

Consolidated Grant Programs CAP

| Task Name | Task Sub-Header | Responsible Person/Office | Measurable Objectives: | Validation by USDOE/Date & Method of Validation | Underlying Problems | GPSS Action Taken for Resolution | Completion Date / Percentage of Completion | Documents/References | Status/Updates | Comments/Acknowledgement by USDOE |
|---|---|--|---|--|---|---|---|---|--|-----------------------------------|
| I. Strengthen GPSS Monitoring & Technical Assistance Process | Subrecipient Monitoring: A. Federal Programs Division (FPD) identified criteria to be used in determining programmatic & fiscal monitoring needs. The programmatic & fiscal monitoring protocol shall address areas such as allowable uses of funds (in accordance with Section 5121(2)-(8) & Section 5131(a) [of Title V, Part A of the ESEA]), local needs assessment, annual project evaluation & equitable participation of private schools. In addition, [Federal Program Division monitors shall use the] monitoring protocol to monitor subgrants through regular site visits or by other means, using appropriate monitoring documents within the fiscal year. The monitoring plan shall be submitted to USDOE to include at a minimum, the following: a monitoring timeline, identification of sites to be monitored, criteria used to select monitoring sites, [and] the timeline by which the SEA will provide to each subgrantee a copy of the monitoring report. | Federal Programs Division | Implementation and Documentation of Program Monitoring Procedures | USDOE MIT staff interviewed Federal Program Managers, Directors and Monitors regarding the implementation of the new monitoring process and the differentiation/delineation between State versus LEA responsibilities. | Subrecipient Monitoring: activities and services paid with federal funds are related to program objectives and supported with documentation -[GPSS has not ensured] that programs implemented within schools provide services only to eligible participants, i.e., the DEED after school program -[GPSS has not provided] a clear segregation of duties for its program managers, program monitors, program directors and their interaction with school staff | *Ongoing On-Site Monitoring | Completed & Continuous through Quarterly Monitoring | <ul style="list-style-type: none"> SEA vs LEA training materials Monitoring Review/Site Visit Schedule Training documentation (Training Agenda, Attendance sheets, etc.) Programmatic Monitoring & Review Forms Routing Forms Standard Operating Procedures (SOP) & Fiscal Monitoring Forms for: a) Requisition/Purchase b) Travel Request and Authorization Report c) DE-1/Personnel Action Procedure d) Time Distribution Report Procedure e) Fixed Assets Management | State Program Staff continue to provide training to various district personnel in order to reinforce the information on compliance with federal rules and regulation when dealing with federal grant funds. State Monitors to: <ul style="list-style-type: none"> Continue to monitor & validate internal control procedures quarterly Continue to provide technical assistance to Program Managers/Project Directors Ensure program documents are filed securely Continue to receive Grants Management training annually Complete program evaluation by the 3rd quarter of the fiscal year Ensure all necessary training is provided by again for FY08-09 annually thereafter | |
| II. Strengthen Procedures for Reviewing Proposals for Use of Title V Funds] | [A. GPSS shall establish valid procedures for application approval which will ensure the proper use of federal funds.] | Federal Programs Division, Program Managers, Project Directors, & Division Heads | Measurable Objective: Training to be provided to all Program & State Staff annually. Adherence to applicable Standard Operating Procedures (SOP). | | [A. GPSS shall establish valid procedures for application approval which will ensure the proper use of federal funds.] | (1) On-Site Monitoring ongoing; (2) State Officers have received the training necessary to effectively review & approve project applications to ensure compliance with federal statutory requirements; (3) To ensure project applications meet federal programmatic & fiscal requirements, State Officers will continue to provide technical assistance to Program Managers/Project Directors; (4) To validate internal controls, State Officers to conduct quarterly program evaluations/site reviews to ensure adherence to Project Application goals & objectives, to include corrective actions & recommendations; (5) To ensure State Officers possess the tools necessary to effectively evaluate & measure project performance, State Monitors to continue to receive program specific & grants management training annually | *Completed & Ongoing Quarterly Monitoring <i>State Monitors to:</i> <ul style="list-style-type: none"> Continue to monitor & validate internal control procedures quarterly Continue to provide technical assistance to Program Managers/Project Directors Ensure program documents are filed securely Continue to receive Grants Management training annually Complete program evaluation by the 3rd quarter of the fiscal year Ensure all necessary training is provided annually thereafter | <ul style="list-style-type: none"> Project Application Guidelines & Procedures Monitoring Guidelines & Procedures Monitoring Review/Site Visit Schedule SOP & Fiscal Monitoring Checklist: a) Requisition/Purchase Order Procedure b) Travel Request and Authorization Procedure c) DE-1/Personnel Action Procedure d) Time Distribution Report e) Fixed Assets (SOP: Fixed Asset Management System) | <i>State Monitors to:</i> <ul style="list-style-type: none"> Continue to monitor & validate internal control procedures quarterly Continue to provide technical assistance to Program Managers/Project Directors Ensure program documents are filed securely Continue to receive Grants Management training annually Complete program evaluation by the 3rd quarter of the fiscal year Ensure all necessary training is provided by again for FY08-09 annually thereafter | |
| II. Strengthen Procedures for Reviewing Proposals for Use of Title V Funds] | [B. GPSS shall ensure that program applications are adequately evaluated prior to submission to USDOE FY'08 grant submission. | Federal Programs Division, Program Managers, Project Directors, & Division Heads | Measurable Objective: Training is provided to all Program & State Staff annually. Approved Project Application. Proficient levels of application reviews. | USDOE Validation Pending | [B. GPSS shall ensure that program applications are adequately evaluated prior to submission to USDOE FY'08 grant submission. | *Ongoing On-Site Monitoring. State staff have received the training necessary to effectively review & approve project applications to ensure compliance with federal statutory requirements; (b) To ensure project applications meet federal programmatic & fiscal requirements, State Monitors will continue to provide technical assistance to Program Managers/Project Directors; (c) To validate internal controls, State Monitors to conduct quarterly program evaluations/site reviews to ensure adherence to Project Application goals & objectives, to include corrective actions & recommendations; (d) To ensure State Monitors possess the tools necessary to effectively evaluate & measure project performance, State Monitors to continue to receive Grants Management training annually | *Completed & Continuous through Quarterly Monitoring | <ul style="list-style-type: none"> Project Application Guidelines & Procedures | <i>State Monitors to:</i> <ul style="list-style-type: none"> Continue to monitor & validate internal control procedures quarterly Continue to provide technical assistance to Program Managers/Project Directors Ensure program documents are filed securely Continue to receive Grants Management training annually Complete program evaluation by the 3rd quarter of the fiscal year Ensure all necessary training is provided by again for FY08-09 annually thereafter | |

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| II. Strengthen Procedures for Reviewing Proposals for Use of Title V Funds] | [C. GPSS shall implement evaluation procedures to ensure that program applications & evaluation are uniformly implemented, followed, and support the use of federal funds only for allowable program activities.] | Federal Programs Division, Program Managers, Project Directors, & Division Heads | Measurable Objective: Training to be provided to all Program & State Staff annually. | USDOE Validation Pending | [C. GPSS shall implement evaluation procedures to ensure that program applications & evaluation are uniformly implemented, followed, and support the use of federal funds only for allowable program activities. | (1) On-Site Monitoring ongoing; (2) State Officers have received the training necessary to effectively review & approve project applications to ensure compliance with federal statutory requirements; (3) To ensure project applications meet federal programmatic & fiscal requirements, State Officers will continue to provide technical assistance to Program Managers/Project Directors; (4) To validate internal controls, State Officers to conduct quarterly program evaluations/site reviews to ensure adherence to Project Application goals & objectives, to include corrective actions & recommendations; (5) To ensure State Officers possess the tools necessary to effectively evaluate & measure project performance, State