

Monitoring Checklist

Client Name _____ Last 4 _____ Exited, Active A, DW, RR, Y, ARRA, JAG, TAA, VET, ABE

Dates: Participation _____ Enrollment/Application _____ Exit _____

Missing or conflicting data elements – check all items missing from the Participant (P) screen or the Application (A) screen:

	P	A		P	A		P	A		P	A	
Last Name			Birth date			Home address			Disability			Farm/Seasonal Worker
First Name			SS #			Home phone			Employed			Highest Grade Completed
Gender			Hispanic			County			Military service			Rutgers Study Highest Grade At Registration
Citizenship			Race			Email address			Vet Spouse?			Self-reported UI Status

	Yes	No	Notes
If unemployed, last day of employment			
If TAA, was a petition filed?			Petition #:
Are 2 or more Interested Others listed for youth and/or training?			
Are Case/Service Managers listed for youth and/or training?			
Are obligations set up for service, youth and/or training as needed?			

Enrollment/Application screens:

Note any discrepancies between the application and the participant screens:

Services:

	Yes	No	Notes
Does funding stream match enrollment? (A, DW, Y, Etc)			
Are there Basic/ Core Services?			
Are there Intensive / Individualize Services?			

Case notes:

	Yes	No	Notes
Does a comparison of case notes and services reveal discrepancies?			
Note discrepancies			
Do case notes indicate credentials were earned?			
Do case notes indicate tests taken and scores?			

Goals:		Yes	No	Notes
Do goals have reasonable completion dates?				
Are goals closed upon completion?				
Are goal-setting and goal completion documented in corresponding case notes?				
Are credentials listed that were earned as a result of training provided?				
Are test scores entered?				

Client Files:

Are all proper documents in the client's file?		Yes	No	Notes

Youth and Training files:		Service	Case Notes	Paper File	Service	Case Notes	Paper File
Application for all programs							
Citizenship Verification							
Selective Service Record							
DW documentation							
ISS							
LMI							
Career Interest Inventory / TABE							
Drug screen documentation							
FAFSA							
Youth Only files:							
Birth Certificate / Soc. Security Cards (client & dependents)							
Income worksheet and documentation							
IEP							
JAG Specific:							
JAG Pre & Post Tests / GED Pre-Test							
ICC resume & cover letter							
Stipend/Incentive documentation							
Competency list, group speakers, group projects							

REGION 11 2015-2016 MONITORING SCHEDULE

Vanderburgh County Reviews

- 1 WK Email (informing about upcoming Desk Review) 9-28-15
- The Desk Review 10-5-15 -10-9-15
- Site Visit Review 10-15-15
- Report Write up 10-19-15
- Email Report Out 10-20-15
- Report Due Back from Office 11-4-15
- Actually Date Report was received from Office 11-4-15

KNOX COUNTY REVIEWS

- 1 WK Email (informing about upcoming Desk Review) 10-13-15
- The Desk Review 10-20-15- 10-22-15
- Site Visit Review 10-22-15
- Report Write up 10-27-15
- Email Report Out 10-28-15
- Report Due Back from Office 11-11-15
- Actually Date Report was received from Office 10-29-15

DUBOIS COUNTY REVIEWS

- 1 WK Email (informing about upcoming Desk Review) 10-26-15
- The Desk Review 11-2-15
- Site Visit Review 11-6-15
- Report Write up 11-7-15
- Email Report Out 11-13-15
- Report Due Back from Office 11-30-15
- Actually Date Report was received from Office 11-30-15

WARRICK COUNTY REVIEWS

- 1 WK Email (informing about upcoming Desk Review) 11-30-15
- The Desk Review 12-07-15
- Site Visit Review 12-16-15
- Report Write up 12-18-15
- Email Report Out 1-8-2016
- Report Due Back from Office 1-15-2016
Actually Date Report was received from Office 1-5-16

GIBSON COUNTY REVIEWS

- 1 WK Email (informing about upcoming Desk Review) 11-30-15
- The Desk Review 12-8-15
- Site Visit Review 12-11-15
- Report Write up 12-11-15
- Email Report Out 12-15-15
- Report Due Back from Office 12-29-15
Actually Date Report was received from Office 12-29-15

