

*Workforce Investment Act*  
*Adult/Dislocated Worker/Youth*

**ADMINISTRATIVE/PROGRAMMATIC/FISCAL  
MONITORING GUIDE**

**HIGH COUNTRY LOCAL AREA  
(REGION D)**

High Country Council of Governments  
High Country (Region D) Local Area  
468 New Market Blvd.  
Boone, North Carolina 28607

Revised  
March, 2011

## Monitoring Guide Instructions

- ❖ **Workforce Investment Act Providers** need to **be prepared to answer** the administrative and program sections of the Monitoring Guide during the on-site visit by Local Area Staff. These sections have changed very little from last year.
- ❖ The administrative section is intended to cover the personnel and equal opportunity responsibilities associated with the Title I Workforce Investment Act services that your agency provides.
- ❖ The program document includes three sections: Adult and Dislocated Worker Services and Youth Services. Please review the section(s) that are applicable to the program(s) that the High Country Local Area contracts with your agency to provide. The information contained in the programmatic sections will address information and processes related to program service delivery. Our goal is to monitor your agency's systems in providing the best possible program services and to insure that the program(s) you provide are in compliance with state, local, and federal legislation, regulations and policies.
- ❖ Customer file monitoring checklists are being provided for the WIA program services that your agency provides. Local Area staff will review a predetermined sample of cases using the file checklists. The review will focus on eligibility documentation, data validation, the individual employment plan and documentation of the case in the case and/or activity notes recorded in Workforce Plus, the state's WIA customer management system. You may use the document(s) for internal monitoring of customer files or you may use the guide(s) as reference(s) in developing your own document(s). Prior to and during the on-site review, local area staff will look at your internal monitoring reviews, the findings, any corrective action needed, and the completion of corrective action. Staff will pick a sample of files to review and compare to your internal monitoring results.
- ❖ The Financial Monitoring will be scheduled with your organization's finance staff responsible for reporting expenses to the Local Area. A copy of the financial monitoring document is being provided for your information prior to our visit. LA staff will review overall financial systems. During that review staff will perform an in-depth review of expenses and backup documentation for a predetermined month during the current program year. The month to be reviewed will be communicated to the appropriate finance staff prior to the financial monitoring visit. A copy of the invoice(s), printouts from your organization's accounting system will need to include a copy of the chart of accounts, appropriate and relevant reports from the General Ledger, timesheets and time effort forms for all WIA funded positions, cost allocation plans for the month being reviewed, and backup documentation supporting the reported monthly expenses will need to be available during the onsite review. Any additional documents will be requested prior to or during the on-site review.

- ❖ Monitoring activities may also include work site visits, class site visits, and customer interviews.
- ❖ Following the review, the LA staff will review any findings that have been noted, review additional documents if necessary, and resolve as many issues as possible. **If appropriate, operators are expected to respond to any issues in dispute at this time.** A summary of this meeting will be recorded and maintained at the LA office.
- ❖ A desk review will be conducted at the LA office prior to and/or following the on-site review. A written summary of both the on-site and desk review, with any required corrective action, will be mailed to the operator following the review. The summary will include deadlines for corrective action and responses. Failure to comply with corrective action requirements in a timely manner may be referred to the High Country Workforce Development Board for further action.
- ❖ The LA Monitor(s) will maintain complete monitoring records and will be responsible for tracking corrective action responses and any additional needed correspondence. Operators should contact the LA Monitor(s) directly with questions or comments. If necessary, Monitor(s) will direct inquiries to other appropriate staff.

**HIGH COUNTRY (REGION D) LOCAL AREA**  
**Workforce Development**  
**CONTRACTOR MONITORING GUIDE**

**Contractor:** \_\_\_\_\_

**Address:** \_\_\_\_\_

\_\_\_\_\_

**Contact Person(s)/Title(s):** \_\_\_\_\_

\_\_\_\_\_

**Telephone Number(s):** \_\_\_\_\_

**Date(s) Monitored:** \_\_\_\_\_

**Site(s) Monitored:** \_\_\_\_\_

**High Country staff conducting review:** \_\_\_\_\_

\_\_\_\_\_

**Contracts**

**Contract Amounts**

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**CORRECTIVE ACTION REQUIRED AS A RESULT OF THIS REVIEW? \_\_YES \_\_NO**

