



NOVEMBER 6, 2023

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 or Financial Manager

A handwritten signature in black ink, appearing to read 'C. Hamber'.

[Charity Patterson Hamber \(Nov 3, 2023 14:02 EDT\)](#)

Charity Patterson Hamber
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 August 17, 2023.*

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 **Manager** herein referred to as program **manager**) completes required annual monitoring and also monitors files in ncworks.gov quarterly and weekly. The program **manager** 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, 1-2 participant file(s) is selected from the caseload 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 ncworks.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 **NextGen** 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, 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.

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 manager pulls the caseload list for each career advisor and randomly selects 1-2 participant files for thorough review using the Western Piedmont Workforce Development WIOA NextGen File Review Sheet (Attachment B) or the Western Piedmont Workforce Development WIOA Adult/DW File Review Sheet (Attachment C) based on the applicable program. 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 to the program manager 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.

Weekly Monitoring

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

- 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 Manager reviews these files to ensure that they are ready to exit the program. The Program Manager confirms that the participants who have successfully completed training have a Credential and Measurable Skills Gain (when applicable) recorded in nworks.gov. The Program Manager ensures that there is an exit case note showing that the participant completed all requirements of the program. The program **manager** indicates the presence of these items directly on the report.
- 5) In the event that a participant did not successfully complete their training program, the Program Manager 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.)
- 6) Once the monitoring is completed and recorded on the report, the report is signed and dated by the Program Manager who completed the monitoring and forwarded to Program Coordinator for their review and 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 Manager 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 Manager 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 Manager 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 **NextGen** File Review Sheet**

Participant Name: _____ State ID: _____
 Career **Advisor**: _____ 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	_____ Selective Service (@enrollment or when 18)
_____ Self-Attest Form	_____ Full WIOA Application with signatures
_____ Orientation Check List	_____ Documentation of Past Ed (HSD, Certificates, etc.)
_____ Attendance sheets	_____ Semester grades (Curriculum, K-12)
_____ Basic Skills Assessed/Entrance Exam	_____ 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
_____ Wagner Peyser enrollment	_____ OA completed with detail
_____ Completed IEP w/ Signatures	_____ Objective Assessment signed and uploaded.
_____ IEP w/goals & objectives set by	_____ 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	
_____ File Monitored for Data Validation (Annual monitoring only)	

Required Activity Codes:

102 – Initial Assessment

412 – Youth Objective Assessment

413 – Youth Creation of IEP/ISS

442 – Labor Mkt & Employment Info about In-Demand industry sectors

443 – Activities that help Youth prepare for/transition to post-secondary education

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 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

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 **are** enrolled in OST training program where a certificate, diploma or degree is the end result.

497 – Mental Health Assessment & Referral

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

- MSG entered each PY Monthly Attendance
 Credential entered when obtained Semester Grades and Schedules
 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

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 ncworks.gov:

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

Western Piedmont Workforce Development WIOA Adult/DW File Review Sheet

Participant Name: _____ State ID: _____
 Career **Advisor**: _____ Application Date: _____
 Date Reviewed: _____ Eligibility Date: _____

Adult or Dislocated Worker (circle one)

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

- | | |
|---|--|
| _____ PII Redacted | _____ Self-Attest Form (if required) |
| _____ Providers listed for all Activities | _____ Financial Award Analysis (FAA) |
| _____ Full WIOA Application w/signatures | _____ (when applicable) |
| _____ Selective Service documents | _____ Completed IEP w/signatures |
| _____ Dislocated Worker Documentation | _____ Credentials (diploma, AAS, Certificate, |
| _____ (when applicable) | _____ License) |
| _____ Assessment Scores/ Entrance Exam | _____ Full First ITA w/all signatures |
| _____ Documentation of Barriers | _____ Statement of Family Size and Income (if _ |
| _____ Address Verification document | _____ needed) |
| _____ Low-Income (if required) | _____ Background Check |
| _____ OA completed with details | _____ Wagner Peyser enrollment |
| _____ OA signed and uploaded | _____ Monitored for Data Validation (Annual |
| | _____ Monitoring only) |
| _____ Documentation of past Ed (HSD, GED, certificate) | |
| _____ IEP complete w/goals, objectives, support services when applicable | |
| _____ IEP updates 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. | |
| _____ 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 – Opened when changes are made to the IEP+
- _____ 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:

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 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)

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.)

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

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






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Final Audit Report

2023-11-03

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