

Workforce Innovation and Opportunity Act (WIOA)
Adult/Dislocated Worker/Business
Services/Youth/Operations
Administrative/Programmatic/Fiscal
Monitoring Guide



High Country Council of Governments
High Country (Region D) Local Area
468 New Market Boulevard
Boone, North Carolina 28607

Revised June 2022

Monitoring Guide Instructions

- **WIOA Service Providers** need to **be prepared to answer** the administrative and program sections of the Monitoring Guide during the on-site visit by Local Area Staff. These sections have changed very little from last year.
- The administrative section is intended to cover the personnel and equal opportunity responsibilities associated with the Title I WIOA services that your agency provides.
- The program document includes three sections: Adult and Dislocated Worker Services and Youth Services. Please review the section(s) that are applicable to the program(s) that the High Country Local Area contracts with your agency to provide. The information contained in the programmatic sections will address information and processes related to program service delivery. Our goal is to monitor your agency's systems in providing the best possible program services and to ensure that the program(s) you provide are in compliance with state, local, and federal legislation, regulations, and policies.
- Customer file monitoring has been or will be conducted for the WIOA program services that your agency provides. Local Area staff will review a predetermined sample of cases using the file checklists. The review will focus on eligibility documentation, data validation, the individual employment plan and documentation of the case in the case and/or activity notes recorded in NCWorks Online, the state's WIOA customer management system. Prior to or during the on-site review, local area staff will request your internal monitoring reviews, the findings, any corrective action needed, and the completion of corrective action. Staff may pick a sample of files to review and compare to your internal monitoring results.
- The Financial Monitoring will be scheduled with your organization's finance staff responsible for reporting expenses to the Local Area. A copy of the financial monitoring document is being provided for your information prior to our visit. During that review, staff will review overall financial systems, perform an in-depth review of expenses and backup documentation for a predetermined month during the current program year. The month to be reviewed will be communicated to the appropriate finance staff prior to the financial monitoring visit. A copy of the invoice(s), printouts from your organization's accounting system will need to include a copy of the chart of accounts, appropriate and relevant reports from the General Ledger, timesheets, and time effort forms for all WIOA funded positions, cost allocation plans for the month being reviewed, and backup documentation supporting the reported monthly expenses will need to be available during the onsite review. Any additional documents will be requested prior to or during the on- site review.
- Monitoring activities may also include work site visits, class site visits, and customer interviews.
- Following the review, staff will review any findings that have been noted, review additional documents if necessary, and resolve as many issues as possible. **If appropriate, operators are expected to respond to any issues in dispute at this time.** A summary letter of annual monitoring will be provided and maintained by the WDB.

- An online review will be conducted by the WDB prior to and/or following the on-site review to include a sample of enrolled participants via NCWorks Online. A written summary of both the on-site and online file review, with any required corrective action, will be submitted to the operator following the review. The summary will include deadlines for corrective action and responses. Failure to comply with corrective action requirements in a timely manner may be referred to the High Country Workforce Development Board for further action.
- The WDB will maintain complete monitoring records and will be responsible for tracking corrective action responses and any additional needed correspondence. Operators should contact the WDB directly with questions or comments.

High Country Local Area
Workforce Development

Contractor Monitoring Guide

Contractor:	
Address:	
Contact Person(s):	
Title(s):	
Contact phone number:	
Date(s) monitored:	
Program year:	
Counties served:	
High Country staff conducting review:	

Contracts Include:	Check all that apply:
Adult/DW/Business Services	
Youth	
Center Operations	

