

Greater Memphis
Workforce Development Board

SHELBY · LAUDERDALE · TIPTON · FAYETTE

GREATER MEMPHIS LOCAL WORKFORCE DEVELOPMENT BOARD (GMLWDB)

GREATER MEMPHIS LOCAL WORKFORCE DEVELOPMENT AREA

EFFECTIVE DATE:	July 1, 2020
DURATION:	Indefinite
POLICY:	Monitoring Policy
PURPOSE:	The purpose of this policy is to inform Sub Recipients, Contractors and Training Providers the formal process when quarterly, annual, and fiscal monitoring is conducted for the Greater Memphis Region. The GMLWDB is required to provide program oversight of all Title I funded programs and contractors. Any identifying infractions may implement corrective action plans and/or sanctions. (Please refer to Sanction Policy)
REFERENCE(S):	WIOA section I07(d)(8), WIOA section 185 (C)

Policy

In accordance with the Workforce Innovation and Opportunity Act (WIOA), the LWDB is required to provide program oversight of all WIOA funded programs and contractors. Pursuant to WIOA section 107(d)(8), The Chief Local Elected Official (CLEO); in partnership with the Local Workforce Development Board (LWDB) or its direct staff will:

- a. Promote fiscal integrity through expenditures made against cost categories; within cost limitations specified in applicable legislation and regulations through Local, State, and Federal policies.
- b. Determine the timeliness, accuracy of reporting, and compliance of the Act regulations and applicable laws for each recipient receiving Title I funds.
- c. Validate actual performance against the projected Federal Performance Metrics and the Regional Local Plan. Performance outcome under WIOA section 116
- d. Ensure contractual compliance per Local, State and Federal regulations
- e. Validate the data reporting within the American Job Centers
- f. Conduct oversight for local youth activities
- g. Local employment and training activities for Adult and Dislocated Workers
- h. Determine that expenditures are made against the proper cost categories and within cost limitations
- i. Oversight of the One-Stop Delivery

The Local Workforce Development Board has implemented three (3) comprehensive review and monitoring plans:

- Quarterly Reviews
- Annual Program & Fiscal Monitoring
- Pre & Post Award Monitoring

A. QUARTERLY REVIEWS

Desktop reviews are conducted through the Virtual One-Stop system; which is through the State's MIS system. The Program and Integrity Analysts (IA) are required to sample ten percent (10%) of each monthly report submitted by the Sub recipients, Contractors, etc. The monthly reports¹ are compiled into a quarterly review for early intervention on deliverables and questionable costs. Reviews include youth, adult, dislocated workers, justice-involved individuals, and participants currently enrolled in training. Quarterly reviews take place each program year, during the months of September, December, March, and June.

After the review:

- Case notes are documented in the Virtual One Stop (VOS) System
- Communication is made via email to One-Stop Operator (OSO), sub-recipients, etc. for needed corrections.
- All infractions must be corrected and resubmitted within thirty (30) calendar days

GMLWDB has the discretion to request and retrieve folders and/or fiscal documents during reviews when documents suggest mismanagement or questionable findings during the review. Before further investigations are executed, a narrative is compiled of all findings and communicated to the President, Director, Fiscal & Operations, and Compliance Manager for further actions.

B. ANNUAL PROGRAM and FISCAL MONITORING CYCLE

Annual Program and Fiscal Monitoring is conducted at the physical address listed for providers, employers, etc. In the event on-site reviews are not applicable, sub-recipients, contractors, etc. are

required to submit requested documents for review. GMLWDB must ensure:

- Compliance of Legislative and Contractual Agreements
- The integrity of funds are being spent for authorized purposes
- The timeliness and accuracy of information are executed timely; based on the State's regulations to improve quality assurance.
- Proper case management for program incentives, supportive services, and activities rendered through the Title I program.

The annual monitoring cycle consists of the following steps:

a) **NOTIFICATION**

All subrecipients, contractors, and apprenticeship programs receiving Title I funding, etc. will receive an introductory letter and an electronic packet explaining the on-site/desktop monitoring process via email. The document includes a checklist that specifies the items needed such as financial documents, attendance records, compliance of EEO, and prohibited discrimination (29 CFR 38.5). Documents must be completed and sent to the Workforce Midsouth Integrity Department within seven (7) business days.