**REGION D STAFF FOLLOW-UP REQUIRED? \_\_\_\_YES \_\_\_\_NO**

**Staff Signature(s):** \_\_\_\_\_

SECTION I. Administrative Systems			
Personnel Procedures (please have a copy of your agency's personnel policy available for review at the time of our on-site visit)	YES	NO	N/A
1. Are personnel policies established in writing?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Are personnel policies readily available for review?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Are personnel policies readily available to individual staff member(s)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Does the personnel policy cover the following?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- Hiring Procedures	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- Employee Classifications	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- Termination	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- Grievance Procedures	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- Employee Benefits	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- Work Rules	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- EO Statement	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- Travel/Per Diem Policies	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- Nepotism	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- Non-Discrimination	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- Political Activities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- Sectarian Activities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Have these policies been presented to and discussed with staff?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. Does the contractor have a current organizational chart or diagram showing the relationship and lines of responsibilities among the various units/staff?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. If the organizational chart has been modified or revised after contracting, has a copy of the revised chart been submitted to the LA?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. Are there job descriptions available for review for each WIA funded position in the agency?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9. Do staff job descriptions contain the following elements:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- Descriptions of each staff position's specific duties and responsibilities, including the percentage of time allocated to each funding source?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- Reflect actual job duties?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. Does each staff member have a copy of his/her job description?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11. Are there procedures to ensure that all contractor staff are knowledgeable about WIA rules and regulations?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12. Do WIA staff have in their possession all of the following:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- Applicable High Country Policy Manuals and Issuances?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- Applicable Federal legislation and regulations?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- The Contractor's current, applicable Proposal/Modification ?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
13. Are all staff aware of individual expectations for outreach, enrollment goals, performance goals, etc?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
14. Are all staff aware of program spending limits/ fund availability/procedures?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Personnel Procedures Comments:			
<b>Notification of Fraud and Abuse</b>			
1. Does the Contractor have procedures for immediately notifying the LA in writing of any charges or allegations of criminal misconduct, fraud, or negligence in connection with the program?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Notification of Fraud and Abuse Comments:			

<b>Contracting</b>	<b>YES</b>	<b>NO</b>	<b>N/A</b>
1. Does the Contractor have procedures to prevent the subcontracting of any or all interests, work, or services under the Contract without prior written approval of the LA?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Does the Contractor acknowledge the LA or its assignee's rights to documents, materials, and data identified and produced under the Contract?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Contracting Comments:			
<b>Worker's Compensation Policy or Medical Accident Insurance</b>	<b>YES</b>	<b>NO</b>	<b>N/A</b>
1. Does the Contractor have clear documentation of Worker's Compensation or medical/accident/disease insurance policies covering all WIA customers?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Are customers provided with adequate on-site medical and accident insurance?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Where customers are engaged in activities not covered under the Occupational Safety and Health Act of 1970, are there assurances that customers will not be exposed to training or working conditions which are unsanitary, hazardous, and/or dangerous to health and safety?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Worker's Compensation Policy/Medical Accident Insurance Policy Comments:			

<b>Equal Opportunity Compliance</b>			
<b>Equal Opportunity Officer (29 CFR 37.54 (d) (1) (ii))</b>			
Please name your agency's Equal Opportunity Officer and give their non EO Position Title:			
By what means has your agency made public the name, position title and telephone number (including free Relay Number 711 in NC) of the EO Officer:			
	<b>YES</b>	<b>NO</b>	<b>N/A</b>
1. Does your organization chart show the EO Officer's position in the organization?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Does your organization have a documented position description for the Equal Opportunity Officer that includes all EO related responsibilities? If so, please have available.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Has the Equal Opportunity Officer had training to ensure competency in the area of Equal Opportunity responsibilities?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
If yes, please provide a list of EO training sessions and dates attended by the EO Officer and list any future training sessions scheduled with dates.			