SECTION I. Administrative Systems

Personnel Procedures (please have a copy of your agency's personnel policy available for review at the time of our on-site visit)	YES	NO	N/A
1. Are personnel policies established in writing?			
2. Are personnel policies readily available for review?			
3. Are personnel policies readily available to individual staff member(s)?			
4. Does the personnel policy cover the following?			
- Hiring Procedures			
- Employee Classifications			
- Termination			
- Grievance Procedures			
- Employee Benefits			
- Work Rules			
- EO Statement			
- Travel/Per Diem Policies			
- Nepotism			
- Conflict of Interest			
- Non-Discrimination			
- Political Activities			
- Sectarian Activities			
5. Have these policies been presented to and discussed with staff?			
6. Does the contractor have a current organizational chart or diagram showing the relationship and lines of responsibilities among the various units/staff?			
7. If the organizational chart has been modified or revised after contracting, has a copy of the revised chart been submitted to the WDB?			
8. Are there job descriptions available for review for each WIOA funded position in the agency?			
9. Do staff job descriptions contain the following elements:			
- Descriptions of each staff position's specific duties and responsibilities, including the percentage of time allocated to each funding source?			
- Reflect actual job duties?			
10. Does each staff member have a copy of his/her job description?			
11. Are there procedures to ensure that all contractor staff are knowledgeable about WIOA rules and regulations?			
12. Do WIOA staff have in their possession all of the following:			
- Applicable High Country Policy Manuals and Issuances?			
- Applicable Federal legislation and regulations?			
- The Contractor's current, applicable Proposal/Modification?			
13. Are all staff aware of individual expectations for outreach, enrollment goals, performance goals, etc.?			
14. Are all staff aware of program spending limits/ fund availability/procedures?			
Personnel Procedures Comments:			
Notification of Fraud and Abuse	YES	NO	N/A
1. Does the Contractor have procedures for immediately notifying the WDB in writing of any charges or allegations of criminal misconduct, fraud, or negligence in connection with the program?			
Notification of Fraud and Abuse Comments:			

Contracting		YES	NO	N/A
1.	Does the Contractor have procedures to prevent the subcontracting of any or all interests, work, or services under the Contract without prior written approval?			
2.	Does the Contractor acknowledge the WDB or its assignee's rights to documents, materials, and data identified and produced under the Contract?			
Contracting Comments:				
Worker's Compensation and Liability		YES	NO	N/A
1.	Does the Contractor have appropriate Worker's Compensation covering all WIOA customers?			
2.	Does the Contractor have appropriate general liability coverage?			
3.	Are all worksites reviewed for and are there assurances that customers will not be exposed to training or working conditions which are unsanitary, hazardous, and/or dangerous to health and safety?			
Comments:				

Equal Opportunity Compliance				
Equal Opportunity Officer				
Please name your organization's Equal Opportunity (EO) Officer and give their non EO Position Title:				
By what means has your organization made public the name, position title, and telephone number (including free Relay Number 711 in NC) of the EO Officer:				
		YES	NO	N/A
1.	Does your organization chart show the EO Officer's position in the organization?			
2.	Does your organization have a documented position description for the Equal Opportunity Officer that includes all EO related responsibilities? If so, please have available.			
3.	Has the Equal Opportunity Officer had training to ensure competency in the area of Equal Opportunity responsibilities?			
If yes, please provide a list of EO training sessions and dates attended by the EO Officer and list any future training sessions scheduled with dates.				

Notice and Communication	YES	NO	N/A
1. Does the organization have written Equal Opportunity policies for contractor staff?			
2. Are there procedures to ensure that all contractor staff are knowledgeable about Equal Opportunity rules and regulations and your EO Policies?			
3. Do all contractor staff have in their possession a copy of the organization's Equal Opportunity Policy?			
4. Are there written procedures for addressing complaints of non-criminal and program discriminations?			
5. Are procedures for grievances and complaints shared with staff and customers?			
6. Is a signed copy of the Orientation & Customer Rights Signatory Page scanned into NCWorks Online after it is reviewed and initialed by the customer?			
7. Are "Equal Opportunity Is the Law" posters (English and Spanish) displayed in areas accessible to staff, applicants, and customers?			
Please list the location(s):			
How often and by what methods is Equal Opportunity information communicated with staff, applicants, and customers?			
Please describe how your organization ensures that all staff are adequately trained regarding non-discrimination and equal opportunity responsibilities.			
If any in-house outreach material is produced, what equal opportunity/accessibility notices are listed on the materials?			
Comments on Accessibility:			
Data Collection and Analysis	YES	NO	N/A
1. Does the service provider analyze the data keyed into NCWorks Online with regards to demographic information?			
If yes, how is this data used?			

Universal Access	YES	NO	N/A
1. Has the contractor made efforts (including outreach) to broaden the composition of the pool of those considered for participation and employment in their programs and activities in an effort to be more inclusive regardless of gender, gender identity, race, ethnic group, age, as well as individuals with disabilities?			
If so, please include a summary of those efforts and/or copies of the following: outreach and recruitment plans, criteria for determining priority of service, etc.			
Universal Access Comments:			
Accessibility (Section 504 of the Rehabilitation Act of 1973, as amended and 29 CFR 37.54 (d) (2) (v))	YES	NO	N/A
1. Has the organization completed an accessibility analysis with the assistance of persons with disabilities or other specially qualified individuals within the last year?			
- Is analysis available for review?			
2. Have adequate steps been taken to address identified problem areas?			
3. Have all problem areas been resolved?			
If no, please specify problem areas that continue to exist along with plans and timelines for resolution of the deficiencies:			
4. Does the organization have telecommunications devices for individuals with hearing impairments (TDDs) or equivalent? What type of equipment?			
5. Has guidance been sought from NC Services for the Blind to determine if additional reasonable accommodations need to be made for current or potential customers with visual impairments? If yes, please include documentation of the guidance.			
Accessibility Comments:			
Equal Opportunity Corrective Action/Sanctions	YES	NO	N/A
1. Has corrective action been required from previous monitoring of Equal Opportunity compliance?			
2. Have all corrective action steps resulted in complete correction of each violation?			
3. Have sanctions been required because voluntary compliance could not be achieved?			
Corrective Action/Sanctions Comments:			

