

Office of Economic and Workforce Development Workforce Development Division



WORKFORCE INVESTMENT ACT (WIA)

4TH QUARTER MONITORING REVIEW

Service Provider: _____ Activity: _____
 Site location: _____ Phone #: _____
 Person Interviewed: _____ Title: _____
 Program Monitor: _____ Date: _____

I. ADMINISTRATION			
A. FACILITY REVIEW	YES	NO	NA
1. Are Federal, State and Local laws and ordinances governing labor, wage, health and safety posted in a common area?			
2. Is the agency accessible to individuals with disabilities and/or providing reasonable accommodation?			
3. Does the agency meet minimum ADA guidelines?			
4. Is signage provided at the primary entrance of the facility?			
5. Are Equal Opportunity, Nondiscrimination, WIA Grievance and Complaint policies and procedures posted in the facility?			
Discuss any item checked "NO" above and/or comments: _____ _____			
B. PERSONNEL	YES	NO	NA
1. Are job descriptions available for all staff positions?			
2. Does the agency have an updated Personnel Manual?			
3. Has a copy of the Personnel Manual been furnished to OEWD?			
4. Does the Personnel Manual include staff grievance procedures?			
5. Does the Personnel Manual include provisions against nepotism?			
6. Is a personnel file maintained for each staff member?			
7. Do the personnel files include job applications and notices of hire?			
8. Are all case managers and WIA program staff aware of the following: WIA and OEWD Directives () WIA Dislocated Worker, Adult and Youth Program Procedures, if applicable () WIA Eligibility requirements () WIA Laws and Regulations () Procedures for the prevention, detection and reporting of fraud, waste, abuse or criminal activity ()			
9. Do all staff providing direct service have background clearance to work with minors, if applicable?			
10. If agency subcontracts any element of WIA direct services, does the agency conduct monitoring to ensure that subcontractor is meeting WIA monitoring requirements? Is this documented?			
Discuss any item checked "NO" above and/or comments: _____ _____			

C. EEO	YES	NO	NA
1. Are the agency's nondiscrimination and equal opportunity policies posted prominently in reasonable numbers and places?			
2. Are the required nondiscrimination and equal opportunity policies offered in alternative formats for the visually impaired?			
3. If a significant portion of the agency's eligible population needs the required policies in a language other than English, are those policies provided?			
4. Do recruitment brochures state "equal opportunity employer/program" and that auxiliary aids and services are available upon request to individuals with disabilities?			
5. Does the orientation of new participants and employees include a discussion of participant rights, responsibilities and the nondiscrimination and equal opportunity provision of WIA?			
6. Is the agency staff aware that they may not charge any individual a fee for the placement or referral of such individual in or to a training program?			
7. Does the agency collect optional equal opportunity data during the intake or registration process?			
Discuss any item checked "NO" above and/or comments: <hr/> <hr/> <hr/>			

II. PROGRAM

A. GENERAL	YES	NO	NA
1. Does the agency have internal WIA Program Operations in place?			
2. Briefly describe the services offered, sequence of events and client flow, onsite and offsite. Does the program design reflect the Statement of Work?			
3. Does the agency have a procedure to ensure appropriate assessment is being administered?			
4. Please list and describe all assessment processes used to complete the ISS/IEP. Are vocational aptitude, occupational skills and experience, academic, and interest assessments included? Are employment barriers assessed?			
5. Does the client have an active role in determining his or her ISS/IEP?			
6. Please explain how enrollment and exit dates determined for clients and what factors are used to determine the appropriate length of service. Is this documented?			
7. Does the agency provide services at least once every thirty days for clients enrolled in WIA? Is this documented?			
8. Is there a documented determination for referring clients to appropriate training? There is no evidence that clients are being directed towards the same trainings or services regardless of assessment.			
9. Is there a procedure for referral of clients to other services/training where appropriate?			
10. Are the outcomes of clients referred to other services tracked?			
11. Are clients referred to the existing one stop and neighborhood workforce centers?			
12. Is there a procedure for referring clients to the existing one stop and neighborhood workforce centers?			
Discuss any item checked "NO" above and/or comments: <hr/> <hr/>			

B. PROGRAM SPECIFIC (CHECK ALL THAT APPLY)	YES	NO	NA
1. One Stop ()			
2. Eligibility/Certification ()			
3. Core B ()			
4. Business Services ()			
5. Intensive ()			
6. Retention and Follow-Up ()			
7. Adult ()			
8. Youth ()			
9. Dislocated Worker ()			
Discuss any item checked "NO" above and/or comments: <hr/> <hr/> <hr/>			
III. PARTICIPANTS			
A. CASE FILE REVIEW (see Attached Form)			
B. ELIGIBILITY	YES	NO	NA
1. Is there an internal procedure for determining WIA Eligibility?			
2. Does the agency undertake "reasonable efforts" to ascertain eligibility documentation?			
3. Does the agency only use "Applicant Statement" when absolutely necessary?			
Discuss any item checked "NO" above and/or comments: <hr/> <hr/>			
C. PAPERWORK: DOES THE AGENCY COMPLETE AND SUBMIT DOCUMENTS IN A TIMELY MANNER?			
	YES	NO	NA
1. WIA Title I Eligibility Verification Form			
2. WIA EWIR – WIA Application Form			
3. WIA EWIE – WIA Enrollment/Registration Form			
4. WIA YTS – WIA Youth Test Scores Form <i>(For Out-of-School-Youth who are Basic Skills Deficient)</i>			
5. WIA EWIT – WIA Exit Form			
6. WIA EWIF – WIA Follow-Up Form			
7. Individual Employment Plan or Individual Service Strategy (IEP or ISS)			
8. Case Management Notes or Participant Progress Report			
9. Monthly Participant and Narrative Report			
10. Monthly Cost Report (Invoices)			
11. Participant Support Services Log and Child Care Eligibility Authorization Record			
12. Individual Training Account (ITA) Worksheet			
13. Are participant files maintained in a secure manner for confidentiality purposes?			
14. Are all WIA files kept for a minimum of three (3) years?			
D. Participant Interview (See Attached Document)			

IV. PERFORMANCE

A. Is the agency staff providing all of the activities and services for which it is contracted (e.g., core, intensive, training, comprehensive employment services, and follow-up, etc.)? YES NO NA

Discuss any item checked "NO" above:

B. PROGRAM PERFORMANCE	YOUTH			ADULT			OVERALL		
	Act.	Plan	%	Act.	Plan	%	Act.	Plan	%
1. Total Enrollments									
2. Total Placements									
3. Retention									
4. Enrollment in Training									
5. Attainment of Certificate or Degree									
6. Attainment of H.S. Diploma or GED									
7. Literacy / Numeracy Attainment									
8. Total Exits									

V. CORRECTIVE ACTION

A. Describe any area which requires corrective action, including the person responsible for its implementation and the date by which it will be accomplished.

B. Date of Corrective Action Follow-up: _____

C. Acknowledgments

Agency Staff: _____ Date: _____

Reviewed by: _____ Date: _____

WIA MANAGER

V. CORRECTIVE ACTION FOLLOW-UP

A. Corrective Action Accomplished Not Accomplished

Comments:

B. Acknowledgments

Agency Staff: _____ Date: _____

Reviewed by: _____ Date: _____

WIA MANAGER