

Area 14 Workforce Development Board

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Monitoring Policy

Area 14 Policy 14-15.18

Effective: May 15, 2019



I. Purpose

Area 14 Workforce Development Board has established this monitoring policy to ensure compliance in the implementation of Workforce Innovation Opportunity Act (WIOA) activities and the OhioMeansJob Center activities in accordance with the Workforce Innovation Opportunity Act Section 107 (d) (8) and as per State of Ohio WIOAPL 15-18.1.

II. Effective

Immediately

III. Requirements

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 OhioMeansJobs centers 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 Area 14 WDB Director.

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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 14 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, Area 14 WDB Director 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 Area 14 WDB Director.
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 Area 14 WDB Director 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.

IV. SPECIAL GRANT MONITORING

In the event that the Area 14 is granted any special grants such as the National Dislocated Workers Grant (NDWG), the Area Director will monitor sites on a bi-monthly basis to ensure safety and proper protocol under the grant rules are being followed. Monitor reports will observe and record:

- Ensured use of required safety protective gear;
- Employer payroll records and signed timesheets;
- Participant file documentation such as eligibility verifications;
- Program fiscal records, including timekeeping information and administrative charges;
- Observations of workplace safety;
- Assessment of environmental hazards;
- Participant feedback on relevant matters such as safety training, protective equipment, and

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payroll accuracy.

Non-compliance will result in the same sanctions in Section VI.

V. WORKFORCE DEVELOPMENT BOARD NOTIFICATION

The Area 14 WDB Director 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.