Overall Administrative Comments:

SECTION II. Program Systems – Adult and Dislocated Worker Services

Internal Monitoring		YES	NO	N/A
1.	Has the Contractor established a procedure to monitor the WIOA program files, progress, and performance on a continuous basis?			
2.	Have these procedures been documented and are they available for review? (Please have available)			
3.	Has the Contractor designated a staff person to be responsible for program monitoring? List staff name: Mary Jolly, Jessica Greer, Casey Wilson, Arica Brazil			
4.	Are Supervisors reviewing cases in NCWorks Online?			
	- Is there documentation to support such reviews? (Please have available)			
5.	Are internal monitoring reviews being completed regularly?			
	- Is there documentation to support such reviews? (Please have available)			
6.	Is there a procedure established to resolve any problem areas discovered during any of these internal monitoring reviews?			
7.	Does documentation exist to support that corrective action has been taken when appropriate?			
Internal Monitoring Comments:				
Program Management		YES	NO	N/A
1.	Does the WIOA Contractor and the NCWorks Centers currently provide all the activities/services outlined in the Proposal including: (Check the activities/services the Contractor is providing for WIOA customers)			
	- Case Management Services?			
	- Full range of career services?			
	- Supportive Services?			
	- Employment Services?			
	- Post-Employment/Follow-up Services, as appropriate?			
	- Eligibility determination for WIOA services?			
	- Comprehensive and specialized assessments?			
	- Development of an individual employment plan?			
	- Individual and Group counseling?			
	- Career planning and case management?			
	- Occupational Skills Training?			
	- Short-term prevocational services?			
	- Referrals to community and one stop partner services?			
	- Financial literacy services?			
	- Work based learning opportunities such as work experiences, internships, or OJT linked to careers?			
	- Workforce preparation activities?			
	- Supportive services?			
	- Out of area job search assistance and relocation assistance?			
2.	Does each WIOA case manager exhaust other available supportive service resources prior to committing WIOA funds for those purposes?			

Program Management Comments:				
WIOA Recruitment/Referral		YES	NO	N/A
1.	Has the Contractor established procedures in conjunction with NCWorks Partners to ensure appropriate and efficient referral of customers to intensive services?			
2.	Are the NCWorks partners making referrals to the WIOA Case Managers when appropriate?			
Describe the WIOA customer outreach services:				
What other type of recruitment is being performed?				
Recruitment and Referral Comments:				
WIOA Intake/Eligibility Determination (Review a sample of the Contractor's customer records to verify eligibility determination and verification documentation.)		YES	NO	N/A
1.	Based on a sample file review, has the Contractor met the eligibility documentation requirements as specified in the WIOA legislation?			
2.	Does the Contractor correctly verify and document those items of information pertinent to the determination of eligibility under the regulations?			
3.	Is the appropriate supporting documentation for eligibility in the files?			
4.	Does the WIOA Service Provider have a documented referral procedure for individuals who are not served by WIOA?			
5.	Does the Contractor maintain individual files for eligible applicants or customers who choose not to participate in WIOA services?			
6.	Are files maintained on all ineligible referrals, which indicates the reason the individual was not eligible for WIOA services?			
7.	Does the Contractor provide customer information on the full array of services available and the eligibility requirements?			
What systems are in place for determining priority of services for veterans, low-income individuals and those receiving public assistance where funds are limited? (Please attach a copy of form, if applicable.)				
What procedures are in place for determining suitability?				