Equal Opportunity Officer Comments:			
<b>Notice and Communication</b>			
1. Are the Office of Civil Rights and Equal Opportunity notices displayed in areas accessible to staff, applicants, and customers?	YES <input type="checkbox"/>	NO <input type="checkbox"/>	N/A <input type="checkbox"/>
2. Is a signed copy of the EO Notice placed in each customer's file?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Please identify locations where the notices are available:			
Identify and provide documentation to substantiate the methods and frequency of dissemination of the Equal Opportunity Notice:			
Describe how the EO Notice is made available to individuals with disabilities:			
Notice and Communication Comments:			
<b>Assurances</b>			
1. Does the organization have written Equal Opportunity policies? If yes,	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Do they cover staff and customers funded by WIA?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Do the EO policies provide adequate systems to guarantee equal opportunity and nondiscrimination in programs funded under WIA including:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- The designation of an EO Officer and the public notification of this designation?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- Contract development that includes equal opportunity and nondiscrimination assurances and grievance procedures?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Are there procedures to ensure that all contractor staff are knowledgeable about Equal Opportunity rules and regulations and your EO Policies?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Do all WIA funded staff have in their possession a copy of the organization's Equal Opportunity Policy?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. Are policy issuances developed in manner that promotes non-discrimination?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Describe how your organization ensures that all staff are adequately trained regarding non-discrimination and equal opportunity responsibilities:			
Assurances Comments:			
<b>Universal Access</b>	<b>YES</b>	<b>NO</b>	<b>N/A</b>
1. Has the contractor made efforts (including outreach) to broaden the composition of the pool of those considered for participation and employment in their programs and activities in an effort to include members of both sexes, of the various racial and ethnic groups and of various age groups, as well as individuals with disabilities?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
If so, please include a summary of those efforts and/or copies of the following: targeting, outreach and recruitment plans, criteria for determining priority of service, plans for the JobLinks to expand the pool of those considered for participation or employment in their programs by race/ethnicity, sex, disability status, and age.			
	<b>YES</b>	<b>NO</b>	<b>N/A</b>
2. Are samples of brochures, posters, public service announcements, computer screens displaying related information and other publicity materials available for review? If so, please include copies:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Does your organization provide persons with limited English speaking abilities equal opportunities to participate in programs and activities as those who are proficient in English?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Do you provide customer information to persons with limited English speaking abilities in languages other than English? If yes, please provide a sample of those documents.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Universal Access Comments:			
<b>Accessibility (Section 504 of the Rehabilitation Act of 1973, as amended and 29 CFR 37.54 (d) (2) (v))</b>	<b>YES</b>	<b>NO</b>	<b>N/A</b>
1. Has the agency completed an accessibility analysis with the assistance of persons with disabilities or other specially qualified individuals within the last year?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- Is analysis available for review?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Have adequate steps been taken to address areas identified as problems?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

	YES	NO	N/A
3. Does the contractor assure that all areas of accessibility for persons with disabilities are within the guidelines of Section 504 of the Rehabilitation Act of 1974 and the Americans With Disabilities Act?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Have all problem areas been resolved? If no, please specify problems areas that continue to exist along with plans and timelines for resolution of the deficiencies:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Does agency have telecommunications devices for individuals with hearing impairments (TDDs) or equivalent as required by 29 CFR Part 34?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. Is there evidence that there are equal opportunities for participation for persons with disabilities?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. Has guidance been sought from Services for the Blind to determine if additional reasonable accommodations need to be made for current or potential customers with visual impairments? If yes, please include documentation of the guidance provided.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. Does literature and broadcast materials made available to the public include the following: <ul style="list-style-type: none"> <li>- "Equal Opportunity Employer/Program(s)"?</li> <li>- "Auxiliary aids and services are available upon request to individuals with disabilities"?</li> <li>- Indication of free relay number in North Carolina 711 or provision for equally effective means of communication with individuals with hearing impairments?</li> </ul> Please have copies of these materials available.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Comments on Accessibility:			
<b>Data Collection and Analysis (29 CFR 37.54(d) (1) (iv) and (vi))</b>			
1. Does the Title I WIA Service Provider collect the following demographic information for each registrant, applicant, eligible applicant, customer, employee and applicant for employment: <ul style="list-style-type: none"> <li>- Race/ethnicity?</li> <li>- Sex?</li> <li>- Age?</li> <li>- Disability status?</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Is there evidence that programs contribute to the elimination of sex stereotyping?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Has the Title I WIA service provider established a data collection and maintenance system for its Title I financially assisted programs to demonstrate equal opportunity performance?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
If yes, please provide a copy of the data collected:			
If no, please provide a plan with timelines to have the data collection and maintenance system in place regarding equal opportunity performance:			

