

PUBLIC POLICY: WIOA – 2026-02

Workforce Innovation and Opportunity Act (WIOA)

SUBJECT:

Oversight and Monitoring Functions of Title I Adult, Dislocated Worker, and Youth Programs and the CGU/AJC

I. PURPOSE

Establish the guidelines through which the Guaynabo-Toa Baja Local Workforce Development Board (hereinafter, "the Local Board") exercises its oversight, supervision, and compliance functions over the Title I Programs of the Workforce Innovation and Opportunity Act (WIOA), the Centro de Gestión Única (CGU)/American Job Center (AJC) and service providers.

The Local Board, as a subrecipient of these funds, has as a principle to promote effective and transparent management of assigned federal funds, ensuring that all programs, contracts, and services are administered in accordance with applicable federal, state, and local provisions. Likewise, it seeks to strengthen governance mechanisms, foster continuous improvement, and guarantee accountability to relevant state and federal entities.

II. LEGAL BASIS

- Workforce Innovation and Opportunity Act (WIOA), Public Law 113-128, Section 107
- 20 CFR Part 683 – Administrative Provisions Under Title I
- 2 CFR Part 200 – Uniform Administrative Requirements, Cost Principles, and Audit Requirements
- Law 171-2014 and Law 141-2018 of the Government of Puerto Rico
- DDEC Monitoring, Technical Assistance and Compliance Procedure (2024)

III. DEFINITIONS

For the purposes of this policy and its related documents, the following terms shall have the meanings indicated below, to standardize the interpretation and application of the oversight and monitoring process within the Local Area.

- **Monitoring:** Systematic process of reviewing programmatic, fiscal, and administrative compliance
- **Monitor:** The official designated by the Guaynabo-Toa Baja Local Workforce Development Area responsible for executing the oversight, monitoring, and compliance functions established in this policy and in the Local Procedure for Monitoring, Technical Assistance, and Compliance
- **Monitoring Committee:** Subcommittee of the Local Board responsible for analyzing reports and recommending actions
- **Corrective Action Plan (PAC, by its Spanish acronym):** Document detailing the steps to correct findings
- **Technical Assistance:** Support provided by local or state staff to solve deficiencies.
- **Finding:** Identified situation that breaches regulations or contractual requirements.

IV. PUBLIC POLICY

The Local Board exercises its oversight functions under the authority conferred by Section 107 of WIOA, which empowers it to oversee the implementation of activities funded with federal funds in its jurisdiction. The oversight and monitoring function is developed in coordination with the Executive Director of the Local Area and the Monitoring Committee, who act as the primary internal control mechanisms.

This governance framework ensures responsible administration of resources, promotes transparency in public management, and strengthens coordination between the Local Board, AJC system partners, and the DDEC.

1. Compliance with applicable laws and regulations
2. Transparency and accountability
3. Coordination between the Local Board, Executive Director, and AJC partners

4. Prevention and continuous improvement
5. Shared responsibility with the State

The GTB-Local Board adopts the following principles detailed in this Public Policy as a reference framework for the implementation of its oversight functions, through the following measures:

Regulatory compliance: All actions must be carried out in accordance with applicable laws, regulations, and guidelines.

Transparency and accountability: Evaluation processes, reports, and corrective actions must be documented and available for review by authorized parties.

Coordination: Constant communication will be fostered between the Local Board, the Executive Director, and AJC partners.

Prevention and continuous improvement: Monitoring is conceived as a preventive process aimed at identifying opportunities for improvement.

Shared responsibility: WIOA compliance is a joint effort between the Local Board and its AJC partners.

The execution of this policy will be governed by the *GTB-LWDA Local Procedure for Monitoring, Technical Assistance, and Compliance*, which details the specific steps, instruments, and deadlines to carry out visits, prepare reports, and conduct the corresponding follow-up.

Said procedure is an integral part of this local regulatory framework and will be considered a complementary document to this policy. The mechanisms for the implementation of these functions must, as a principle:

1. Guarantee the proper use of WIOA funds.
2. Evaluate the quality of services offered.
3. Detect and correct deficiencies early.
4. Promote preventive technical assistance.
5. Strengthen the programmatic and fiscal management of the Local Area.

