

	Subject Eligible Training Provider List (ETPL) Monitoring Procedures ARIZONA@WORK-Yuma County	
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	Authorized by: Yuma County Workforce Development Board	

The Workforce Liaison staff for the Local Workforce Development Board (LWDB) must monitor a minimum of 15% of the training providers’ programs each year between July 1st and June 30th. Monitoring is conducted to verify the training provider meets the criteria required to continue to be listed on the Eligible Training Provider List (ETPL), and verification of accuracy of information published in the Arizona Job Connection (AJC) system. Through the monitoring process the Workforce Liaison staff will assure the training provider meets Federal and State requirements as it applies to the ETPL under the Workforce Innovation Opportunity Act (WIOA) Title IB regulations.

Selection of Training Programs For ETPL Monitoring

The Workforce Liaison staff will review the Eligible Training Provider List (ETPL) in the AJC system to determine the number of approved training programs listed for each training provider within the applicable program year. This information will be used to calculate the 15% monitoring requirement for each training provider and identify the training programs that must be monitored during the corresponding program year. Training programs selected for monitoring review will be documented and tracked in a spreadsheet to verify that the same training program is not selected in two consecutive program years.

Scheduling the On-Site Monitoring Review

The training provider will receive a 30 day notification letter by via electronic mail from the Workforce Liaison staff informing about the upcoming scheduled monitoring review. The notification letter is sent to the primary contact listed in AJC under the Provider Details Screens and additional staff from the training provider that manage the ETPL. The notification letter includes the following information:

- a. Date and time of the review
- b. Location
- c. Staff conducting the review
- d. Training programs selected

- e. Date listed of the second reminder sent to the provider via email two working days prior to the review

Workforce Liaison staff will send a reminder notice via electronic mail to the training provider two working days prior to the onsite monitoring visit.

Preparing for the Monitoring Review

A day prior to the onsite monitoring visit, the Workforce Liaison staff will gather the following documents that will be reviewed with the training provider during the onsite monitoring visit:

- a. AJC printouts from the ETPL on the selected training programs. This is to view the training program information that is entered in the AJC system.
- b. WIOA Title IB Training Program Credential Checklist (WIO-1031A) in file
- c. Program Synopsis document in file
- d. AJC printouts on annual performance
- e. Tableau reports on ETP WIOA Annual
- f. Print outs from ONET Online to verify hourly wage and ONET occupation code

WIOA Title IB Training Program Monitoring Tool (WIO-1061B)

The WIOA Title IB Training Program Monitoring Tool (WIO-1061B) must be used for each selected training program during the onsite monitoring review. The questions on the monitoring tool are designed to assist the Workforce Liaison staff determine if the training provider:

- a. Is in compliance with the WAC Eligible Training Provider List Policy
- b. Training provider/program information is accurate in the AJC system
- c. Continued and Annual performance has been entered in the AJC system
- d. Address any areas that need refinement or corrective action.

For each training program that is selected for review, a separate Training Program Monitoring Tool must be completed as requested by State. All responses provided by the training provider during onsite monitoring visit must correspond with the information listed in the AJC system.

Responding to the Monitoring Results

The Workforce Liaison staff will send the training provider the completed WIOA Title IB Training Program Monitoring Tool (WIO-1061B) and the local Training Program Monitoring Log along with the final monitoring review notification letter indicating the results of the review. The letter will indicate if the local Training Program Monitoring Log includes items/areas that are considered findings/observations that require corrective

action. A resolution on how to resolve the finding/observation will be included in the local Training Program Monitoring Log for the Training Provider. A deadline date will be listed on the letter for submission of corrections to the Workforce Liaison staff.

The training provider must send the signed WIOA Title IB Training Program Monitoring Tool (WIO-1061B) via email and indicate that all corrections if any have been completed. The Workforce Liaison staff will verify that all corrections have been made and completed. The completed WIOA Title IB Training Program Monitoring Tool (WIO-1061B) must be signed and dated by training provider staff and Workforce Liaison staff. A copy of the completed WIOA Title IB Training Program Monitoring Tool (WIO-1061B) document along with the local Training Program Monitoring Log is given to the training provider for their records. The completed WIOA Title IB Training Program Monitoring Tool (WIO-1061B) will be uploaded as a supplemental document by the Workforce Liaison staff into the training provider's record in the AJC system.

If the training provider disagrees with the finding, the training provider must provide a written response identifying the disputed finding and the reason the finding should not be counted as incorrect; including a State or Local Policy reference to support their reasoning. The training provider must submit the written response via email by the due date given on the final monitoring review notification letter.

Non-Compliance

If the training provider does not respond to the findings listed on the final monitoring review notification letter; the Workforce Liaison staff will send an email requesting response within (5) business days. If corrections are still not made by the training provider, the training program monitoring review will be closed and noted as non-compliant for the identified program year. The LWDB will forward the letter of non-compliance to the State DES ETPL Coordinator to determine if further action is required.

Dispute Process

The Workforce Liaison staff and any additional LWDB staff if needed, will review the training provider's written response to the disputed finding(s); and respond back within 5 business days whether the finding will be removed or will remain on the final monitoring review notification letter. If the training provider still does not agree with the Workforce Liaison's decision, the findings will be elevated to the State DES ETPL Coordinator for further guidance and appropriate final decision. Based on the guidance received by the State DES ETPL Coordinator, the Workforce Liaison staff will inform the training provider of the final decision/results.

Maintenance of Monitoring Records

The completed WIOA Title IB Training Program Monitoring Tool (WIO-1061B) used for the selected training program will be uploaded into the AJC system under the correspondent training provider account under supplemental documents. A copy of the completed monitoring tool and local monitoring log, notification letters, final letter with results, and back up documentation collected during the audit will be filed into the

correspondent training provider's folder. Records will be kept for a period of three years.