PERRY COUNTY REVIEWS

- 1 WK Email (informing about upcoming Desk Review) 12-02-15
- The Desk Review 12-07-15 – 12-09-15
- Site Visit Review 12-17-15
- Report Write up 12-18-15
- Email Report Out 1-7-2015
- Report Due Back from Office 1-21-16
- Actually Date Report was received from Office 1-21-16

PIKE COUNTY REVIEWS

- 1 WK Email (informing about upcoming Desk Review) 11-02-15
- The Desk Review 11-09-15- 11-12-15
- Site Visit Review 11-20-15
- Report Write up 11-30-15
- Email Report Out 12-02-15
- Report Due Back from Office 12-16-15
- Actually Date Report was received from Office 12-16-15

POSEY COUNTY REVIEWS

- 1 WK Email (informing about upcoming Desk Review) 12-10-15
- The Desk Review 12-10-15
- Site Visit Review 12-17-15
- Report Write up 12-19-15
- Email Report Out 1-06-16
- Report Due Back from Office 1-21-16
- Actually Date Report was received from Office 1-21-16

SPENCER COUNTY REVIEWS

- 1 WK Email (informing about upcoming Desk Review) 12-14-15
- The Desk Review 12-21-15
- Site Visit Review 12-23-15
- Report Write up 1-05-16
- Email Report Out 1-07-16
- Report Due Back from Office 1-12-16
- Actually Date Report was received from Office 1-12-16

WORKONE MONITORING REPORT
PROGRAM YEAR 2015-2016

Report date: October 20, 2015

Date of Review: October 14, 2015

Site Location: Vanderburgh Workone Office

RO Staff present: Breasha Pruitt

Provider Staff present/interviewed: Nancy Schroering, Peg Boardman

Program reviewed: WIOA Adult, Dislocated Worker, and Youth

Number of files reviewed: 39

General narrative of visit:

RO staff visited the Vanderburgh County WorkOne Center in Evansville, IN to perform a monitoring report for the Vanderburgh County Office.

Upon arrival and entry into the building and WorkOne office, RO staff noted the accessibility of the WorkOne location for persons with disabilities, especially mobility issues. The building was constructed to meet ADA requirements and is accessible. The handicapped doors are signed and function properly. There are six well-marked handicap parking spaces. Signage is prominently displayed including Vet services, EEOC, Customer Bill of Rights, minimum wage laws, and no weapons policy. The IRA displays community resource information, as well as a variety of job search resources such as TV monitors, ONET and ICC. Signs now indicate areas of the specific services offered throughout the building.

Upon customer arrivals, Welcome Team staff members explain the services offered by the WorkOne and how to access all the services at WorkOne. A community resource packet is provided which includes unemployment information, ICC information, WorkKeys testing information, computer class information, access times for core workshops and a brief description of the workshop content. Childcare referral information is made available to customers upon request.

The Vanderburgh WorkOne Center offers basic skills and remedial training through the ABE program. Online core workshops are available including a WorkOne Orientation, Filling for Unemployment, ICC, Work Readiness, Resume Help, Job Search, Interviewing, Career Interest Inventory, Healthy Lifestyles, Digital Literacy and Financial Literacy.

Case Management Team services involve one-on-one career planning and counseling. Training contract processes follow Region 11 standard operational procedure based on state policies.

Business Team services include customized job matching services with ICC, employer training for ICC entry of job orders, and customer referral per employer specifications. The Business Team members offer one-on-one employment counseling and job search assistance to customers. An On-the-Job Job Training specialist works with both employers and WorkOne teams to quickly place eligible customers in the workplace. Business Team services also utilize community partners, job fairs, and agency fairs.

Youth programs currently utilize recruitment strategies including front door recruitment, partnerships with youth servicing organizations and counselors at local schools, plus a fully operational JAG program for in school youth. WorkOne's partnership with Community Marriage Builders ceased the end of September 2015.

