

APRIL 18, 2022

TO: All Western Piedmont Workforce Development Area Title I **Service Providers**

SUBJECT: Program Monitoring Policy

EFFECTIVE DATE: Immediately

EXPIRATION DATE: Indefinite

CONTACT: Workforce Development Administrator or Financial Manager

Wendy Johnson

Wendy Johnson
Workforce Development Director

PROGRAM MONITORING POLICY

PURPOSE: To transmit the programmatic monitoring policy for Western Piedmont Workforce Development Area (WPWDA). *To rescind WPWDA Program Monitoring Policy dated January 22, 2021.*

BACKGROUND: The Department of Commerce, Division of Workforce Solutions requires that local area staff monitor the Workforce Innovation and Opportunity Act (WIOA) programs annually. The WPWDA Program Administrator (herein referred to as Program Administrator) completes required annual monitoring and also monitors files in nworks.gov quarterly and weekly. The Program Administrator monitors files and visits the NCWorks Career Centers throughout the year to review program operations for compliance inclusive of technical assistance and corrective actions. During annual monitoring, a random sampling of 20% of participant files from each cohort (Adult, Dislocated Worker & Youth) are selected for review. In the WPWDA, annual program monitoring is completed in the 3rd quarter of the current program year. If there is variance in this schedule, the Title I **Service Provider** (herein referred to as **service provider**) will be notified. Quarterly monitoring is intended to review files, identify training issues and ensure compliance throughout the year. In order to be equitable to all Career Advisors, two (2) participant files are selected from the case load of each Career Advisor. Weekly monitoring includes files which are within 15 days of soft exit and involves ensuring that participant files are prepared for exit from the Title I program.

When the WPWDA awards Incumbent Worker Grants, a sampling of 20% of the incumbent worker files will be reviewed.

PROCEDURE: **Annual Monitoring**

- 1) An email is sent out to the **service provider** with possible 3rd quarter dates in the current program year for annual monitoring in order to determine which dates work best for both parties. A 30 day notice is provided.
- 2) After a date is finalized a letter goes out to the **service provider** confirming the dates of the programmatic monitoring.
- 3) The annual monitoring visit includes a review of the selected participant files in nworks.gov and the completion of the Western Piedmont Workforce Development WIOA Monitoring Checklist (Attachment A). This checklist verifies eligibility and data validation elements are present in each file. In addition, the file is reviewed using the related program review sheet of either the Western Piedmont Workforce Development WIOA Youth File Review Sheet (Attachment B) or the Western Piedmont Workforce Development WIOA Adult/DW File Review Sheet (Attachment C). This review serves to ensure that each file contains all that is required by the WPWDA including appropriate case notes, service codes, uploaded documents, required

signatures, and complete Individual Employment Plans and Objective Assessments. **In addition, the selected files (sampling) will be reviewed to validate the accuracy of the self-attestation process.**

- 5) Once the monitoring process is complete, a monitoring report is prepared and sent to the **service provider** along with a letter listing the dates the monitoring took place and notifying the **service provider** that anything in bold requires a response within 15 days from receipt of the report.
- 6) Once a response is received for anything in bold print found in the monitoring report, the Program Administrator will determine if any additional actions or responses are required.
- 7) The Program Administrator will call and complete a phone interview with 20% of the individuals selected for annual monitoring. The phone interview will consist of the questions found on the Western Piedmont Workforce Development WIOA Participant Call Q & A Form (Attachment D). This form is completed for each participant selected for the phone interview. This provides the opportunity to ensure that our participants are receiving quality customer service in regards to the program services which they are entitled to as a participant of the program.

Quarterly Monitoring

The purpose of quarterly monitoring is to identify any training needs to ensure compliance throughout the year. Quarterly monitoring is conducted in the 1st, 2nd & 4th quarters of the current program year. It is not conducted in the 3rd quarter due to annual monitoring taking place. Quarterly monitoring is particularly important when training new staff.

- 1) The Program Administrator pulls the caseload list for each Career Advisor and randomly selects 2 participant files for thorough review using the Western Piedmont Workforce Development WIOA Youth File Review Sheet (Attachment B) or the Western Piedmont Workforce Development WIOA Adult/DW File Review Sheet (Attachment C) based on the applicable program.
- 2) Once the file is reviewed, an email is sent to the Career Advisor with a copy to their manager outlining any technical assistance and/or corrections needed.
- 3) The Career Advisor has 10 business days to make corrections and respond to the Program Administrator that they have been completed.
- 4) Training will be provided through **service provider** meetings when recurring items reveal that additional training is needed. If monitoring reveals that a new Career Advisor(s) requires additional training, then that will be arranged by the Program Administrator.