Please provide an analysis of data collected by race/ethnicity and sex, of program and employment activity, including but not limited to rates of application, registration into WIA funded programs, job placement and outcomes:			
Data Collection and Analysis Comments:			
<b>Monitoring</b>	<b>YES</b>	<b>NO</b>	<b>N/A</b>
1. Does your agency have documented, policies and procedures for monitoring subcontractors (such as OJT) to insure Equal Opportunity compliance with those subcontracts?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Are there policies that address the handling of problems/issues that result from monitoring EO compliance?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Have any EO violations been identified with any subcontractors during the current program?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Have those problems been resolved? If no, please comment:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Are WIA Service providers aware of the Local Area's responsibility to monitor each service provider for Equal Opportunity Compliance?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Comments on Monitoring:			
<b>Discrimination Complaint Processing Procedures</b>	<b>YES</b>	<b>NO</b>	<b>N/A</b>
1. Are there written procedures for addressing complaints of non-criminal and program discriminations, including discrimination on the basis of handicap/disability?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Are procedures for grievances and complaints shared with staff and customers?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Do the written procedures contain provisions for the following:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- Initial, written notice to the complainant that contains an acknowledgement that the contractor has received the complaint, and a notice that the complainant has a right to be represented in the complaint process?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- A written statement, provided to the complainant, that contains a list of the issues raised in the complaint and for each issue, a statement whether the contractor will accept the issue for investigation or reject the issue, and the reasons for the rejection?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- A period for fact-finding or investigation of the circumstances underlying the complaint?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- A period during which the contractor attempts to resolve the complaint which includes alternative dispute resolution?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- Description of procedures to be followed if the complaint is filed more than 180 days after the date of the alleged violation?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



<b>Internal Monitoring</b>		<b>YES</b>	<b>NO</b>	<b>N/A</b>
1.	Has the Contractor established a procedure to monitor the WIA program files, progress, and performance on a continuous basis?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.	Have these procedures been documented and are they available for review? (Please have available)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.	Has the Contractor designated a staff person to be responsible for program monitoring? staff name _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.	Are Supervisors reviewing cases in Workforce Plus?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	- Is there documentation to support such reviews? (Please have available)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.	Are internal monitoring reviews being completed regularly?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	- Is there documentation to support such reviews? (Please have available)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.	Is there a procedure established to resolve any problem areas discovered during any of these internal monitoring reviews?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.	Does documentation exist to support that corrective action has been taken when appropriate?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Internal Monitoring Comments:				
<b>Program Management</b>		<b>YES</b>	<b>NO</b>	<b>N/A</b>
1.	Does the WIA Contractor currently provide all the activities/services outlined in the Proposal including: (Check the activities/services the Contractor is providing for WIA customers)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	- Case Management Services?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	- Full range of intensive services?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	- Supportive Services?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	- Employment Services (Work Experience, On-the-Job Training (OJT), Customized training?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	- Training Services through Individual Training Accounts and On-the Job Training?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	- Post-Employment/Follow-up Services?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.	Is the WIA Service Provider currently providing all intensive services as outlined in 134 (d)(3)(C) of the Act including:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	- Continuation of core services?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	- Comprehensive and specialized assessments?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	- Development of an individual employment plan?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	- Group counseling?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	- Individual employment counseling and career planning?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	- Case management?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	- Short-term prevocational services?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	- Referrals to community services?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	- Referrals to training?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	- Work experience?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	- Internships?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	- Supportive services?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	- Other: Specify _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.	Does each WIA case manager exhaust other available supportive service resources prior to committing WIA funds for those purposes?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Program Management Comments:				

