Focus on Management

Friday, June 6, 2003

10:30-12:30

The Basics of Project Office Start-Ups

Developing Program Policies

- Importance of a policy and procedure manual

- What should be included in the manual

- When it should it be updated
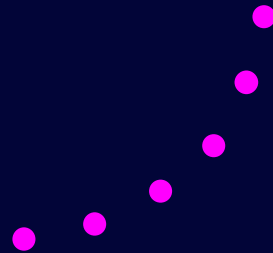
- How manual should be used

Staffing Patterns

- Staffing arrangements based on size and location of project

- Staffing a project office

- Full-time, part-time participant, volunteer staff

- Duties of office staff

What Are the Qualities of an Effective Project Director?

Exercise

Recruiting a Local Project Staff

- Using local resources – other SCSEPs, educational institutions, community agencies, etc.

- Using local media, especially newspapers

- Using one-stop centers

- Networking

Training a Project Staff

- Importance of training staff in program elements

- What to emphasize in training sessions

- Using DOL handbooks

- Using Older Worker Bulletins and TEINs

- Using websites

More on Staff Training

- Training conferences

- Teleconferencing

- Peer-to-peer training

- Mentoring

- Training participants as program assistants

How to Set Up a Recordkeeping System

- Why records are essential to program
- Paper, computer or both
- Where are records kept? In more than one place?
- Each enrollee must have a set of permanent records
- Confidentiality requirement
- Participant's right to records
- Essential documents for files

Office Responsibilities

- Staff job descriptions
- Staff performance evaluations
- Salaries/fringe benefits
- Responsibility for QPRs and FSRs
- Responsibility for time sheets, participants' records and other clerical duties
- Responsibility for assessments, IEPs and follow-ups
- Responsibility for host agency placements and monitoring
- Responsibility for job development

EXERCISE

Communications

- Between grantees and subgrantees

- Between national offices and their local projects

- Between grantees, subgrantees and host agencies

- Between fiscal and program staff

Project Monitoring

Monitoring Requirements

SCSEP grantees and subgrantees are required to monitor the performance of grant-sponsored activities periodically to assure that project goals are being achieved and that requirements of the Older Americans Act and SCSEP regulations are being met.

The monitoring process can be accomplished by a combination of desk and on-site reviews.

Desk Monitoring

To prepare for desk monitoring:

- Review required reports and other related documents

- Gather up-to-date written policy, procedures or other guidance governing the grant under review

- Review the current grant agreement.

On-Site Monitoring

Should be conducted under a monitoring schedule

- Additional reviews should be conducted on an as-needed basis

- Technical assistance should be provided during the on-site visit.

Effective Monitoring

- Recognizes the positive practices of the project being reviewed

- Offers efficient technical assistance when issues of non-compliance are recognized

- Allows sufficient time for corrective action

- Ensures implementation through follow-up.

The monitoring should be designed to take account of differential risks posed by local projects

A Risk-Based Approach

- **A** risk-based approach includes consideration of current and prior audit experience, oversight by federal agencies and the inherent risk of the program under review.

- Risk determination allows staff to conduct more in-depth reviews of high risk programs while conducting reviews of lesser scope for those with lower risks.

Risk Determination

- A new program with a new or recently modified grant agreement may have higher risk than an established program

- Significant changes in federal programs, laws, etc. or grant agreements may increase risk.

Frequent monitoring in the first year is essential.

- Projects that are having difficulty meeting their unsubsidized placement goal or that are having problems in other program areas should be monitored as soon as problems are observed and often enough to assure their success

- Good practices recommend that every project be monitored on site once per year at the very least

Off-Site Monitoring

- Using the telephone e-mail, and other communication methods

- Pros and cons of methods

Useful Tools

- Monitoring guides

- Monitoring check lists

- Other

Monitoring Preparation

How should program monitors prepare for on-site monitoring?

- Review previous monitoring reports, if available

- Review any available project materials

- Call the project director to discuss project matters and to confirm monitoring date.

Who Are the Program Monitors?

- Based on their management structures, grantees assign the monitoring functions to staff who are fully knowledgeable of the financial and program aspects of SCSEP.

- Grantees may use financial monitors and program monitors or one person for the combined monitoring functions.

What Should Program Monitors Look at?

- Local office operation and procedures for eligibility, enrollment, orientation, etc.
- Office records (staff and participant files)
- Training practices
- Unsubsidized placement results and efforts to increase placements
- Assessment process procedures
- Host agencies and host agency practices
- Relationships with local WIB and one-stop.
- Program monitors should take the time to observe participants at work in host agencies.

Coordination and Cooperation

Coordination and cooperation are key elements of successful programs.

Coordination and Cooperation with States

When grantees conduct projects within a planning and service area in a state:

- The projects must be conducted in consultation with the area agency on aging of the planning and service area.

- A description of the project, including the location of the project, must be submitted 90 days prior to undertaking the project for review and public comment.

- DOL will issue guidelines to assure efficient and effective coordination of Title V programs.

Cooperation and Cooperation with Local Agencies

- Grantees/subgrantees are expected to cooperate with other agencies to the maximum extent possible to provide services to elderly persons, persons with low incomes and with agencies providing employment and training services.

Coordinating and Cooperating with the Workforce Development Act

Grantees, under law, are partners in the one-stop delivery system and must carry out the responsibilities relating to such partners.

Coordination and Cooperation with Other SCSEP Grantees

- SCSEP grantees are required by law to coordinate activities related to the one-stop system where more than one grantee provides services.

- MOUs must be written and should reflect the hours, days and services to be supplied by each grantee. The MOU should be signed by each affected grantee.

Competition is decreased when SCSEP grantees form older worker networks .

Coordination and cooperation among SCSEP grantees have major benefits in the following areas:

- Recruitment
- Training opportunities
- Local market information,
- Local job possibilities

Community Relationships

The establishment of strong community relationships is vital to success.

- Who do you know and who knows you?
- Becoming visible in your community
- Joining WIA committees
- Organizations to join that will aid the program .

EXERCISE