

October 10, 2019

## **WORKFORCE DEVELOPMENT FIELD INFORMATION MEMO - NO. 19-05**

TOPIC: Workforce Innovation and Opportunity Act (WIOA) Program Monitoring

1. **Purpose:** To provide information and guidance on temporary procedures for the monitoring of the WIOA programs. This memo supersedes memo 19-04 issued July 30, 2019.
2. **Background:** WIOA requires annual monitoring of programs.
3. **Substance:** Iowa Workforce Development (IWD) Workforce Services Division (WFS) staff will conduct monitoring as outlined below:

### **A. Second Quarter Statistical Analysis of Program Participation**

**Sampling:** IWD will run reports from IWorks and IowaWORKS and may ask local areas to provide documentation of referrals to title I from which a random sample from each area will be selected for review.

**Monitoring Dates:** Monitoring will occur between October 28 and December 31, 2019. It will include data and files from program year 2018 and program year 2019 to current.

**Monitoring Scope:** Monitoring will be conducted remotely and include evaluations of:

- 1) Referrals to Title I, the number of referrals, and the percentage enrolled
- 2) Application of Veteran and adult priority of service and enrollment determination
- 3) Co-enrollment between the Title I Dislocated Worker and Trade programs
- 4) Caseload sizes and ratio of staff to participants

**Monitoring Criteria:** Case files, supporting documentation, and reports from IWorks and IowaWORKS will be used. Monitoring may result in one or more of the following outcomes:

- 1) **Promising Practices:** Areas of notable effectiveness that may be recognized as best practices
- 2) **Areas of Concern:** Issues of quality that are not attributable to a failure to comply with policy or program requirements that may be a symptom of a larger problem or lead to non-compliance in the future. Concerns may result in recommendations from IWD and do not require a response from the local area
- 3) **Findings:** Issues that can be cited as non-compliance with policy or program requirements. Findings will require a response from the local area, to include a corrective action plan, to resolve the finding

**Monitoring Report:** IWD will compile a report for each local area and present it to the Chief Elected Official (CEO) Chair, the chair of the Local Workforce Development Board (WDB), and the Title I Director. The report will contain a summary of the local area monitoring to include promising practices, areas of concern, and findings.

**Monitoring Response:** Local areas must provide IWD with a written response to the report. The response must include corrective action plans for each non-compliant finding that address specific steps to correct the finding and timelines for making the corrections.

## **B. Third Quarter Follow-Up Review**

**Sampling:** A random sample of files with closures and exits will be pulled from each local area.

**Monitoring Dates:** Monitoring will occur between January 1 and March 31, 2020. It will include data and files from program year 2018 and program year 2019 to current.

**Monitoring Scope:** Monitoring will be conducted remotely and will include a comprehensive review of files with program closures and exits. It will include, but is not limited to a review of the following:

- 1) Follow-up services, to include assurance they were universally offered and the documentation of follow up services and opt out reasons
- 2) Follow-Up Form, to include completion of the form when applicable
- 3) Post exit documentation

**Monitoring Criteria:** Case files and reports from IowaWORKS will be used. Monitoring may result in one or more of the following outcomes:

- 1) **Promising Practices:** Areas of notable effectiveness that may be recognized as best practices
- 2) **Areas of Concern:** Issues of quality that are not attributable to a failure to comply with policy or program requirements that may be a symptom of a larger problem or lead to non-compliance in the future. Concerns may result in recommendations from IWD and do not require a response from the local area
- 3) **Findings:** Issues that can be cited as non-compliance with policy or program requirements. Findings will require a response from the local area, to include a corrective action plan, to resolve the finding

**Monitoring Report:** IWD will compile a report for each local area and present it to the Chief Elected Official (CEO) Chair, the chair of the Local Workforce Development Board (WDB), and the Title I Director. The report will contain a summary of the local area monitoring to include promising practices, areas of concern, and findings.

**Monitoring Response:** Local areas must provide IWD with a written response to the report. The response must include corrective action plans for each non-compliant finding that address specific steps to correct the finding and timelines for making the corrections

## **C. Fourth Quarter Enhanced Desk Review**

**Sampling:** A random sample of files will be pulled to allow for the review of Adult, Dislocated Worker, and Youth files in each local area.

**Monitoring Dates:** Monitoring will occur between April 1 and June 30, 2020. It will include data and files from program year 2018 and program year 2019 to current.

**Monitoring Scope:** Monitoring will be conducted remotely and will include a comprehensive review of the file and case management in the Title I program from application to exit. It will include, but is not limited to a review of the following:

- 1) Compliance with Title IB program policies
- 2) Compliance with state and local plans
- 3) Data entry in IowaWORKS

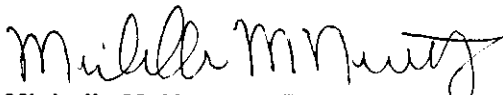
**Monitoring Criteria:** A standardized monitoring tool will be used. Monitoring may result in one or more of the following outcomes:

- 1) **Promising Practices:** Areas of notable effectiveness that may be recognized as best practices
- 2) **Areas of Concern:** Issues of quality that are not attributable to a failure to comply with policy or program requirements that may be a symptom of a larger problem or lead to non-compliance in the future. Concerns may result in recommendations from IWD and do not require a response from the local area
- 3) **Findings:** Issues that can be cited as non-compliance with policy or program requirements. Findings will require a response from the local area, to include a corrective action plan, to resolve the finding

**Monitoring Report:** IWD will compile a report for each local area and present it to the Chief Elected Official (CEO) Chair, the chair of the Local Workforce Development Board (WDB), and the Title I Director. The report will contain a summary of the local area monitoring to include promising practices, areas of concern, and findings.

**Monitoring Response:** Local areas must provide IWD with a written response to the report. The response must include corrective action plans for each non-compliant finding that address specific steps to correct the finding and timelines for making the corrections.

4. **Action:** This memo should be shared with LWDB and CEO Board Members, Title I Directors, and appropriate WIOA program staff. Title I Directors must ensure all requested documentation is provided within two business days of request. Local areas must provide IWD with a corrective action plan to address any non-compliant findings.
5. **Effective Date:** This field memo is effective from the date of this memo.
6. **Contact:** If there are any questions related to the information in this issuance, contact Molly Van Wagner at 515-725-1115 or [margaret.vanwagner@iwd.iowa.gov](mailto:margaret.vanwagner@iwd.iowa.gov).



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