WIOA training funds are tracked through a service provider fiscal unit, the TrackOne fiscal mode, and the fiscal unit. Each Region 11 office has assigned allocations.

Evansville Vanderburgh County

Adult and Dislocated Workers:

Tracie Toy

- Janet Burnett 3373
 - WIOA – Basic Skills Deficient Adult and Youth Question is not answered
 - In T1- Priority of service question is not answered
 - In T1- goal has expired- needs to be updated

- Keith Schorr 4620
 - No Findings

- Lisa Mattingly 4811
 - No Findings

Aaron Deckard

- Elijah Brooks 5668
 - WIOA – Basic Skills Deficient Adult and Youth Question is not answered
 - In T1- Incumbent Worker question is not answered

- Robert Young 5295
 - In T1- Priority of service question is not answered
 - WIOA – Basic Skills Deficient Adult and Youth Question is not answered
 - In T1- Incumbent Worker question is not answered
 - Hourly wage listed for client says \$100.00 an hour- is this correct?

Lisa Throop

- Margaret Carter 4695
 - Since client is ineligible for training – goals est. time needs to be updated

- Shaquita Hill 7971
 - No signatures of client on voucher #290953

- Larissa Overfield 9095
 - Voucher #293344- not signed by client

- Carrie Daugherty 8200
 - In T1- Incumbent Worker question is not answered
 - WIOA – Basic Skills Deficient Adult and Youth Question is not answered
 - In T1- Priority of service question is not answered
 - Goal has expired – needs to be updated with a new date
 - Voucher # 293344- clients signature is missing

Trina Young

- Ronalee Hardy Munson 9603
 - Client files- Voucher #293041 – signature missing from client
 - Estimated Completion date for goal has expired

- Michael Horne 0814
 - Case note 6/8 states ECA created- ECA missing from clients file
 - Voucher 286279 scanned in two times (duplicate)
 - Voucher 286279 for \$1,450.00 – clients signature is missing
 - Resume – missing
 - In the youth manual page 21 if youth regardless of age if funded stream is paid by youth not adult then a drug screen information doesn't have to be included in the file. Based on case note 6/1/2015 it reads like the client was sent to take a drug test but notes do not follow up on results being acceptable to proceed to training. The case note to a monitor provides information as the client took a drug test but results were not provided but the client proceeded to the next step.

Misti Sandefur

- Samuel Harris 1522
 - No Findings

- Steven Jones 1660
 - No Findings

Marinia Minter

- Keria Barnes 6172
 - LMI – Missing
 - Voucher #293449- clients signature is missing

- Lashelle Stewart 7241
 - Only 1 goal listed
 - LMI- missing
 - Voucher #291404 – clients signature is missing
 - Voucher # 289757- clients signature is missing

- Latanya Ivy 1658
 - In T1- Incumbent Worker question is not answered
 - WIOA – Basic Skills Deficient Adult and Youth Question is not answered
 - In T1- Priority of service question is not answered
 - LMI form- missing
 - Update goal- due to client drop out of CNA class
 - ECA missing
 - Voucher # 285554- not signed by client

- Courtney Payne 0028
 - Voucher # 293173- signature of client missing
 - TABE scores- missing

- Adele Cole 0902
 - In T1- Incumbent Worker question is not answered
 - WIOA – Basic Skills Deficient Adult and Youth Question is not answered
 - In T1- Priority of service question is not answered

Youth Case managers/clients:

Audrey Buckman

- Khyheim Douglas 0054
 - In T1- Incumbent Worker question is not answered
 - WIOA – Basic Skills Deficient Adult and Youth Question is not answered
 - Paper File/T1 -Voucher # 286318- missing signature

- Joshua Gwaltney 0575
 - In T1- Incumbent Worker question is not answered
 - WIOA – Basic Skills Deficient Adult and Youth Question is not answered
 - In T1- Priority of service question is not answered

