



# Mississippi Valley Workforce Development Board

---

## Monitoring Process

**Approved Date:** January 11, 2021

**Effective Date:** January 1, 2021

**Amended Date:** December 6, 2022

### Pre-Monitoring Activities

The monitor will work with the sub-recipient to:

- Schedule a monitoring session timeline that meets the needs of all parties involved
- Determine the sample size to be used
- If needed, schedule entrance and exit conferences with the sub-recipient's leadership staff
- Send items listed above to the sub-recipient in a notification letter

The monitor will send the following to the sub-recipient to ensure efficient and effective monitoring processes:

- The list of documents to be monitored from the monitor
- Notification letter that includes the time frame for submission of documentation based on the type of monitoring method being conducted

### Post-Monitoring Activities

The monitor will record any comments, findings, areas of concern, or recommendations on the monitoring report. The monitor will also add comments regarding Best Practices found during the review.

The monitor will review everything with the sub-recipient and submit the report to the sub-recipient along with any findings and/or recommendations within 30 days of the conclusion of the monitoring.

- If there are any findings, the sub-recipient will be required to submit a corrective action plan within 15 business days after the sub-recipient receives the written monitoring report.
- The monitor will either accept, provisionally accept with requested changes, or reject the corrective action plans within 20 days of receipt.
- Corrective action plans must be satisfactorily implemented within 3 months of the finding.

- If that is not possible, the sub-recipient must submit a request for an extension, along with justification, to the MVWDB executive director.

Once all corrective action plans have been resolved satisfactorily a final monitoring letter will be sent to the sub-recipient and submitted to the executive director for review. The report will outline, at a minimum:

- Type of monitoring and oversight tools used
- The activities which were monitored
- The systems which were monitored
- Monitoring findings
- If applicable individual participant files which were found to contain errors
- Recommended corrective action, including training and technical assistance
- Approved corrective action plan
- Subcontractor performance
- Areas of concern
- Best practices
- Recommendations

### **Submission of Monitoring Report(s) to MVWDB**

The executive director will compile the annual reports of the sub-recipient, which will include performance measures, expenditure, contract performance, and fiscal and program monitoring reports.

The Operations and Youth Committee will review program monitoring reports and Finance Committee will review all financial monitoring reports and make recommendations to the Executive Committee if necessary.

The Committees will review the monitoring report, and the sub-recipient's response and may recommend to the MVWDB and CEOs:

- Accept the Reports
- Reject all or part of the report and/or require resubmission of the response
- Require additional corrective action
- Recommend the institution of sanctions against the subcontractor to the MVWDB

If the Executive Committee recommends sanctions, the MVWDB shall take up the recommendation at the next scheduled MVWDB meeting or the MVWDB Chairperson may call a special meeting of the MVWDB to consider the recommendation.

The MVWDB and CLEO may accept or reject the summary monitoring report or may request additional information regarding all or part of the report.

When the MVWDB and the CLEO are satisfied that the process has been satisfactorily completed, they will either accept the original, amended, or substitute summary report and move for the suspension of monitoring.

**Note:** As this report is considered a public document, the names of participants will not appear in the final report presented to the Board and Committees of the Board.

### **MVWDB Responsibilities in Consultation with Iowa Workforce Development (IWD)**

MVWDB will submit the annual approved monitoring report and resolutions to IWD for review at the time of issuance. MVWDB will electronically submit new or updated documents, monitoring reports, and resolutions to: [iwd.WIOA@iwd.iowa.gov](mailto:iwd.WIOA@iwd.iowa.gov)

### **Process for Addressing Disagreements**

Should the sub-recipients disagree with any findings from the monitors they have the right to submit a formal request in writing for a review to the executive director, along with justification and documentation in support of their request.

- The executive director will provide a written response within 10 business days of the date the request was submitted
- If a satisfactory decision cannot be agreed upon the sub-recipient has the right to file a grievance with the Executive Committee
- The Executive Committee will perform a review of all party's documentation and ask any clarifying questions
- The Executive Committee will provide MVWDB's final decision on the issue within 20 business days of the sub-recipient's formal request.