EmployIndy

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POLICY OF EMPLOYINDY

Policy Name	Technical Assistance and Monitoring
Policy Number	2015-023
Program Funding Stream	All
Executive Team Approval	(please date & initial below)
COO	5/17/17
CFO	5/10/17
President Approval	5/10/17

REV	Description of Change	Author	Effective Date	Review Date
	Revised and reissued; replaces policy #2010-FA-001, Monitoring	S. Phillips	Upon Approval	12/31/16
	Revision from restructure	S. Johnson	Upon Approval	6/30/2018

1. Purpose

To ensure that a program is implemented in accordance with the provisions of a grant or contract and to identify best practices, corrective actions, and any technical assistance needs.

2. Scope

To provide guidance on conduct of on-site monitoring visits to service provider(s) providing direct client service and receiving funds from EmployIndy.

3. Summary of the Law, Rules, and Governing Policies

According to Uniform Grant Guidance 2 C.F.R. § 200.328, recipients are responsible for managing and monitoring each project, program, subaward, function, or activity supported by a federal award. Recipients shall monitor subawards to ensure they have met the fiscal and program performance requirements.

4. Responsibilities

- EmployIndy's Quality Department, with collaboration from other necessary Departments, is responsible for providing technical assistance.

- EmployIndy Quality and Fiscal Departments are responsible for providing guidance, validation and periodic review of this policy.
- EmployIndy Quality and Fiscal Departments are responsible for providing standard operating procedures and monitoring guides as related to this policy.
- EmployIndy Quality, Fiscal, Career Services, Youth, and Business Partnerships Divisions (as appropriate) are responsible for coordination of cross-division review of monitoring reports, engagement in monitoring activities, and resolution of monitoring reports with service providers.

5. Policy Statement

Technical Assistance

EmployIndy is committed to providing technical assistance to service providers and community partners in efforts to improve the quality of programming, data validation, and file maintenance and to assist in increasing the capacity of partner providers and organizations. Technical assistance shall include navigation and data entry into required applicant tracking systems; exposure to all relevant local, state, and federal policies and guidance letters; and connectivity to other departments within EmployIndy.

The technical assistance will focus on program and contract start-up and issues found within local, state, and federal monitoring reports. Any service provider or community partner may also request technical assistance through the program manager or Quality Department. As such, EmployIndy's Quality Department provides technical assistance to service providers both for quality and compliance.

Monitoring

All service providers providing direct client service and receiving funds from EmployIndy will be monitored for financial and programmatic compliance on-site at least:

- Annually; or
- If the contract lasts less than one year, once during the term of the contract.[1]

At a minimum, monitoring activities shall include:

- Review of compliance with applicable federal and state laws, regulations, and DWD and EmployIndy polices;
- Review of the quality of direct client services in comparison to provisions set in contract;
- Assurance of proper disbursement of, accounting for, and reporting of funds;
- Provision of technical assistance to service providers when necessary and appropriate;
- Provision of a monitoring report to each service provider during an exit conference; and
- Full resolution of the findings and observations noted in the final monitoring report by each service provider within the timeframe identified.

Monitoring may be carried out by either a contracted service provider or EmployIndy staff. Desktop monitoring may be conducted to supplement on-site monitoring. In the event EmployIndy determines a service provider to be "high risk", additional monitoring may be performed.

[1] DWD Policy 2015-06, "Interim Monitoring Policy." http://www.in.gov/dwd/files/Monitoring_Final_4.14.pdf

6. Exceptions

There are no exceptions to this policy.

7. Definitions

High Risk: Demonstrating noncompliance or the potential risk of noncompliance of the provisions set in a contract and/or grant management.

Desktop Monitoring: Utilization of exception management reports and random review of participant files on a periodic basis to ensure accuracy of service provision, documentation, and data validation.

8. Related Policies and Documents

DWD Policy 2015-06 Interim Monitoring Policy[2]
EmployIndy Standard Operating Procedure - Monitoring

[2] http://www.in.gov/dwd/files/Monitoring_Final_4.14.pdf