<b>WIA Recruitment/Referral</b>		<b>YES</b>	<b>NO</b>	<b>N/A</b>
1.	Has the Contractor established procedures in conjunction with JobLink Partners to ensure appropriate and efficient referral of customers to intensive services?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.	Are the JobLink partners making referrals to the Intensive Services Case Managers when appropriate?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Describe the WIA customer outreach services:				
What other type of recruitment is being performed?				
Recruitment and Referral Comments:				
<b>WIA Intake/Eligibility Determination</b> (Review a sample of the Contractor's customer records to verify eligibility determination and verification documentation.)		<b>YES</b>	<b>NO</b>	<b>N/A</b>
1.	Based on a sample file review, has the Contractor met the eligibility documentation requirements as specified by Part 663 of the WIA Regulations?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.	Does the Contractor correctly verify and document those items of information pertinent to the determination of eligibility under the regulations?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.	Is the appropriate supporting documentation for eligibility in the files?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.	Has documentation of core services received been maintained on file for each customer?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.	Does the WIA Service Provider have a documented referral procedure for individuals who are not served by WIA?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.	Does the Contractor maintain individual files for eligible applicants or customers who choose not to participate in WIA services?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.	Are files maintained on all ineligible referrals, which indicates the reason the individual was not eligible for WIA services?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8.	Does the Contractor provide customer information on the full array of services available and the eligibility requirements?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
What systems are in place for determining priority of services for veterans, low-income individuals and those receiving public assistance where funds are limited? (Please attach a copy of form, if applicable.)				
What procedures are in place for determining suitability?				
WIA Intake/Eligibility Determination Comments:				

<b>Orientation</b>	<b>YES</b>	<b>NO</b>	<b>N/A</b>
1. Does the Contractor provide WIA orientation to all customers prior to enrollment?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Has the Orientation and Participant Rights form been completed with each customer, including the customer's signature and the date?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Is the signed copy of the Orientation and Participant Rights form maintained in each customer's file?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Has the Consent for Release of Confidential Information been completed and a copy retained in the customer file?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Orientation Comments:			
<b>Workforce Plus Reporting Requirements</b>	<b>YES</b>	<b>NO</b>	<b>N/A</b>
1. Does the contractor have cases that are "soft exit" eligible? (More than 90 days since last update to the case in Workforce Plus)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- Does the contractor have a system in place to monitor and avoid "soft exits".	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Is the Contractor keying forms within 10 working days from date of involvement including:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- Appropriate Intake/Assessment Information?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- Certification of eligibility?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- Registration?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- Service in new activities?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- Activity completion information?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- Training/Support Services?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- Enrollments/Outcomes?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- Job Referral and Placement Information?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- Employment Referrals and Outcomes Information?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- Employment Follow-up Information?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- Adult/DW/ Older Youth Outcomes Information?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Are individual case/meeting notes documented and maintained in the Workforce Plus System?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Reporting Requirements Comments:			
<b>WIA Assessment</b>	<b>YES</b>	<b>NO</b>	<b>N/A</b>
1. Does the Contractor's assessment include an evaluation of the following:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- Review of basic skills?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- Review of educational attainment?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- Review of occupational skills?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- Prior work experience/work history?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- Willingness to work?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- Employability?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- Interests and aptitudes?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- Supportive services needs?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
WIA Assessment Comments:			

<b>Employability Plan</b>	<b>YES</b>	<b>NO</b>	<b>N/A</b>
1. Has the Employability Plan been completed with a signature by each customer?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Does the Contractor incorporate all assessment information into the Employability Plan?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Does the Contractor prepare a list of supportive services needs and incorporate those needs into the Employability Plan?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Does the Employability Plan identify both long-term and current,/short-term employment goals?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Does the Contractor list specific action steps, dates for achievement, the responsible party, and referral contacts?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. Are goals and objectives clearly stated?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. Are the Employability Plans individually tailored for each customer?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. Is it evident the Contractor reviews and updates the Employability Plan as needs change?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9. Does the Contractor review and update the Employability Plan when a customer enters into or receives another service?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. Does the Contractor initial each update on the Employability Plan?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11. Does the WIA customer receive a copy of his/her Employability Plan?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12. Is there evidence that the Employability Plan is developed in a timely manner based upon the needs, interests, and aptitudes of the customer?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Employability Plan Comments:			
<b>Employment Counseling</b>			
	<b>YES</b>	<b>NO</b>	<b>N/A</b>
1. Does the Contractor document all employment counseling, and customer contacts in Workforce Plus?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Does the employment counseling documentation contain enough information to, at a minimum give an objective picture of each customer's situation as it relates to employment, ?,	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Is there evidence that the frequency and content of employment counseling is individualized to meet each customer's needs?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Counseling Comments:			
<b>Supportive Services</b>			
	<b>YES</b>	<b>NO</b>	<b>N/A</b>
1. Does the contractor utilize supportive service funds?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Is the need for payment supported by Employability Plan and the case notes?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Is there a full accounting of: - the basis for the support payment? - the name, address, and phone number of the individual to whom the supportive services payment was made? - A receipt for the supportive services rendered or purchased?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Are supportive services documented in the customer's Employability Plan?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Supportive Services Comments:			
<b>Individual Training Accounts</b>			
	<b>YES</b>	<b>NO</b>	<b>N/A</b>
1. Are ITAs explained and offered to the WIA customers who were unsuccessful under intensive services and are suitable for such services? - Is there a system for tracking ITAs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Does the service provider use NCSTARS to assist the customer in selecting training programs approved by the WDB?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Are Pell Grants and other financial assistance utilized prior to use of WIA funds for training services?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

