Approved Date: February 14, 2025

Effective Date: February 15, 2025

Subject: Monitoring Policy

Purpose

I. The purpose of this policy is to provide guidance on the internal monitoring process for the Workforce Innovation and Opportunity Act (WIOA) Title I Program.

II. The purpose of monitoring is to ensure the integrity of the Title I Program through the review of performance measures, compliance with policies and identify successful methods and practices that serve to enhance the system through continuous improvement.

Programmatic Monitoring Process

I. Monitoring will be conducted on-going, informally throughout the year per the activity/service approval process that includes, but not limited to, a review of participant files, documentation, case notes and reports. Issues or concerns related to monitoring may be communicated via emails, staff discussions, and staff meetings and should be addressed immediately.

II. In addition, formal monitoring will be conducted at least annually to include a comprehensive review of programmatic and financial documentation by Iowa Workforce Development.

III. Active File Reviews, of no less than 10% of the Active Caseload, will be conducted monthly by the Title I Program Coordinators. Reviews will be conducted in accordance with the Monitoring File Review Checklist Tool provided by Iowa Workforce Development.

A. Following each monthly review, Title I Program Coordinators will document findings on a Monthly Active Caseload Review tool and share with the Title I Program Manager and leadership team.

B. In addition, the Title I Program Coordinators will do a monthly review of data entries that relate to key performance indicators and document findings on a tool shared with the Title I Program Manager and leadership team.

IV. A variety of monitoring methods will be utilized. These may include questionnaires and/or interviews with customers, employers, One-Stop Operator, and the American Job Center (AJC) staff.

A. Monitoring reviews may include on-site visits to subsidized employer worksites as required, desktop reviews, as well as hard copy file reviews of participant and employer records. This will include comprehensive examination of compliance issues cited in prior federal, state, and local reviews.

Fiscal Monitoring Process

I. Invoices and documentation for payment requests are reviewed and approved by the Title I Program Manager and sent to Title I Program Coordinators for final approval and submission to the Finance and Accounting Division for process and distribution of funding.

II. The Fiscal Agent will conduct oversight activities of financial systems, cost limitations and expenditures to ensure that grant funds and other assets are adequately safeguarded, and fund use is in compliance with Federal, State and Local policy requirements. This will include, but not limited to the following:

A. Audits
B. Cost Allocation Plans and Processes
C. Disallowed Costs
D. Financial Management Systems
E. Internal Controls
F. Generally Accepted Accounting Principles (GAAP) Adherence

Monitoring Tools

- Monthly Manager Report
- File Review Checklist
- Client Expenditure Log
- Payment Tracker
- Risk Assessment Tool