Western Piedmont Council of Governments
Workforce Development Board

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NOVEMBER 9, 2026

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

SUBJECT: Program Monitoring Policy

EFFECTIVE DATE: Immediately

EXPIRATION DATE: Indefinite

CONTACT: Workforce Development Program Manager

Charity Patterson Hamber (Nov 5, 2026 11:29:42 EST)

Charity Patterson Hamber
Workforce Development Director

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PROGRAM MONITORING POLICY

PURPOSE: To transmit the programmatic monitoring policy for Western Piedmont Workforce Development Area (WPWDA). *To rescind WPWDA Program Monitoring Policy dated December 13, 2024.*

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 Western Piedmont Workforce Development Board (WPWDB) Program Manager, herein referred to as program manager, completes required annual monitoring. The WPWDB Program Coordinator, herein referred to as program coordinator, monitors files in ncworks.gov regularly. The program manager 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 WPWDB, 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. Random monitoring outside of the annual monitoring is intended to review files, identify training issues and ensure compliance throughout the year. Random files are selected and reviewed throughout the year. If issues are found additional files will be selected for review and training provided to staff for technical assistance. Exit monitoring includes selecting files which are within 15 days of soft exit and involves ensuring that participant files are properly prepared for exit from the Title I program.

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

PROCEDURE: **Annual Monitoring**

1) An email is sent 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 ncworks.gov and the completion of the Western Piedmont Workforce Development WIOA Program Monitoring Checklist (Attachment A). This review serves to ensure that each file contains all that is required by the WPWDB including appropriate case notes, service codes, uploaded documents, required signatures, and complete Individual Employment Plans and Objective Assessments. In addition, Data Validation Elements will be reviewed during annual monitoring of all programs.

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 30 days from receipt of the report.

6) Once a response is received for anything in bold print found in the monitoring report, the program manager will determine if any additional actions or responses are required.

7) When completed, the monitoring documents are submitted to the Workforce Board Director for review and signature and then filed electronically in the Monitoring file under the corresponding program year.

Random Monitoring

The purpose of random monitoring throughout the year is to identify any training needs to ensure compliance throughout the year. Random files are selected 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. Monitoring throughout the year is particularly important when training new staff.

1) The active participant list is pulled quarterly, and 3-5 participant files are randomly selected for thorough review using the Western Piedmont Workforce Development WIOA Program Monitoring Checklist. (Attachment A). More files may be reviewed when new staff have been hired during the year or if a consistent issue is found.

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 that they have been completed.

4) Training will be provided through weekly staff meetings or called 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 Manager.

Pre-Exit Monitoring

The purpose of pre-exit monitoring is to ensure that information required for performance and exit is correctly entered into ncworks.gov. Random Data Validation elements will also be reviewed.

1) Twice monthly, the 15 Days to Exit Report is pulled from ncworks.gov indicating those participants who will soft exit. This is converted to an excel spreadsheet with pertinent information and printed.

2) These files are reviewed to ensure that they are ready to exit the program. The monitor confirms that the participants who have successfully completed training have a Credential and Measurable Skills Gain (when applicable) recorded in ncworks.gov. The monitor also ensures that there is an exit case note showing that the participant completed all requirements of the program and indicates the presence of these items directly on the report.

5) If a participant did not successfully complete their training program, the file is reviewed 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.)

6) Once the monitoring is completed and recorded on the report, the report is signed and dated by the program coordinator who completed the monitoring and forwarded to program manager for their review and signature. It is then filed electronically in the monitoring file for the current program year.

Incumbent Worker Program Monitoring

1) 20% of the incumbent workers are selected for file review using the Western Piedmont Workforce Development WIOA Incumbent Worker Monitoring Checklist (Attachment B). This is completed annually.

2) Files are reviewed 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 Manager within 15 days.

