

**Bay Consortium Local Plan**

**Attachment 9**

**Monitoring Policy**

**Monitoring Tool**

**Monitoring Schedule**

# Bay Consortium Workforce Development Board

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| <b>Policy Number:</b> 11-03             |
| <b>Effective Date:</b> November 9, 2011 |
| <b>Revised Date:</b> July 1, 2016       |
| <b>Title:</b> Monitoring Policy         |

## Purpose

To establish a monitoring system which contains acceptable standards for ensuring accountability, provides technical assistance as necessary and appropriate, and defines the criteria that will be used to monitor sub-recipients and contractors in the Bay Consortium Workforce Development Board (BCWDB) Area XIII.

## Policy Statement

Through regular oversight and monitoring of WIOA sub-recipients and contractors, the BCWDB will assess compliance with regulations and policies established by the Workforce Innovation & Opportunity Act (WIOA), Virginia Community College System (VCCS), BCWDB, as well as compliance with the terms and conditions of contracts between BCWDB and Program Operators. Monitoring activities will be conducted at least once per year, and appropriate corrective action will be administered when evidence indicates a possible violation of one of the aforementioned regulations or policies. The major systems of compliance review include, but are not limited to: administrative, financial, and program.

Compliance monitoring will be conducted by reviewing records and documents maintained by the BCWDB administrative office on each program or contract, conducting onsite reviews and desk reviews of procedures, records, and documents maintained by the contractor or program operations staff, and by submission of written reports of findings, including corrective action recommendations if appropriate.

## General Monitoring Procedure

- A written monitoring checklist is utilized to ensure all acceptable standards of accountability are reviewed.
- Compliance monitoring activities are scheduled in advance with each Program Operator.
- Reports, records, and documents maintained by the BCWDB on each contract or program are reviewed for completeness, accuracy, and timeliness of submission. Such reports, records, and documents include but are not limited to: the approved contract and modifications thereto and/or program specifications, correspondence and reports maintained by the contracting officer in the

contract file, transmittal of individual participant records, previous monitoring reports, and applicable corrective plans.

- Each contract or program is monitored at the site of operation. On-site monitoring may include but is not limited to: an entry interview with the Program Operator's designated representative, a review of applicable written policies and procedures, staff and participant interviews, a review of participant records, a review of financial procedures/records/documentation, a review of performance and follow up procedures/records/documentation, and an exit interview with the Program Operator's designated representative. Technical assistance may also be provided in order to ensure continuous improvement. A draft monitoring report will be generated within 30 days of the on-site monitoring visit for the Program Operator to review, upon completion of the draft report review, a final report will be generated within 7 days for the Program Operators to respond too.
- A written monitoring report is completed on each monitored contract or program and submitted to the Executive Director, who subsequently will distribute the report to the Program Operator. The written report includes but is not limited to: Findings and recommendations on identified deficiencies as well as administrative concerns regarding program operations. The Executive Director will request a response from Program Operators. Program Operators will respond with all corrections within 30 days.
- Oral reports may be made to the Executive Director when apparent deficiencies are identified which may need immediate action. Such deficiencies include but are not limited to: Inaccurate or insufficient financial management procedures, inaccurate or insufficient participant eligibility determinations, child labor law violations, or non-compliance with the terms and conditions of the contract or other applicable federal, state, board, or WIOA requirements.
- The Compliance Review Officer will review Program Operator's responses to the monitoring report and will determine if action taken by the Program Operator is sufficient to satisfy the recommendations contained in the monitoring report. Additional information may be requested if deemed necessary by BCWDB staff and staff may conduct follow up monitoring reviews/visits to ensure corrective action has been initiated, is on-going, or has been completed. Once it has been determined that deficiencies have been corrected, the Program Operator will be notified that no additional action is necessary.

### **Desk Reviews**

Desk reviews are conducted by BCWDB staff to ensure that the performance objectives of Workforce Investment Area are attained within reasonable limits. These performance reviews are used to determine whether program design is adequate to meet the needs of the eligible population and whether program design is adequate to attain planned objectives. Performance reviews are conducted at regular intervals on each contract or program. Participant and financial status reports completed and submitted monthly by Program Operators are reviewed on the basis of actual cumulative data versus planned data, actual performance rates versus planned rates, and

actual performance relative to performance standards criteria. In addition, reports generated from the Virginia Workforce Connection are used to monitor program performance. BCWDB staff may request performance reports or information from Program Operators for the purpose of analyzing performance data or to respond to performance related inquiries.

