



**Catawba Workforce Development Area (LWDA)
Workforce Innovation and Opportunity Act (WIOA)
Local Monitoring Policy**

WIOA Instruction Letter #: 20-01

Issuance Date: 8/25/2020

Purpose: The purpose of this instruction is to transmit the LWDA's monitoring policy administered by the Catawba Regional Council of Governments under the oversight of the Catawba Workforce Development Board.

Background: In compliance with the Workforce Innovation and Opportunity Act and the WIOA Regulations, it is required to monitor all recipients of financial assistance under WIOA. Monitoring is a way to determine if the contractor's operation of the program(s) is in compliance with the Act, Regulations, the Contract Statement of Work and Terms and Conditions. It is also a primary tool for the identification of strengths and weaknesses in the operation of programs and delivery of services at the grantee level.

Policy: Monitoring will be performed by the Administrative Entity (AE) WIOA staff, at least once annually, and will include onsite and desktop monitoring. It will include a review of the program administration, the financial management system, the implementation of program services, maintenance of required documentation, compliance with applicable LWDA Policies and Procedures, as well as compliance with general contract requirements.

For financial monitoring, grantee ledgers will be requested a week in advance for AE staff to make selections. These will be emailed back to grantee staff to pull each item requested and any necessary backup documentation prior to onsite monitoring. If completed virtually, documents should be scanned/emailed or dropped off at Catawba Regional Council of Governments no later than the day before monitoring is scheduled. For programmatic monitoring, a sample of participants registered (at least 10%) will be reviewed. Since files are electronic, a review of SCWOS data will be conducted and staff should be available to address questions or concerns related to the files, reporting, performance and any other issues while AE are monitoring (virtually or on-site).

An official monitoring report will be written and forwarded to the signatory official within forty-five (45) days identifying any deficiencies as well as outstanding areas of operation and accomplishments. A response and corrective action plan (if needed) should be submitted to

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the AE within 30 days of the date of the report. The AE will respond to the grantee after reviewing and if necessary, a follow up monitoring will be scheduled.

Action: Please be sure appropriate staff receive this instruction.

If you have any questions, please contact Nicole Lawing, WIOA Administrator at 803.327.9041 or nlawing@catawbacog.org.



Nicole Lawing, WIOA Administrator