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| Region VI Workforce Development Board<br>17 Middletown Road<br>White Hall, WV 26554 | Monitoring/Validation |
|   | Date<br>June 12, 2017 |

Region VI Guidance Letter No. 8-15

To: All WORKFORCE West Virginia Center Coordinators and Staff  
All APMC Staff  
All Region VI Contracted Providers

From: Region VI Workforce Development Board

Subject: Monitoring of WIOA Recipients and Sub-recipients

1. PURPOSE: This guidance letter outlines the policy covering how the Region VI Workforce Development Board (WDB) will comply with the monitoring requirements of the Workforce Innovation and Opportunity Act of 2014 (WIOA).
2. REFERENCE: Section 185, (c)(3).
3. 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."
4. POLICY: The Region VI WDB has established as policy that providers with whom the Region VI WDB has a contract with will be monitored annually to ensure compliance with the provisions of Title I of the WIOA.

Region VI defines providers to mean those entities with whom Region VI has contracted with through the Request for Proposal process and with whom a 2-part contract has been entered into.

5. ACTION: Staff of the Region VI WDB will perform monitoring/validation at least once yearly of providers (as defined above) operating under contract with Region VI to provide Adult, Dislocated Worker, and/or Youth programs. This is accomplished through monitoring of the case files to check for program compliance with WIOA and then validating the source documentation in the files. The monitoring/validation process flow as follows:

1. A monitoring/validation date is set with the program to be monitored/validated and a letter sent to the contractor advising of the process and aspects of the program to be monitored/validated and includes a copy of the monitoring/validation tool to be used and a list of files and other documentation to be available the day of the monitoring/validation. 2 weeks is usually given the contractor to gather the materials together;
2. WDB staff conducting the monitoring meet with the contractor staff on the day of the

monitoring/validation to address any questions and make sure all documentation is available;

3. WDB staff monitor/validate the files and documentation in order to determine compliance with WIOA and Region VI WDB policies and procedures.
4. Upon completion of the monitoring/validation, an exit interview is done with pertinent contractor staff to go over any issues and allow for resolutions of any dispute of issues found.
5. A letter outlining the results of the monitoring/validation visit is sent to the contractor within 30 days of the monitoring/validation date. The letter details issues found and corrective action to be done;
6. The contractor has 30 days to respond with a corrective plan of action if required.
7. Follow up and technical assistance will be given by WDB staff to the contractor if needed in order to bring them into compliance with WIOA and Region VI WDB policies.
8. All of this process is documented and kept in the Master contractor notebook in the WDB offices.

Fiscal monitoring is conducted separately from the programmatic monitoring/validation outlined here but follows the same process. Instead of monitoring individual files, the Fiscal Officer of the WDB looks over financial records pertaining to the program under contract to determine that expenditures have been made against the cost categories and within cost limitations specified in the Act and WIOA regulations.

The Region VI WORKFORCE West Virginia System will be made aware of this policy. Each WDB and LEO Board Member will be given a copy of this policy.

3. EXPIRATION DATE: This policy will become effective June 12, 2017, and shall be in effect until revised or cancelled by the Region VI WDB.