WIOA Intake/Eligibility Determination Comments:				
Orientation		YES	NO	N/A
1.	Does the Contractor provide WIOA orientation to all customers prior to enrollment?			
2.	Has the Orientation and Participant Rights form been completed with each customer, including the customer's signature and the date?			
3.	Is the signed copy of the Orientation and Participant Rights form maintained in each customer's file/NCWorks?			
4.	Has the Consent for Release of Confidential Information been completed, and a copy retained in the customer file?			
Orientation Comments:				
NCWorks Online		YES	NO	N/A
1.	At a minimum, is redaction of the customer's Social Security number and Driver's License number being completed on all documents?			
2.	Does the contractor make use of NCWorks reports to track performance and exits?			
3.	Is the Contractor keying customer information within 10 working days from date of involvement including:			
	- Appropriate Intake/Assessment Information?			
	- Certification of eligibility?			
	- Registration?			
	- Service in existing and new activities?			
	- Activity completion information?			
	- Training/Support Services?			
	- Enrollments/Outcomes?			
	- Job Referral and Placement Information?			
	- Employment Referrals and Outcomes Information?			
	- Employment Follow-up Information?			
	- Measurable Skills Gains completions?			
3.	Are individual case/meeting notes documented and maintained in NCWorks?			
Reporting Requirements Comments:				
WIOA Assessment		YES	NO	N/A
1.	Does the Contractor's assessment include an evaluation of the following:			
	- Review of basic skills?			
	- Review of educational attainment?			
	- Review of occupational skills?			
	- Prior work experience/work history?			
	- Willingness to work?			
	- Employability?			
	- Interests and aptitudes?			
	- Supportive service's needs?			

WIOA Assessment Comments—Please describe the assessment process and tools used:

Employment Plan		YES	NO	N/A
1.	Has the Employment Plan been completed with a signature by each customer?			
2.	Does the Contractor incorporate all assessment information into the Employment Plan?			
3.	Does the Contractor prepare a list of supportive services needs and incorporate those needs into the Employment Plan?			
4.	Does the Employment Plan identify both long-term and current/short-term employment goals with objectives?			
5.	Does the Contractor list specific action steps, dates for achievement, the responsible party, and referral contacts?			
6.	Are goals and objectives clearly stated?			
7.	Are the Employment Plans individually tailored for each customer?			
8.	Does the Contractor review and update the Employment Plan when a customer enters into or receives another service or when needs change?			
9.	Are updated plans reviewed and signed by staff and participant?			
10.	Does the WIOA customer receive a copy of his/her Employment Plan?			
11.	Is there evidence that the Employment Plan is developed in a timely manner based upon the needs, interests, and aptitudes of the customer?			
12.	Are employment plans keyed within NCWorks?			

Employment Plan Comments:

Employment Counseling		YES	NO	N/A
1.	Does the Contractor document all employment counseling, and customer contacts in NCWorks?			
2.	Does the employment counseling documentation contain enough information to, at a minimum give an objective picture of each customer’s situation as it relates to employment and document the services provided?			
3.	Is there evidence that the frequency and content of employment counseling is individualized to meet each customer’s needs?			

Counseling Comments:

Supportive Services		YES	NO	N/A
1.	Does the contractor utilize supportive service funds?			
2.	Is the need for payment supported by the Employment Plan and the case notes?			
3.	Is there a full accounting of:			
	- the basis for the support payment?			
	- the name, address, and phone number of the individual to whom the supportive services payment was made?			
	- A receipt for the supportive services rendered or purchased?			

Supportive Services Comments:

Individual Training Accounts		YES	NO	N/A
1.	Are ITAs/scholarships explained and offered to the WIOA customers who are eligible and are suitable for such services?			
2.	Does the service provider use NCWorks to assist the customer in selecting training programs approved by the WDB?			
3.	Are Pell Grants and other financial assistance utilized prior to use of WIOA funds for training services?			
4.	Is the training plan based on the individual's interests, aptitudes, and abilities?			
5.	Is the Contractor only providing ITAs for the occupations in demand identified in NCWorks?			
6.	Describe the system for tracking ITAs:			
7.	Does this tracking system ensure that the maximum annual/lifetime limits established by the WDB are not exceeded?			
Individual Training Account Comments:				
Follow-up/Post-employment Services		YES	NO	N/A
1.	Is the WIOA Contractor making follow-up services available, as appropriate to WIOA customers after entry into employment and after exit?			
	- maintaining regular contact including scheduled visits or appointments			
	- providing employment counseling			
	- obtaining and keying supplemental data 2 nd /4 th quarters if not in UI wage system			
Follow-up/Post-employment Services Comments:				

