Regional Eligible Training Provider List (ETPL) Monitoring Policy

Introduction   The Eligible Training Provider (ETP) policies and procedures govern the operation of the local Eligible Training Provider List (ETPL) for San Bernardino County and Riverside County. The policies and procedures address the activities of the Governor, our Local Workforce Development Boards (LWDB), America's Job Center of California (AJCC) locations, and those training providers who wish to offer services to Adults, Dislocated Workers and out of school Youth whose training is funded by the Workforce Innovation and Opportunity Act (WIOA).

It is the procedure of the San Bernardino County Workforce Development Department (WDD) and Riverside County Workforce Development Division (RCWDD) to annually monitor and conduct routine oversight of its programs and activities and those of its ETPL Providers for programs and activities funded under Title I of the 2014 Workforce Innovation and Opportunity Act (WIOA).

WDD and RCWDD has established protocols for conducting monitoring, to ensure program quality and fiscal integrity, which results in comprehensive reports of findings and documented follow-up for required corrective actions.

Reference   The information contained in this Regional Policy implement the requirements listed in:
- WIOA Sections 107(d)(8), 184(a)(2)(A), and 184(a)(3)(A)
- Title 20 Code of Federal regulations (CFR) Section 683
- Title 29 CFR Parts 95 and 97
- Workforce Innovation and Opportunity Act (WIOA) of 2014 Sections 107(d)(8),183 and 184(a)(4})
- Title 29 CFR Part 38
- Final Rule Part 683 Subpart D-Oversight and Resolution of Findings Sections 683.410; 683.420; 683.430;
- Title 2, Subtitle A, Chapter II, Part 200 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, Subpart B §200.100
- Final Rule
- WSD15-07 – WIOA Eligible Training Provider List - Policy and ProceduresWSD15-07
- WSD 17-01 – Nondiscrimination and Equal Opportunity Procedures

Regional Eligible Training Provider List (ETPL) Monitoring Policy,
Continued

ETPL Monitoring Components

ETPL Monitoring elements are listed below and have been incorporated into a Regional Monitoring Checklist for both County ETPL Monitors to use as a coversheet for all Local Area's ETPL Summary Report.

1. Program Management (Facilities, Equipment, Materials, School Catalog, Staffing, Program Licensing (BPPVE, City and/or County)

2. Program Delivery of Services (Orientation, Assessment, Training Activities/Placement Services, Training completion)

3. Compliance with Laws and Regulations (Americans with Disability Act, Equal Employment Opportunities, Health and Safety, other State/Federal Regulations)

4. Participants Records and Interviews (participant and fiscal records, prticipant/fiscal record security, participant interviews)

5. Fiscal Procedures and Invoices (Individual Training Accounts (ITAs), Fiscal Procedures)

6. Program Performance (enrollments/completions/employment/retention/earnings increase)

Monitoring Tools

Each Local Area will continue to use their own monitoring tools and use the Regional Monitoring Checklist as a coversheet for the ETPL Summary Report.

Management Information System (MIS) Enrollment Report

Management Information System (MIS) enrollment report is obtained from each County's MIS Administrator. The report details the number of enrollments for the individual eligible training provider. This report will assist each County's designated ETPL Monitor to determine which provider to monitor.

Regional Eligible Provider Training List (ETPL) Monitoring Policy,
Continued

Regional Communication	The ETPL Monitors for San Bernardino and Riverside County will coordinate monitoring efforts including, but not limited to: • Requesting a copy of the MIS enrollment report from their MIS Administrator. • Sharing the report with the other County Monitor and identify the shared providers with the most enrollments for the monitoring period selected. • Assigning top providers to monitor based on enrollments and previously conducted monitoring between each ETPL Monitor. • Coordinating the ETPL monitoring schedule for shared providers • Sharing copies of completed monitoring reports. • Sharing detailed monitoring documentation, upon request.

Inland Empire Regional Planning Unit (IERPU)
San Bernardino County Workforce Development Department
Riverside County Workforce Development Division
WIOA ADULT – ETPL Training Provider Desk Review Checklist

Training Provider Name: _____

1) Program Management

☐ Facilities, Equipment, and Materials
☐ School Catalog
☐ Staffing
☐ Program Licensing (BPPVE, CCCCO, WASC, HEA, CDE, etc.)
☐ Certificates of Insurance
☐ Participant Tracking (Attendance)

2) Program Delivery of Services

☐ Orientation
☐ Assessment
☐ Training Activities / Placement Services
☐ Training Completion

3) Compliance with Laws and Regulations

☐ Americans with Disability Act
☐ Equal Employment Opportunities
☐ Health and Safety
☐ Other State/Federal Regulations

4) Participant Records and Interviews

☐ Participant and Fiscal Records
☐ Participant/Fiscal Record Security
☐ Participant Interviews

5) Fiscal Procedures, ITA Contract/Voucher and Invoices

☐ Individual Training Account (ITA) Contract/Voucher & Invoices/Supporting Documentation
☐ Fiscal Procedures
☐ Provider's Record of WIOA Funding Amount Received from WDD/RCWDD

6) Program Performance

☐ Enrollments/Completions/Employment/Retention/Earnings Increase