- 5) The Program Administrator will use the Western Piedmont Workforce Development WIOA Participant Call Q & A Form (Attachment D) to call and complete phone interviews with 20% of the participants selected for quarterly monitoring.

Weekly Monitoring

The purpose of weekly monitoring is to ensure that information required for performance and exit is correctly entered into nworks.gov.

- 1) Each week the 15 Days to Exit Report is pulled from nworks.gov indicating those participants who will soft exit. This is converted to an excel spreadsheet with pertinent information and printed.
- 2) The Program Administrator reviews these files to ensure that they are ready to exit the program. The Program Administrator confirms that the participants who have successfully completed training have a Credential and Measurable Skills Gain (when applicable) recorded in nworks.gov. The Program Administrator ensures that there is an exit case note showing that the participant completed all requirements of the program. The Program Administrator indicates the presence of these items directly on the report.
- 6) In the event that a participant did not successfully complete their training program, the Program Administrator reviews the file prior to the soft exit to ensure that the exit case note is there indicating the reason for the exit at that time. (No contact, unsuccessful completion of training, etc.)
- 7) Once the monitoring is completed and recorded on the report, the report is signed and dated by the Program Administrator who completed the monitoring and forwarded to the WPWDA Director for their signature. It is then filed in a notebook and electronically in the monitoring file for the current program year.

Incumbent Worker Program Monitoring

- 1) The Program Administrator selects 20% of the incumbent workers for file review using the Western Piedmont Workforce Development WIOA Incumbent Worker Monitoring Checklist (Attachment E). This is completed annually.
- 2) The Program Administrator reviews files to ensure eligibility of the participants.
- 3) After reviewing files, a report is sent to the Business Services Representative and a copy to the Workforce Development Director identifying any issues that are identified.

- 4) Issues which are identified should be corrected with a response to the Program Administrator within 15 days.

WESTERN PIEDMONT WORKFORCE DEVELOPMENT
WIOA MONITORING CHECKLIST

Eligibility and Data Validation

Participant Name	SSN	Authorization to Work in US	Date of Birth	A, DW, ISY, OSY	Youth Barrier	If Applicable				IEP/ ISS	Appropriate Codes	Comments
						Selective Service	Low Income / Family Size	ITA in ncworks.gov	Source of Dislocation			

Provider: _____ Reviewer: _____ Date: _____

**WESTERN PIEDMONT WORKFORCE DEVELOPMENT
WIOA YOUTH FILE REVIEW SHEET**

Participant Name: _____ State ID: _____
 Career Coach: _____ Application Date: _____
 Eligibility Date: _____ Date Reviewed: _____
 ISY or OSY (Circle one) DOB: _____ Age at Enrollment: _____

Each of the following should be scanned into ncworks.gov:

_____ PII Redacted on all documents	_____ Selective Service (@enrollment or when 18)
_____ Consent Form	_____ Self-Attest Form
_____ Equal Opportunity Notice	_____ Full WIOA Application with signatures
_____ Orientation Check List	_____ Documentation of Past Ed (HSD, Certificates, etc.)
_____ Participant Agreement	_____ Attendance sheets
_____ Participant's Rights Form	_____ Semester grades
_____ Basic Skills Assessed	_____ Credentials (diploma, AAS, Cert, License)
_____ Documentation of Barriers	_____ Financial Award Analysis (FAA)
_____ First Full ITA w/all signatures	_____ Address Verification document
_____ Low Income Verification	_____ Background Check if 18 or older
_____ Child's Birth Certificate	_____ Statement of Family Size/Income
_____ Verification documents linked	_____ Wagner Peyser enrollment
_____ OA completed with detail	_____ Objective Assessment signed and uploaded.
_____ IEP w/goals & objectives set by youth	_____ Completed IEP w/ Signatures
_____ IEP includes support services	_____ Providers listed for all Activities
_____ IEP reviewed every 90 days if changes are made then the IEP should be printed, signed and uploaded to ncworks.gov with the 20A – Update of IEP/ISS.	
_____ Case Notes should be entered for any service or contact with the participant and should be entered within the Comprehensive Guidance and Counseling code. Phone call contacts can be entered in general case notes.	
_____ Alternative Contacts – at least 2 good contacts with phone numbers	
_____ Training Authorization if required	

Required Activity Codes:

102 – Initial Assessment 412 – Youth Objective Assessment
413 – Youth Creation of IEP/ISS 417 – Comprehensive Guidance and Counseling

Supportive Services ----CSS – Used for all supportive services allowable by WIOA such as transportation, childcare, housing, needs related payments, uniforms, tools of the trade, tests/certifications, etc. One code per billing cycle.