SECTION III. Program Systems – Youth Services

Internal Monitoring		YES	NO	N/A
1.	Has the Contractor established a procedure to monitor the WIOA program files, progress, and performance on a continuous basis?			
2.	Have these procedures been documented and are they available for review? (Please have available)			
3.	Has the Contractor designated a staff person to be responsible for program monitoring? Staff Name: Mary Jolly, Jessica Greer, Sandy Austin			
4.	Are Supervisors reviewing youth files in NCWorks?			
	- Is there documentation to support such reviews? (Please have available)			
5.	Are formal monitoring reviews being completed regularly?			
	- Is there documentation to support such reviews? (Please have available)			
6.	Is there a procedure established to resolve any problem areas discovered during any of these internal monitoring reviews?			
7.	Does documentation exist to support that corrective action has been taken when appropriate?			
Program Management		YES	NO	N/A
1.	Are each of the 14 program elements available or are being provided by the WIOA service provider?			
	- tutoring, study skills training, and instruction leading to completion of secondary school, including drop-out prevention			
	- alternative secondary school services			
	- activities that help youth prepare for and transition to postsecondary education and			
	- paid or unpaid work experience, job shadowing, OJT			
	- occupational skills training			
	- leadership development opportunities			
	- supportive services			
	- adult mentoring			
	- comprehensive guidance and counseling			
	- follow-up services for not less than 12 months after participation ends			
	- services to provide labor market and employment info on in-demand industry sectors			
	- education offered concurrently with workforce preparation activities			
	- financial literacy education			
	- entrepreneurial skills training			
2.	Does the WIOA service provider demonstrate that through the use of the 14 program elements each youth customer is better prepared for employment or post-secondary education?			
3.	Is the program on track to meet the contracted amount towards the work based learning expenditure requirement (work experience/OJT)? If no, please explain why not and future plans to address:			
4.	Does the WIOA service provider operate a comprehensive, year-round youth services program?			

5.	Has the WIOA service provider enrolled in school youth?			
6.	Has the WIOA service provider spent at least 75% of their funds on out-of-school youth? If no, please explain why not and future plan to address:			
7.	Does each WIOA case manager exhaust all other available resources prior to committing WIOA funds and services?			
8.	Does the Contractor make use of incentive payments following local policy?			
Program Management Comments:				
WIOA Recruitment/Referral		YES	NO	N/A
1.	Please describe the customer outreach/marketing services that have been used for your youth program:			
2.	Describe partnerships with the public school systems, Adult Education programs, and community college training programs. If none, why?			
3.	Has the youth case manager or supervisor provided information to teachers/administrators in written and printed materials (for example: at staff meetings or orientations)?			
4.	What types of recruitment has been most successful and why?			
WIOA Intake/Eligibility Determination (Review a sample of the Contractor's customer records to verify eligibility determination and verification documentation.)		YES	NO	N/A
1.	Are all enrolled youth between 16 and 24?			
2.	Are all enrolled youth income eligible (where income guidelines apply)?			
3.	Are all enrolled youth within one or more of the WIOA barriers?			
4.	Did the Contractor correctly verify and document those items of information pertinent to the determination of eligibility under the regulations?			
5.	Is the appropriate support documentation for eligibility in NCWorks?			
6.	Has the NCWorks objective assessment been completed for each enrolled youth and identify a review of skills, barriers, and needs?			
7.	Does the Contractor refer youth not served by WIOA to other programs/services while maintaining a record of those who are not enrolled?			
8.	Are employment plans being keyed with goals and objectives and being updated as changes occur?			

WIOA Intake/Eligibility Determination Comments:				
Orientation				
1.	Does the Contractor provide WIOA orientation to all customers prior to enrollment?	YES	NO	N/A
2.	Has the Orientation and Customer Rights form been completed with each customer, including the customer's signature and the date?			
3.	Is the signed copy of the Orientation and Customer Rights form maintained in NCWorks?			
4.	Has the Consent for Release of Confidential Information been completed, and a copy retained in NCWorks?			
Orientation comments:				
NCWorks Online				
1.	At a minimum, is redaction of the customer's Social Security number and Driver's License number being completed on all document following policy?			
2.	Does the contractor make use of NCWorks reports to track performance and exits?			
3.	Is the Contractor keying customer information within 10 working days from date of involvement including:			
	- Appropriate Intake/Assessment Information			
	- Certification of eligibility			
	- Service in new activities			
	- Activity completion information			
	- Measurable Skills Gains Attainment Information			
	- Job Referral and Placement Information			
	- Employment Referrals and Outcomes Information			
	- Employment Follow-up Information			
3.	Are the case notes up to date (within the last 10 working days?)			
4.	Are the case notes meaningful, relevant to the individual's goals and needs, and document			
Reporting Requirements Comments:				

