



**ROGUE WORKFORCE
PARTNERSHIP**

Administrative Policy

Standard Operating Procedure

Effective Date: September 1, 2018

New

Revised

TITLE: WIOA SUB-RECIPIENT MONITORING

PURPOSE

The purpose of this policy is to outline procedures Rogue Workforce Partnership (RWP) will use to conduct monitoring of Workforce Innovation and Opportunity Act (WIOA) sub-recipients to ensure compliance of programs in Jackson and Josephine County who are receiving WIOA funding.

REFERENCES

WIOA, Section 107(d)(8) and Section 185
2 CFR 200

POLICY

RWP will conduct annual monitoring of each sub-recipient to ensure compliance with WIOA rules and regulations. This monitoring will consist of an on-site review and desk audit.

PROCEDURE

RWP will contact sub-recipients approximately one month prior to the visit to establish the date and time that the on-site monitoring will take place. During the 30-day period, sub-recipients will be asked to provide response information to the monitoring guide. After the sub-recipient has provided responses to RWP prior to, or on the due date for receiving the completed monitoring guide, RWP will conduct a desk audit including sub-recipient staff interviews, a review of the contract scope of work deliverables, and performance metrics, budget activity, and an audit of participant data (including both paper and electronic records).

On-Site Visit:

At initiation of the on-site review, RWP will conduct an entrance interview with the appropriate personnel to convey the focus of the visit and go over specific tasks to be completed during the visit. A tour of the site will be conducted to assess the adequacy of the facility as it relates to health and safety, accessibility for the disabled, comfort, adequacy of training equipment and materials, and any other issues affecting programmatic compliance. (See Attachment A – On-site Inspection Checklist)

During the on-site visit, documentation to be reviewed may include, but not be limited to, administrative records, contract files, fiscal records, and participant files. Interviews will be conducted with program provider staff, participants and employers to obtain information about program administration, operations, and the quality and effectiveness of training.

RWP will review and determine contractual compliance and determine the causes of any area of non-performance.

RWP will conduct an exit conference with the program administrator and fiscal manager to discuss monitoring results, identify any required corrective actions, and offer technical assistance.



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Monitoring Report:

RWP will provide a draft monitoring report within 30 calendar days after completion of the review. Sub recipients will have 30 days to respond with corrective action plans. RWP will consider those actions and return a final report to the sub-recipient within 15 days of receipt. Where corrective action is required, RWP will conduct a follow-up review within 30 days.

RWP will maintain a monitoring tracking log (see Attachment B) of all sub-recipients that will detail the sub-recipient monitored, the start date and end date of monitoring, and the program year and fiscal year monitored. If the monitoring has resulted in findings or other reportable items, the log will detail compliance status, resolution or remedies, and, if items remain unresolved, explanations on when resolution is expected.

Approved by: 
Rogue Workforce Partnership Chair

Date: 10-22-18

**Workforce Innovation & Opportunity Act
On-Site Inspection Checklist**



**ROGUE WORKFORCE
PARTNERSHIP**

Date: ____/____/____

Sub-receipt: _____

Location: _____

INSPECTED ITEM(S)

- Locked Files
- Confidential information in desk area is protected
- Computer Screens are locked (if applicable)
- EO Posters are posted in high traffic areas with correct contact information
- DOL Hotline number is posted and visible
- Location is ADA Accessible & Adaptive Technology is Operational
- Inventory Completed (if applicable)

Notes: _____

RWP Staff Inspecting

____/____/____
Date