4.	Is the training plan based on the individual's interests, aptitudes and abilities?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.	Is the Contractor only providing ITAs for the occupations in demand identified by the Region D WDB?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.	Describe the system for tracking ITAs			
7.	Does this tracking system ensure that the maximum annual/lifetime limits established by the WDB are not exceeded?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Individual Training Account Comments:				
<b>Work Experience</b>		<b>YES</b>	<b>NO</b>	<b>N/A</b>
1.	Is placement into a Work Experience consistent with the customer's Employability Plan or WIA customer's prior performance in earlier activities?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.	Is the Work Experience training length determination appropriately documented in the Employability Plan?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.	Are Work Experience placements made based upon results of the assessments and the individual needs of the customers?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.	Does the Contractor explain all the details of the contract including the necessity of work site visits, on-site counseling, subsidization, etc. to the employer?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.	Do Policies and Agreements address employer's responsibilities; service provider's responsibilities; and the participant's responsibilities?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.	Do Work Experience Agreements comply with <b>Section 181</b> of the WIA Act?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.	Are appropriate Work Experience contracts being developed consistently?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8.	Does the Contractor monitor the employer to ensure that customers are receiving the training specified in the Employability Plan?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9.	Do the customer files contain work site evaluations?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10.	Does the customer's time and attendance correspond to Work Experience invoices?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11.	Does the contracted wage rate correspond to actual wages paid?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12.	Are the following items maintained in the file:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	- Work Experience contract?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	- Customer performance evaluation report?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	- Invoices/time sheets?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Work Experience Comments				
<b>On-The-Job Training</b>		<b>YES</b>	<b>NO</b>	<b>N/A</b>
1.	Is placement into OJT activity consistent with Employability Plan or WIA customer's prior performance in earlier activities?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.	Are OJT placements appropriate and based on the results of the assessments and employment goals?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.	Is an OJT Pre-award checklist being used consistently and appropriately?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.	Does the Contractor ensure that employers understand the intended outcome of the OJT activity (unsubsidized employment)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.	Is a detailed occupationally specific Job Training Plan developed for each customer?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.	What assessments are being used to determine skill gaps for Training Plan?"			
7.	Does the OJT customer's time and attendance correspond to OJT invoices?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8.	Are customers being compensated at the same rates as similarly situated employees or at a minimum wage?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9.	Does the contracted wage rate correspond to actual wages paid?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10.	Does the Contractor monitor the employer to ensure that customers are receiving the training specified in the OJT subcontract?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11.	Is employment counseling being provided at the work site?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12.	Are the following items maintained in the OJT files?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- OJT contract (including training plan and skills gap assessment)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- Customer performance evaluation report	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- Invoices/time sheets	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
On-the-Job Training Comments:			
<b>Follow-up/Post-employment Services</b>	<b>YES</b>	<b>NO</b>	<b>N/A</b>
1. Is the WIA Contractor making follow-up services available to all WIA customers after exit from WIA services? (Check the post-employment services the Contractor is providing for WIA customers)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- maintaining regular contact including scheduled visits or appointments	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- providing employment counseling	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- obtaining paycheck stubs in the 1 <sup>st</sup> and 3 <sup>rd</sup> quarters after exit (if not in UI wage system)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Follow-up/Post-employment Services Comments:			

