

## General DET Contract Policy 10 – Monitoring

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This policy and procedure establishes the standard for monitoring completed by DET’s Contract Unit.

All contractors will be assigned a Contract Specialist for each program. The goal of your Contract Specialist is to support your funded program(s) by providing technical assistance, compliance reviews, and best practices.

In addition to the monthly data validation process (General Policy 9), each Contractor will receive additional monitoring by Contract Specialist as outlined below.

### I. General Rules

1. Contract Specialist shall be on-site conducting one of the tasks outlined below for at least one Contractor every month.
2. No Contractor shall go longer than 3 months without an on-site visit.
3. Nothing in this policy prohibits the Contractor from requesting or the Contract Specialists from scheduling additional on-site assistance and/or monitoring.
4. All tasks should be completed throughout the duration of the contract period and within the frequency, if applicable and provided below chart.
5. The Contract Specialist will make all attempts to schedule on-site visits that align with program schedule and Contractor needs.
6. Every visit will result in a summary memo, which will be sent to the Contractor with a copy to the Supervisor and saved in the contractor’s file.
7. In addition to the minimum visits established above, monthly performance validations and other contacts with contractors will be used to identify potential problems. Whenever a potential problem arises that cannot be resolved through distance methods (telephone, e-mail, video conferencing) an on-site visit will be conducted.

### II. Monitoring Tasks

The following monitoring tasks will be completed by the Contract Specialist:

Task	Min. Frequency/Due Date	Description
Observation of Contractor Program	At least once per year	This can include observing orientations, classroom time, job search activities, work experience sites, etc.
Eligibility Reviews (Desk Audit) (see Attachment A for tool used by Contract Specialist)	Within first two months of every cycle or if open enrollment, as needed. See Section III for minimum to complete within the contract period.	Contract Specialists reviews uploaded documentation in Delaware JobLink for compliance with Program Eligibility Policy.
Financial Reviews (Desk Audit)	Once a quarter	Contract Specialists reviews most recent reported expenditures and compares to the budget. Goal is to identify need for modification or other red flag.
File Reviews (See Attachment B for Adult and Attachment C for Youth).	At least twice and additional as needed.	This will include reviewing the contents of the files for compliance with applicable policies as well as content to ensure quality programming. The same file may be reviewed at different times

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	See Section III for minimum to complete within the contract period.	for different policy compliance, service or outcome documentation.
Participant Interviews (See Attachment D for Adult and E for Youth).  Interviews may be done in person or through electronic means.	At least twice and additional as needed.  See Section III for minimum to complete within the contract period.	This will include standardized questions that will be asked to participants. There may be unique questions added per program to inquire about a specific program component. Participant interviews will be scheduled with the Contractor throughout the duration of the program.
Monitoring Report (See Attachment F).	At least once a year no later than April.	This is a formal report that includes a set of standardized questions aimed at identifying and documenting any concerns or issues and status of program.
Equal Opportunity Review (See Attachment G):	At least once a year no later than April.	This is a formal report that includes a set of standardized questions aimed at ensuring Contractor is in compliance with the Equal Opportunity Requirements.
Other on-site visit/Technical Assistance.	As needed	On-site visits will be conducted as needed. For example, to accommodate Delaware JobLink training and new staff training needs.

**III. Participant thresholds**

The following is a guide on how many files should be reviewed:

Contract Enrollment Goal	Minimum % of Files to Review
1-25	100%
26-50	75%
51-100	50%
100-200	35%
201+	25%

The following is a guide on how many participants should be interviewed:

Contract Enrollment Goal	Minimum % of Interviews to Conduct
1-25	100%
26-100	50%
101+	25%

**IV. Monitoring during COVID State of Emergency or other State of Emergencies**

1. Video conferencing will be considered “on-site” for the purpose of this policy.

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2. On-site meeting shall be limited, only when both DET and Contractor agree, and conform with current State of Emergency or CDC guidelines as well as be limited to no more than 4 attendees.

### V. Attachments

- A. Eligibility Review Instructions and Tool
- B. Adult Participation File Review Guide
- C. Youth Participation File Review Guide
- D. Adult Participant Program Survey
- E. Youth Participant Program Survey
- F. Contact Monitoring Report
- G. Equal Opportunity Review

**Attachment A**

Instructions: All eligibility documents shall be uploaded in Delaware JobLink. Contract Specialist will conduct the eligibility review to ensure all eligibility documents are uploaded and in compliance with Adult Policy 1. This will occur within first two months of every cycle or if open enrollment, as needed. See Section III for minimum to complete within the contract period.

Contract specialist will use Delaware JobLink to export approved participants enrolled in the program into excel and complete the remaining columns see below.

Each review will result in a memo to the contractor and file.

Desk Audit Review Date											
Contractor											
Program											
Review Completed by:											
<b>Eligibility Documentation-Meet Documentation Listed as Acceptable in Policy 1 (Y/N)</b>											
PID	Last Name	First Name	Program	Birth Date/Age	Residency	Citizenship/Immigration Status (Completed Attachment D Adult DET Policy 1)	Selective Service	Were all documents uploaded to DJL	Completed ISS	How many notes are in DJL?	Questions/Comments

Delaware Department of Labor  
 Division of Employment and Training  
 Contract Unit

ADULT PARTICIPANT FILE REVIEW GUIDE

***Instructions:*** This is a guide that will be used by Contract Specialist in reviewing files. Nothing prohibits Contract Specialist for reviewing files to determine compliance with any issues policy and procedure. This form may be completed in portions or its entirety.

Participant Name:	Date of Review:
Funding Source: <input type="checkbox"/> BC <input type="checkbox"/> Other: _____	Contractor/Program:

**A. Assessments/ISS**

1. Is there documentation of assessments provided to:
  - i. Determine reading and math skills  Yes  No

Comments:

- ii. Assess Career/Occupational Interests to determine interest, appropriate career pathway and fit for program.  Yes  No

Comments:

- iii. Wraparound/Supportive Service needs of each participant to identifying appropriate services and referrals for participants. This may be done through the completion of an Individualized Service Strategy (check ISS Supportive Service Needs section.  Yes  No

Comments:

2. Was an Individual Service Strategy completed in accordance with ISS policy and signed by both parties for the participant?  Yes  No

Comments:

**B. File Structure**

1. Does the Program have an alternative File Structure approved?  Yes  No
2. Do the files meet the approved (alternative) or standard File Structure (General Policy 1)?  Yes  No

Comments:

3. Is there a signed Equal Opportunity Notification in the file?  Yes  No

4. