



Subrecipient Monitoring Plan

INTRODUCTION

Area 20/21 has developed this monitoring plan to review, analyze, and report on the activities and services provided by the area subgrants or contracts. The focus is to monitor for compliance with federal, state, and local laws, regulations, policies, and procedures to ensure quality of services. Through this process, Area 20/21 is then able to recommend corrective actions or provide technical assistance to the subrecipients to resolve any issues.

Area 20/21 defines monitoring as the assurance that subrecipients comply with program regulations, measure progress toward performance goals, and improve the product or service being delivered.

Monitoring focuses on solutions, not problems. Area 20/21 views monitoring as another opportunity to provide ongoing communication and technical assistance to support subrecipients to improve the quality of services delivered before any major problems develop.

Area 20/21 will revise this monitoring plan at any time it deems appropriate due to changes in federal, state, and/or local regulations or laws.

OBJECTIVES

The objectives of the Area 20/21 Monitoring Plan are to:

- Ensure that the subrecipients are reviewing and monitoring its WIOA activities and those of its subrecipients and contractors;
- Provide program guidance and direction to the subrecipients to assist them in providing quality services;
- Assist the subrecipients in resolving compliance problems and assist in continuous improvement efforts of programs;
- Provide consulting, training, and technical assistance to subrecipients;
- Comply with the federal monitoring requirements; and
- Ensure that required records are maintained for compliance for audit purposes.

MONITORING

Area 20/21 will establish dates for on-site comprehensive monitoring visits as needed. Required subrecipients will be monitored at least once a year. Annual risk assessments of Area 20/21 subrecipients will be completed prior to the monitoring visit to determine the appropriate degree and method for the monitoring of each subrecipient and to ensure adequate monitoring is performed and resources and personnel are used efficiently. Annual monitoring procurement will include training before, during, or after monitoring to ensure that new and existing staff are adequately knowledgeable of all necessary information and procedures.



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Area 20/21 will ensure that the monitor(s) are adequately trained before beginning the annual monitoring process. The monitor will be familiar with the performance requirements, program requirements, financial regulations related to the specific grant(s), and other pertinent information related to the subrecipients.

The monitor(s) will review all the written data available at Area 20/21 prior to the on-site visit, such as:

- Financial reports;
- Progress reports;
- Required data collection reports;
- Documentation of previous monitoring; and
- Copies of audits whether by an Independent Public Accountant (IPA) or another entity, such as the Auditor of State or ODJFS.

This information can be used to identify potential problem areas to examine during the on-site visit. The monitor(s) will review audit documents for non-compliance and/or audit findings.

DOCUMENTATION

Each step of the monitoring process is documented and maintained at Area 20/21. The client files will remain confidential to protect the privacy of the clients served.

FOLLOW-UP

If the monitoring report identifies a finding or concern, a follow-up monitoring or technical assistance visit may be conducted prior to the end of the grant. This will assure that the corrective actions cited in the report were implemented, performance was maintained or improved, and that communication was sustained. All follow-up actions will be appropriately documented and communicated to the subrecipients in writing.

Area 20/21 will conduct regular (either monthly or quarterly) meetings with the local OMJ centers to ensure compliance with all monitoring findings to date and review performance measures.