SECTION III Program Systems – Youth Services				
<b>Internal Monitoring</b>		<b>YES</b>	<b>NO</b>	<b>N/A</b>
1.	Has the Contractor established a procedure to monitor the WIA program files, progress, and performance on a continuous basis?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.	Have these procedures been documented and are they available for review? (Please have available)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.	Has the Contractor designated a staff person to be responsible for program monitoring? staff name _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.	Are Supervisors reviewing youth files in Workforce Plus?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	- Is there documentation to support such reviews? (Please have available)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.	Are formal monitoring reviews being completed regularly?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	- Is there documentation to support such reviews? (Please have available)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.	Is there a procedure established to resolve any problem areas discovered during any of these internal monitoring reviews?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.	Does documentation exist to support that corrective action has been taken when appropriate?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Program Management</b>		<b>YES</b>	<b>NO</b>	<b>referral</b>
1.	Are each of the ten program elements available or are being provided by the WIA service provider?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	- tutoring, study skills training, and instruction leading to completion of secondary school, including drop-out prevention	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	- alternative secondary school services	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	- summer employment opportunities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	- paid or unpaid work experiences	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	- occupational skills training	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	- leadership development opportunities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	- supportive services	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	- adult mentoring	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	- comprehensive guidance and counseling	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	- follow-up services	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.	Does the WIA service provider demonstrate that through the use of the ten program elements each youth customer is better prepared for employment or post-secondary education?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.	For each youth enrolled in summer employment opportunities, was each youth enrolled and receiving services prior to participating in this component?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.	Does the WIA service provider operate a comprehensive, year-round youth services program?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.	Has the WIA service provider enrolled out-of-school youth?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.	Has the WIA service provider spent at least 30% of their funds on out-of-school youth?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.	Does each WIA case manager exhaust all other available resources prior to committing WIA funds and services?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Program Management Comments:				

<b>WIA Recruitment/Referral</b>		<b>YES</b>	<b>NO</b>	<b>N/A</b>
1.	Please describe the customer outreach/marketing services that have been used for your youth program:			
2.	Is there a strong linkage with the school systems? If not, why?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3	Has the youth case manager or supervisor provided information to teachers/administrators in written and printed materials (for example at staff meetings)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.	What types of recruitment has been most successful and why?			
<b>WIA Intake/Eligibility Determination</b> (Review a sample of the Contractor's customer records to verify eligibility determination and verification documentation.)				
		<b>YES</b>	<b>NO</b>	<b>N/A</b>
1.	Are all enrolled youth between 14 and 21?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.	Are all enrolled youth income eligible?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.	Are all enrolled youth within one or more of the following: - deficient in basic literacy skills; - school dropout; - homeless, runaway, or foster child; - pregnant or parenting; - offender; or - an individual who requires additional assistance.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.	Did the Contractor correctly verify and document those items of information pertinent to the determination of eligibility under the regulations?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.	Is the appropriate support documentation for eligibility in the files?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.	Does the WIA Service Provider have a documented referral procedure for youth not served by WIA? Please list agencies and programs to which your agency made direct referrals for youth customers not served. How is it documented?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.	Does the Contractor maintain individual files for eligible applicants or customers who choose not to participate in WIA services?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8.	Are files maintained on all ineligible referrals, which indicates the reason the individual was not eligible for WIA services?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

WIA Intake/Eligibility Determination Comments:				
<b>Orientation</b>				
1.	Does the Contractor provide WIA orientation to all customers prior to enrollment?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.	Has the Orientation and Customer Rights form been completed with each customer, including the customer's signature and the date?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.	Is the signed copy of the Orientation and Customer Rights form maintained in each customer's file?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.	Has the Consent for Release of Confidential Information been completed and a copy retained in the customer file?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Orientation Comments:				
<b>Workforce Plus Reporting Requirements</b>				
1.	Does the contractor have cases that are "soft exit" eligible? (More than 90 days since last update to the case in Workforce Plus)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	- Does the contractor have a system in place to monitor and avoid "soft exits".	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.	Is the Contractor keying forms within 10 working days from date of involvement including:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	- Appropriate Intake/Assessment Information	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	- Certification of eligibility	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	- Service in new activities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	- Activity completion information	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	- Skill Attainment Information	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	- Job Referral and Placement Information	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	- Employment Referrals and Outcomes Information	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	- Employment Follow-up Information	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.	Are individual case/meeting notes documented and maintained in the Workforce Plus System?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.	Are the case notes up to date (within the last 10 working days?)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.	Are the case notes meaningful, relevant to the individual's goals and needs?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Reporting Requirements Comments:				
<b>Objective Assessment</b>				
1.	Has an objective assessment been completed for each enrolled youth?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.	Does the Contractor's assessment include an evaluation of the following:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	- a review of basic skills	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	- a review of educational attainment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	- a review of occupational skills	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	- prior work experience/work history	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	- willingness to work	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	- employability	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	- interests and aptitudes	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	- supportive services needs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.	Are basic skill goals being set for all in-school younger youth that test basic skills deficient?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.	Are literacy/numeracy activities set and updated for those who test basic skills deficient?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

