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**TO:** All Humboldt County Workforce Innovation and Opportunity Act (WIOA) Staff, Subrecipients and Service Providers

**FROM:** Humboldt County Workforce Development Board

**EFFECTIVE:** March 14, 2019

**SUBJECT:** Oversight and Monitoring

**REFERENCES:** U.S. Training and Employment Guidance Letter WIOA No. 38-14  
Employment Development Department Directive WSD17-05

## **PURPOSE**

This policy provides the guidance and establishes the procedures regarding monitoring and oversight of Workforce Innovation and Opportunity Act (WIOA) programs provided by WIOA One-Stop Partners within the America's Job Centers of California (AJCC) in Humboldt County.

## **POLICY AND PROCEDURE**

The County of Humboldt Workforce Development Board (HC-WDB) will monitor its WIOA Service Providers. Monitoring will be conducted through on-site and desk reviews and will be done for the purpose of assisting each Service Provider to comply with applicable federal, state, and County of Humboldt requirements.

All actions related to monitoring findings will take place within a reasonable amount of time, and the HC-WDB will request corrective action as needed. Disputes arising from the monitoring process will be resolved by HC-WDB Executive Committee.

The HC-WDB Executive Director will routinely provide a report on the status of monitoring activities, findings, requested corrective action, and resolution of findings at regularly scheduled the County of Humboldt Workforce Development Board/Governing Board meetings.

### **On-Site Reviews**

Each Service Provider will be visited up to twice each program year by the HC-WDB Executive Director or Designee for a programmatic review. The Service Providers will also be visited up to twice each program year by the HC-WDB Executive Director or Designee for a fiscal review. The programmatic and fiscal reviews may be conducted jointly or separately, based on the

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availability of HC-WDB and Service Provider staff.

The on-site monitoring process will include a review of relevant materials and documents, as well as staff and participant interviews as necessary. The review may include on-site visits to worksites to interview both participants and their supervisors to review relevant records and documents.

An exit conference will be conducted that will outline any findings and/or recommendations. A written letter of findings and any request for corrective action will be sent to the Executive Director and the Board Chair of the Service Provider within a reasonable amount of time following the on-site visit. The Service Provider will be required to provide documentation of corrective action taken within the guidelines specified in the written monitoring letter.

### **Desk Reviews**

The HC-WDB Executive Director will review Service Provider fiscal and participant data on a monthly basis. The data will be reviewed for:

- Timeliness of submission
- Internal consistency and accuracy
- Conformance to contractual elements
- Conformance to performance objectives
- Any other criteria the HC-WDB Executive Director considers to be important

The HC-WDB Executive Director will request and review any other fiscal or program related material it deems necessary to ensure compliance with County of Humboldt policy and applicable federal and state requirements.

### **Local Systems**

Each Service Provider will develop and implement its own fiscal and program review procedures for on-site and desk reviews.

FORM(S):

- WIOA Subrecipient Monitoring – Sign in Entrance and Exit
- WIOA Subrecipient Monitoring – WIOA Adult Review
- WIOA Subrecipient Monitoring – WIOA Dislocated Worker Review
- WIOA Subrecipient Monitoring – Youth Review
- WIOA Subrecipient Monitoring – Desk Review
- WIOA Subrecipient Monitoring – Expense Payments
- WIOA Subrecipient Monitoring – Payroll Payments
- WIOA Subrecipient Monitoring – Summary of Case File Review Issues

INQUIRIES:

Any questions regarding this policy may be directed to the Workforce Development Board Director at 707-445-7745.

Humboldt County Workforce Development Board Approval Required?  Yes  No