Western Piedmont Workforce Development Board
Program Monitoring Checklist

PARTICIPANT INFORMATION	A	DW	IS	OS	PARTICIPANT INFORMATION
Program					
Name of Participant					
State ID#					
Assigned Staff					
Application Date					
Exit Date					
ELIGIBILITY DOCUMENTS	**A**	**DW**	**IS**	**OS**	**NOTES**
WP Application *(signed/dated)*	X	X	X	X	
WIOA Application *(signed/dated)*	X	X	X	X	
Valid Photo ID *(redact DL/ID Number)*	X	X	X	X	
Authorization to Work in US	X	X	X	X	
Address Verification *(ID, DL, Post-marked mail, school record)*	X	X	X	X	
Verification of Citizenship *(Birth Certificate, Passport)*	X	X	X	X	
Social Security Card *(redacted)*	X	X	X	X	
Selective Service Verification ***(if over 18 or when turn 18)***	X	X	X	X	
Disability Verification *(doctor notes, school documentation, etc.)*	X	X	X	X	
Veteran (DD214)	X	X	X	X	
Social Services Information (S*NAP, WorkFirst, etc)*	X	X	X	X	
Documentation of Barriers *(Youth/Adult)*	X		X	X	
Income Documentation *(if required)*	X	X	X	X	
Proof of Low Income *(where required) (SNAP, High Poverty Area, check stubs, etc.)*	X		X	X	
Family Size Income *(self attest for family size when income verification is required)*	X		X	X	
Dislocated Worker Verfication - or-		X			
UI Verification		X			
Diploma - or GED - or - School Records	X	X	X	X	
Basic Skills Deficient	X	X	X	X	
Background Check *(if over 18)*	X	X	X	X	
Self-Attestation	X	X	X	X	
Educational Status	X	X	X	X	
Assessment Scores *(exams required for entrance into class/program, CASAS, etc)*	X	X	X	X	
Alternative Contacts *(2 or Document if less)*	X	X	X	X	

ENROLLMENT FORMS	A	DW	IS	OS	
Authorization of Release of Information *(dated)*	X	X	X	X	
Release of Indemnification	X	X	X	X	
Photo Story Release Form			X	X	
Civil Rights - EO Participant Form	X	X	X	X	
Other Enrollment Docs	X	X	X	X	
WIOA Requirements, Expectations & Guidelines	X	X		X	
PARTICIPANTION PACKAGE	**A**	**DW**	**IS**	**OS**	
Individual Employment Plan *(IEP/ISS) (includes support services if provided)*	X	X	X	X	
OAS Completed *(match barriers at program entry)*	X	X	X	X	
CASE NOTES	**X**	**X**	**X**	**X**	
Up-to-Date Within the Last 30 Days	X	X	X	X	
Review Content Quality	X	X	X	X	
ITA (TRAINING) FORMS	**A**	**DW**	**IS**	**OS**	
Scholarship Voucher *(Note:1st ITA paid when it is uploaded)*	X	X	X	X	
Invoice from Training Provider	X	X	X	X	
Semester Grades/Schedules *(MSG item)*	X	X	X	X	
List of Required Items from Training Provider *(Books, Tools, Uniforms, etc.)*	X	X	X	X	
WIOA Attendance Sheet	X	X	X	X	
Financial Award Analysis *(1 per Year for Curriculum Students)*	X	X		?	
SUPPORT SERVICES	**A**	**DW**	**IS**	**OS**	
Need for Childcare Assistance Form	X	X	X	X	
Child(ren) Birth Certificates	X	X	X	X	
Childcare Documents (*Guidelines & Agreement)*	X	X	X	X	
WIOA Childcare Resource Verification	X	X	X	X	
Attendance Sheets (f*or child and student)*	X	X	X	X	
Childcare Invoice	X	X	X	X	
Determination of Transportation Needs *(if eligible)*			X	X	
Monthly Training Attendance Record			X	X	
Google Maps for Training Locations			X	X	
Tools of Trade ITA/PO	X	X	X	X	
Incentives *(Youth)*			X	X	
WEX FORMS	**A**	**DW**	**IS**	**OS**	
WEX Training Site Agreement	X		X	X	
Job Description	X		X	X	
WEX Timesheets	X		X	X	
WEX Evaluations	X		X	X	

EXIT INFORMATION		A	DW	IS	OS	
Exit Reason		X	X	X	X	
Employed		X	X	X	X	
Follow-up		X	X	X	X	
OUTCOME/PERFORMANCE		**A**	**DW**	**IS**	**OS**	
Measurable Skills Gain Verification		X	X	X	X	
Credential *(Diploma, Debree, Certificate, License Verification)*		X	X	X	X	
Placement Verification *(Employment, Military, Post-Secondary, Other)*		X	X	X	X	
Earnings Verification		X	X	X	X	
ACTIVITY CODES		**A**	**DW**	**IS**	**OS**	
All Have Provider Listed	Plus must be enrolled in training or WEX activity	X	X	X	X	
412, 413, 442 or 443 (Youth required)				X	X	
205 and 200 or 202 (Adult/DW required)	Must be enrolled in training activity	X	X			
Missing (Missing Eligibility Document, Fix ASAP)		X	X	X	X	

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 11092026

Final Audit Report 2026-11-05

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