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09/12/12
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Approved By:
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Carl Dudley, WIB Chair
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**COUNTY OF SAN LUIS OBISPO  
DEPARTMENT OF SOCIAL SERVICES**

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**POLICY NO:** 18-08  
**TO:** Service Providers  
**FROM:** Department of Social Services  
**EFFECTIVE:** April 15, 2009, Revised September 12, 2012  
**SUBJECT:** Monitoring and Oversight

**REFERENCES:**

- Workforce Investment Act (WIA) Sections 117(d)(4), 184(a)(2)(A), 184(a)(3)(A), and 184(a)(5)(A)
- Title 20 Code of Federal Regulations (CFR) Sections 667.400(c)(1), 667.410(a), and 667.410(f)(6)
- Title 29 CFR Parts 95 and 97
- Office of Management and Budget (OMB) Circular A-21, Cost Principles for Educational Institutions
- OMB Circular A-87, Cost Principles for State, Local and Indian Tribal Governments
- OMB Circular A-122, Cost Principles for Non-Profit Organizations
- WIA Directive WIAD00-7, Subject: Standards for Oversight and Instructions for Substate Monitoring (April 10, 2001)

**BACKGROUND:**

Workforce Investment Act (WIA) Section 117(d)(4) requires that the Local Board, in partnership with the Chief Elected Official (CEO), shall conduct oversight of the WIA programs and the One-Stop delivery system in the local area.

WIA Section 184(a)(2)(A) requires that the local area (including the CEO for the area) and providers receiving funds under Title I comply with the applicable uniform cost principles included in the appropriate OMB circulars for the type of entity receiving the funds.

WIA Section 184(a)(3)(A) requires that the local area (including the CEO for the area) and providers receiving funds under Title I comply with the appropriate uniform administrative requirements for grants and agreements applicable for the type of entity receiving the funds, as promulgated in OMB circulars or rules.

Title 20 CFR Section 667.200 stipulates that entities receiving WIA Title I funds must follow the uniform administrative cost requirements at Title 29 CFR Part 95 or Part 97, as applicable to their type of organization. For commercial organizations, nonprofit entities and institutions of higher education, the applicable requirements are at Title 29 CFR Part 95. For governmental units, the applicable requirements are at Title 29 CFR Part 97.

Allowable costs for institutions of higher education are found at OMB Circular A-21. For State, local, and Indian tribal governments they are found at OMB Circular A-87 and for nonprofit organizations at OMB Circular A-122.

Title 20 CFR Section 667.400(c)(1) requires that the WIB monitor grant-supported activities in accordance with the uniform administrative requirements at Title 29 CFR Parts 95 and 97, as applicable. Title 20 CFR Section 667.410(a) requires that the WIB conduct regular oversight and monitoring of its WIA activities and those of its service providers. The purpose of this requirement is to ensure that expenditures are in compliance with other provisions of WIA and the regulations and other applicable laws and regulations, and to provide technical assistance as needed.

## **POLICY:**

It is the policy of the Department of Social Services (DSS), as the Administrative Entity, to monitor and conduct oversight of its One-Stop delivery system and contracted service providers who administer funds under the Workforce Investment Act (WIA). Monitoring and oversight will be designed to comply with State and Federal standards.

In accordance with State policy, DSS will conduct on-site visits of the One Stop system and providers once each program year. Monitoring will cover both programmatic and fiscal activities of the organization and ensure that programs are operated in compliance with applicable Federal and State regulations, and the contract with the WIB.

Monitoring shall verify that WIA funds are being used for allowable and budgeted activities, and that applicable fiscal records are maintained and that such provides an adequate audit trail.

Monitoring shall also ensure that the One-Stop system and service providers are in compliance with the program requirements of WIA. Review of the following program activities, and/or other areas of concern as identified by the WIB, shall be included in the scope of the monitoring process.

- Public service employment; [WIA 195(10); 20 CFR 667.264]

- Relocation of a business or part of a business that results in the loss of employment at the original location; [WIA 181(d); 20 CFR 667.268]
- Employment generating activities; [WIA 181(e); 20 CFR 667.262]
- Political activities; [WIA 195(6)]
- Duplication of facilities/services available in the area; [WIA 195(2); 20 CFR 663.320]
- Employment or training of participants in sectarian activities; [WIA 188(a)(3); 20 CFR 667.266]
- Charging participants a fee for placement or referral into a training program; [WIA 195(5)]
- Wages of incumbent employees; [WIA 181(b)(1); 20 CFR 667.264]
- Displacement of employees by any WIA participants; [WIA 181(b)(2) and (3); 20 CFR 667.270]; and
- The promotion or deterrence of union organizing. [WIA 181(b)(7)]

Subrecipient service providers shall monitor and conduct the oversight activities described above for sub-contractors who are also subrecipients.

**ACTION:**

The Administrative Entity of the WIB and its service providers shall follow this policy. This policy will remain in effect from the date of issue until such time that a revision is required.

**INQUIRIES:**

Inquiries should be addressed to WIB Admin at [wibadmin@co.slo.ca.us](mailto:wibadmin@co.slo.ca.us).

**REVISION HISTORY:**

<i>DATE</i>	<i>DETAILS</i>