

EOWB Policy #: RM-002	Effective Date: 07/01/2016
	Revised: 04/17/2018
MONITORING POLICY	☐ New ☒ Revised
	Page 1 of 2

PURPOSE

The purpose of this policy is to outline procedures EOWB will use to conduct monitoring of sub-recipients and contractors to ensure compliance of programs receiving Workforce Innovation and Opportunity Act (WIOA) funding.

POLICY

EOWB will conduct annual monitoring of each sub-recipient and contractor to ensure compliance with WIOA rules and regulations. This monitoring will consist of an on-site review and desk audit.

PROCEDURE

EOWB will contact sub-recipients and contractors approximately one month prior to the visit to establish the date and time that the on-site monitoring will take place. During the 30-day period, contractors will be asked to provide response information to the monitoring guide. Concurrently, EOWB will conduct a desk audit including contract scope of work, budget activity, and participant data.

On-Site Visit:

At initiation of the on-site review, EOWB will conduct an entrance conference with the appropriate personnel to convey the focus of the visit and go over specific tasks to be completed during the visit.

During the on-site visit, documentation to be reviewed may include, but not be limited to, administrative records, contract files, fiscal records, and participant files. Interviews will be conducted with program provider staff, participants and employers to obtain information about program administration, operations, and the quality and effectiveness of training.

EOWB will review and determine contractual compliance and determine the causes of any area of non-performance.

EOWB will conduct an exit conference with the program administrator and fiscal manager to discuss monitoring results, identify any required corrective actions, and offer technical assistance.

Monitoring Report:

EOWB will provide a draft monitoring report within 30 calendar days after completion of the review. Sub-recipients and contractors will have 30 days to respond with corrective action plans.

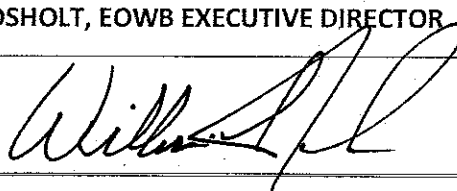
EOWB will consider those actions and return a final report to the contractor within 15 days of receipt. Where corrective action is required, EOWB will conduct a follow-up review within 30 days.

EOWB will maintain a monitoring tracking log of all contractors and sub-contractors that will detail the contractor and sub-contractor monitored, the start date and end date of monitoring, and the program year and fiscal year monitored. If the monitoring has resulted in findings or other reportable items, the log will detail compliance status, resolution or remedies, and, if items remain unresolved, explanations on when resolution is expected.

EOWB Policy #: RM-002	Effective Date: 07/01/2016
	Revised: 04/17/2018
MONITORING POLICY	☐ New ☒ Revised
	Page 2 of 2

REFERENCES

WIOA, Section 107(d)(8) and Section 185
2 CFR Chapter 1, Chapter II, Part 200

ADOPTED AT EOWB REGULAR MEETING	DATE: 04/17/2018
WILLIAM ROSHOLT, EOWB EXECUTIVE DIRECTOR	EFFECTIVE DATE: 04/17/2018
SIGNATURE 	DATE 4-18-18