SECTION IV. Work-Based Learning & Business Services				
Work Experience (Applies for Adult/DW/Youth)		YES	NO	N/A
1.	Is placement into a Work Experience consistent with the customer's Employment Plan?			
2.	Is the Work Experience training length determination appropriately documented in the Employment Plan?			
3.	Are Work Experience placements made based upon results of the assessments and the individual needs of the customers?			
4.	Does the Contractor explain all the details of the contract including the necessity of work site visits, on-site counseling, subsidization, etc. to the employer?			
5.	Are the Policies and Agreements that address employer's responsibilities; service provider's responsibilities; and the participant's responsibilities reviewed?			
6.	Are appropriate Work Experience contracts being developed consistently?			

7.	Does the Contractor monitor the employer to ensure that customers are receiving the training specified in the agreement/ Employment Plan?			
8.	Are the customer work site evaluations completed and reviewed?			
9.	Does the customer's time and attendance correspond to Work Experience invoices?			
10.	Does the contracted wage rate correspond to actual wages paid?			
11.	Are the following items maintained in NCWorks:			
	- Work Experience contract?			
	- Customer performance evaluation report?			
	- Invoices/time sheets?			
13.	Work Experience Comments—Please list work experience locations used this year by program.			
On-The-Job Training (Applies for Adult/DW/Youth)		YES	NO	N/A
1.	Is placement into OJT activity consistent with Employment Plan or WIOA?			
2.	Are OJT placements appropriate and based on the results of the assessments and employment goals?			
3.	Is an OJT Pre-award checklist being used consistently and appropriately?			
4.	Does the Contractor ensure that employers understand the intended outcome of the OJT activity (unsubsidized employment)?			
5.	Is a detailed Job Training Plan developed for each customer?			
6.	What assessments are being used to determine skill gaps for Training Plan? Please identify:			
7.	Does the OJT customer's time and attendance correspond to OJT invoices?			
8.	Are customers being compensated at the same rates as similarly situated employees or at a minimum wage?			
9.	Does the contracted wage rate correspond to actual wages paid?			
10.	Who is responsible for comparing timesheets to invoices submitted by employers?			
11.	Does the Contractor monitor the employer to ensure that customers are receiving the training specified in the OJT subcontract?			
12.	Is employment counseling being provided at the work site?			
13.	Are the following items maintained in NCWorks?			
	- OJT contract (including training plan and skills gap assessment)			
	- Customer performance evaluation report			
	- Invoices/time sheets			
On-the-Job Training Comments—Please list OJT employers used this year by program:				
Incumbent Worker Grant (IWG)		YES	NO	N/A
1.	Has the contractor implemented IWG during the year?			
Please list IWG locations:				

IWG Comments:

Business Services

1. How does the contractor coordinate with local economic development?

2. What are the contractor's linkages with local employers?

3. How does the contractor promote private sector involvement in the WIOA programs?

Business Services Comments:

Section V. NCWorks Operations

1. Who serves as the NCWorks Operator?

2. Briefly describe the Operator and WIOA Service Provider relationship in regard to center activities.

3. Describe how and who provides staff supervision and scheduling.

4. What outreach activities have brought about positive results? Please include activities for each county.

5. In what ways has the Operator assisted with streamlining standard operating procedures to include referrals, follow-up with customers, and reporting?

6. How are all center staff trained and engaged in training activities?

7. How are services being tracked and documented for job seekers and employers?

Additional information regarding operations:

WIOA FINANCIAL MANAGEMENT

Contractor: _____

Monitoring Date: _____

Monitor: _____

Although the Local Area does not prescribe a uniform accounting system, each recipient of WIOA funds must comply with the terms of the contract or subcontract under which the WIOA funds are paid.

Each recipient shall establish and maintain a financial management system, which provides for adequate control of grant or agreement funds and other assets; ensures the accuracy of financial data; and provides for operational efficiency and for internal controls to avoid conflict-of-interest situations and to prevent irregular transactions or activities. The recipient shall ensure that its financial management system meets the following standards:

Reporting: The recipient's reporting procedures shall provide accurate, current, and complete disclosure of the financial results of each grant or agreement. The recipient shall report on an accrual basis. A recipient whose records are not maintained on an accrual basis may develop accrual data for reports based on an analysis of the documentation on hand. In such cases, the recipient's accounting process must provide sufficient information to compile data to satisfy the accrued expenditure reporting requirements and to demonstrate the link between the accrual data reports and the non-accrual fiscal accounts; and the recipient shall retain all such documentation for audit and monitoring purposes.

