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## **Region 1 Workforce Development Board Policy #22**

### **Subject: Monitoring Process Guidelines Policy**

**Effective Date: August 19, 2020**

**Purpose:** To outline how the Region 1 Workforce Development Board (R1WDB) will comply with the monitoring requirements of the Workforce Innovation and Opportunity Act of 2014 (WIOA).

**References:** Workforce Innovation and Opportunity Act (WIOA) Section 185 (c)(3); CFR 683.410

**Background:** The Workforce Innovation and Opportunity Act states that “each local board shall monitor the performance of providers in complying with the terms of grants, contracts, or other agreements made pursuant to this title.”

**Policy:** The R1WDB has established as policy that providers with whom the R1WDB has a contract with will be monitored annually to ensure compliance with the provisions of Title 1 of the WIOA.

R1WDB defines providers to mean those entities who have been contracted through the Request for Proposal process and with whom a 2-part contract has been awarded.

### **Monitoring Procedure:**

- Monitoring performance measures are agreed upon during contract negotiations.
- Staff provides a monitoring schedule for the program year at the contract negotiations.
- An email is sent to the contractor to remind of the upcoming monitoring and the agreed upon negotiated performance measures are attached. The email details all necessary documentation needed to conduct the monitoring. Participant files are only required when a Comprehensive monitoring is done. If files are necessary (Comprehensive Review), R1WDB will pick up the requested files at will.
- R1WDB staff will randomly choose which participants to monitor proportionally from each case manager.

- The percentage of files to be monitored will be determined by the R1WDB.
- R1WDB staff monitor the files and documentation to determine compliance with WIOA and R1WDB policies and procedures and statement of working contracts provided.
- Upon completion of the monitoring, an exit interview is done with the contractor staff to go over any issues and allow for any dispute and resolutions. If all negotiated performance measures are met, an exit interview is not required.
- A letter of the monitoring results will be emailed to the contractor within 30 days of the monitoring completion.
- The contractor has 30 days to respond with a corrective plan of action if required.
- Follow up and technical assistance will be given by the R1WDB staff to the contractor, if needed, to bring them into compliance with WIOA and R1WDB policies.

**Action:** Staff of the R1WDB will perform monitoring at least once yearly of providers operating under contract with R1WDB to provide Adult, Dislocated Worker, and/or Youth programs.

**Expiration Date:** Effective until rescinded or modified by the Region 1 Workforce Development Board.

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| <b>Approved:</b> | <b>Executive Committee</b>         | <b>July 30, 2020</b>   |
|                  | <b>Workforce Development Board</b> | <b>August 13, 2020</b> |
|                  | <b>Local Elected Officials</b>     | <b>August 19, 2020</b> |