

March 25, 2019

WORKFORCE DEVELOPMENT FIELD INFORMATION MEMO NO: 19-01

TOPIC: Workforce Innovation and Opportunity Act (WIOA) Title I Monitoring PY18

1. **Purpose:** To provide information and guidance on temporary procedures for Program Year 18 (PY18) monitoring of the WIOA Title I Adult, Dislocated Worker, and Youth programs. This memo supersedes memo 17-05 issued July 26, 2017.
2. **Background:** WIOA requires Title I programs to be monitored annually.
3. **Substance:** Iowa Workforce Development (IWD) Workforce Services Division (WFS) staff will conduct monitoring as outlined below:

Sampling

A random sample of files will be pulled to allow for the review of three (3) Adult, three (3) Dislocated Worker, and two (2) Youth files per region.

Monitoring Dates

Monitoring will occur between March 29, 2019 and May 10, 2019.

Monitoring Scope

- a. Monitoring will be conducted remotely and will include a comprehensive review of the file and case management from application to exit. It will include, but is not limited to a review of the following:
 - i. Compliance with [Title I Adult and Dislocated Worker Policies](#)
 - ii. Compliance with [Title I Youth Policies](#)
 - iii. Compliance with state and local plans
 - iv. Participant eligibility and verification
 - v. Management Information Systems
 - vi. Data entry
- b. IWD will require documentation of eligibility and may request other pertinent document or records throughout the monitoring process. Title I Directors must ensure all documentation is provided within two business days of request.

Monitoring Criteria

- a. The standardized tool developed for PY16 monitoring will continue to be used for PY18.
- b. Monitoring may result in one or more of the following outcomes:
 - i. **Strengths** - Areas of notable effectiveness that may be recognized as best practices.
 - ii. **Areas of Concern** – Issues of quality that are not attributable to a failure to comply with policy or program requirements that may be a symptom of a larger problem or lead to non-compliance in the future. Concerns may result in recommendations from IWD and do not require a response from the region.

- iii. **Findings** – Issues that can be cited as non-compliance with policy or program requirements. Findings will require a response from the local area, to include a corrective action plan, to resolve the finding.

Monitoring Report

a. IWD will compile a report for each local service area and present it to the Chief Elected Officials (CEOs), the chair of the Local Workforce Development Board (WDB), and the Title I Director. The report will contain a summary of the local area monitoring to include:

- i. Strengths
- ii. Areas of Concern
- iii. Findings

Monitoring Response

Local areas must provide IWD with a written response to the report. The response must include corrective action plans for each non-compliant finding that address specific steps to correct the finding and timelines for making the corrections.

4. Action:

- a. This memo should be shared with CEOs, Local WDBs, Title I Directors, and appropriate Title I staff.
- b. Title I Directors must ensure requested documentation is provided within two business days of the request for information from WFS staff.
- c. Local areas must provide IWD with a corrective action plan to address any non-compliant findings.

5. Effective Date: This field memo is effective from the date of this memo.

6. Contact: If there are any questions related to the information in this issuance, contact Michelle McNertney at 515-242-0408 or michelle.mcnertney@iwd.iowa.gov.

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