### **Special Investigations**

Special investigations are conducted when information is received which indicates possible fraud, abuse or alleged criminal activity. The investigation is designed to provide the BCWDB and the Executive Director with sufficient information to justify a decision to notify the appropriate legal authorities.

### **Processing Procedures**

- The Executive Director notifies the BCWDB Chair and the State WIOA office or Department of Labor upon receipt of any request to conduct a special investigation and/or upon the initiation of any special investigation.
- The BCWDB Chair appoints specific persons as appropriate to conduct special investigations.
- Assistance or advice from other individuals approved by the Executive Committee may be solicited during a special investigation.

### **Corrective Action and Follow-up**

Corrective action and follow-up is conducted to eliminate reported violations. Corrective action plans are developed and implemented for the purposes of alleviating reported inadequacies in acceptable operating procedures, standards of accountability or program performance standards.

**Adult**

**Legend**

O - Criteria satisfied, no issues noted

X - Issue noted with criteria

N/A - Criteria does not apply to participant

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| <b>INTAKE/ADMINISTRATION</b>   |
| Is application signed/dated?   |
| Record Eligibility date from eligibility verification documents. Eligibility date must be within 14 days of VOS participation date.              |
| Consent for Information form in file?  |
| EEO /Grievance Form in file?   |
| Eligibility Verification Checklist in file? (or part of application)   |
| Has Self-sufficiency been determined?  |
| <b>GENERAL ELIGIBILITY</b>   |
| Is there Right to Work verification in file?   |
| Is there Age verification in file?   |
| Is there Selective Service Verification in file? (N/A if born before 1960 or female)   |
| <b>INCOME ELIGIBILITY</b>  |
| Low Income Verification in file?   |
| Family Size verification in file? (if receiving public assistance, not applicable)   |
| <b>ASSESSMENTS (can't be used if over 6 months old)</b>  |
| Is there a VOS activity code for assessments? (initial assessment done with eligibility and/or objective assessment done for intensive services) |
| Assessment was conducted and included in file? (which of the following, at least one)  |
| Basic Skills- TABE, Work Keys etc. (if basic skills deficient, have successive TABEs been completed to show progress)                            |
| Career Interest-Careerscope, etc. (not mandatory but helpful to note if they are not doing them)   |
| Was there an assessment within the first 60 days of participant registration?  |
| <b>INDIVIDUAL EMPLOYMENT PLAN</b>  |
| Is there a VOS activity code for the IEP?  |
| Is the IEP completed and signed?   |
| Participant goals listed? Did they reference the assessments?  |
| Did participant obtain goals within projected timeframe?   |
| Has IEP been periodically updated to reflect progress? (if applicable)   |
| Do services concur with the IEP? Will they help participant get employed? Look for rational in IEP and/or case notes                             |
| <b>SUPPORTIVE SERVICES (if applicable)</b>   |

Is there a VOS activity code for the Supportive Services? (is it correctly categorized in the appropriate service code) Refer to VWL #14-01 for VOS Service Definitions and Limitations. Supportive Services refer to support provided to assist participants to complete training and/or enter employment.

Is there a SS payment tracker in file? Or documented in case notes?

Is there a Support service determination in file? (Form, IEP, Case Notes, etc.)

Does it meet LWDA policy? (Check for individual caps, rounding, etc.)

Is there supporting documentation in file? Need mileage and/or costs proof with signature and date. Ensure reimbursement calculation is correct (MapQuest mileage, participant address, check semester schedule to match mileage, etc.)

Was it necessary, reasonable and allowable and not available from other sources?

Does the activity date in VOS agree to when the supportive service was provided

#### OCCUPATIONAL SKILLS TRAINING(if applicable)

If paid by WIOA funds, is there a VOS activity code for the OST? Is the training provider listed?

Is the Training on the WDB High Demand Occ. List or is LMI data used and in the file?

Is training on Certified Training Provider List?(sometimes on LWDA website)

Must be proof that participant applied for Financial Aid before WIOA pays or that the trainer does not accept FA. Need FA status in file if FA is used.

Training curriculum in file? Are courses taken in curriculum?

Semester schedule in file?

Grade reports, are grades satisfactory? If not , notes?

Is training supported by IEP, assessments and then documented by case notes?

Credential attained? Is there a copy in file to prove? (if applicable)

#### ITAs

Is the ITA and support docs (with training costs) signed?

Is there a time limitation and/or max amount allowed?

Does the dollar amount of the ITA exceed local policy maximums?

ITA payment tracker in file? Or documented in case notes?