Documentation should be uploaded in ncworks.gov under the CSS activity as noted below:

Child Care (all should be uploaded to ncworks.gov)

_____ Need for WIOA Child Care Assistance	_____ WIOA Child Care Resource Verification
_____ WIOA Child Care Agreement	_____ Guidelines for Using Childcare Funds
_____ Child Birth Certificate	_____ Monthly Child Care Invoice
_____ Monthly Child Care Attendance Record	_____ Monthly Training Attendance Record

Transportation (all should be uploaded to nworks.gov)

- Checklist for Determination of Transportation Needs
- Google Maps (for any destination where travel is required and documented)
- Monthly Transportation Mileage Reimbursement Forms
- Monthly Training Attendance Record for the participant

Tools of the Trade

Tools of Trade not covered on school ITA Scholarship Voucher. (Items purchased from vendor other than the Community College to include scrubs, stethoscope, boots, hand tools, etc.)

Incentives

Given according to policy and include documentation in case notes as to the reason for issuing the incentive.

CODES FOR EDUCATION AND TRAINING

407 – Alternative Secondary School Services or Dropout Recovery Services – To be entered for participants completing their High School Diploma or Equivalency at the Community College or those in Alternative High Schools. Enter on first date of service and close when training is completed or ended.

429 – Enrolled in Traditional Secondary High School + 404 – Tutoring, study skills training and instruction – both to be opened on first date of service and ended when completed or ended.

416 – Youth Occupational Skills Training – on ETPL – to be used when youth is enrolled in OST training program where a certificate, diploma or degree is the end result.

The following items should be uploaded with any training code where applicable:

- MSG entered each PY
- Credential entered when obtained
- Financial Award Analysis (FAA) if applicable
- WIOA Requirements, Expectations and Guidelines
- First ITA (for OST) once returned with all signatures & supporting documentation
- Attendance records for OST and Adult Education programs
- Test results for high school equivalency
- Monthly Attendance
- Semester Grades and Schedules

OTHER CODES WHICH MAY BE USED

401 – Pre-Employment Training/Work Maturity

410 – Leadership Development Services

41A – Youth Update of IEP/ISS

115 – Resume Preparation Assistance

CSY – Provided Support Service for Youth – Pre-exit

426 – Work Experience – Paid/Unpaid – Activity should be opened on first date of work experience and closed on the last date.

The following WEX documentation is to be uploaded into nworks.gov:

- Work Experience Worksite Agreement
- Performance Evaluations
- Work Experience Timesheets
- Job Description for WEX position

**WESTERN PIEDMONT WORKFORCE DEVELOPMENT
WIOA ADULT/DW FILE REVIEW SHEET**

Participant Name: _____ State ID: _____
 Career Coach: _____ Application Date: _____
 Date Reviewed: _____ Eligibility Date: _____

Adult or Dislocated Worker (circle one)

Each of the following should be scanned into ncworks.gov:

- | | |
|---|---|
| _____ PII Redacted on all documents | _____ Selective Service documents |
| _____ Providers listed for all Activities | _____ Self-Attest Form (if required) |
| _____ Consent Form | _____ Full WIOA Application w/signatures |
| _____ Equal Opportunity Notice | _____ Completed IEP w/signatures |
| _____ Orientation Checklist | _____ Attendance Sheets |
| _____ Participant Agreement | _____ Semester Grades (curriculum) |
| _____ Participant Rights Form | _____ Credentials (diploma, AAS, Certificate,
License) |
| _____ Assessment Scores | _____ Financial Award Analysis (FAA) |
| _____ Documentation of Barriers | _____ Address Verification document |
| _____ Full First ITA w/all signatures | _____ Dislocated Worker Documentation |
| _____ Low-Income (if required) | _____ Statement of Family Size and Income (if
needed) |
| _____ Background Check | _____ Wagner Peyser enrollment |
| _____ Resume | _____ Verification documents linked |
| _____ OA completed with details | _____ Documentation of past Ed (HSD, GED,
certificate) |
| _____ OA signed and uploaded | |
| _____ IEP complete w/goals & objectives including support services | |
| _____ IEP reviewed every 90 days with participant, if changes are made then the IEP should be printed signed and uploaded to ncworks.gov with the 20A – Update of IEP/ISS | |
| _____ Case Notes should be entered for any service or contact with the participant and should be entered within the Individual Counseling or Career Guidance and Planning code, whichever is appropriate. Phone call contacts can be entered in general case notes. | |
| _____ Training Authorization form completed for each training for which participant is enrolled (1/19/18) | |
| _____ Alternative Contacts – at least 2 good contacts with phone numbers | |

