

TRIDENT

Trident Workforce Investment Board Workforce Investment Act

MONITORING POLICY

TO: SC Works Trident Operators and Youth Contractors

ISSUANCE DATE: May 15, 2012

EFFECTIVE DATE: May 15, 2012

SUPERSEDES: July, 1 2010, June 30, 2008 and October 29, 2007

SUBJECT: Monitoring Policy

PURPOSE:

The purpose of this instruction is to provide guidelines for monitoring all WIA programs including sub-recipients (Contractors) of federal financial funding under the Workforce Investment Act of 1998. The term "sub-recipient" means any person, organization or other entity, which receives WIA funds either directly or indirectly, from the Governor. A primary purpose of compliance monitoring is to identify strengths and weaknesses in the administration and operation of programs. Monitoring serves as a management tool to preclude audit exceptions and to improve program administration and delivery of services.

POLICY:

In accordance with the Workforce Investment Act (WIA) of 1998, the administrative entity of the Trident Workforce Investment Board will conduct financial and programmatic monitoring of all WIA programs and contracts issued by the board to ensure compliance with the Act, federal regulations, and, state and local policies.

PROCEDURES:

A monitoring team consisting of the Special Assistant to the Executive Director, Staff Accountant and Project Officer have been established by the Executive Director of Berkeley Charleston Dorchester Council of Governments. This team will review the financial and programmatic activities of the SC Works Trident Operators and Youth Contractor. Monitoring will be conducted as follow:

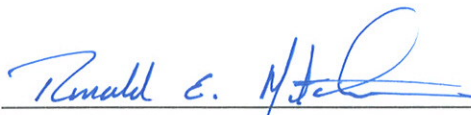
- The Monitoring Team will conduct a programmatic and financial monitoring of all WIA programs annually. Please see monitoring schedule for dates and times. The monitoring will consist of observation of orientations and informational sessions, interview with staff, review of Statement of Works and contracts, review of Ad Hoc Reports, review of hard and SCWOS files.

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- Operators and the Youth Contractor will be sent the annual monitoring schedule at the beginning of the program year. A list of files to be monitored during the annual monitoring will be provided within forty-eight hours prior to the monitoring.
- Monthly monitoring will be conducted utilizing a checklist that includes onsite reviews, SC Works Online System reviews (SCWOS), Ad Hoc Report reviews and file reviews of two files per Workforce Specialist/Eligibility Specialist.
- Monitoring is conducted to identify potential risks and liabilities, minimize possible violations of the Act, and determine technical assistance needed.
- A monitoring report will be generated and given to SC Works Trident Operators and Youth Contractor outlining any findings or observations. The Operators and/or Youth contractor will have thirty days from date disseminated to respond.
- Upon satisfaction and acceptance of response, a letter of acceptance will be sent to acknowledge acceptance and close the monitoring report as complete.
- For any monitoring that result in findings a corrective action plan must be developed to ensure potential violations are resolved.
- Any exposure that might be found will be assessed and appropriate measures taken.

Once the annual monitoring is complete, a copy of the monitoring letter will be forwarded to the Local Operator Coordinator at SC Department of Employment and Workforce (SCDEW).

The administrative entity reserves the right to conduct additional, scheduled and non-scheduled monitoring visits when deemed necessary. All monitoring results will be reported to the Trident Workforce Investment Board and its appropriate committees.



Ronald E. Mitchum, Executive Director
BCDCOG

May 15, 2012

Date