Was a Self-sufficiency analysis performed on the participant to make sure that the training they are putting them in will be enough wages for them to sustain. Every area should have a standard form to use before they commit and pay for training that might not be suitable to the participant.

#### WORK EXPERIENCE/INTERNSHIP/JOB PLACEMENT

Is there a VOS activity code for the appropriate activity?

Does the Work Experience Agreement include the following:

statement of work?

description of job duties?

tools and safety equipment used ?

Duration of work experience?

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| signed and dated?  |
| Does the Work Experience agree to the IEP and the list of competencies that must be mastered?  |
| Are Timesheets in file (showing participants attended)?  |
| Was a Performance evaluation completed?  |
| Is the ITA and support documentation in the file (if paid work experience)?  |
| <b>ON-THE-JOB TRAINING(if applicable)</b>  |
| Is there a VOS activity code for the OJT?  |
| OJT contract/agreement with employer/participant includes the following:   |
| statement of work?   |
| budget information sheet?  |
| time limitations/duration?   |
| how are reimbursements made?   |
| Is WDB paying 50% of employee wages? (WDB can only pay between 10 and 50%)   |
| trainee information summary/ Training Plan?  |
| Does it comply with local area policies on OJT?  |
| Are Timesheets in file (showing participants attended)?  |
| Were Performance evaluations conducted and placed in file?   |
| Is a Completion/Termination notice in file?  |
| Did participant gain employment?   |
| Does the OJT agree to the IEP and the list of competencies that must be mastered?  |
| <b>APPRENTICESHIP</b>  |
| Is there a VOS activity code for the appropriate activity?   |
| <b>CASE NOTES</b>  |
| Are they frequent enough? Note more than a month lapse of contact. Note date of last contact if long lapse. (Standard is usually 30 days)                |
| Do they meet LWDA policy requirements?   |
| Are notes reflective of activities being done with client. (i.e.- guidance and counseling reflect guidance in notes not just attempts to reach client. ) |
| Are VOS or hand written case notes in the file?  |
| <b>CLOSURE/EXIT</b>  |
| If there was a Case Closure due to Employment, verification from employer in file?   |
| If exited with a Global Exclusion, must have documentation   |
| Is timeliness of closure appropriate?  |
| Other closure issues?  |
| <b>FOLLOW-UP (for closed cases)</b>  |
| Is there a signed Follow-up agreement in file? (if used by the LWDA)   |
| Has quarterly follow-up been entered into the VOS follow-up section? (if the follow-up box is present on VOS)  |
| Is follow-up done as required per LWDA policy?   |
| If follow-up activities have been provided, are appropriate VOS F(1-19)codes used? (if applicable)   |
| Is there sufficient documentation in file to support follow-up activities/services?  |
| <b>VOS</b>   |

Are all services reflected by a VOS code? Or does a VOS code need to be removed because that service did not occur?

Are all service dates (beginning and ending) entered into VOS correctly?  
File dates must be an exact match to VOS.

If training is complete has the Credential been entered?

If Case Closure to Employment, employer must be in VOS to get credit for "Entered Employment". Check that case is closed after verification.

Are activity codes open for long periods of time for no reason, for example they are not in training and have no reason to have a long projected open activity? Follow VOS Definitions and Limitations Guidance in Virginia Workforce Letter #14-01

