



Policy Letter #10

TO: All Staff

FROM: Nedra Clayborne Rodriguez, Director

SUBJECT: Monitoring Policy

Background

The Cumberland County Career Center has established, as part of its internal program management procedures, a monitoring policy. The purpose is to outline procedures for reviewing Workforce Innovation and Opportunity Act (WIOA) activities, identifying problems, recommending solutions, and initiating actions to achieve program objectives. The responsibility for monitoring will be the fiscal staff, with oversight from the Director.

Policy

WIOA activities and services, as well as program administration, management practices and cost-effectiveness supported with WIOA funding will periodically be monitored/evaluated. This is to ensure compliance with WIOA, the regulations, DWS policy issuances, and the terms of any approved contracts/agreements. Using NCWorks, performance will be monitored monthly, and at least four on-site visits will occur annually. The state's monitoring guide will be used as a framework for all monitoring activities.

The Monitoring Officer will report all findings and make recommendations to the Director to ensure that compliance and corrective action is taken immediately and appropriately. Following is a brief description of the monitoring steps:

1. **Notification of Program Operator** – The program operator may be notified in writing or by telephone. This notification includes the subject areas to be monitored, time frames involved, and site(s) to be visited. Notification is made 5–7 days in advance.

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2. **Desk Review** – A desk review will be conducted prior to the visit. This includes a review of the requirements under WIOA. A review of all pertinent files, contracts, reports, records, etc. will be reviewed prior to the monitoring visit.
3. **Entrance Interview** – An entrance interview will be conducted and staff introduced. The objectives of the monitoring visit are explained at this point.
4. **Programmatic Review** – This section of the monitoring visit will include a review of the following sections:
 - Review of the contracts
 - Equal opportunity and complaint procedures
 - Review of applicant and participant data
 - Enrollments, training, attainment of degree or credential, job placements, wage gains, and job retention, on a monthly basis.
 - MIS and records
 - Eligibility determination and verification
 - Assessment and counseling procedures
 - Individual Service Strategy
 - Transitional Jobs
 - On-the-Job training contracts
 - Proportion of funds spent on Out-of-School and In-School Youth for the WIOA Youth Program
5. **Fiscal Monitoring** – This is conducted to ensure an adequate system of financial record keeping, documentation of problems, and recommendations for corrective action. This section of a monitoring visit will include, but is not limited to, the following:
 - Financial and Administrative Systems
 - Accounting and Fiscal Management
 - Budget
 - Payments and Disbursements
 - Internal Controls
 - Contractor/Subcontractor Controls
 - Financial Reporting
 - Program Income
 - Procurement
 - Audits
6. **Exit Meeting** – An exit meeting will be conducted at the completion of the monitoring visit. The monitoring officer will review tentative findings and recommendations.

7. **Written Report** – This is prepared for the Director. However, if a serious problem is discovered, the Director is notified immediately of such activities.

8. **Follow-Up**–

- Monitoring Officer prepares report and forwards to the Director.
- Director assigns appropriate corrective actions.
- The training provider or agency is required to implement the corrective actions and provide a written report to the Director.
- Director forwards the actions taken back to the Monitoring Officer.
- Monitoring Officer then files the report and schedules a follow-up visit to ensure compliance with the corrective actions.

Creation Date

February 2004

Revised Date

January 2019