

# Merced County

## Private Industry Training Department

### One-Stop Monitoring Procedures

**Purpose:** To provide oversight of the One-Stop delivery system in accordance with the Workforce Investment Act (WIA) Section 121.

**General:** The One-Stop delivery system is a customer-focused program designed to merge the services of various human resource entities into a single network of training providers. Its goal is to enhance the quality and accessibility of workforce development services available to eligible customers. Today's customers, via the One-Stop system, will have a greater role in the decision making process of identifying and choosing their particular training / career paths. Through the One-Stop, customers will have access to a full array of training services, have greater control over their career paths and experience a higher level of customer satisfaction. The Work Force Investment Act recognizes that a high level of customer choice/satisfaction promotes self-esteem, self-sufficiency and is instrumental to successful goal attainment. Services provided through the One-Stop can be grouped into three service categories: core, intensive and training.

**One-Stop Partners:** Merced County currently has a network of 10 local One-Stop partners. These include:

- a) California State Employment Development Department (EDD)
- b) California State Department of Rehabilitation
- c) Central Valley Opportunity Center (CVOC)
- d) Merced College
- e) Merced County Community Action Agency (MCCAA)
- f) Merced County Housing Authority
- g) Merced County Human Services Agency (HSA)
- h) Merced County Office of Education (MCOE)
- i) Merced Union High School District
- j) Merced County Private Industry Training Department

Each partner will provide a service representative at the One-Stop during specified periods. Scheduled staffing times for each partner is provided at Attachment 3

#### **Monitoring Procedures:**

The following procedures provide guidance for the overall implementation and administration of compliance reviews of the Merced County One-Stop delivery system. The intent of these procedures is two-fold: 1) to establish a uniform monitoring process; and 2) to ensure a high level of program quality by the One-Stop system.

**MOUs:** In accordance with the WIA, Memorandums of Understanding (MOUs) will be developed between each One-Stop partner and the local Workforce Investment Board (WIB). The MOUs are collaborative agreements, which stipulate the specific services that each partner will provide to eligible customers. The MOUs will be the **source documents** for the monitoring of the One-Stop partners. Each MOU's boilerplate section (specifying the requirements common to all partners) will be reviewed for currency and compliance. In addition, a checklist specific to each partner will be developed from their MOU (work statement) to verify compliance with the terms and condition of the agreement

**MOU filing location:** MOUs will be filed in the monitoring section's file cabinet under the header of "One-Stop." As the MOUs are working documents subject to change, PITD's contracting department will be contacted on a periodic basis to obtain any updates, amendments or other changes. **Currency of these source documents is vital.**

**Frequency of Monitoring:** Compliance reviews will be conducted at least once a year for each One-Stop partner. A monitoring schedule will be developed to manage the monitoring reviews. The schedule will be posted at the front of the MOU file section. It is imperative that the schedule be kept current. Following each review, the monitoring schedule will be updated to reflect the latest status; i.e. closed, pending corrective actions, or other pertinent information. The program manager will be kept informed as to the status of the reviews.

**Desk reviews:** Pertinent partner information accessible at PITD's main office, such as insurance certifications, personnel qualifications, catalogs, grievance procedures, etc., will be reviewed for currency and compliance with the MOU. A listing of the documents reviewed will be included in the monitoring report.

**Entrance/Exit conferences.** An entrance/exit conference date will be coordinated with the partner's management staff (telephone coordination is acceptable). During the entrance conference, the purpose of the compliance review, records needed, and a monitoring date will be discussed. The exit conference serves as a means to discuss the findings of the monitoring review with the management staff and resolve issues. It also serves as a forum to discuss recommendations and to highlight positive areas.

**On-site reviews:** The on-site review is an actual visit with the partner to evaluate the level of compliance with the terms and conditions of the Local Agreement and WIA requirements. In an effort to streamline the time involved for this process, a random sample of the partner's contractual obligations and Federal requirements will be reviewed. However, keep in mind the sample should be of sufficient size and substance to make an objective assessment of the quality of the program, and whether or not the partner is in compliance with the general terms of the contract.