ADDITIONAL SERVICES AND/OR NOTES



**DISLOCATED WORKER ELIGIBILITY**

**Legend**

O - Criteria satisfied, no issues noted

X - Issue noted with criteria

N/A - Criteria does not apply to participant

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|---|
| <b>INTAKE/ADMINISTRATION</b>  |
| Is application signed and dated?  |
| Record Eligibility date from eligibility verification documents. Eligibility date must be within 14 days of VOS participation date.   |
| Consent for Information form in file?   |
| EEO/Grievance form in file?   |
| Eligibility Verification Checklist in file? (or part of application)  |
| Does the file indicate if the participant has a disability? EEO related question (refer to case notes, application, etc.)   |
| Has Self-Sufficiency been determined?   |
| <b>GENERAL ELIGIBILITY</b>  |
| Is there Right to Work verification in file?  |
| Is there Age verification in file?  |
| Is there Selective Service Verification in file? (NA if born before 1960 or female)   |
| <b>DISLOCATED WORKER ELIGIBILITY</b>  |
| <i>Check the criteria that applies (only verify criteria section that applies to participant!)</i>  |
| <b>Category 1 - Terminated/laid-off (All of the following criteria must be verified and documented)</b>   |
| <b>Criteria #1:</b> Employer Separation Verification in the file? Must be verified to participant. If Employer is contacted and verified via telephone, there must be a Telephone Verification form signed by the verifier. Unemployment Benefit Monetary Wage Determinations do not satisfy this criteria. |
| <b>Criteria #2:</b> Unemployment Benefits verification: status or current benefit year records in file? Monetary Wage Determination does not prove the participant is on Unemployment Benefits  |
| <b>Criteria #3:</b> Unlikely To Return To Previous Occupation in file? Does it match LWDA policy criteria?  |
| <i>Note: Must have documentation to that prove recent separation reason and date is accurate.</i>   |
| <b>Category 2- Perm closure of plant/mass layoff</b>  |
| Employer notice/list/letter, or TAA certification in file? Must be verified to the participant.   |
| <b>Category 3- Previous self-employed (see VA Eligibility Documentation checklist)</b>  |
| <b>Category 4- Displaced homemaker (see VA Eligibility Documentation checklist)</b>   |
| <b>ASSESSMENTS</b>  |
| Is there a VOS activity code for assessments? (initial assessment done with eligibility, objective assessment done for intensive services)  |
| Assessment was conducted and included in file? (which of the following)   |
| Basic Skills- TABE, etc. (if basic skills deficient, has successive TABEs been completed to show progress)  |
| Career Interest-Careerscope, etc (not mandatory but helpful to note if they are not doing them)   |
| Was there an assessment within the first 60 days of participant registration?   |

INDIVIDUAL EMPLOYMENT PLAN

Is there a VOS activity code for the IEP?

Is the IEP completed and signed?

Participant goals listed? Did they reference the assessments?

Did participant obtain goals within projected timeframe?

Has IEP been periodically updated to reflect progress?

Do services concur with the IEP? Will they help participant get employed? Look for rational in IEP and/or case notes.

SUPPORTIVE SERVICES

(if applicable)

Is there a VOS activity code for the Supportive Services? (Is it correctly categorized in the appropriate service code) Refer to VWL #14-01 for VOS Service Definitions and Limitations. Supportive Services refer to support provided to assist participants to complete training and/or enter employment.

Is there a SS payment tracker in file? Or documented in case notes?

Is there a Support service determination in file? (Form, IEP, Case Notes, etc.)

Does it meet LWDA policy? (Check for individual caps, rounding, etc.)

Is there supporting documentation in file? Need mileage and/or costs proof with signature and date. Ensure reimbursement calculation is correct (MapQuest mileage, participant address, check semester schedule to match mileage, etc.)

Was it necessary, reasonable and allowable and not available from other sources?

Does the activity date in VOS agree to when the supportive service was provided?

OCCUPATIONAL SKILLS TRAINING

(If applicable)

If paid by WIOA funds, is there a VOS activity code for the OST? Is the training provider listed?

Is the Training on the WDB High Demand Occ. List or is LMI data used and in the file?

Is training on Certified Training Provider List?(sometimes on LWDA website)

Must be proof that participant applied for Financial Aid before WIOA pays or that the trainer does not accept FA. Need FA status in file if FA is used.

Training curriculum in file? Are courses taken in curriculum?

Semester schedule in file?

Grade reports, are grades satisfactory? If not , notes?

Is training supported by IEP, assessments and then documented by case notes?

Credential attained? Is there a copy in file to prove?

ITAs

Is the ITA and support docs (with training costs) signed?

Is there a time limitation and/or max amount allowed?

Does the dollar amount of the ITA exceed local policy maximums?

ITA payment tracker in file? Or documented in case notes?

Was a Self-sufficiency analysis performed on the participant to make sure that the training they are putting them in will be enough wages for them to sustain. Every area should have a standard form to use before they commit and pay for training that might not be suitable to the participant.

TRADE (DUAL ENROLLMENT)

Is there a VOS activity code for the Trade? (Before 9/2010 Trade specific codes did not exist). Previously 300/ OST code used and Trade was referenced as partner provider.

Are trade documents in the file?

