

## WIOA MONITORING

### EXECUTIVE SUMMARY

---

---

This policy establishes standards for fiscal and program monitoring and Nondiscrimination and Equal Opportunity Compliance monitoring of Workforce Innovation and Opportunity Act (WIOA) service providers and training providers on the State Eligible Training Providers List (ETPL) for the County of Monterey (County) Workforce Development Board (WDB). The purpose of monitoring is to ensure that WIOA funds are expended and services are provided in accordance with Federal and State laws and regulations and local policies. Fiscal monitoring ensures that internal controls are in place to safeguard WIOA dollars against fraud and abuse, ensure sound cash management, and promote accurate financial reports. Program monitoring and ETPL monitoring ensure that WIOA funded programs are providing quality services to participants and meeting the performance goals specified in the contract and agreements between the WDB and the service provider. Nondiscrimination and Equal Opportunity compliance monitoring ensures that services and training are in compliance with the nondiscrimination and equal opportunity provisions found in Section 188 of WIOA and 29 CFR Part 38. Monitoring is also an opportunity to identify innovative strategies and technical assistance training needs. The information gained during monitoring helps improve service delivery which will result in improved outcomes for WIOA participants. Non-Discrimination and Equal Opportunity monitoring is a key part of program monitoring and is addressed in section 700 of this policy.

In this document, “WDB” is used to denote the entity that provides oversight and policy direction for the WIOA services and utilization of WIOA funds in Monterey County. “WDB Staff” is used to denote the County employees who provide administrative support to the WDB. “monitor” is used to denote any County employee(s) or outside consultant(s) that the WDB has designated to conduct monitoring.

This policy is designed to comply with all applicable federal, state, and local laws, regulations, policies, and accountability standards.

This policy applies to all partners at all levels of participation in the Monterey County workforce system funded by Workforce Innovation and Opportunity Act (WIOA) Title I funds.

### REFERENCES

---

---

[WIOA \(Public Law 113-128\)](#)

[CFR 20 Section 683.410](#)

[CFR 29 Part 38](#)

[Workforce Services Directive 17-01](#)

[Workforce Services Directive 17-05](#)

[Workforce Services Directive 17-07](#)

[Workforce Services Directive 15-14](#)

[Workforce Services Directive 15-07](#)

[Workforce Services Directive 14-04](#)

## BACKGROUND

---

---

The Code of Federal Regulations (CFR) Title 20 Section 683.410 requires each recipient and subrecipient of WIOA funds to conduct regular oversight and monitoring of its programs and those of its subrecipients and contractors. This monitoring must determine that expenditures have been made against the proper cost categories and within the cost limitations specified in WIOA, determine whether there is compliance with WIOA and other applicable law and regulations, assure compliance with 2 CFR Part 200, the Uniform Administrative Requirements, Cost principles, and Audit Requirements for Federal Awards (Uniform Guidance), and determine compliance with the nondiscrimination, disability, and equal opportunity requirements of Section 188 of WIOA, including the Assistive Technology Act of 1998 (29 USC 3003).

### ATTACHMENTS:

1. WIOA Monitoring Policy Table of Contents

## INQUIRIES

---

---

If you have questions please contact staff at (831) 796-6434. This policy is posted on the WDB website located at: [www.montereycountywdb.org/policies/](http://www.montereycountywdb.org/policies/)

CHRIS DONNELLY, Executive Director  
Monterey County Workforce Development Board