**Routing of Reports:** Completed reports will be coordinated with the Program Manager for review and approval. Reports will be submitted with a Notification of Report form for the director's or deputy director's signature, and a transmittal letter for the Program

Manager's signature. Finalized original reports will be forwarded to the respective partner, with a courtesy copy provided to the One-Stop operator. A copy will also be provided to the PITD contracting department. For reports that have findings, an adequate response time, thirty days maximum, will be given to the partners so they can address their corrective actions. If the partner does not submit a written response within the allotted time, a follow-up letter, signed by the Program Manager, will be forwarded to the partner.

**Completed Reports:** Completed reports will be filed in the "Reports" section of the Monitoring department's filing cabinet. All reports will be maintained for a three-year period. Ensure the monitoring schedule is updated to reflect the current status.

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Monitoring checklist

Responsibilities of One-Stop

Staffing schedule

Monitoring schedule

## One-Stop Monitoring Check List

The following general items may be checked during the compliance review:

- Do the MOUs contain the following provisions describing:
  - a) The services to be provided through the One-Stop?
  - b) How the costs of such services and the operating costs of the system will be funded?
  - c) Methods for referral of individuals between the One-Stop operator and the One-Stop partner, for the appropriate services and activities?
  - d) The duration of the MOU and procedures for amending the MOU during the term of the MOU? Ref. 121 (c) (2) WIA
- Do all partners use a common intake and referral process, to include forms? This will assure a standardized approach.
- Have cross training efforts with other One-Stop partners been devised and implemented?
- Are optional partners (those not specifically required by the Act) approved by the local Board? Are MOUs on file? (Ref. 662.210 & 121 Act)
- Is a representative from the partner present at the One-Stop IAW the MOU?
- How are the partners keeping track of the number of clients served and referrals made? Are appropriate methods in place to track customers being served in core, intensive or training services.
- Are supportive services authorized to adults who: 1) are enrolled in core, intensive, or training services; and 2) are unable to obtain supportive services? Are these services necessary to enable individuals to participate in Title 1 activities? Ref. 101 (46) WIA
- Are needs-related payments authorized to adults who: 1) are unemployed; 2) do not qualify for, or have ceased qualifying for, unemployment compensation; and 3) are enrolled in a program of training services under WIA? Ref. 134 (d) (4) WIA
- Are One-Stop partners located in a central location to promote accessibility?
- Method used to assess customer satisfaction.

- Have grievance procedures been established between the partners, the One-Stop operator and the participants?
- Is WIA funding for training (ITA) limited to participants who are unable to obtain grant assistance from other sources to pay the costs of training, or who require assistance beyond that available under grant assistance? "WIA funds supplement other sources of training grants." Ref.134 (d) (4) (B) WIA
- Does each required Member have representation on the Local Board? WIA 117(b)(2)(A)(vi)
- Are individual employment plans (IEP) written to identify employment goals?
- Have participants receiving intensive services previously received at least one core service? 663.160 Final Rule.
- Is a Determination of Need contained in the participant's case file for participants receiving intensive services? 663.160 final rule

## **Responsibilities of the One-Stop partner.**

Ref. 662.230 Federal Register

All required partners must:

- (a) Make available to participants through the one stop delivery system the core services that are applicable to the partner's program: (WIA section 121 (b) (1) (A)).
- (b) Use a portion of funds made available to the partner's program, to the extent not inconsistent with the Federal law authorizing the partner's program, to:
  - (1) Create and maintain the one-stop delivery system; and
  - (2) Provide core services: (WIA sec. 134(d) (1) (B))
- (c) Enter into a memorandum of understanding (MOU) with the Local Board relating to the operation of the One stop system that meets the requirements of 662.300 , including a description of services, how the cost of the identified services and operating costs of the system will be funded, and method for referrals (WIA sec. 121 (c)) ;
- (d) Participate in the operation of the one-stop system consistent with the term of the MOU and requirements of authorizing laws; (WIA sec, 121 (b) (1) (B)) and
- (e) Serve as a representative on the local workforce investment board. (WIA sec. 117 (b) (2) (A) (vi).)