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| Agree with local policy?  |
| Does the file have Unlikely to Return and LMI data analysis?  |
| Case Notes on WIOA involvement during Trade paid training   |
| <b>WORK EXPERIENCE/INTERNSHIP/JOB PLACEMENT</b>   |
| Is there a VOS activity code for the appropriate activity? (218)  |
| Does the Work Experience Agreement includes the following:  |
| statement of work?  |
| description of job duties?  |
| tools and safety equipment used ?   |
| Duration of work experience?  |
| signed and dated?   |
| Does the Work Experience agree to the IEP and the list of competencies that must be mastered?   |
| Are Timesheets in file (showing participants attended)?   |
| Was a Performance evaluation completed?   |
| Is the ITA and support documentation in the file (if paid work experience)?   |
| <b>ON-THE-JOB TRAINING(if applicable)</b>   |
| Is there a VOS 301 activity code for the OJT?   |
| OJT contract/agreement with employer/participant includes the following:  |
| statement of work?  |
| budget information sheet?   |
| time limitations/duration?  |
| how are reimbursements made?  |
| Is WDB paying 50% of employee wages? (WDB can only pay between 10 and 50%)  |
| trainee information summary/ Training Plan?   |
| Does it comply with local area policies on OJT?   |
| Are Timesheets in file (showing participants attended)?   |
| Were Performance evaluations conducted and placed in file?  |
| Is a Completion/Termination notice in file?   |
| Did participant gain employment?  |
| Does the OJT agree to the IEP and the list of competencies that must be mastered?   |
| <b>OJT Re-Employment Project (LWDAs 2,8,11,13,14)</b>   |
| Are there Statewide Grant Activities Codes and VOS 301 activity code for the OJT?   |
| Has the participant been unemployed since Jan 2008 or at least beyond 27 weeks prior to placement in OJT?                                 |
| Has the OJT extended past 6 month maximum timeframe?  |
| Has the LWDA paid any more than the maximum on participant's wages? (up to 90% of wages but not to exceed \$9,860 per participant)        |
| Were Performance evaluations conducted and placed in file?  |
| Were monthly meetings with supervisor and on-site visits to observe the participants conducted?   |
| Were Performance evaluations conducted and placed in file?  |
| Is a Completion/Termination notice in file?   |
| Did participant gain employment?  |
| <b>APPRENTICESHIP</b>   |
| Is there a VOS activity code for the appropriate activity?  |
| <b>Case Notes</b>   |
| Are they frequent enough? Note more than a month lapse of contact. Note date of last contact if long lapse. (Standard is usually 30 days) |

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| Do they meet LWDA policy requirements?   |
| Are notes reflective of activities being done with client. (i.e.- guidance and counseling reflect guidance in notes not just attempts to reach client. )   |
| Are VOS or hand written case notes in the file?  |
| Closure/Exit   |
| If there was a Case Closure due to Employment, verification from employer in file?   |
| If exited with a Global Exclusion, must have documentation   |
| Is timeliness of closure appropriate?  |
| Other closure issues?  |
| Follow-Up (for closed cases)   |
| Is there a signed Follow-up agreement in file?   |
| Has quarterly follow-up been entered into the VOS follow-up section? (if the follow-up box is present on VOS)  |
| Is follow-up done as required per LWDA policy?   |
| If follow-up activities have been provided, are appropriate VOS F(1-19)codes used? (if applicable)   |
| Is there sufficient documentation in file to support follow-up activities/services?  |
| VOS  |
| Are all services reflected by a VOS code? Or does a VOS code need to be removed because that service did not occur?  |
| Are all service dates (beginning and ending) entered into VOS correctly? File dates must be an exact match to VOS.   |
| If training is complete has the Credential been entered? If training was paid through Trade, ensure Trade program in VOS has entered credential attainment (at least WIOA or Trade needs to enter this in VOS)                                       |
| If Case Closure to Employment, employer must be in VOS to get credit for "Entered Employment". Check that case is closed after verification.   |
| Are activity codes open for long periods of time for no reason, for example they are not in training and have no reason to have a long projected open activity? Follow VOS Definitions and Limitations Guidance in Virginia Workforce Letter #14-01. |
| ADDITIONAL SERVICES AND/OR NOTES   |
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**ISY**

