

Work Sheet

Name of Entity Conducting Monitoring: Region 2 Workforce Investment Board

Name of Service Provider or Service Provider's Subcontractor: _____

Identify activity and/or work site monitored: _____

Program Monitored: _____ Date of Monitoring: _____

Was Monitoring Conducted in the Areas Listed Below:	Yes/No/NA
PARTICIPANT MONITORING	
Outreach/Recruitment Activities	
Participant Eligibility Determination and Applicable Documentation (WIA)	
Participant Orientation	
Objective Assessment of Participants Including Assessment Tools and Procedures	
Development/Updating of Individual Employment Plan including Barriers and Determination of Participant Need for Services/Activities	
Accuracy of MACC data including Review of Documentation Which Verifies Services/Activities Were Provided and Period of Participation	
Post Program Follow-Up/Documented and Performed in Accordance with Requirements	
Other (Describe)	
FISCAL MONITORING (All funding sources)	Yes/No/NA
Record Retention	
Accuracy of Fiscal Reporting and Cost Classification; Traceable to Ledgers and Source Documentation; Allowability of Expenditures; Reasonable Costs	
Cost Allocation Plan Review; Accuracy of Cost Allocation and Proper Documentation Supporting Allocations	
Accuracy of Supportive Service Payments	
Accuracy of OJT Reimbursements Made to Employers, Supported by Payroll and Time/Attendance Records Signed by Supervisor and Participant; 50% of Straight-Time Wages	
Program Income Supported by Documentation	
Adherence to Procurement Standards	
Adherence to Property Management Standards	
Other (Describe)	

PROGRAMMATIC MONITORING	Yes/No/NA
Compliance with Grievance Procedures (All)	
Adherence to Standards of Conduct/Conflict of Interest Procedures (ALL)	
CRT Including Appropriateness of Training for Participant's Skills, Interest, Work History and Demand Occupation; Participant and Instructor Interviews; Quality of Training Process	
Work Experience Including Appropriateness for Participant's Skills, Interest and Work History and Demand Occupation; Quality Teaching of Work Habits/Job Skills; Participant and Employer Interviews; Wages; Work Conditions; Supervision (WIA)	
OJT Including Appropriateness for Participant's Skills, Interest Work History, and Demand Occupation; Participant and Employer Interviews; Required Provisions in OJT Contract; Wages, Total Hours; Compliance with Applicable Labor Laws; Training/Working Conditions; Supervision; Quality of Training	
Job Search Within Limitations	
Medical/Accident/Workers' Compensation Insurance for Participants	
Participants in Nonsectarian and Nonpolitical Activities	
Supportive Services Needs Documented on Individual Employment Plan and Provided	
Activities in Compliance with Contract, Applicable Laws, and Administrative Provisions	
Other (Describe)	
CORRECTIVE ACTION REQUIRED AND IMPLEMENTED-FOR MONITORING CONDUCTED	
List Problems identified by the service provider during monitoring	
List required corrective action implemented for problems identified by the service provider during the monitoring	
Identify the date(s) follow-up was conducted	
Was documentation maintained to verify the follow-up efforts? <input type="checkbox"/> Yes <input type="checkbox"/> No	

AGENCY RISK ASSESSMENT

Agency _____

RISK FACTORS	EVALUATION/EXPLANATIONS NOTES	SCORE
Has the provider added new personnel or make significant personnel changes?		
What is the internal control policy structure?		
What is the structure for provision of services? Decentralized vs Centralized.		
Is there a history of disallowed costs in the last two years?		
Were there recent audit findings?		
Were there recent monitoring findings?		
Is the provider required to be audited under OMA A-133 or 29CFR, part 96?		
Have there been significant new or changed programs or operations/operating environment?		
What is the extent of manual processes or applications?		
Are there new or revamped information systems/new technology?		
Are there new or amended laws, regulations, or accounting standards?		
What is the complexity or magnitude of programs, operations, transactions, etc.		
What is the Contractor's share of the WIB allocation?		
Have previous accounting estimates/accruals been relatively accurate?		
Has there been a history of related party transactions?		
*		
*		

Total Score _____

* Other risk factors may be relevant, such as number of complaints/grievances/property management issues, timely submission of reports, etc.