- Gage Mannie- Sahli 5851
 - In T1- Incumbent Worker question is not answered
 - WIOA – Basic Skills Deficient Adult and Youth Question is not answered
 - In T1- Priority of service question is not answered
 - In T1- “Goals Attained” are not documented in the case notes
 - Drug Screen Referral- The Workone Location- not answered

Rhonda Drake

- Henry Dozier 9935
 - T1 Application- Hispanic/ Latino question- not answered
 - In T1- Priority of service question is not answered
 - In T1- Incumbent Worker question is not answered
 - WIOA – Basic Skills Deficient Adult and Youth Question is not answered

- In T1- TABE scores – missing
 - In T1 – client files- scanned in 12/13/2013 at 2:35pm is labled “ H. Dozier Doc” – to better identify the document a more specific name should be used to inform what the actually document is.
 - Resume & Cover Letter – missing
 - Paper files/ T1- Page 3 of the application is not in order in the paper file
 - Paper files/ T1= Youth Information Form- Counselor’s Name is missing
 - Fafsa form/confirmation form – is missing / (client was accepted to IVYTECH)
- Malik Venson 9248
 - In T1- Priority of service question is not answered
 - In T1- Incumbent Worker question is not answered
 - WIOA – Basic Skills Deficient Adult and Youth Question is not answered
 - Paper file/T1- Form checks “ yes” for IEP- IEP documentation missing
 - Track one- Diploma is not uploaded under “ credentials
 - No resume
 - No cover letter
 - No fafsa form/confirmation letter – client is attending college
- Romanno Wright 8761
 - Participant screen- “Self-reported UI Status” question - not answered
 - In T1- Priority of service question is not answered
 - WIOA – Basic Skills Deficient Adult and Youth Question is not answered
 - In T1- Family Income- SSDI /High Poverty Area- not answered
 - In T1- Interested others- only one listed- needs to be a minimum of two listed
 - In T1- Goals are still open and according to case notes, some were obtained- case notes need to reflect the status of goals
 - Case note 3/20/2015- client worked on resume but Resume and cover letter- missing
- Khaleigha Johnson 3241
 - Paper files has a “ stem award winner certificate”- not found in T1
 - To better identify the document a more specific name should be used to inform what the actually document is. (Khaleigha Johnson Documentation.pdf)
 - TABE scores are enter- do not see a case note
 - In T1 in the Enrollment and Application screen- “Self – reported UI Stats” question – not answered
 - Resume & Cover letter- missing
 - Paper file- Voucher # 289041- needs to be hole punched & placed in file
- Aaliyah Burton 3234
 - T1- Self –reported UI Stats question- not answered
 - WIOA – Basic Skills Deficient Adult and Youth Question is not answered
 - In T1- Priority of service question is not answered
 - In T1- Incumbent Worker question is not answered

- Resume & Cover letter – missing
- Income sheet- missing

Jennifer Smith

- Caitlyn Nelson 6105
 - WIOA – Basic Skills Deficient Adult and Youth Question is not answered
 - In T1- Priority of service question is not answered
 - In T1- Incumbent Worker question is not answered
 - Client earned CNA certificate- not documented in case notes
 - Client attended training for CNA for \$1300.35, - Voucher missing for this amount
 - Client entered training – Drug testing referral form- missing

Bethany Phillips

- Jajuan Bridges 7055
 - Paper files/T1- Understanding and agreement form- missing signatures
 - Paper files/T1 Equal Opportunity – (I-9) form- Not filled out
 - Paper files TABE scores- missing
 - Paper files/T1 Client Application – missing signatures

- Brianne McReynolds 3804
 - In T1- Incumbent Worker question is not answered
 - Paper files- Paper worked checked “Yes” for IEP- but did not see IEP documentation in file

- Octavia Smith 9210
 - In T1- Incumbent Worker question is not answered
 - WIOA – Basic Skills Deficient Adult and Youth Question is not answered
 - In T1- Priority of service question is not answered
 - Paper Files- Youth Enrollment Form- Family Stats question- missing information
 - Paper Files/ T1- Voucher #286270- client signature missing