The Analyst and Fiscal Coordinator will confirm the date and time for the on-site visit.

Note: Employers engaged in Incumbent Worker training are excluded from an on-site visit.

b) **ON-SITE MONITORING VISIT:**

The program and fiscal staff may monitor up to five (5) days or longer; depending on the caseload for the program year. During the monitoring visit, the analyst/fiscal coordinator will discuss:

- Electronic documents submitted prior to the on-site visit
- All fiscal files pertaining to WIOA funding
- The participant files, attendance records, fiscal documents associated with the participant, etc.
- The questionnaire and survey participants when applicable
- Verify compliance of Local, State and Federal regulations
- Review fiscal records, invoices, payments, and procurement standards pertaining to the Contract.

c) **MONITORING REPORT**

- The on-site or desktop monitoring report is reviewed and processed by the program and fiscal managers within thirty (30) days of completion. A formal letter will include any findings, potential disallowed costs, and recommendations for positive outcomes.
- If there are any noted findings and/or disallowed costs, the provider is required to submit a Corrective Action Plan or has the right to appeal the decision within fifteen (15) business days from the date of receiving a certified letter.

¹ The monthly report is due on the 5th of each month

- After submitting the corrective action plan, the performance and fiscal departments will validate corrections within 30 business days. Confirmation of corrections will be sent via email or certified mail. (Please see Sanction Policy for further corrective actions).

C. PRE-AWARD ON-SITE MONITORING

The ETPL Coordinator will conduct an on-site visit prior to presenting curriculums, performance, etc. on behalf of the potential provider, to the Greater Memphis Local Workforce Development Board Career Services Committee. If the provider has not met the requirements based on the state/federal/local guidance, (See Eligible Training Provider Policy), the coordinator will not proceed for further processing.

Providing all documents are submitted and requirements are met:

- The ETPL Coordinator must make sure:
 - o The business and the program both; are in existence for twelve months
 - o Students must be enrolled in the program for one year. (Provider must show documentation, i.e. attendance records, performance reports, etc. This does not include Registered Apprenticeship Programs unless the Provider is seeking WIOA funding.
- The ETPL Coordinator will ensure the provider is registered at www.Jobs4tn.gov and registered with an authorizing agent i.e. Tennessee Higher Education Commission (THEC), the Tennessee Board of Regents (TBR), etc. If the provider is a Federal Registered Apprentice, they must be registered with The Department of Labor (TOOL).
- The Coordinator will present the following documents to the Career Services Committee:
 - o The curriculum and schedule for the program and/or handbook
 - o Business license
 - o Proof of registration with a state authoring agent i.e. THEC, TBR, TOOL, TICUA

- o Spreadsheet with students enrolled in the program; from the previous year
- o Bio of the Presenter and Instructors
- o Does the training site meet the ADA regulations
 - Visible EEO, OSHA, and Child Labor Laws
 - Unemployment Insurance, TOSHA, and Workers Compensation
 - Discrimination, Federal Minimum Wage and Family/Medical Leave Act
 - GINA (Genetic Information Non-Discrimination Act)
 - Prior performance records if applicable or performance submitted by the potential provider


Note: Registered Apprenticeship Programs are automatically placed on the ETPL; however if WIOA funding is requested, the Career Services Committee must vote on the Title I funding of the program.

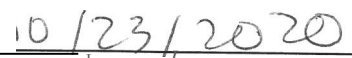
Post Award Monitoring

- Upon the approval of the award, the program and integrity analyst will arrange a date and time within 120 days from the award date to monitor the accountability of the program. A collaboration of the visit will include the fiscal agent or its direct staff. (See ETPL Appeal Process for Pre Award Monitoring Denials)

INQUIRIES

Please contact Amber Covington, Executive Director, acovington@memphischamber.com, with any questions or concerns regarding this policy.


 Desi Franklin
 Workforce Midsouth, Inc. Board


 Adopted Date

GMLWDB is a proud partner of the American Job Center network, is an Equal Opportunity Employer. The Career Center System is an Employer/Equal Opportunity Program. Auxiliary aids and services are available upon request to individuals with disabilities. TTY: 1-800-848-0299