



# IMPERIAL COUNTY WORKFORCE DEVELOPMENT BOARD

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POLICY	ORIGINAL DATE	LAST REVISION
OVERSIGHT AND MONITORING	FISCAL YEAR 2017	January 25, 2017

## **POLICY OVERVIEW:**

The purpose of this policy is to establish procedures for the monitoring of subgrant agreements funded with Workforce Innovation and Opportunity Act (WIOA) funds and in accordance with the standards of the Imperial County Workforce Development Board (ICWDB) and the Imperial County Workforce and Economic Development Office (ICWED) oversight responsibilities.

## **REFERENCE**

- WIOA Section 107(d)(8)
- WIOA Sections 184(a)(2 & 3), Cost Principles and Uniform Administrative Requirements
- Proposed Rules Sections 683.410(a)
- Title 2 CFR Part 200
- WIAD 00-7, Standards for Oversight and Instructions for Substate Monitoring
- WSD12-10, Procurement
- WSD10-1, Nondiscrimination and Equal Opportunity Procedures

## **POLICY**

The ICWDB shall oversee activities funded under WIOA Title I, conducted under the Local Plan established pursuant to WIOA Section 108. In addition, the ICWDB and ICWED, shall oversee activities of the America's Job Centers of California (AJCC), and Workforce Innovation and Opportunity Action (WIOA) Title I funded services providers. The oversight shall include the following:

- A. As required by Title 2 CFR Part 200.318, the workforce area shall ensure that the procurement, receipt, and payment for goods and services received from vendors including on-the-job training employers, are in accordance with laws, regulations, and the provisions of contracts or agreements.
- B. On-site monitoring visits shall be conducted to all of its service providers at a minimum of twice each program year.
- C. The on-site review of each service provider is both fiscal and programmatic consistent with the requirements stated in Title 20 CFR Sections 683.410 (a).
- D. All programs and activities approved by ICWDB must be operated in compliance with WIOA and all applicable federal, state, and local laws and regulations.
- E. All WIOA funded service provider contracts must be for allowable activities, contract charges must be allocated to appropriate cost categories, and proper fiscal records must be maintained.
- F. Programs and activities must be effective in meeting the goals established in the local plan.
- G. The training and work environment must be safe for participants and staff members.
- H. The ICWED must establish and operate appropriate and effective systems that comply with the nondiscrimination and equal opportunity provisions of WIOA and other federal and state nondiscrimination laws

## **MONITORING PROCESS**

The monitoring process is intended to promote a greater understanding by all parties involved in the procedures used in conducting monitoring reviews, promote clarity of communication and efficiency in completing reviews.

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A. Monitoring Schedule

1. A schedule of monitoring visits will be provided to service providers. This schedule will ensure that each service provider is monitored twice during each program year.

B. Notice of Selection for Review

1. Service providers will be notified prior to their scheduled monitoring review as soon as practicable and will be informed as to the scope and depth of the review.
2. Notification of monitoring reviews will include identification of what subject areas are to be reviewed, whether participant or employer interviews will be required, and what kinds of files and sample documentation will be needed. Notification will also include the anticipated duration of the review and the length of any visits.

C. Entrance Conferences

The assigned ICWED monitor will participate in an entrance conference with the Service Provider Director or their designee. The entrance conference will accomplish the following:

1. The monitor will provide information on the names of all monitors who will be on-site, a description of the scope of the review, notification of which areas will be reviewed and the expected review time table.
2. The Service Provider Director will designate staff responsible for the selected review areas, to act as contact persons for the monitors.
3. The contact persons for the monitors will establish a schedule of appointments (if necessary) for the assigned monitor.

D. ON-SITE REVIEW PROCESS

1. To the extent possible, the monitor will secure and review monitoring reports for prior findings and completed corrective actions.
2. During monitoring reviews, the monitor will notify a designated service provider contact person if he or she sees an issue that could be cited in a report. The service provider will have the opportunity to perform corrections on-site during the review. If such corrections are acceptable to the monitor, the issue may appear in the report with the notation that corrective action has been taken and that further corrective action is not necessary.
2. No original documents may be removed from the service provider offices unless approved by the Service Provider Director or by legal authorization. However, the monitor may obtain copies of original documents for purposes of any review.

