

	<p>WIOA Grant Monitoring Policy</p> <p>Policy Number: 16-033</p> <p>Effective Date: July 1, 2016</p> <p>Contact Info: Quality Assurance Branch @ performanceunit@ky.gov</p>
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Purpose	<p>The Office of Employment and Training, Quality Assurance Branch, monitors program and fiscal performance of local areas to ensure proper systems are not only in place, but that they are followed and meet the requirements of the law on a yearly basis. This policy outlines monitoring requirements of the Quality Assurance Branch.</p>
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Policy	<p>The State monitoring system must:</p> <ul style="list-style-type: none"> • Provide for annual on-site monitoring reviews of each local area to ensure compliance with 2 CFR part 200, as required by WIOA section 184(a)(3). • Ensure that established policies to achieve program quality and outcomes meet the objectives of the Act and WIOA regulations. • Enable the Governor to determine if sub recipients and contractors have demonstrated substantial compliance with WIOA and Wagner-Peyser requirements; • Enable the Governor to determine whether a local plan will be disapproved for failure to make acceptable progress in addressing deficiencies as required in WIOA section 108(e)(1); and • Enable the Governor to ensure compliance with the nondiscrimination, disability and equal opportunity requirements of WIOA section 188, including the Assistive Technology Act of 1998 (29 U.S.C. 3003). • Monitor the activities of the sub recipient as necessary to ensure that the sub award is used for authorized purposes, in compliance with Federal Statutes, regulations, and the terms and conditions of the sub award; and that sub award performance goals are achieved. <p>Pass-through entity monitoring of the sub recipient must include:</p> <ul style="list-style-type: none"> • Reviewing financial and performance reports required by the pass-through entity.
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- Following-up and ensuring that the sub recipient takes timely and appropriate action on all deficiencies pertaining to the Federal award provided to the sub recipient from the pass-through entity detected by audits, on-site reviews, and other means.
- Issuing a management decision for audit findings pertaining to the Federal award provided to the sub recipient from the pass-through entity as required by *§200.521 Management decision*.
- Verify that every sub recipient is audited as required by Subpart F—Audit Requirements of this part when it is expected that the sub recipient's Federal awards expended during the respective fiscal year equaled or exceeded the threshold set forth in *§200.501 Audit requirements*.
- Consider whether the results of the sub recipient's audits, on-site reviews, or other monitoring indicate conditions that necessitate adjustments to the pass-through entity's own records.
- Consider taking enforcement action against noncompliant sub recipients as described in *§200.338 Remedies for noncompliance of this part and in program regulations*.

Steps in the Monitoring Process:

1. **Notification:** With the exception of unscheduled reviews, notification of pending reviews will be given at the beginning of the monitoring season (typically mid-November). OET is authorized to monitor any entity receiving WIOA Title 1 funds, and these reviews may include entering sites or premises to examine program and fiscal records, question employees, and interview participants. It reserves the option to conduct unannounced or unscheduled reviews as appropriate.
2. **Sampling:** Random-sampling and data validation techniques will be used to draw the samples that will be used to review records. The review may include all (100%) of the record universe if the universe is small or if problems are identified during the review. The sample of participants is sent to the LWDA approximately one business day prior to the scheduled monitoring visit. Participant files requested must be made available at the scheduled arrival time for review. The files must be separated by funding stream then alphabetized by participant name.
3. **Working Papers:** Review working papers shall be established during the review and maintained at OET.
4. **Report:** A report will be issued within 30 days of the completion of the review. A response to findings is required within 30 days of report issuance. Findings requiring corrective action may be resolved during this period with documentation sent to OET along with the response from the LWDA.
5. **Corrective Action Plans:** The LWDA must issue a corrective

action plan to OET within 30 days of the receipt of a report that requires corrective action. The corrective action plan shall identify the action that the LWDA will initiate to correct the problem, the estimated date the problem will be resolved, and how the local board shall be involved in addressing this issue. In the event it is not possible to resolve findings through the monitoring system, technical assistance may be scheduled with the LWDA's request.

- 6. Acceptance of the Corrective Action Plan:** OET shall notify the LWDA of the resolution of the corrective action plan.
- 7. Follow-up:** At the discretion of the OET, additional monitor reviews may be conducted to ensure full implementation of the corrective action plan.
- 8. Fiscal Controls/Sanctions:** In the event of a sub recipient's failure to take required corrective action for substantial violation of standards, sanctions and fiscal controls will be imposed according to WIOA sections 184(b) and (c). These actions may be appealed to the Secretary of Labor in accordance with section 184(b)(2).

Appeals Process

The LWDA will have 30 days to appeal to any finding or adverse observations in the monitoring report it feels are inaccurate or improper. The appeal must be filed within 30 days from the issuance date of the final determination.

The recipient or sub-recipient may appeal final determinations of OET by filing a request with the Cabinet for Workforce Development, Office of Employment and Training. The appeal must be filed in accordance with the 20 CFR part F *Grievance Procedures, Complaints, and State Appeals Process*.