



PROGRAM MONITORING

Department: Office of Economic & Workforce
Development

Effective Date: July 1, 2008

Policy/Procedure #: WIA112-A

Supersedes: N/A

Overview

Program monitoring is a useful means of ensuring that the Provider has a solid understanding of WIA's system and process requirements, customer service flow and all points of compliance. It affords OEWD the opportunity to identify any concerns and to provide the technical support necessary to help ensure the Provider continues to complete all paperwork and reports in a correct and timely fashion.

First Quarter Monitoring

The first quarter of the program year is a time to put processes in to place that address any new local, State or Federal changes. OEWD's Contract Compliance Specialist will make an appointment to visit each individual Provider sometime within the first quarter. First quarter monitoring is more proactive in nature than other monitoring throughout the year. At the beginning of a program year, there are often few participant files to review (with the exception of Providers who may have "carry-ins" from the previous program year). For this reason, first quarter monitoring is designed to assist the Provider with understanding the requirements of the new program year. Monitoring will primarily consist of:

A review of the "scope of work" as outlined in the Grant Agreement

A review of the participant service area for any required notices, publications, equipment, etc.

A review of the facility itself to ensure that each Provider location is ADA compliant adheres to fire safety guidelines, etc.

A review of reporting requirements

Providers who have "carry-in" participants from the previous program year will also have a regular program monitoring as part of their visit where no less than 20% of the carry in files will be reviewed. (See *Second, Third & Fourth Quarter Monitoring*)

Second, Third & Fourth Quarter Monitoring

OEWD's Contract Compliance Specialist will visit each Provider during the second, third and fourth quarters of the program year to conduct a full program monitoring. In each of these quarters, the monitoring will consist of a combination of **Facility Review**, **Case File Review** and **Participant Interviews**.

Facility Review: This portion of the monitoring consists of a review of the facility itself and the required notices; publications, equipment, etc. (See *First Quarter Monitoring*). The Contract Compliance Specialist will complete a **Facility Review Form** as part of this process.

Case File Review: This portion of the monitoring consists of a review of participant case files. Files will be reviewed to ensure that all required documents are in place, that eligibility has been completed correctly, that case notes are complete, and that each file follows the prescribed format (See *Participant File Format*). The Contract Compliance Specialist will complete a **Case File Review Form** as part of this process. No less than 20% of the total number of participant files will be reviewed. More files may be reviewed at OEWD's discretion should errors be consistently identified. In the event that missing documents are discovered or errors have occurred, the Provider will have two (2) weeks to produce the required forms or make the corrections to the file/paperwork. In the event that major or on-going concerns are identified, OEWD may choose to create a **Corrective Action Plan** to assist the Provider with addressing the issue (See *Corrective Action Plans*).

Participant Interviews: In each of the last three quarterly reviews, the Contract Compliance Specialist will complete participant interviews and will complete a **Participant Questionnaire** for each person interviewed. Results of the interviews will be shared with the Provider in an effort to alert them to things they are doing well so that they may continue and expand their efforts in these areas, and to alert them to areas that may need some improvement or change. No less than 20% of the total number of the participants will be interviewed.

Concluding a Monitoring

After each and every monitoring, the Contract compliance Specialist will complete a **Monitoring Review Form**. Each Provider will take part in a "debriefing" meeting to afford the Compliance Specialist to share the outcome of the monitoring. If missing documents or requiring correction have been identified during the monitoring process, the Provider will submit the required documents and/or make the required corrections and the monitoring will be considered concluded. The results of each monitoring throughout the program year will be considered when OEWD evaluates each Provider's performance and compliance.