

**NORTEC
POLICY STATEMENT
WIOA PROGRAM MONITORING**

Last Updated: July 1, 2015

GENERAL INFORMATION

The NoRTEC Administrative Entity (NoRTEC AE) will monitor its WIOA Service Providers. Monitoring will be conducted through on-site and desk reviews and will be done for the purpose of assisting each Service Provider to comply with applicable federal, state, and NoRTEC requirements.

All actions related to monitoring findings will take place within a reasonable amount of time, and the AE will request corrective action as needed. Disputes arising from the monitoring process will be resolved by NoRTEC's Executive Committee.

The NoRTEC AE will routinely provide a report on the status of monitoring activities, findings, requested corrective action, and resolution of findings at regularly scheduled NoRTEC Workforce Development Board/Governing Board meetings.

ON-SITE REVIEWS

Each Service Provider will be visited up to twice each program year by the NoRTEC AE for a programmatic review. The Service Providers will also be visited up to twice each program year by the NoRTEC AE for a fiscal review. The programmatic and fiscal reviews may be conducted jointly or separately, based on the availability of NoRTEC and Service Provider staff.

The on-site monitoring process will include a review of relevant materials and documents, as well as staff and participant interviews as necessary. The review may include on-site visits to worksites to interview both participants and their supervisors to review relevant records and documents.

An exit conference will be conducted that will outline any findings and/or recommendations. A written letter of findings and any request for corrective action will be sent to the Executive Director and the Board Chair of the Service Provider within a reasonable amount of time following the on-site visit. The Service Provider will be required to provide documentation of corrective action taken within the guidelines specified in the written monitoring letter.

DESK REVIEWS

NoRTEC will review Service Provider fiscal and participant data on a monthly basis. The data will be reviewed for:

- Timeliness of submission
- Internal consistency and accuracy
- Conformance to contractual elements
- Conformance to performance objectives
- Any other criteria the NoRTEC AE considers to be important

The NoRTEC AE will request and review any other fiscal or program related material it deems necessary to ensure compliance with NoRTEC policy and applicable federal and state requirements.

LOCAL SYTEMS

Each Service Provider will develop and implement its own fiscal and program review procedures for on-site and desk reviews.