of relevant files or work product
- Examples of co-grantee responses:

  Clark Monitoring Checklist PM.docx

  Clark Monitoring Checklist StuServ.docx
Stage 4: Lead & Co-Grantee Staff Members Create Individual Project Timelines

**Participants:** Executive Director, Fiscal Compliance Manager, Reporting & Data Compliance Manager, and other Lead and Co-Grantee Staff as appropriate

**Timeframe:** Quarter 5 – Quarter 6

**Map Lead and Co-Grantee Staff Members’ Effort:**
- Lead and relevant co-grantee staff were tasked with creating an ‘Individual Project Timeline’.
- The Individual Project Timeline documents each staff member’s work efforts specific to grant deliverables and objectives, supporting coherence both for monitoring preparation as well as goal attainment.

**Individual Project Timeline Elements:**
- Quarter of Completion
- Date of Completion or Duration/Frequency
- Name of Activity
- Description of Activity
- Documentation (location and attachments of specific files related to the activity)
- Goal or Deliverable (specific grant deliverable this activity is tied to)
- Example of Individual Project Timeline:

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Individual Project TIMELINE -- Health eWorkforce Consortium

**Name:** Sandlin Seguin

**Title:** Curriculum and Faculty Development Specialist

**Employee start date:** Nov 2014

**Location of folder for attachments:**

<table>
<thead>
<tr>
<th>Quarter of Completion (from drop down)</th>
<th>Date of Completion or Duration, if long-term or ongoing project (mm/dd/yyyy)</th>
<th>Activity</th>
<th>Description of Activity</th>
<th>Documentation</th>
<th>Goal or Deliverable which activity maps to (if applicable)</th>
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<td>Enhance Curriculum</td>
<td>Identify and modify curriculum that can be improved through increased interactivity prior to dissemination.</td>
<td><a href="#">Quantification of Database 12-31.xlsx</a></td>
<td>Priority 2: Deliverables 1-4</td>
<td></td>
</tr>
<tr>
<td>In Progress</td>
<td>Ongoing – 12/31/14</td>
<td>Project management of Curriculum</td>
<td><a href="#">Project management of all curriculum documents from consortium partners</a></td>
<td>Priority 2: Deliverables 1-4</td>
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<tr>
<td>In Progress</td>
<td>Review of student performance in course pilots</td>
<td>Review student, faculty and other feedback on HIT materials after piloting.</td>
<td><a href="#">RTC Intro to HIT Curriculum Quality 3rd</a></td>
<td>Priority 9</td>
<td></td>
</tr>
</tbody>
</table>

*Individual Project Timeline Example, Curriculum & Faculty Development Specialist*
Appendix: Core Monitoring Sections Addressed by Health eWorkforce Consortium

This list reflects the sections of the Core Monitoring Guide relevant to the Health eWorkforce Consortium TAACCCT grant, and may not be representative of all sections other grant projects should address in advance of their Monitoring Visit.

Section 1: Design and Governance
- Objective 1.1: Strategic Planning (1.11, 1.12, 1.13, 1.14)
- Objective 1.2: Service Design (1.21, 1.22, 1.23, 1.24)
- Objective 1.3: Program Integration (1.31, 1.32)

Section 2: Program and Grant Management Systems
- Objective 2.1: Administrative Controls (1.11, 1.12, 1.13, 1.14)
- Objective 2.2: Personnel (2.21, 2.22, 2.23)
- Objective 2.3: Civil Rights (2.31, 2.32, 2.33)
- Objective 2.4: Sustainability (2.41, 2.42)
- Objective 2.7: Procurement (2.71, 2.72)
- Objective 2.8: Auditing (2.81, 2.82, 2.83)
- Objective 2.9: Reporting Systems (2.91, 2.92, 2.93)

Section 3: Financial Management Systems
- Objective 3.1: Budget Controls (3.11)

Section 4: Service/Product Delivery
- Objective 4.1: Operating Systems (4.11, 4.12, 4.13, 4.14)
- Objective 4.2: Participant Files (4.21, 4.22, 4.23, 4.24)
- Objective 4.3: High Growth Jobs (4.31, 4.32, 4.33)
- Objective 4.4: Integrated Services (4.41, 4.42, 4.43, 4.44)
- Objective 4.5: Business Relationships (4.51, 4.52)
- Objective 4.6: Development of Online Training (4.61)
- Objective 4.7: Intellectual Property (4.71)

Section 5: Performance Accountability
- Objective 5.1: Service Goals (5.11, 5.12, 5.13, 5.14)
- Objective 5.2: Performance Outcomes (5.21, 5.22)
- Objective 5.3: Subrecipient Performance (5.31, 5.32)
- Objective 5.4: Performance Data (5.41, 5.42, 5.43, 5.44)

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