



MONITORING POLICY & PROCEDURE

1.0 Purpose: The Regional Center for Workforce Excellence has a responsibility to provide oversight and monitoring of programs and activities supported with funds that flow through RCWE. This policy is intended to ensure compliance with the WIA and federal regulations while at the same time, providing guidance for continuous improvement and technical assistance. Quality Assurance (QA) may be looked at as an umbrella, with Monitoring, Oversight, and Evaluation the key sections of the umbrella.

MONITORING	Check, Observe, Scrutinize, Examine, Supervise
OVERSIGHT	Control, Overseeing, Management, Administration, Supervision
EVALUATION	Assessment, Appraisal, Valuation, Estimation, Review

2.0 REQUIREMENTS

The Northwest Pennsylvania Workforce Investment Area is committed to ensuring compliance with Sections 183, 184 and 185 of the Workforce Investment Act; 20 CFR Part 667, Subpart D; 29 CFR Parts 95 and 97, Uniform Administrative Requirements; appropriate OMB Circulars and the State WIA plans and policies.

- 1) The five statewide minimum requirements for monitoring/oversight and evaluations to be addressed include:
 - a. Risk assessments
 - b. Reviews of audits
 - c. Reviews of quality of service to enhance program accountability
 - d. On-site visits to review records, documents, and observe operations
 - e. Reviews of subrecipient financial and progress reports

- 2) The following methods are additional options that may be utilized as appropriate:
 - a. Further evaluations by third parties (consultants)
 - b. Telephone calls
 - c. Random surveys
 - d. Making arrangements for limited-scope audits of specific areas
 - e. Requirements for prior approval for certain activities
 - f. Desk reviews of reports and statistics
 - g. Email communications
 - h. Review of news stories and features about service providers



3.0 FREQUENCY

Quality assurance reviews will be conducted on an on-going basis. The LWIB will increase monitoring frequency at their discretion as deemed appropriate and/or as determined by WIB Staff. Due to current contracting methods, the LWIA conducts monitoring on an annual basis at a minimum in lieu of risk assessment.

4.0 FORMAT

1) The Northwest Pennsylvania Workforce Investment Area has developed a written monitoring format which contains the information such as, but not limited to, the following:

- a) Name and Contact Information of Provider/Participant/Counselor
- b) Date(s) of Activities
- c) Scope of Review
- d) Results
- e) Recommendations
- f) Conclusion

2) The WIB Staff will submit a written monitoring report within thirty (30) days of a monitoring visit. A Corrective Action Plan to rectify any findings must be submitted to the LWIA monitor within thirty (30) days of the issuance of the report or as requested in writing by the WIB Staff. Follow-up activities will be conducted within 90 days of the date of the corrective action plan approval.

3) The monitor will prepare a summary of monitoring findings to include in WIB packets on an ongoing basis. If requested, Quality Assurance results will be made available to the WIB members to assist with strategic planning efforts. These reports can enable the WIB to assess CareerLink/program/ activity providers' compliance, plan future technical assistance activities, and adjust policies to reflect emerging economic opportunities. In addition, QA monitoring reports will be made available for State and/or Federal review.

5.0 CAREERLINKS

Reviews of CareerLink development and operations will be conducted on an on-going basis. Monitoring will occur at a minimum of annually, as noted above, or as determined by the local WIB and/or WIB Staff. Reviews will include information such as, but not limited to, the following:



- 1) Legal documents (MOU's, Business Plans, etc.)
- 2) Certification Criteria
- 3) ADA requirements for sites
- 4) Customer satisfaction (both job seekers and employers)
- 5) Progression of services (Core-Intensive-Training)
- 6) Provision of technical assistance/continuous improvement strategies
- 7) EEO Requirements for sites

6.0 SERVICE PROVIDERS

- 1) Training Provider agencies will be monitored annually for compliance as required for subsequent eligibility for, but not limited to, the following:

TRAINING PROVIDERS:

- a) Performance Standards for Programmatic Accountability
- b) Compliance with PLSA
- c) Verification of Accreditation/ Official Approval

- 2) Contracted Service Provider agencies will be monitored annually at a minimum, or more frequently if necessary according to monitoring reports, for compliance on the following:

CONTRACTED SERVICE PROVIDERS:

- a) Performance Standards for Programmatic Accountability
- b) Compliance with contract provisions
- c) Fiscal and Procurement
- d) EO Requirements

7.0 YOUTH SERVICES

Program/providers will be reviewed annually, at a minimum, to ensure the quality of the following items:

- 1) Program Design Elements
- 2) Ten program elements
- 3) Child Labor Laws compliance
- 4) Individual Service Strategies
- 5) Follow up procedures
- 6) 30% Out-of-School Youth expenditures
- 7) Performance Standards
- 8) Fiscal and Procurement
- 9) EEO/ADA Requirements



8.0 OTHER

Other contracts and areas that do not fit clearly within one of the above categories such as, but not limited to, the following:

- Fiscal and Procurement
- Accountability
- LWIB
- Customer Service
- Grants

9.0 History

Name	Date	Rev Level	Description of change	Effective Date
S. Hileman	12/01/2001	A	Original	
L. Hall	8/29/2002	B	2.1 *Risk Assessment, 3.0 update frequency schedule, 4.2 changed reporting time frames, updated format of procedure, 4.3 added QA monitor will provide a summary of monitoring to be distributed in the quarterly WIB packets.	
L. Hall	5/19/2003	C	Update monitoring schedule – include SPOC and fiscal monitoring.	
L. Hall	9/3/2003	D	Deleted W-t-W as program has ended.	
L. Hall	7/16/2004	E	Changed SPOC to JJI	
Jim Triplett	09/07/2005	F	Updated	
Deb O’Neil	05/1/2009	G	Updated Logo Header	7/01/2009

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Northwest PA Workforce Investment Board



Regional Center for Workforce Excellence