

## MONITORING STRATEGIES

Purpose: The purpose of monitoring strategies is to identify a continuum of activities that may be used to monitor agencies and to ensure quality assurance including compliance.

The following activities may be used as monitoring strategies with a provider at any time during the monitoring process. The intensity, frequency and purpose of use may vary according to the monitoring strategy required by the agency. Various monitoring strategies may be utilized to ensure a comprehensive and multi-dimensional Quality Assurance System. The Division is not limited to apply a specific strategy to any provider at any time.

Phone call Workforce Education may communicate with an agency regarding monitoring issues through one or more phone calls.

E-mail Workforce Education may provide a notification of monitoring status via electronic mail.

Conference call Workforce Education may initiate and conduct one or more conference calls with an agency, including participation by designated or appropriate parties, to engage in monitoring activities including targeted technical assistance or as a periodic reporting mechanism.

Video conference Workforce Education may use technology to conduct a video conference to complete monitoring activities including, but not limited to pre- and post-visit communication with the agency, interviews, targeted technical assistance, and follow-up actions.

Self Assessment An agency will complete a full or partial Self-Assessment according to a timeline determined by Workforce Education to identify areas of greatest need/non-compliance; provide the results to Workforce Education; and develop a corrective action/system improvement plan to ensure full compliance.

Completion of self monitoring An agency will complete its own self monitoring by reviewing internal practices or procedures on a periodic basis; identify the areas of greatest need for program improvement or to ensure compliance; and provide the results to Workforce Education.

Records review Workforce Education will identify specific records and documentation to be submitted for a compliance review onsite or offsite. Selected records may include invoices, purchase orders, travel documents, equipment lists, personnel records, student data, and existing policy and procedures.

Technical assistance Workforce Education or other designated parties will provide a set of services that will assist providers with program and fiscal accountability, program management, policies and procedures or operations.

System improvement plans/corrective action plans Activities/strategies developed by provider and/or Workforce Education following a monitoring activity to achieve systems improvement or compliance.

Onsite visit Workforce Education personnel will conduct monitoring activities onsite that may include the following: records review, observations, interviews or other activities to perform a comprehensive review of compliance and program performance.

Verification A verification of documents, procedures or strategies put in place by the selected agency for accuracy and consistency with state and federal guideline for the funded grant(s). Verification activities may take place onsite or offsite.

Referral for fiscal or data review Selected agency with non-compliance item(s) related to fiscal matters may be referred to Department of Education Grants Management or Comptroller's Office for further review or action. Data issues may be referred for a data quality review within the FLDOE.