- Leah Simpson 1310
 - In T1- Incumbent Worker question is not answered
 - WIOA – Basic Skills Deficient Adult and Youth Question is not answered
 - Paper File/T1 Voucher #280581 is missing a signature
 - Paper file/T1 Voucher #286332 is missing a signature
 - Paper file- Cover letter is missing
 - In T1- Priority of service question is not answered

Kathrin Hast

- Tania McCord 5054
 - T1- interested others- non listed , minimum of 2 are required
 - In T1- Incumbent Worker question is not answered
 - WIOA – Basic Skills Deficient Adult and Youth Question is not answered
 - Client has received Diploma- not in credentials or in case notes
 - Resume & Cover letter – missing
 - More specific in depth goals- “ 2nd goal – obtain info post second school”
 - JAG Competency Pre/Posttest – missing

- Tyler Heath 2003
 - Enrollment/Application- IEP listed- but not in client file
 - Enrollment/Application- Barriers questions- need to be answered
 - In T1- Incumbent Worker question is not answered
 - WIOA – Basic Skills Deficient Adult and Youth Question is not answered
 - In T1- Priority of service question is not answered
 - Questions such as; SNAP/food stamps, general assistance, refuge cash, free or reduced lunch, SSDI – not answered
 - Resume and cover letter –missing

- Adia Eldridge 2683
 - In T1- Incumbent Worker question is not answered
 - WIOA – Basic Skills Deficient Adult and Youth Question is not answered
 - Resume and cover letter – missing

- De-Vontay Carter 5245
 - Only 1 interested other listed- need one more listed at the minimum
 - Exit date on home screen and case note(7/27/15) does not mention exit date
 - Selective Service documentation – missing
 - Income worksheet- missing
 - JAG referral form- missing
 - IEP- missing
 - Youth Information Form- incomplete

Sherri Montgomery

- Prince Harris 3541
 - Only 1 person listed in interested others
 - Goals- all need to be updated with stats.
 - Application- clients signature is PRINTED , needs to be SIGNED
 - Equal Opportunity form- clients signature is PRINETED , needs to be signed
 - File states IEP- documentation is missing
 - Selective Services Question- needs to be updated- client is now of age and should be registered

- Ke'Vondra Hardin 6106
 - Only 1 interested other listed
 - Migrant Seasonal Farm Worker and Food Processing- not answered
 - Selective Services Question- needs to be updated- client is now of age and should be registered

- Shelby Sebree 6590
 - WIOA – Basic Skills Deficient Adult and Youth Question is not answered
 - In T1- Priority of service question is not answered
 - IEP documentation missing
 - Resume and Cover letter – missing
 - T1 – Goals are explained completed in case notes 8/5 but not updated in the goals section
 - Goals need updated – Client is a senior now
 - Program Referral Sheet- signature and date missing from staff
 - Program Referral Sheet- Home address and phone – not answered
 - JAG Pretest- missing

- Alvasia Thompson 9732
 - Diploma – missing from file
 - FAFSA confirmation sheet- missing from file
 - JAG competency pretest missing
 - Resume and Cover letter- missing
 - T1- Goals need to be updated/ changed to attained – client has graduated
 - Case note 12/3/2013- Empty (Blank)

GENERAL ISSUES:

Applications are contracts that should be answered completely and signed by the client and all parties involved.

As noted in the previous year monitoring report, youth files should all be in the same or similar content, arrangement and secure in folder.

All questions on the enrollment screen in TrackOne should be answered completely.

When case noting, it's important to title the case note accurately by providing a title that explains what the actual case note details.

When "Goals" are met by the client, please make sure a case note is entered.

Once "Goals" have expired and the client has not attained the goal please update the estimated completion date with a new one.

When a "Credential" is earned please make sure it's scanned into the "Credential" tab in TrackOne and a case note is entered.

Interested others- at least 2 names with contact information should be listed.

Vouchers should include the signature of the client at all times.

When documenting a co- enrolled (youth/adult but training paid by youth) please include the information in the case note (funding stream was paid by youth not adult) so monitors will know the reason why a follow up on drug screen results were not entered even though the client proceeded to the next step.