**Legend**

O - Criteria satisfied, no issues noted

X - Issue noted with criteria

N/A - Criteria does not apply to participant

| INTAKE/ADMINISTRATION   |
|---|
| Is application signed/dated? (parent/guardian signatures needed for under 18)   |
| Record Eligibility date from eligibility verification documents. Eligibility date must be within 14 days of VOS participation date.   |
| Consent for Information form in file?   |
| EEO /Grievance Form in file?  |
| Eligibility Verification Checklist in file? (or part of application)  |
| At risk Youth Assessment form in file? (if applicable)  |
| In-School Verification in file?   |
| Does the file Indicate if the participant has a disability? EEO related question (refer to case notes, application, etc.)   |
| GENERAL ELIGIBILITY   |
| Is there Right to Work verification in file?  |
| Is there Age verification in file?  |
| Is there Selective Service Verification in file? (NA if female)   |
| INCOME ELIGIBILITY  |
| Is there Low Income Verification in file?   |
| Is there Family Size verification in file? (if receiving public assistance, not applicable)   |
| Is there documentation that Youth 5% income has been used? (if applicable)  |
| YOUTH BARRIER   |
| Is there verification of at least one Youth Barrier in file?  |
| 14 ELEMENTS (all that are applicable, just need one element)  |
| Is there proper documentation in the file to support the provision of at least one of the 14 Elements? If more than one element is provided, then documentation must support all elements provided. |
| ASSESSMENTS (can't use if over 6 months old)  |
| Is there a VOS activity code for assessments? (initial assessment not available for youth use 412 objective assessment VOS code)  |
| Assessment was conducted and included in file? (which of the following)   |
| Basic Skills- TABE, accepted standardized test used by a school. (if basic skills deficient, has successive TABEs been completed to show progress)  |
| Career Interest-Careerscope, etc. (not mandatory but helpful to note if they are not doing them)  |
| Work readiness assessments?   |
| Was there an assessment within the first 60 days of participant registration?   |

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| Was the post-test administered in the first 12 months of participation and before exit?  |
| <b>INDIVIDUAL SERVICE STRATEGY</b>   |
| Is there a VOS activity code for ISS?  |
| Is the ISS completed and signed? (parent/guardian signatures for under 18)   |
| Does the ISS identify age appropriate education/career goals?  |
| Do the goals reference the assessments?  |
| Are at least one of the 14 Elements addressed in plan?   |
| Do services provided concur with the ISS? Will they help participant get employed? Look for rational in ISS and/or case notes  |
| Is information on work readiness reflected in the ISS or file?   |
| Has ISS been periodically updated to reflect progress?   |
| <b>SUPPORTIVE SERVICES</b><br>(if applicable)  |
| Is there a VOS activity code for the Supportive Services? (is it correctly categorized in the appropriate service code) Refer to VWL #14-01 for VOS Service Definitions and Limitations. Supportive Services refer to support provided to assist participants to complete training and/or enter employment. Wages or incentives that support and are accounted |
| Is there a SS payment tracker in file? Or documented in case notes?  |
| Is there Supportive Service determination in the file? (form, ISS, case notes, etc.)   |
| Does it meet LWIOA policy? (check for individual caps, rounding, etc.)   |
| Is there supporting documentation in file? (need mileage and/or cost proofs with signature and date. Ensure reimbursement calculation is   |
| Was SS necessary, reasonable, and allowable and not available from other source?   |
| Does the activity date in VOS agree to when the Supportive Service was provided?   |
| <b>OCCUPATIONAL SKILLS TRAINING (if applicable)</b>  |
| If paid by WIOA funds, is there a VOS activity code for the OST? Is the training provider listed?  |
| Is the Training on the WDB High Demand Occ. List or is LMI data used and in the file?  |
| Is training on Certified Training Provider List?(sometimes on LWIOA website)   |
| Must be proof that participant applied for Financial Aid before WIOA pays or that the trainer does not accept FA. Need FA status in file if FA is used.  |
| Has Self-Sufficiency been determined or analysis of LMI to determine income for occupation?  |
| Training curriculum in file? Are courses taken in curriculum?  |
| Semester schedule in file?   |
| Grade reports, are grades satisfactory? If not , notes?  |
| Is training supported by IEP, assessments and then documented by case notes?   |
| Credential attained? Is there a copy in file to prove?   |
| Is there support docs (with training costs) signed?  |
| Is there a time limitation and/or max amount allowed?  |
| Does the dollar amount of training exceed local policy maximums (if applicable)?   |
| Payment tracker in file? Or documented in case notes?  |

Was a Self-sufficiency analysis performed on the participant to make sure that the training they are putting them in will be enough wages for them to sustain. Every area should have a standard form to use before they commit and pay for training that might not be suitable to the participant.

Are attendance sheets in the file (showing the participant attended training)?

Was a performance evaluation conducted and put in file?

WORK EXPERIENCE/Internship/Job Placement  
(if applicable)

Is there a VOS code for Work experience?

Does the Work Experience Agreement include the following:  
statement of work?

description of job duties?

tools and safety equipment used?

signed and dated?

Does the work experience agree to the ISS and the list of competencies that must be mastered?

Are number of hours worked allowable for that age?

Are timesheets in file?

Was a performance evaluation completed and in the file?

Is there a Participant sign-off sheet (for incentive payments received) in file or elsewhere?

#### Case Notes

Are they frequent enough? Note more than a month lapse of contact. Note date of last contact if long lapse. (Standard is 30 days)

Do they meet LWIOA policy requirements?

