



Office of Economic and Workforce Development

Workforce Development Division

**Program Monitoring Overview
2022-2023**



Overview

- **Federal, State, and City Governments requires OEWD to conduct ANNUAL compliance reviews of all workforce funded programs.**
- **OEWD is ensuring that providers are meeting and documenting services according to funding requirements and contractual agreements.**



What we look for during Monitoring Review

- **Understanding of Program Compliance Review process**
- **Physical and Programmatic accessibility to both the service provider facility and program services**
- **Participant Interviews in-person or virtual (via phone or video call)**
- **Participant Case File Review**
 - **Required eligibility documents in participant files**
 - **Maintain separate file for participant's medical and disability disclosure form/records (not required to provide during remote/virtual review)**
 - **Completed participant forms**
 - **Accurate documentation that participant is receiving services intended by scope of work**
 - **CASE NOTES (At a minimum quarterly and outlines service(s) provided)**
- **OEWD Desk Review Form**
 - **Due to your OEWD Program Specialist and Compliance Manager**



Program Specialists vs Program Monitors

Program Specialists:

- Negotiates program deliverable and scope of work
- Evaluates overall performance vs contractual goals
- Primary contact for providing technical assistance and funding compliance
- Prepare providers for program monitoring; review sample case files, facility and desk review form

Program Monitors:

- Provide guidance on monitoring procedures
- Primary contact for monitoring reviews
- Review compliance issues during monitoring and communicates initial findings with program specialists



Monitoring Reviews

Pre-Program Monitor Review (will be done in Oct-Nov by Program Specialist)

- Review Program Monitor PowerPoint
- Review and assist with Desk Review completion
- Review at least (2) case files per program area (sample)

Program Monitor Review (will be done in Jan-Apr 2023 by Assigned Program Monitor)

- At least (5) case files per program area will be reviewed (official)
- OEWD will interview at least two (2) participants per program area for the agency
- Providers must record monthly or quarterly case note summaries (check with Program Specialist)
- Case notes must include dates of service, description of services provided, staff name or initials, closures/exits & any next steps
- Roster of participant case files to be reviewed will be provided 24 hours in advance and providers need to upload into Workforce Central (WFC), unless directed otherwise by Program Specialist and coordinated with Program Monitor



CDBG and General Funds Eligibility Forms

- Workforce Development Application Form
- OEWD Release of Information
- OEWD Participants Rights and Responsibilities
- Case notes should document every 30 days or quarterly (detailed)
- Participants forms are posted on OEWD [WorkforceCentral User Guide](#)



WIOA Eligibility Forms

WIOA Requirements – Participant forms are posted on OEWD website

WIOA Adult and Dislocated Worker:

- OEWD WIOA Workforce Central application
- WIOA Title I Form Required for Adult and Dislocated Worker
- Individual Employment Plan (IEP)
- Workforce Central enrollment, exit and follow-up form not required in case file
- OEWD Release of information
- OEWD Participants Rights and Responsibilities
- Case Notes (must indicate enrollment, placement, activity start dates, & closures/exit)

WIOA Youth:

- OEWD WIOA Workforce Central application
- WIOA Youth Eligibility Checklist (Proof of Barriers and Eligibility Documents)
- Individual Service Strategy (ISS) and Supportive Service Documentation (as applicable)
- Workforce Central enrollment, exit and follow-up form not required in case file
- OEWD Release of information
- OEWD Participants Rights and Responsibilities
- Case Notes (must indicate enrollment, placement, activity start dates, closures/exit & and quarterly follow-up after exit)



Employment Verification

Acceptable Documents (only one required):

- OEWD Form 117 - Written Employment/Education Verification Form, completed and signed by employer
- Jobs Portal verification
- Copy of check stub
- Copy of official letter of employment from employer
- Email from employer confirming proof of employment
- Third party employment verification (TheWorkNumber)
- Bank statement of direct deposit with employer name on statement
- Placement Verification Waiver Form (PVWF)
- Education Placement (if applicable): Class schedule or acceptance letter



Required Postings for Facility Review

- Occupational Safety and Health Administration (OSHA) Information
- Grievance and Complaint Procedure Form
- Nondiscrimination and Equal Employment Opportunity Form
- Minimum Wage Information
- Alternative formats of all procedures for individuals with vision loss and/or individuals who speak languages other than English
- Physical & programmatic accessibility, reasonable accommodations to individuals with disabilities
- **Email and upload photos of the facility & required postings to Program Specialist (*WIOA only)**



Next Steps

Providers Next Steps

1. Review and understand this Program Monitoring Overview presentation
2. Complete Desk Review Form to Program Specialist and Alfredo Fajardo

Next Steps for Pre-Monitoring and Monitoring Reviews

- Program Specialist will contact provider staff and send a Desk Review Form to be completed, request for sample case files to be reviewed along with scheduling the pre-monitoring visit which will either be in-person or virtual to assist and help prepare providers with the compliance review process. Pre-monitoring scheduled during October and November 2022.
- Lead Program Monitors will be in contact with provider staff after Program Specialists completes pre-monitoring and Desk Review process and submit a list of participants for case file reviews, obtain from providers participant contact information to schedule participant interviews
- Case File Reviews & Interviews will be scheduled between January to April 2023
- Participant forms are posted on OEWD [WorkforceCentral User Guide](#)

