

WIOA Local Monitoring Policy

Policy Memorandum 22-01

Date: October 20, 2022

To: All WIOA Service Providers; This policy applies to all partners at all levels of participation in the Santa Cruz County workforce system funded by Workforce Innovation and Opportunity Act (WIOA) Title I funds.

Purpose: To provide guidance for the purpose of monitoring to ensure that WIOA funds are expended and services are provided in accordance with Federal and State laws and regulations and local policies. Fiscal monitoring ensures that internal controls are in place to safeguard WIOA dollars against fraud and abuse, ensure sound cash management, and promote accurate financial reports. Program monitoring and ETPL monitoring ensure that WIOA funded programs are providing quality services to participants and meeting the performance goals specified in the contract and agreements between the WDB and the service provider. Monitoring is also an opportunity to identify innovative strategies and technical assistance training needs. The information gained during monitoring helps improve service delivery which will result in improved outcomes for WIOA participants. Non-Discrimination and Equal Opportunity monitoring is a key part of program monitoring and is addressed in section 700 of this policy.

Rescissions: WIA Monitoring Policy & Procedures, dated May 14, 2003, effective May 14, 2003

References: WIOA (Public Law 113-128); CFR 20 Section 683.410-420; CFR 29 Part 38; Workforce Services Directive 14-04, Recovery of WIA Tuition and Training Refunds, dated August 18, 2004; Workforce Services Directive 15-14, WIOA Adult Program Priority of Service, dated January 22, 2016; Workforce Services Directive 16-18, Selective Service Registration, dated April 10, 2017; Workforce Services Directive 17-01, Nondiscrimination and Equal Opportunity Procedures, dated August 1, 2017; Workforce Services Directive 17-05, Oversight and Monitoring of Nondiscrimination and EO Procedures, dated August 29, 2017; Workforce Services Directive 17-07, WIOA Youth Requirements, dated January 18, 2018; Workforce Services Directive 20-27, CA ETPL Subsequent Eligibility Review, dated November 20, 2020; Workforce Services Directive 21-03, ETPL Policy and Procedures, dated November 10, 2021; Workforce Services Directive 22-02, Standards for Oversight and Instruction for Substate Monitoring, dated July 22, 2022; Workforce Services Directive 22-03, WIOA Data Validation Source Documentation, dated August 12, 2022; Workforce Services Directive 22-04, WIOA Data Validation, dated September 1, 2022

Background:

The Code of Federal Regulations (CFR) Title 20 Section 683.410 requires each recipient and subrecipient of WIOA funds to conduct regular oversight and monitoring of its programs and those of its subrecipients and contractors. This monitoring must determine that expenditures have been made against the proper cost categories and within the cost limitations specified in



WIOA, determine whether there is compliance with WIOA and other applicable law and regulations, assure compliance with 2 CFR Part 200, the Uniform Administrative Requirements, Cost principles, and Audit Requirements for Federal Awards (Uniform Guidance), and determine compliance with the nondiscrimination, disability, and equal opportunity requirements of Section 188 of WIOA, including the Assistive Technology Act of 1998 (29 USC 3003).

Policy: This policy establishes standards for fiscal and program monitoring of Workforce Innovation and Opportunity Act (WIOA) service providers and training providers on the State Eligible Training Providers List (ETPL) for the County of Santa Cruz (County) Workforce Development Board (WDB). This policy is designed to comply with all applicable federal, state, and local laws, regulations, policies, and accountability standards.

The local monitoring staff *procedure* will be subsequently attached to this policy. “WDB” is used to denote the entity that provides oversight and policy direction for the WIOA services and utilization of WIOA funds in Santa Cruz County. “WDB Staff” is used to denote the County employees who provide administrative support to the WDB. “monitor” is used to denote any County employee(s) or outside consultant(s) that the WDB has designated to conduct monitoring.

Action: All WIOA Service Providers will comply with this policy. This policy memorandum is on-going and effective immediately.

Inquiries: Any questions regarding this policy memorandum may be directed to the WDB Director.

This policy authorized by: Executive Committee Approval: 11.2.2022
Date

Authorized by Workforce Development Board: 12.7.2022
Date