Are notes reflective of activities being done with client. (i.e.- guidance and counseling reflect guidance in notes not just attempts to reach client. )

Are VOS or hand written case notes in the file?

#### Closure/Exit

If there was a Case Closure due to Employment, verification from employer in file?

If exited with a Global Exclusion, must have documentation

Is timeliness of closure appropriate?

Other closure issues?

#### Follow-Up (for closed cases)

Is there a signed Follow-up agreement in file?

Has participant received follow-up services for the 12 month period after closure?

Are the appropriate VOS activity codes (f-codes) used to indicate the follow-up services being provided?

Do case notes and file documentation support the F/U activities provided?

Has quarterly follow-up been entered into the VOS follow-up section? (if the follow-up box is present on VOS)

Is follow-up done as required per LWIOA policy?

#### VOS

Are all services reflected by a VOS code? Or does a VOS code need to be removed because that service did not occur? ✓

Are all service dates (beginning and ending) entered into VOS correctly?

File dates must be an exact match to VOS.

Training Outcome entered (if applicable)

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| Employment Outcome entered (if applicable) and verified and case closed  |
| Are activity codes open for long periods of time for no reason, for example they are not in training and have no reason to have a long projected open activity? Follow VOS Definitions and Limitations Guidance in Virginia Workforce Letter #11-02. |
| ADDITIONAL SERVICES AND/OR NOTES   |
|  |



**OSY**

**Legend**

O - Criteria satisfied, no issues noted

X - Issue noted with criteria

N/A - Criteria does not apply to participant

| INTAKE/ADMINISTRATION   |
|---|
| Is application signed/dated? (parent/guardian signatures needed for under 18)   |
| Record Eligibility date from eligibility verification documents. Eligibility date must be within 14 days of VOS participation date.   |
| Consent for Information form in file?   |
| EEO /Grievance Form in file?  |
| Eligibility Verification Checklist in file? (or part of application)  |
| At risk Youth Assessment form in file? (if applicable)  |
| Does the file indicate if the participant has a disability? EEO related question (refer to case notes, application, etc.)   |
| GENERAL ELIGIBILITY   |
| Is there Right to Work verification in file?  |
| Is there Age verification in file?  |
| Is there Selective Service Verification in file? (NA if female)   |
| INCOME ELIGIBILITY  |
| Is there Low Income Verification in file?   |
| Is there Family Size verification in file? (if receiving public assistance, not applicable)   |
| Is there documentation that Youth 5% income been used? (if applicable)  |
| YOUTH BARRIER   |
| Is there verification of at least one Youth Barrier in file?  |
| 14 ELEMENTS (all that are applicable, just need one element)  |
| Is there proper documentation in the file to support the provision of at least one of the 14 Elements? If more than one element is provided, then documentation must support all elements provided. |
| ASSESSMENTS (can't use if over 6 months old)  |
| Is there a VOS activity code for assessments? (initial assessment not available for youth use 412 objective assessment VOS code)  |
| Assessment was conducted and included in file? (which of the following)   |
| Basic Skills- TABE, accepted standardized test used by a school. (if basic skills deficient, has successive TABEs been completed to show progress)  |
| Career Interest-Careerscope, etc. (not mandatory but helpful to note if they are not doing them)  |
| Work readiness assessments?   |
| Was there an assessment within the first 60 days of participant registration?   |
| Was the post-test administered before the exit?   |
| INDIVIDUAL SERVICE STRATEGY   |
| Is there a VOS activity code for ISS?   |

