Office of Economic and Workforce Development

Workforce Development Division

Program Monitoring Overview
2023-2024

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OFFICE OF ECONOMIC &
WORKFORCE DEVELOPMENT

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 of participant 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 (Oct-Dec 2023) by Program Specialist

- Review Program Monitoring PowerPoint

- Review and assist with Desk Review completion

- Review at least (2) case files per program area (sample)

Program Monitor Review (Feb-May 2024) 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

- Providers need to prepare physical files for site visit or upload into digital files to secured folder link to be provided

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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)
- (CDBG) Low-income certification documentation

Participants forms are posted on OEWD WorkforceCentral User Guide

WIOA Eligibility Forms

WIOA Requirements – Participant forms are posted on <u>WorkforceCentral User Guide</u>

WIOA Adult and Dislocated Worker:

- OEWD WIOA WorkforceCentral application

- WIOA Title I Form Required for Adult and Dislocated Worker

- Individual Employment Plan (IEP)

- OEWD Release of Information

- OEWD Participants Rights and Responsibilities

- Case Notes (must indicate enrollment, placement, activity start dates, & closures/exit)

- Workforce Central enrollment, exit and follow-up form not required in case file

WIOA Youth:

- OEWD WIOA WorkforceCentral application

- WIOA Youth Eligibility Checklist (Proof of Barriers and Eligibility Documents)

- Individual Service Strategy (ISS) and Supportive Service Documentation (as applicable)

- 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)

- WorkforceCentral enrollment, exit and follow-up form not required in case file

Placement Verification

Acceptable Documents (only one required):

- OEWD Form 117 - Written Employment/Education Verification Form, completed and signed by employer
- WorkforceLinkSF employment 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
- Education Placement (if applicable): class schedule or acceptance letter

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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)**

Postings are linked on the Program Monitoring webpage

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Next Steps

Next Steps for Pre-Monitoring Review

Help to prepare providers with the compliance review process – scheduled October and December 2023

1. Review and reference Program Monitoring Overview presentation

2. Complete Desk Review Form and submit to Program Specialist

   - Program Specialist will send Desk Review Form

3. Review sample case files with Program Specialist

   - Program Specialist will request sample case files to be reviewed during a scheduled pre-monitoring visit which can be in-person or virtual

Next Steps for Monitoring Reviews

Lead Program Monitors will be in contact with provider staff after Program Specialists completes pre-monitoring – scheduled February through May 2024

1. Complete official case file review with Lead Monitor

- Lead Monitor will send a list of participants for case file reviews

2. Schedule monitoring site visit with Lead monitor

3. Coordinate participant interviews

- Lead monitor will request participant contact information to schedule interviews