

**WDA 16**

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**Policy Letter 01-2018**

**Policy: Monitoring and Oversight**

1. **PURPOSE**

Workforce Investment Area 16 has established this monitoring policy to ensure

compliance in the implementation of Workforce Innovation Opportunity Act (WIOA) activities and One-Stop System activities in accordance with the Workforce Innovation Opportunity Act Section 107 (d) (8) and as per State of Ohio WIOAPL 15-18.1.

1. **WORKFORCE DEVELOPMENT BOARD APPROVAL**

Motion 04-2018 approved on 3/30/18.

1. **POLICY CANCELLATION**

Policy Letter 14-2004 approved November 2, 2007.

1. **POLICY LETTER IMPLEMENTATION**

A. Monitoring Components

1. Monitoring shall be accomplished through desk reviews and on-site visits and shall include program, administrative, fiscal and operational reviews.

B. Monitoring Frequency

1. Providers/Program Operators of the Adult and Dislocated Worker Programs will be monitored annually. Additional monitoring may occur if needed.

2. Providers/Program Operators of the Youth Program and 14 Elements (CCMEP-WIOA) will be monitored annually. Additional monitoring may occur if needed.

3. Special grants such as National Emergency Grants will be monitored annually unless the grant calls for different requirements. Additional monitoring may occur if needed.

4. The One-Stop System will be monitored annually and will include a review of Standard Operating Procedure. Additional monitoring may occur if needed.

C. Monitoring Schedule

1. The monitoring entity will schedule the monitoring visits with the Providers/Program Operators, Fiscal Agent and Staff to the Board.

The monitoring entity will confirm the date by written correspondence.

Additional monitoring may occur if needed, as well as unannounced monitoring visits.

D. Monitoring Tool and Risk Assessment

1. Ohio Administrative Code rule 5101:9-1-88, “Subrecipient Annual Risk Assessment Review and Monitoring Process,” explains the subrecipient monitoring requirements. Monitoring begins with the annual risk assessment. The risk assessment determines the appropriate degree and method of monitoring.

2. The area has established that four participant files of each program type, when available constitutes an average risk.

3. The Workforce Development Area 16 Monitoring Guide, Attachment A, will be used to monitor program, administrative, fiscal and operational areas.

E. Monitoring Process

1. Monitoring reviews will examine files, records and procedures for compliance with the WIOA Act and WIOA Regulations as well as state and local policy and identify areas of deficiency requiring corrective action and/or technical assistance.

2. The monitoring entity will conduct an exit conference with the Providers/Program Operators to review the monitoring results and discuss areas of proficiency, deficiency and corrective action.

3. Within 30 days of the monitoring visit, the monitoring entity will issue a written report to the Providers/Program Operators, Staff to the Board and Fiscal Agent, outlining the monitoring outcome and if needed, corrective action and recommendations for technical assistance.

4. If required by the monitoring report, the Providers/Program Operators must respond to the report within 30 days of its receipt. If required, the response must include a plan for corrective action. The response must be submitted to the monitoring entity, Fiscal Agent and Staff to the Board.

5. Within 10 working days of receipt of the Provider’s/Program Operator’s monitoring response, the monitoring entity will issue a written confirmation of the response and approval/disapproval of any corrective action plans.

6. Any disagreement over the monitoring report between the monitoring entity and Providers/Program Operators will be discussed at an arranged meeting. The Staff to the Board will be present at this meeting as well as the Fiscal Agent, if needed. If this meeting leads to no resolution, then technical assistance will be requested from the State to resolve the issue.

**V. WORKFORCE DEVELOPMENT BOARD NOTIFICATION**

The Staff to the Board will provide the Workforce Development Board copies of

all monitoring reports, Provider/Program Operator responses and other relevant monitoring information.

**VI. SANCTIONS**

Failure by the Provider/Program Operator to comply with corrective action plans

or to operate activities not in compliance with the Workforce Innovation and Opportunity Act, Regulations, and/or state and local policy may result in sanctions imposed by the Workforce Development Board. In addition, failure to supply all necessary information to the monitor may result in sanctions. Such sanctions could include Provider/Program Operator partial or full loss of funds.

END