Records: The recipient shall maintain records which identify adequately the source and application of funds for grant or agreement supported activities. The recipient shall ensure that the records systematically assemble information concerning federal awards and authorizations, obligations, unobligated balances, assets, liabilities, outlays, and income into balance sheet format for internal control purposes.

Control of Assets: The recipient shall maintain effective control over and accountability for all project funds, property, and other assets. The recipient shall safeguard assets and shall assure that they are used solely for authorized purposes.

Comparison of Outlays with Budget: The recipient shall compare outlays with budgeted amounts for each grant or agreement and, when required by performance reporting requirements of the grant or agreement, show the relation of financial information to performance data, including the production of unit cost data if appropriate.

Who is the contractor's designated staff person responsible for fiscal duties?			
NAME		TITLE	
		YES	NO
Is this the same person named in the contract application?			N/A

Verify that the contractor has a copy of the following:	YES	NO	N/A
• The Office of Management and Budget (OMB) circular appropriate to the organization			
• "Super Circular" – 2 CFR Part 200 (OMB A-87)			
• The Uniform Administrative Requirements (UAR) or "common rule" 29 CFR 97 adopted by DWS			

Please list all contracts that were funded and the total amount for each for the program year being monitored.	
CURRENT CONTRACTS	CONTRACT AMOUNTS

Provide a summary of the internal accounting and administrative controls from the most recent audit or audit history:

Date the last audit was completed:	
Period covered:	
Date next audit is to be completed:	

	YES	NO	N/A
Does the contractor have any fiscal and/or fiscal related problems cited in the latest audit that continue to exist?			
If yes, describe:			
Where are fiscal records kept?			
	YES	NO	N/A
Is the contractor in compliance with the requirements for reporting and submitting monthly invoices?			
Please list what accounting records are maintained and provided monthly (ie Detail Account Ledgers, Ledger Account Balances, Cash Receipts Journal, etc).			

	YES	NO	N/A
Are the books of account posted on a current basis?			
Does the contractor run a trial balance on the General Ledger at least monthly?			
Are project monthly invoices prepared from the General Ledger?			
Are provider monthly invoices being balanced with the General Ledger prior to submission to the WDB for reimbursement?			
<ul style="list-style-type: none"> Perform a test sample for a month. 			
Total per General Ledger	Total per Monthly Invoice	Difference	
		\$	
Explanation for any differences:			
	YES	NO	N/A
Is the contractor reporting accruals?			
<ul style="list-style-type: none"> If yes, is there documentation and/or data to support accruals? 			
Is the bank statement(s) reconciled each month?			
Is the drawing of checks payable to cash prohibited? (Exception can be for petty cash account)			
Is signing checks in advance prohibited?			
Is more than one signature required on checks?			

BONDING & INSURANCE			
	YES	NO	N/A
Are all persons bonded who are authorized by the Contractor to receive or disburse WIOA funds, issue financial documents, or checks for payment of program costs?			
<ul style="list-style-type: none"> Bond Coverage is: \$500,000.00 			
Does the Contractor maintain general public liability insurance?			
<ul style="list-style-type: none"> If yes, the amount of the general liability coverage is: 			

INDIRECT COST			
	YES	NO	N/A
Does the Contractor have indirect costs budgeted in any of the programs under contract?			
If yes, do they have an indirect cost agreement on file? (Please attach a copy)			

DIRECT COST ALLOCATION PLAN			
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Any WIOA Contractor or Subcontractor who operated WIOA and non-WIOA programs, or who operates more than one WIOA/ARRA project must prepare and maintain on file a detailed plan for allocating any shared costs to the projects that benefit from these costs. This plan must set forth the rationale for all allocations of shared costs and must be used to allocate all costs except for separate disbursements that benefit only one project. Project budgets will, of necessity, be based on estimated costs, but allocations of costs must be based on actual costs incurred.

	YES	NO	N/A
Does the Contractor have joint cost but not using the indirect cost method?			
If yes, does the Contractor have a written cost allocation plan?			
Does the contractor allow making loans from WIOA funds to non-WIOA funding sources?			
Does the Contractor allow loans to participants?			
Does the contractor allow loans to staff? (NOTE: Any advance to a staff member for work that has not been earned would be a loan)			

PARTICIPANT TIMESHEETS

Participants receiving wages for work must have timesheets to support payrolls.

