



PROGRAM MONITORING

Department: Office of Economic & Workforce
Development

Effective Date:
January 1, 2013

Policy/Procedure #: WDD 112-A

Supersedes: July 1, 2008

Overview

Program monitoring is a useful means of ensuring that the Provider has a solid understanding of OEWD funded programs' 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 that the Provider continues to properly complete and submit all paperwork and reports in a correct and timely manner.

Notice to Provider

The 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 in order to implement processes that address any new local, State or Federal changes. OEWD's representative will make an appointment to conduct a session or visit with each individual Provider within the first quarter. 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 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's representative 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**.

Participant 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, eligibility has been completed correctly, case notes are complete, and each file follows the prescribed format (See *Participant File Format*). The OEWD representative will complete an **OEWD Participant File Review Form** as part of this monitoring process. No less than 20% of the total number of participant files will be reviewed but more files may be reviewed at OEWD's discretion. In the event that missing documents are discovered or errors have occurred, the Provider will have thirty (30) calendar days 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: The OEWD representative will complete participant interviews and will complete a **Participant Questionnaire** for each person interviewed. General 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.

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

Concluding a Monitoring

After each and every monitoring, OEWD's representative will complete a **Monitoring Report**. Each Provider will participate in an exit conference to review the outcomes 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 (30) days of the monitoring visit. If missing documents or required corrections have been identified during the monitoring process, the Provider will submit the required documents and/or make the required corrections to OEWD within thirty (30) days of receiving the 2nd Monitoring Report and Corrective Action Tracking Form, 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.

Inquiries

Inquiries should be addressed to the OEWD Program Operations Director at 415-701-4848 or workforce.development@sfgov.org.

OEWD and its service providers shall follow this policy. This policy will remain in effect from the date of issue until such time that a revision is required.