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Category: Employment and Training Programs, Workforce Investment Act
Subject: Monitoring – WIA, Title I
Source: State
Revise/Replace: N/A
Contact: Employment and Training Director
Distribution: Workforce Investment Boards, One Stop Directors, Employment and Training Staff
Colorado One-Stop Policy Guidance Letter: # 01-09-WIA1
Date: March 23, 2001

I. REFERENCE (S):

Workforce Investment Act, Section 183, Section 184; 20 CFR Part 652 et al., Workforce Investment Act (WIA); Final Rules, Section(s) 667.400, 667.410; 29 Code of Federal Regulation (CFR) Part 97, *Common Rule for Uniform Administrative Requirements for Grant and Cooperative Agreement to State and local Governments*.

II. PURPOSE:

To provide guidance and policy direction to local Workforce Boards and Workforce Regions for Workforce regions to establish an internal and external program monitoring policy.

III. BACKGROUND:

The WIA mandates the necessity to monitor recipients and subrecipients of all grants awarded and funds expended under WIA title I to determine compliance with the Act and WIA regulations. §667.400 states that the Governor must develop a state monitoring system that meets the requirements of §667.410(b). The Governor must monitor Local Boards annually for compliance with applicable laws and regulations in accordance with the state monitoring system. Monitoring must include an annual review of each local area's compliance with the uniform administrative requirements.

§667.410 (a) states that each recipient and subrecipient must conduct regular oversight and monitoring of WIA activities and those of subrecipients and contractors in order to:

- (1) Determine that expenditures have been made against the cost categories and within the cost limitations specified in the Act and the regulations in this part;
- (2) Determine whether or not there is compliance with other provisions of the Act and the WIA regulations and other applicable laws and regulations; and
- (3) Provide technical assistance as necessary and appropriate.

The regulations say further at 667.410 (b)(2) that the State monitoring system must:

- (i) Provide for annual on-site monitoring reviews of local areas' compliance with DOL uniform administration requirements, as required by WIA section 184(a)(4);
- (ii) Ensure that established policies to achieve program quality and outcomes meet the objectives of the Act and the WIA regulations, including policies relating to: the provision of services by One-Stop Centers; eligible providers of training services; and eligible providers of youth activities;
- (iii) Enable the Governor to determine if subrecipients and contractors have demonstrated substantial compliance with WIA requirements; and ...

Section 667.410 (b)(4) states:

- (4) The Governor must require that prompt corrective action be taken if any substantial violation of standards identified in paragraph (b) (2) or (3) of this section is found. (WIA sec. 184(a) (5).

The Common Rule for Uniform Administrative Requirements for grant and Cooperative Agreements to State and Local Governments, Subpart C., Section 97.40(a) states:

Grantees are responsible for managing the day-to-day operations of grant and subgrant supported activities to assure compliance with applicable federal requirements and that performance goals are being achieved. Grantee monitoring must cover each program, function or activity.

IV: POLICY/ACTION:

All Workforce Regions must develop internal and subrecipient monitoring policies and procedures. Also, on an annual basis, they must monitor their internal and subrecipient systems for compliance with the WIA federal and state requirements. These requirements are included in, but are not limited to, the applicable CDLE Policy Guidance Letters (PGLs), CDLE Contracts/Grant Agreements, Federal laws and regulations, Federal Uniform administrative requirements, and/or Federal cost principles. The major systems of compliance review include, but are not limited to:

- Administrative
- Financial
- Management Information System (MIS)
- Program

The CDLE Program Support Staff (PSS/monitors, fiscal, and other appropriate monitors) responsibility is to determine if policies and procedures are in place; and determine if the policies and procedures are adequate to ensure WIA Compliance. Another significant role of the PSS is to provide technical assistance to local workforce boards and one-stop operators to assist

local operations in achieving WIA compliance and program performance standards.

Once the WIA monitoring is completed, a written report will be submitted within forty-five days to the local Workforce Board Chair, the Local Elected Official (LEO), and the One-Stop operations Director for review and comment.

If compliance issues are identified, a corrective action plan must be submitted within 30 calendar days to CDLE. After the corrective action plan and/or comments are received from the workforce region, the final written report will be disseminated.

When the monitoring instrument(s) is completed, it will be sent to the One-Stop operator as preparation for WIA monitoring. It is anticipated that a fiscal and a program monitoring instrument will be developed. Operating systems will be part of the standard WIA monitoring review.

V. IMPLEMENTATION DATE: April 1, 2001

VI. INQUIRIES: Please address inquires to your CDLE Program Support staff.

Robert D. Hale, Director
Division of Employment & Training