



## OVERSIGHT AND MONITORING

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### PURPOSE

This policy provides general standards for the oversight responsibilities and monitoring process to be utilized for all service providers and One-Stop Operators who have contracted with the Workforce Alliance of the North Bay (Alliance) to receive Workforce Innovation and Opportunities Act (WIOA) Title I funding.

### SCOPE

Workforce Innovation and Opportunity Act Title I contracted Service Providers

### RESPONSIBLE PARTY

Workforce Alliance of the North Bay  
Regional Workforce Development Board

### REFERENCES

- Workforce Innovation and Opportunities Act (WIOA) Sections 107(d)(8) and 184 through 185
- Employment Development Department (EDD) Workforce Services Directives WIAD00-7, WIAD05-16, WIAD05-17
- Office of Management and Budget (OMB) Uniform Guidance 2 Code of Federal Regulations (CFR), Part 200
- Office of Management and Budget (OMB) Circular A-133

### DEFINITIONS

*Local Area* – the Local Area administrative entity and its subrecipients to whom the administrative entity has delegated the grievance and complaint resolution process. In this policy this includes the Workforce Alliance of the North Bay (Alliance) and its service providers in Lake, Marin, Mendocino, and Napa counties.

*Participant* – an individual who has been determined to be eligible to participate in and who is receiving services under a program authorized under WIOA.

*Recipient* – an entity to which a WIOA grant is awarded directly from the U.S. Department of Labor (DOL) to carry out a program under WIOA Title I, in this policy this entity is the Workforce Alliance of the North Bay.

*Service Provider* – a public agency, private nonprofit organization, or private-for-profit entity that delivers educational, training, employment, or supportive services to WIOA participants.

*Subrecipient* – an entity to which a recipient awards funds and is accountable to the recipient (or higher tier subrecipient) for the use of the funds provided.

*Workforce Alliance of the North Bay is an equal opportunity employer/program. Auxiliary aids and services are available upon request to individuals with disabilities.*

*Vendor* – a dealer, distributor, merchant, or other seller providing goods or services that are required for the conduct of the federal program. These goods or services may be for an organization’s own use or for the use of beneficiaries of the federal program.

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## POLICY

- I. The Alliance is required to conduct oversight of the WIOA funded programs and activities and One-Stop delivery systems in the local area. This oversight includes monitoring the service providers and One-Stop Operators contracting with the Alliance to provide these WIOA funded programs and activities and One-Stop delivery systems.
- II. The Alliance requires its service providers and One-Stop Operators to operate in accordance with all applicable Federal, State and local laws, ordinances and codes. As subrecipients of WIOA Title I funds, service providers will continuously provide oversight and monitor its WIOA programs and activities to ensure both programmatic and fiscal compliance with the rules applicable to the use of WIOA Title I funds and in accord with the Alliance Regional Workforce Development Board (RWDB) policies.
- III. Oversight - The Alliance will oversee activities funded under WIOA Title I, conducted under the local plan established pursuant to WIOA Section 108. In addition, the Alliance will oversee activities of the One-Stop delivery system established pursuant to WIOA Section 121. The monitoring and oversight will be consistent with the requirements stated in the WIOA and its associated regulations, as well as other relevant regulations and OMB circulars. The Alliance will determine whether oversight will be conducted independently, jointly, or delegated to an appropriate entity. The oversight will include the following:
  - A. Onsite monitoring of all subrecipients at least once each program year.
  - B. Where subrecipients are contracted to serve multiple local area jurisdictions, the Alliance will monitor the WIOA funded programs and activities and One-Stop delivery systems in each local area.
  - C. The assurance that the procurement, receipt, and payment for goods and services received from vendors and contractors complies with laws, regulations, and the provisions of relevant contracts and agreements.
  - D. The assurance that the Alliance and its subrecipients comply with federal and State requirements regarding nondiscrimination and equal opportunity.
- IV. Monitoring Plan – In accordance with the Governor’s standards for local board oversight and the sub state oversight and monitoring plans, the Alliance’s onsite monitoring of subrecipients assures:
  - A. The onsite review of each subrecipient is both fiscal and programmatic, consistent with the requirements stated in Title 20 CFR Sections 667.400(c)(1) and 667.410(a). If the subrecipient’s administrative office/fiscal department is separately located at an inaccessible site (i.e. out-of-state or not within reasonable commute outside of the workforce investment area), the Alliance will require that copies of fiscal records of a sufficient nature and sample size are sent to the subrecipient’s local office or directly to the Alliance for review.
  - B. That monitoring of subrecipients follows a standardized review methodology that will result in written reports. Written reports will record the outcomes of each monitoring visit, including



areas of concern and any findings which require corrective action, and the due dates for accomplishment of the corrective actions.

1. Concerns are issues, policies or practices observed during the review that could negatively impact the service provider's ability to effectively manage the grant or provide services to participants. These areas of concern may be considered "red flags" or "risk areas" that, if not corrected, could become a finding. The service provider is requested, but not required to address these concerns.
  2. Findings are identified issues, policies or practices that are non-compliant with program standards, other Federal regulations and policy, or the term of the grant agreement or contract. Findings are required to be responded to with a corrective action plan by the due date.
- C. Systematic follow-up to ensure that necessary corrective action has been taken.
- D. Procedures for the oversight of the One-Stop delivery system are identified.
- E. Procedures are in place for the procurement, receipt, and payment for goods and services received from vendors, including on-the-job training employers, are in accordance with laws, regulations, and the provisions of contracts or agreements. While vendors are not subjected to the scope of the monitoring requirements for subrecipients, local areas are responsible for ensuring compliance regarding vendor transactions. The procurement of goods and services from vendors must comply with federal and State requirements.
- F. A system is in place to ensure that the subrecipients comply with the requirements regarding nondiscrimination, equal opportunity, and protected information (PII).
- G. All written reports and other documentation pertaining to monitoring and other oversight activities shall be made available for review by federal and State officials.
- H. Reports and other records of monitoring activities are retained for three years from the date of submission of the final expenditure reports regarding the funding sources monitored. If any litigation, claim, audit or other action involving the records has been started before the expiration of the three-year period, the records must be retained until completion and resolution of all such actions or until the end of the three-year period, whichever is later.
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## POLICY UPDATE HISTORY

April 10, 2019 – New Policy

## INQUIRIES

Questions regarding this policy can be sent to Operations Unit.

