**SOUTHWESTERN LOCAL AREA**

# SUBJECT: Oversight and Monitoring Policy

**PURPOSE:** **To establish a policy for ensuring that (WIOA) Workforce Innovation and Opportunity Act funding and program operations of Local Area contractors meet the requirements of the federal WIOA regulations and   
the NC Division of Workforce Solutions**

**BACKGROUND:**

WIOA regulations require the monitoring of Local Area WIOA program operators at least once on a program year basis by Local Area staff to ensure that WIOA program activities are properly administered and program funds are properly expended and accounted for.

**ACTION:**

The Southwestern Workforce Development Board has created Programmatic and Financial Monitoring Guidelines to ensure that these aspects of the contractor operated WIOA programs are in compliance and are operating correctly. The following guides have been developed to assist in the monitoring process:

* **Programmatic Monitoring Guide** (Attachment A) has been created to assist in the monitoring of certain aspects of the contractor to include an administrative review, program review, and to ascertain if the contractor is in EEO/nondiscrimination compliance.

* **Fiscal Monitoring Guide** (Attachment B) has been created to assist in the monitoring of certain aspects of the contractor to include a desk review (verification of payments to contractor, familiarization with contractor standard operating procedures, review of contract narrative, and review of contents of contractor file) and on-site fiscal monitoring activities.

Frequency of Monitoring Activities:

**Programmatic Monitoring** is performed on a monthly basis with the Board staff reviewing   
 contractor case manager cases for eligibility and enrollment compliance. Program activities are   
 also reviewed for correctness of entry and (ITAs) individual training accounts and supportive  
 services expenditures are reviewed for allowability. Follow up activities are reviewed for  
 timeliness as well.

**Fiscal Monitoring** of contractor expenditures is performed at least once during the program year.   
 It will usually occur around mid-program year.

EFFECTIVE DATE: Immediate

EXPIRATION DATE: Indefinite

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