

**WIA and WP Administration,  
Program, Grant, and Financial Management Systems  
Compliance Monitoring Guide**

**WFC Name / Location:** \_\_\_\_\_

**WFC Staff Interviewed:** \_\_\_\_\_

**Monitor / Program Year / Date:** \_\_\_\_\_

**1. Program/Grant Reporting Systems**

<b>Sources:</b> PGL 06-12-F1, PGL 99-05-M2, PGL 00-10-L1		<b>YES/NO</b>	<b>Comments</b> Explain, if NO
A.	Are required reports for all formula programs submitted within the designated timeframes, and are they complete and accurate?	Y N	
B.	Are all reporting requirements for discretionary grants (Quarterly, Close-out, and Follow-up reports) submitted with the designated timeframes and contain complete and accurate information?	Y N	
C.	Is reported data consistent with data in Connecting Colorado and the State Financial System (VAX)?	Y N	
D.	Is data access centrally controlled, and are confidentiality and record retention procedures in place?	Y N	

**2. Internal and Subcontractor Monitoring – All formula and discretionary funds**

<b>Sources:</b> WIA Sec 127, Sec 134, Sec 184(a)(4) PGL 06-12-F1, PGL 01-12-F4, PGL 01-09-WIA1		<b>YES/NO</b>	<b>Comments</b> Explain, if NO
A.	Are monitoring tools and procedures that are used to monitor all your internal and subcontractor programs, grants, and administrative requirements in writing?	Y N	
B.	Are quality control procedures in place to monitor Connecting Colorado data entry and case file documentation?	Y N	

C.	Has the region developed an internal and subcontractor monitoring schedule? Is it followed?	Y N	
D.	Are monitoring reports, findings, corrective actions and resolutions for each grant/subcontractor monitored?	Y N	
E.	Are all elements of the program/ grant/ subcontractor monitored on at least an annual basis?	Y N	
F.	Are internal and subcontractor monitoring reports provided to the LWIB and to the State?	Y N	

**3. Financial Audit Findings and Observations**

<b>Sources:</b> WIA Sec 127, Sec 134, Sec 184(a)(4) PGL 06-12-F1, PGL 01-12-F4, PGL 01-09-WIA1		<b>YES/NO</b>	<b>Comments</b> Explain, if NO
A.	Were there audit findings and ovservations cited during the last financial review?	Y N	
B.	Did the audit findings require corrective action? Have they been completed?	Y N	

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