

# AFTERSCHOOL PROGRAMS (21<sup>st</sup> CCLC and SAC)

## - Monitoring Process -



**As part of the DESE federal tiered monitoring process, an on-line tiered monitoring system (TMS) has been created to provide a comprehensive monitoring profile (based on a three-year cohort model) for each school/entity by having one basic process and location for all federal program monitoring.**

On an annual basis (September/October), DESE afterschool staff will assess the risk associated with each sub-grantee and assign a risk level of high, medium, or low using weighted risk factors on the Monitoring Risk Assessment Matrix. Based on this risk assessment, DESE will determine sub-grantees to be monitored.

All information obtained from monitoring is maintained in DESE's TMS. Programs must follow record retention requirements for any monitoring conducted of their program.

Refer to the "Monitoring Cohort Groups" document (see Portal under the procedures tab) to determine which monitoring cohort group your school/entity has been placed in annually.

### **SELF-ASSESSMENT:**

- Complete the self-assessment reporting in TMS. Due July 1.
- For multiple sites: data can only be entered one time at the grantee level reflecting *all* sites (not each site separately); any differences among sites must be specified in the comments and/or uploads.
- DESE will conduct the desk review of the self-assessment reports during July.
- TMS will indicate if any requests and/or CAP are necessary; new due date issued for responses.

### **ON-SITE MONITORING:**

- Programs will be notified in advance indicating which school/grant year(s) and which specific site(s) will be under review.
- You will need to secure a dedicated space for DESE staff to conduct the review.
- The On-Site Monitoring Report is broken down into two categories: programming and financial. You must complete the On-Site Monitoring Report in its entirety PRIOR to the visit (see Portal under the procedures tab for the report copy). DESE will take this with them at the conclusion of the visit.
- Collect all applicable evidence of implementation (suggested evidence is listed, not all will be applicable to your program, and others may also be used if described) for the specific site(s) selected.
- Organize and label all applicable evidence of implementation in the same order as the On-Site Monitoring Report. DESE may ask for additional information once on-site.
- After the review team concludes the review, they will meet with the sub-grantee staff to discuss program strengths and areas of concern noting any corrective action needed which will be included in the final report.
- You must check TMS for the final report and/or CAP and respond as necessary by the due date.

### **PHONE MONITORING:**

- You will be notified in advance to schedule a date.
- There is nothing to complete in preparation or as part of the call. DESE will ask a series of questions.
- DESE will send you a final report by email from the tiered monitoring system.

**FINANCIAL MONITORING:** Any sub-grantee's request for reimbursement may be selected at any time as potential concerns arise. Program must provide general ledgers, time and effort, receipts/purchase orders/etc. that validate the total amount requested and paid.

**FISCAL CRISIS:** Suspicion of financial waste, fraud, abuse and/or issues of similar nature put grantees in audit danger or financial stress; DESE will send immediate response team to review and assess next steps.

**DESK MONITORING:** DESE's review of grantee data, expenditures, reporting, etc. throughout the year.

*We highly encourage programs to have applicable sources of evidence organized and labeled in the same order as the On-Site Monitoring Report every year; a need may arise for an on-site visit by either the state or federal level.*