Monitors to continue to receive program specific & grants management training annually | * Completed & Ongoing Quarterly Monitoring <i>State Monitors to:</i> • Continue to monitor & validate internal control procedures quarterly • Continue to provide technical assistance to Program Managers/Project Directors • Ensure program documents are filed securely • Continue to receive Grants Management training annually • Complete program evaluation by the 3rd quarter of the fiscal year • Ensure all necessary training is provided annually thereafter | • Program Monitoring Guidelines & Procedures (Forthcoming) • Programmatic Monitoring & Review Forms • Project Application Guidelines & Procedures • Routing Forms | State Program Staff continue to provide training to various district personnel in order to reinforce the information on compliance with federal rules and regulation when dealing with federal grant funds. | |
| II. Strengthen Procedures for Reviewing Proposals for Use of Title V Funds] | [D. GPSS shall provide evidence that its personnel involved in the application, evaluation, and approval process are properly trained.] | Federal Programs Division, Program Managers, Project Directors, & Division Heads | Measurable Objective: Training to be provided to all Program & State Staff annually. | USDOE Validation Pending | [D. GPSS shall provide evidence that its personnel involved in the application, evaluation, and approval process are properly trained. | (1) Ongoing On-Site Monitoring (2) GPSS to ensure personnel responsible for implementing & monitoring federally funded activities receive all necessary training annually; (3) Training was provided to all Program Managers & Project Directors on fiscal requirements & internal control procedures, further training to be provided annually & as needed thereafter; (4) Assessment of internal control procedures to be conducted & validated by State Monitors; (5) State Monitors have received the following Grants Management training: • Grantsmanship II: Administrative Requirements & Cost Principles for Grants & Other Agreements, • Introduction to Federal Grants & Cooperative Agreements, • Monitoring Grants & Cooperative Agreements, • Subawarding for Pass-Through Entities; (6) To ensure State Monitors possess a thorough understanding of cross cutting federal requirements, State Monitors will continue to receive Grants Management training annually. | • Completed & Ongoing Quarterly Monitoring; • GPSS to ensure personnel responsible for implementing & monitoring federally funded activities receive all necessary training annually & as needed; • Monitoring of internal control procedures to be conducted & validated by State Monitors; • State Monitors to continue to receive Grants Management training annually. | • Sample Project Application • Training documentation (Attendance sheets, handouts, certificates, etc.) a) SOP & Routing procedures training b) Grants Management Training certificates | State Program Staff continue to provide training to various district personnel in order to reinforce the information on compliance with federal rules and regulation when dealing with federal grant funds. | |
| III. Reporting | Reporting and properly accounting for Program Income | Federal Programs Division, Program Managers, Project Directors, & Division Heads | Measurable Objective: GPSS shall calculate the portion of Title V funds that is considered program income & report this amount to USDOE as part of Consolidated Grant application budget. | USDOE Validation Pending | Reporting: • GPSS has failed to properly account for program income in the past. reference: audit number 03-24 regarding calculation of program income | (1) On-Site Monitoring ongoing; (2) GPSS implemented procedures to ensure that Program Income generated from federal programs under the Consolidated Grants will be accounted for and reported to USDOE. (3) Training on these procedures was completed & to be conducted annually thereafter. (4) Alongside the Standard Operating Procedure for Program Income we have developed the Fiscal Monitoring Checklist for Program Income as a monitoring instrument to validate these processes to ensure compliance with Federal requirements and the SF269. | *Completed & Ongoing Quarterly Monitoring All Program Income shall be reported to USDOE. Programmatic & fiscal monitoring of all Programs to be completed at the end of each fiscal year. | • Program Income Standard Operating Procedures (SOP #200-005) • Fiscal Monitoring Checklist - Program Income | (1) The Program Income SOP, No. 200-005 was approved on July 31, 2008 and has been in effect thereafter. (2) GPSS will provide a status update on the Quarterly Report as well as on the progress of the CCAP in January 2009. | |