**Advance CTE**

**Research Request**

Subrecipient Monitoring Handbook or Manual (*Prepared for Oregon)*

**Request:**  *We are wondering if anyone has a subrecipient monitoring handbook or manual?  Something that explains how you conduct your monitoring…  In Oregon, we just completed our Secretary of State Audit on Perkins and their only finding was that we don’t have such document.  We have a great process, it just isn’t written down.  We are hoping to learn from another state’s work around this.*

The following states submitted responses: [Colorado](#_Colorado), [Hawaii](#_Hawaii), [Iowa](#_Iowa), [Maine](#_Maine), [Massachusetts](#_Massachusetts_1), [Oklahoma](#_Oklahoma), [Pennsylvania](#_Pennsylvania), [South Dakota](#_South_Dakota), [Utah](#_Utah), and [Wisconsin](#_Wisconsin). To visit one state’s response directly, click on that state’s name in this section.

While most states have a method that they utilize to monitor subrecipients, not all states have formally written down their methods. Of the 10 states that responded to the research request, six had some form of a subrecipient monitoring handbook or manual and four did not. However, some states that did not have a subrecipient monitoring handbook or manual utilized other methods to monitor subrecipients, such as Iowa, which uses a detailed process that is outlined by written communication to the subrecipient. The responses sent by each state are below. If a state sent a document in their response, it may be found at <https://careertech.org/member-research-requests> under the “Subrecipient Monitoring Handbook or Manual” title. Please note: this page is only accessible to State Directors and requires that you log in to your account.

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## **Colorado**

Here is Colorado’s Administrator’s Handbook for all CTE - there is a section for Perkins as well as our state CTE dollars (CTA) - we also have an internal audit department if you would like to connect with them.

<http://coloradostateplan.com/wp-content/uploads/2015/03/FY17-18-AdminHandbook-FINAL.pdf>

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## **Hawaii**

Hawaii includes its monitoring materials in its Perkins handbook. [Attached documents]

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## **Iowa**

Iowa does not have a formal sub-recipient monitoring handbook or a manual.  We do have detailed process that we outline by written communication to the sub-recipient who is up for monitoring.

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## **Maine**

Maine does a full program monitoring of Perkins during our consolidated school reviews (which occur every six years for a full review with a mid-cycle review at the three year mark), and/or if a school is identified as high risk via our risk assessment tool developed by the Maine State Controller’s Office.

Our online reimbursement system for Perkins funds also includes reimbursement invoice audits which are both random and forced (depending on the risk status).  This process requires a Perkins recipient to upload all invoices and general ledger information, which I ensure alignment with approved Perkins grant activities.

This is still a work in progress and will most likely change as we move forward to create better alignment.  Maine started this process several years ago with the hope that all Federal grants will use the same monitoring tool.  While the fiscal and Part 200 part of the monitoring can be consistent across the grants, the program pieces are different based on the differing program requirements.

[Attached documents]

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## **Massachusetts**

[Attached document]

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## **Oklahoma**

Here are our monitoring documents in Oklahoma.  [Attached documents]

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## **Pennsylvania**

Here are our monitoring documents from the manual in Pennsylvania. [Attached documents]

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## **South Dakota**

South Dakota does not have anything cohesive or up to date, so we too are interested to learn from what other states have developed.

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## **Utah**

Utah does not but we are very interested in seeing some good examples as well.

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## **Wisconsin**

Wisconsin does not.  I would describe our subrecipient monitoring as follows: we hold a robust dialogue with our secondary partners and through compliance with policy and guidelines we obtain what is needed from our postsecondary subrecipients.

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