Required Activity Codes:

- _____ 102 – Initial Assessment
- _____ 200 – Individual Counseling **OR** 202 – Career Guidance/Planning – opened and closed each time meet with participant
- _____ 205 – Creation of IEP/ISS - Opened and closed on day initial IEP/ISS is completed
- _____ 20A – Update of IEP/ISS – Activity should be opened and closed anytime the IEP/ISS is reviewed and changes are made. IEP should be signed and uploaded when

updated.

- ___ P20 – Adult Follow-Up Services Pre-Exit – Since follow-up begins at employment and not end of training this code can be used to record follow-up services after employment if still active and not soft exited.
- ___ 300 - OST or 310 – OJT Training Codes

Uploaded in the 300, 310 Activity Codes

- ___ Financial Award Analysis
- ___ WIOA Requirements, Expectations & Guidelines
- ___ Semester Grades and Schedules
- ___ First ITA once returned with all signatures & supporting documentation
- ___ Monthly Attendance Sheets

SUPPORTIVE SERVICES:

CSS - Used for all supportive services allowable by WIOA such as transportation, childcare, housing, needs related payments, uniforms, tools of the trade, tests/certifications, etc. One code per billing cycle.

Documentation should be uploaded in ncworks.gov under the CSS activity as noted below:

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- ___ Monthly Child Care Invoice
- ___ Monthly Child Care Attendance Record
- ___ Monthly Training Attendance Record for the participant (does not have to be uploaded multiple times, only once each month for payment of supportive services)

Transportation (all should be uploaded to ncworks.gov)

- ___ Checklist for Determination of Transportation Needs
- ___ Google Maps (for any destination where travel is required and documented)
- ___ Monthly Transportation Mileage Reimbursement Forms
- ___ Monthly Training Attendance Record for the participant (does not have to be uploaded multiple times, only once each month for payment of supportive services)

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**WESTERN PIEDMONT WORKFORCE DEVELOPMENT
WIOA PARTICIPANT Telephone Q & A**

Participant Name: _____

Contact Number: _____

Attempt: _____ Date: _____

Result: _____

Completed by: _____

1) During your time in the program have you found the Career Advisor and other NCWorks staff to be helpful and responsive?

2) Did you receive support services and did you find them beneficial to you?

3) Do you have any feedback about the program and the services you have received?

4) Additional comments:

WESTERN PIEDMONT WORKFORCE DEVELOPMENT WIOA INCUMBENT WORKER MONITORING CHECKLIST

Participant Name	ID	Authorized to Work	Employed 6 months	18+ years old	Selective Service	Comments

Monitored By: _____ Date: _____

Business Services Consultant: _____ Date: _____

WDB Director: _____ Date: _____






Program Monitoring Policy - Final - 4-18-22

Final Audit Report

2022-04-14

Created:	2022-04-13
By:	Elizabeth Hilliard (elizabeth.hilliard@wpcog.org)
Status:	Signed
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-  Document created by Elizabeth Hilliard (elizabeth.hilliard@wpcog.org)
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-  Document emailed to Wendy Johnson (wendy.johnson@wpcog.org) for signature
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-  Email viewed by Wendy Johnson (wendy.johnson@wpcog.org)
2022-04-13 - 11:23:23 PM GMT- IP address: 172.225.247.26
-  Document e-signed by Wendy Johnson (wendy.johnson@wpcog.org)
Signature Date: 2022-04-14 - 12:13:05 PM GMT - Time Source: server- IP address: 74.254.113.126
-  Agreement completed.
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