

**Local Workforce Area #10 Policy Letter 04-10**  
**on**  
**Program Monitoring and Oversight**

**Purpose:** To meet the requirements of the Workforce Innovation and Opportunity Act.

**Background:** This policy describes the process for program monitoring and oversight which states each recipient and subrecipient must conduct regular oversight and monitoring of its subrecipients and providers of WIOA activities in order to:

- 1) Determine whether or not there is compliance with WIOA regulations, local policy, and other applicable laws and regulations;
- 2) Provide technical assistance for continuous improvement.

**Action:**

The Local Workforce Area #10 Administrative Entity (Richland County Youth and Family Council) shall complete a program monitoring site visit of the WIOA sub recipient and WIOA Youth providers within the first six months of each program year. The findings of the monitoring site visit shall be reported to the Richland-Crawford Workforce Development Board within 30 days of completion of the monitoring process.

The program monitoring process is as follows:

- 1) The Workforce Development Board Director will contact the WIOA sub recipient and youth providers to schedule a program monitoring visit. The visit will include an entrance interview, interviews with the program manager and staff regarding program services, and a review of program files.
- 2) The Workforce Development Board Director will develop a report based on the findings of the program monitoring visit:
  - a) Youth Program Monitoring Visit Report: overview of program operations which includes a synopsis of the required elements, a determination of whether the 75% expenditure of funds on out-of-school youth is being met, 20% expenditure on work experience and a review of the provider's 5% exception policy; a review of the out-of-school youth files and in-school youth files; suggested recommendations; and the procedure for filing a corrective action plan.
  - b) Subrecipient Program Monitoring Visit Report: overview of program operations; adherence to local policies; review of Adult and Dislocated Worker files; suggested recommendations; and the procedure for filing a corrective action plan.

- 3) The Workforce Development Board Director will contact the subrecipient and youth providers to schedule an Exit Conference to review the report findings. If necessary, the sub recipient/youth provider will be informed that a corrective action plan needs to be submitted in writing to the Workforce Development Board within two weeks of the Exit Conference date. If the subrecipient or youth providers would like to request technical assistance in order to respond to the findings of the monitoring visit, the technical assistance schedule will be developed during the Exit Conference so it can be included in the corrective action plan.
- 4) Within ten days of receipt of the corrective action plan, the Workforce Development Board Director will schedule a follow up site visit (within 30 days of the completion date noted on the corrective action plan) to ensure the necessary actions have been carried out based on the timeline submitted in the plan.
- 5) Within 30 days of receipt of a corrective action plan, the Workforce Development Board Director will submit copies of the Monitoring Report, the corrective action plan, and a notice of the date of the follow up site visit to the Local Area #10 Workforce Development Board Chair.
- 6) Within 30 days of the follow up site visit, the Workforce Development Board Director will submit a written report identifying the progress made on the corrective action plan to the Local Area #10 Workforce Development Board Chair.