E. EXIT CONFERENCES

1. At the completion of the visit, the monitor will hold an exit interview with the Service Provider Director or their designee.
2. During the exit interview, the monitor will disclose all findings that they intend to reference in the report. If, after the exit conference, the monitor adds additional findings or substantially revises any finding, the Service Provider Director will be notified before the publication of the report. If the additional findings or revisions are significant in the judgement of the Service Provider Director, they can request a second exit conference to discuss the new items.
3. The monitor will always cite the applicable WIOA law, regulations, or policy that applies to any finding.
4. The monitor will provide full information on the procedures for responding to the report and will describe the appeal procedure (if applicable).

F. MONITORING REPORT

1. The monitor will issue a report to the service provider within 30 days after the exit conference and will request a response within 15 working days of the date of the report. The monitoring report will clearly differentiate the following two areas:
  - a. Recommendations or suggestions which are based on the monitor's experience in reviewing the subject area; and,
  - b. Corrective actions that monitors determine to be required by WIOA and its regulations and policies.
2. The monitor will ensure that technical assistance is afforded to the service provider in order to assist the service provider in developing corrective action to resolve the findings.

G. SERVICE PROVIDER RESPONSE TO THE MONITORING REPORT

The service provider response to monitoring reports may include:

1. A statement agreeing or disagreeing with the monitor's factual statements which led to the findings;
2. The proposed corrective action(s) to resolve the cited findings, including the identification of the major tasks involved and the appropriate timelines for their implementation; and,
3. The service provider's interpretation of any issue and any additional information that may help to resolve the findings.

H. RESOLUTION OF MONITORING FINDINGS

1. Staff of ICWED will work with the service provider to secure acceptable corrective action for each finding. ICWED staff will provide guidance to be used in assisting service providers to resolve findings.
2. Within 15 working days of the date of the monitoring report, the service provider must submit to the monitor a Corrective Action Plan (CAP) describing all major tasks or activities that are planned to correct problems. The CAP must include appropriate schedules for implementation of the corrective action. ICWED staff will meet with service providers, as needed, to ensure resolution of the findings. The monitor will ensure that the CAP adequately resolves the findings.
3. Within 10 working days the monitor will either notify in writing to the Service Provider Director that the CAP is either satisfactory or unsatisfactory as submitted. If no CAP was received by the deadline, or if the monitor determines that the CAP is unsatisfactory (does not appear to adequately address outstanding findings in a timely manner), the monitor will notify the Service Provider Director that a satisfactory CAP is due within 10 working days.  
If no CAP has been received after an additional 10 working days have elapsed, the monitor will notify the ICWED Program and Compliance Manager in writing of these circumstances and will request immediate action. If appropriate action is not taken within the next 10 working days, the monitor will notify the assigned ICWDB staff that an approved CAP has not been submitted.
4. Except as agreed to by the monitor in advance, the service provider is required to close any finding within 60 working days following receipt of the report. The monitor will provide written notice regarding closed findings or completed corrective action. The Service Provider Director may initiate a request for the ICWED to negotiate a resolution of any finding involving questioned or disallowed costs. Informal resolution will involve accepted audit resolution procedures that include:

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- a. Identifying and clarifying all pertinent issues related to a specific finding;
  - b. Identifying acceptable records or documentation required;
  - c. Negotiating non-cash settlements for payment where permissible; and
  - d. Negotiating an incremental payment schedule if cash payments are required.
5. Cash reimbursements will be processed within normal debt collection procedures.
  6. Provide for the retention of monitoring reports and related documentation for a period of not less than three (3) years. If an audit has begun but is not completed, or if the audit findings have not been resolved at the end of the required retention period, the records shall be retained until resolution of the audit finding.

**ACTION:**

Please bring this policy to the attention of ICWED, AJCC system staff and appropriate WIOA funded service providers and sub-recipients. This policy is effective immediately. Once the exhibits pertaining to this policy are approved by the ICWDB, they will not require board approval if other changes occur, unless the change affects protocols. Should you have any questions, please feel free to contact ICWDB staff at (442) 265-4974, (442) 265-4959 or the Program and Compliance Manager (442) 265-4963