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| Is the ISS completed and signed? (parent/guardian signatures for under 18)   |
| Does the ISS identify age appropriate education/career goals?  |
| Do the goals reference the assessments?  |
| Are at least one of the 14 Elements addressed in plan?   |
| Do services provided concur with the ISS? Will they help participant get employed? Look for rational in ISS and/or case notes  |
| Has ISS been periodically updated to reflect progress?   |
| SUPPORTIVE SERVICES<br>(if applicable)   |
| Is there a VOS activity code for the Supportive Services? (is it correctly categorized in the appropriate service code) Refer to VWL #14-01 for VOS Service Definitions and Limitations. Supportive Services refer to support provided to assist participants to complete training and/or enter employment. Wages or incentives that support and are accounted for in other service codes, such as Work Experience and Summer Employment should not be recorded also as a VOS supportive service code. |
| Is there a SS payment tracker in file? Or documented in case notes?  |
| Is there Supportive Service determination in the file? (form, ISS, case notes, etc.)   |
| Does it meet LWIOA policy? (check for individual caps, rounding, etc.)   |
| with signature and date. Ensure reimbursement calculation is correct (MapQuest mileage, participant address, check semester schedule to ensure   |
| Was SS necessary, reasonable, and allowable and not available from other source?   |
| Does the activity date in VOS agree to when the Supportive Service was provided?   |
| OCCUPATIONAL SKILLS TRAINING (if applicable)   |
| If paid by WIOA funds, is there a VOS activity code for the OST? Is the training provider listed?  |
| Is the Training on the WDB High Demand Occ. List or is LMI data used and in the file?  |
| Is training on Certified Training Provider List?(sometimes on LWIOA website)   |
| Must be proof that participant applied for Financial Aid before WIOA pays or that the trainer does not accept FA. Need FA status in file if FA is used.  |
| Has Self-Sufficiency been determined or analysis of LMI to determine income for occupation?  |
| Training curriculum in file? Are courses taken in curriculum?  |
| Semester schedule in file?   |
| Grade reports, are grades satisfactory? If not , notes?  |
| Is training supported by IEP, assessments and then documented by case notes?   |
| Credential attained? Is there a copy in file to prove?   |
| Is there support docs (with training costs) signed?  |
| Is there a time limitation and/or max amount allowed?  |
| Does the dollar amount of training exceed local policy maximums (if applicable)?   |
| Payment tracker in file? Or documented in case notes?  |
| Was a Self-sufficiency analysis performed on the participant to make sure that the training they are putting them in will be enough wages for them to sustain. Every area should have a standard form to use before they commit and pay for training that might not be suitable to the participant.  |
| Are attendance sheets in the file (showing the participant attended training)?   |
| Was a performance evaluation conducted and put in file?  |
| WORK EXPERIENCE<br>(if applicable)   |

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| Is there a VOS code for Work experience?   |
| Does the Work Experience Agreement include the following:  |
| statement of work?   |
| description of job duties?   |
| tools and safety equipment used?   |
| signed and dated?  |
| Does the work experience agree to the ISS and the list of competencies that must be mastered?  |
| Are number of hours worked allowable for that age?   |
| Are timesheets in file?  |
| Was a performance evaluation completed and in the file?  |
| Is there a Participant sign-off sheet (for incentive payments received) in file or elsewhere?  |
| <b>Case Notes</b>  |
| Are they frequent enough? Note more than a month lapse of contact. Note date of last contact if long lapse. (Standard is usually 30 days)  |
| Do they meet LWIOA policy requirements?  |
| Are notes reflective of activities being done with client. (i.e.- guidance and counseling reflect guidance in notes not just attempts to reach client. )   |
| Are VOS or hand written case notes in the file?  |
| <b>Closure/Exit</b>  |
| If there was a Case Closure due to Employment, verification from employer in file?   |
| If exited with a Global Exclusion, must have documentation   |
| Is timeliness of closure appropriate?  |
| Other closure issues?  |
| <b>Follow-Up (for closed cases)</b>  |
| Is there a signed Follow-up agreement in file?   |
| Has participant received follow-up services for the 12 month period after closure?   |
| Are the appropriate VOS activity codes (f-codes) used to indicate the follow-up services being provided?   |
| Do case notes and file documentation support the F/U activities provided?  |
| Has quarterly follow-up been entered into the VOS follow-up section? (if the follow-up box is present on VOS)  |
| Is follow-up done as required per LWIOA policy?  |
| <b>VOS</b>   |
| Are all services reflected by a VOS code? Or does a VOS code need to be removed because that service did not occur?  |
| Are all service dates (beginning and ending) entered into VOS correctly? File dates must be an exact match to VOS.   |
| Employment Outcome entered (if applicable) and verified and case closed  |
| Are activity codes open for long periods of time for no reason, for example they are not in training and have no reason to have a long projected open activity? Follow VOS Definitions and Limitations Guidance in Virginia Workforce Letter #11-02. |
| <b>ADDITIONAL SERVICES AND/OR NOTES</b>  |

## Bay Consortium WDB WIOA Monitoring Schedule

### **WIOA Adult and Dislocated Worker Monitoring**

|                                 |            |
|---------------------------------|------------|
| Fredericksburg VEC              | March 2017 |
| Job Assistance Center           | March 2017 |
| Eastern Shore Community College | March 2017 |

### **WIOA In School and Out of School Youth Monitoring**

|                                   |            |
|-----------------------------------|------------|
| Employment Resources Incorporated | April 2017 |
| Rappahannock Community College    | April 2017 |
| Eastern Shore Community College   | March 2017 |