V. TYPES OF MONITORING

- **Programmatic:** Evaluates goals, outcomes, and compliance with services
- **Fiscal:** Examines the use and handling of funds.
- **Administrative:** Reviews internal processes and controls.
- **Special:** Conducted outside the schedule for urgent reasons or serious findings.

VI. ROLES AND RESPONSIBILITIES

Compliance with this policy requires the active participation of the following:

A. Local Board: is the governing body responsible for approving this policy, overseeing its execution, and reviewing the reports submitted by the Monitoring Committee. Its responsibilities include:

- Reviewing the monitoring plan annually
- Reviewing the reports and corrective actions recommended by the Monitor
- Issuing recommendations, requesting clarifications, or adopting corrective measures
- Coordinating and evaluating together with the Executive Director when there are significant findings

B. Monitoring Committee: Acts as an advisory body to the Local Board. It evaluates monitoring results, reviews corrective action plans, submits reports to the Local Board and the Executive Director, and presents substantiated recommendations.

C. Monitor: Has the role of observing, analyzing, and documenting the execution of programs, contracts, and activities funded with WIOA funds, ensuring that local operations comply with applicable federal, state, and local requirements. Their work constitutes the primary technical mechanism to ensure transparency, accountability, and continuous improvement within the local workforce development system. They conduct visits, gather information, prepare findings reports, and follow up on compliance with corrective actions.

D. Executive Director of the Local Area: Oversees the implementation of the local monitoring policy and procedure, coordinates the necessary human and technical resources, and ensures the effective execution of corrective plans.

E. AJC Partners and Providers: Are responsible for maintaining complete records, cooperating with review processes, and complying with recommendations issued during or after monitoring.

VII. POLICY OBJECTIVES

- A.** Ensure compliance with the performance levels negotiated with the State, in accordance with the requirements of Sections 107(d)(8), 116(c), and 122 of the WIOA Act, and applicable federal regulations.
- B.** Guarantee that the Local Area's administrative, monitoring, and fiscal information systems comply with the standards established by the Federal and State Government, including cost principles, cost classification, and cost limitations promulgated under WIOA and its regulations.
- C.** Oversee that the goals, objectives, and activities established in the Local Plan and Regional Plan are met, ensuring alignment with state workforce development strategies.
- D.** Supervise the collection of information on costs and execution of activities carried out by training providers, in accordance with the provisions of Section 122(d) of WIOA.
- E.** Evaluate the performance of customized training service providers under Section 122(h), and on-the-job training (OJT) activities in accordance with Section 3(44) of the Act.
- F.** Monitor the development, compliance, and outcomes of Youth Program providers, ensuring the quality of services and compliance with established performance objectives.
- G.** Verify compliance with the terms of the Memorandum of Understanding (MOU) signed with the core partners of the AJC system.
- H.** Collect the programmatic and financial information necessary to prepare analyses, reports, and perform the monitoring functions required by this policy and the local compliance procedure.

VIII. COORDINATION WITH THE DDEC

The Local Board and the Local Area will cooperate fully with the DDEC or government agency in charge of the process during state and federal monitoring. This includes access to files, the provision of requested information, and collaboration in the implementation of corrective action plans.

Any state or federal finding will be addressed in accordance with the resolution and technical assistance mechanisms established in the fund delegation agreement.

IX. REVIEW AND UPDATE

This policy will be reviewed annually or when substantive changes occur in federal or state guidelines. It may be amended at any time deemed appropriate by the Guaynabo-Toa Baja Local Area Local Board, in accordance with the provisions of the WIOA Act, its Federal and State Regulations, and the Autonomous Municipalities Act, for the benefit of the public interest.

X. SEVERABILITY

If any word, paragraph, article, section, or part of this document is declared unconstitutional or null by a court, such decision shall not affect, impair, or invalidate the remaining provisions and parts thereof.

XI. EFFECTIVE DATE

The provisions of this policy shall take effect immediately upon approval and repeal any other guidelines that conflict with the provisions herein.

XII. APPROVAL

Approved today May, 7 2026 in Guaynabo, Puerto Rico.



Oriel Ramírez Rodríguez
Local Board President