	YES	NO	N/A
Does the Contractor require timesheets for participants receiving wages?			
<ul style="list-style-type: none"> If yes, do the time sheets have at least the following: 			
Dates covering payroll period			
Time worked recorded each day			
Total hours			
Signature of participant			
Signature of supervisor and/or counselor			
How is participant payroll distributed to the participants? (ie, direct deposit, mailed, distributed)			
Are payees required to sign register/receipt to receive a paycheck?			
Does the Contractor allow the pre-signing of timesheets?			
Does the Contractor allow participants to have control of their timesheets?			
What company/firm provides Workers Comp coverage for participants?			

STAFF TIMESHEETS

	YES	NO	N/A
Does the Contractor have timesheets for staff?			
<ul style="list-style-type: none"> If yes, are the timesheets signed by the employee and the supervisor? 			
What time/effort forms are being utilized to reflect accurate charges on timesheets or how is this tracked?			
Where applicable, do time sheets reflect actual time worked for different WIOA funds, cost categories, and non-WIOA work?			
Who verifies the time sheets for accuracy?	NAME & TITLE		
How are changes in staff pay rates/salaries communicated by the provider to the WDB?			
Does the Contractor have on file W-4, NC-4, and I-9 forms on all staff and participants as appropriate?			

STAFF TRAVEL

	YES	NO	N/A
Does the Contractor require travel vouchers to support all travel?			
Do vouchers provide for the traveler's signature and a signature of approval?			
Do vouchers need to be accompanied by receipts for lodging and meals when reimbursing for actual cost?			
Does the contractor allow for travel advances?			
<ul style="list-style-type: none"> If yes, how does the contractor control outstanding advances? 			
Is car mileage reimbursed based on actual miles traveled?			
<ul style="list-style-type: none"> If yes, what is the rate per mile? 	\$		/ mile

	YES	NO	N/A
Are these supportive services allowable?			
Is adequate documentation maintained including at a minimum:			
Name of participant			
Actual services rendered and date provided			
Itemized cost of services rendered			
Signature of provider stating that services were provided			
Signature of participant stating that services were received			
Do a test on participants to reconcile travel reimbursements, childcare costs, or supportive services costs to Employability Plan and other documentation for need and attendance sheets/timesheets. Please attach results.			
PROPERTY MANAGEMENT			
	YES	NO	N/A
Does the Contractor maintain a record of all WIOA property? (All items purchased with WIOA funds that are defined as non-consumable goods)			
Does the Contractor take periodic inventories?			
<ul style="list-style-type: none"> Date of most recent inventory: 			
Has the Contractor designated a person to manage property, to maintain a property listing, and to check physical inventory?			
<ul style="list-style-type: none"> If yes, name of person: 			
Please attach a copy of the Local Area/WIOA inventory and the Contractor's WIOA inventory of equipment purchased with WIOA funds.			
What is the Contractor's procedure in case of vandalism or theft of WIOA property?			
Does the Contractor own any property for which WIOA is charged on a shared costs basis?			
<ul style="list-style-type: none"> If yes, list the property, amount charged, and describe the basis for the charge below. 			
Does the Contractor use a competitive process when purchasing property?			
Does the Contractor get prior approval before obtaining professional services?			
Have purchases been made over \$1,000.00?			
<ul style="list-style-type: none"> If yes, was prior approval obtained per the WDB Procurement Policy? 			
What occupancy costs, if any, does the Contractor pay for directly?			
Does the Contractor lease or rent any property or equipment which is charged in whole or part to WIOA?			
<ul style="list-style-type: none"> If yes, please attach a copy of the lease/rental agreement. 			
Does the Contractor own the building for which rent is charged to WIOA?			
REPORTING EXPENSES			
For reporting purposes, certain expenses must be easily identifiable monthly. Please confirm below that each expense listed is identifiable monthly.			
	YES	NO	N/A
Participant WEX wages and fringe			
Staff WEX wages and fringe			
Staff WEX travel			
Participant training supplies			

Supportive services			
Participant incentives			
On-the-Job Training (OJT) expenses			
Individual Training Account (ITA) expenses			
Is back-up documentation being provided for all expenses billed monthly to WDB for reimbursement?			
Are the funds clearly identified on the back-up documentation from which they are being billed/reimbursed?			
Is the staff member and approving supervisor (where applicable) shown on all expense reimbursements?			
Please confirm that participant reimbursements all include the following information:			
Participant name			
Fund account			
Total of participant expense/reimbursement			
State ID			
Are the corresponding expenses listed above documented in NCWorks?			