



PROGRAM MONITORING

Department: Office of Economic & Workforce Development

Effective Date: July 1, 2012

Directive # WDD 112-Y

Supersedes: July 1, 2010

PURPOSE

OEWD conducts program monitoring of each of its funded programs as a means of ensuring that the Provider has a solid understanding of system and process requirements, customer service flow and all points of compliance. Monitoring affords OEWD the opportunity to provide the technical support necessary to ensure that the Provider continues to properly complete and submit all paperwork and reports in a correct and timely manner.

Notice to Provider

The Provider will be notified of scheduled monitoring sessions and site visits by OEWD staff approximately one month prior to the scheduled monitoring and will inform Provider staff of the purpose, date, time and necessary requirements of the monitoring session.

First Monitoring Session

The first monitoring session or site 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. First quarter monitoring is designed to assist the Provider with understanding program monitoring requirements. The first monitoring session will primarily consist of:

- A review of the program service area
- A review of reporting requirements

Participant file review will **not** be conducted during the first monitoring session.

Second Monitoring Session

During the third quarter of the program year, the second monitoring session will be conducted at the Provider location where services take place. The monitoring will consist of a combination of ***Participant File Review, Participant Interviews and Facility Review.***

Participant File Review: 20%, but no less than 5 and no greater than 20, of new participant case files will be reviewed for compliance with funding source requirements for each program area. For Providers with "carry-in" participants from the previous program year, up to an additional 20% of carry-in participant files may be reviewed. File review includes, but is not limited to:

- eligibility documents
- enrollment documents
- case notes
- file format

More files may be reviewed at OEWD's discretion. Files will be randomly selected on site. For Providers who maintain electronic files, a roster of randomly selected files will be provided 24 hours prior to the scheduled site visit.

Participant Interviews: An OEWD representative will conduct informational interviews with current program participants and document responses on the **Participant Questionnaire** for each person interviewed. General results of the interviews will be shared with the Provider to inform staff of the things they are doing well, and to alert them of areas that may need improvement or change. A total of five (5) participant interviews will be conducted for all program areas. The Provider will be required to coordinate interviews with participants and ensure that each OEWD-funded program is represented.

Facility Review: A facility review will be conducted to ensure that the Provider has properly posted all required documents, postings and signage in locations where services take place. 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.

Corrective Action

In the event that any initial findings are identified during the onsite monitoring process, OEWD will notify the Provider within thirty (30) calendar days of the site visit. The Provider will have thirty (30) calendar days from the date of the notification to correct and respond to any initial findings. If initial findings are not resolved with the OEWD program monitoring staff, OEWD will initiate a **Corrective Action Plan** to assist the Provider with addressing the issue (See *Corrective Action Plans*).

Concluding a Monitoring

After each monitoring session, an OEWD 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.

Each monitoring session will conclude with an exit conference between Provider staff and OEWD representative to review the outcomes of the report. The Provider will receive a **Monitoring Report** and a **Corrective Action Tracking Log**, if applicable, within thirty (30) days of the monitoring site visit. If there are no initial findings, then the Provider will receive a final report. If initial findings are identified, then the corrective action steps listed above shall be followed within the time allotted until each finding is closed and a final report can be issued. Once a final report is issued to the Provider agency, the monitoring for the program year is considered closed.

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

INQUIRIES

Inquiries should be addressed to the OEWD Director of Operations at 415-581-2335 or workforcedevelopment@sfgov.org.

OWED 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.