<b>Individual Service Strategy (ISS)/Service Plan</b>	<b>YES</b>	<b>NO</b>	<b>N/A</b>
1. Has an ISS been completed and signed by each youth customer?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Does the Contractor incorporate all assessment information into the ISS?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Does the Contractor prepare a list of supportive services needs and incorporate those needs into the ISS?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Does the ISS identify both long-term and current/short-term employment goals?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Does the Contractor list specific actions steps, dates for achievement, the responsible party, and referral contacts?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. Are goals and objectives clearly stated?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. Is each ISS individually tailored?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. Does the Contractor review and update the ISS with the youth customer at least quarterly?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9. Does the Contractor review and update the ISS when the youth customer enters into or receives another service?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. Does the Contractor and youth customer initial each update on the ISS?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11. Does the youth customer receive a copy of his/her ISS?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12. Is there evidence that the ISS is begun prior to enrollment into activities?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
ISS Comments:			
<b>Employment Counseling</b>	<b>YES</b>	<b>NO</b>	<b>N/A</b>
1. Does the Contractor document all customer contacts and individual meetings notes sessions in Workforce Plus?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Does the recorded documentation contain enough information to, at a minimum, paint a picture of the needs of each youth, services provided, regularly scheduled contact with each youth, progress toward achieving individual skill goals and expected program outcomes?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Does it appear that the frequency of case manager contact with customers is adequate to meet each customer's needs?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Counseling Comments:			
<b>Supportive Services</b>	<b>YES</b>	<b>NO</b>	<b>N/A</b>
1. Does the contractor utilize supportive service funds?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Is the need for payment supported in the ISS?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Is there a full accounting of:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- the basis for the support payment?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- the name, address, and phone number of the individual to whom the supportive services payment was made?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- A receipt for the supportive services rendered or purchased?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Are all supportive services documented in Workforce Plus?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Supportive Services Comments:			

<b>Work Experience</b>	<b>YES</b>	<b>NO</b>	<b>N/A</b>
1. Is placement into a Work Experience consistent with the customer's ISS?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Are all Work Experience training length determination appropriately documented in the ISS?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Are Work Experience placements made based upon results of the assessments?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Does the Contractor explain all the details of the contract including the necessity of work site visits, on-site counseling, subsidization, etc. to the employer?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Do the Work Experiences offer the following components:			
- instruction in employability skills?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- exposure to various aspects of industry?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- progressively more complex tasks?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- internships and job shadowing?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- entrepreneurship?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- integration of basic academic skills into work activities?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Are appropriate Work Experience contracts being developed consistently?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. Does the Contractor monitor the employer to ensure that customers are receiving the training specified in the Employability Plan?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. Do the customer files contain work site evaluations?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. Does the customer's time and attendance correspond to Work Experience invoices?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9. Does the contracted wage rate correspond to actual wages paid?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. Are the following items maintained in the file:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- Work Experience contract?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- Participant performance evaluation report?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- Invoices/time sheets?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Work Experience Comments			
<b>Follow-up/Post-employment Services</b>			
1. Is the WIA Contractor currently providing all follow-up services? (Check the post-employment services the Contractor is providing for WIA customers)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- maintaining regular and meaningful contacts and meetings with the youth	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- providing employment counseling	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- assistance in securing better paying job	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- work-related peer support groups	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- adult mentoring	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- leadership development activities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- supportive services	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- tracking progress and outcomes related to performance	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>