

PROGRAM MONITORING	
Department: Office of Economic & Workforce Development	Effective Date: July 1, 2010
Policy/Procedure #: 112Y	Supersedes: October 1, 2009

Overview

Program monitoring is a useful means of ensuring that the provider has a solid understanding of OEWD funded program's system and process requirements, customer service flow and all points of compliance. It affords OEWD the opportunity to provide the technical support necessary to help ensure the provider continues to properly and timely complete and submit all paperwork and reports in a correct and timely fashion. For additional **program** assistance, please contact your respective program officer.

Notice to Provider

OEWD staff representative conducting monitoring sessions/visits shall be responsible for submitting a notice to the provider of the intended session/visit, type of session/visit, purpose of session/visit, date and time, and other requirements.

First Monitoring Session/Visit

The first monitoring session/visit of the program year will be conducted during the 1st quarter of the program year. The first monitoring session addresses any new local, State or Federal changes and discuss program activities. An OEWD representative will make an appointment to conduct a monitoring session or visit each provider within the first quarter. First quarter monitoring is more than other monitorings 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 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.



Second Monitoring Visit

OEWD representatives will visit each provider during the beginning of the third quarter of the program year to conduct the second program monitoring visit. The monitoring will consist of a combination of ***Participant File Review, Participant Interviews*** and ***Facility Review***.

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***). OEWD representatives will complete a ***Participant File Review Form*** as part of this process. The greater of 20% of the total number of participants or ten (10) 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 will initiate a ***Corrective Action Plan*** to assist the provider with addressing the issue (See ***Corrective Action Plans***).

Participant Interviews: An OEWD representative 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 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 10% of the total number of the participants, but no less than 5 participants, whichever is greater will be interviewed. In general, OEWD representatives will conduct interviews individually with each participant.

Facility Review: An OEWD representative will conduct a facility review by checking to ensure that the provider has properly posted in or at the facility, all of the required documents, postings, signage, etc. (policies, procedures or postings for equal opportunity, nondiscrimination, grievance and complaint, including alternative formats for visually impaired and language appropriate postings other than English, if a significant portion of the agency's population requires such policies).

Concluding a Monitoring

After each monitoring, an OEWD representative will complete a ***Monitoring Report***. Each provider will take part in a "debriefing" meeting to afford the OEWD representative to share the outcome of the monitoring. OEWD will specify any potential findings and recommend corrective actions on the ***Corrective Action Tracking Form***, which will be sent to the provider with the 2nd Monitoring Report within thirty days of the monitoring visit. If missing documents or corrective actions have been identified during the monitoring process, the provider will submit the required documents and/or make the required corrective action, 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 compliance.

Monitoring forms and instructions may be found on the Office of Economic & Workforce Development website at http://www.oewd.org/OEWD_Program_Monitoring.aspx

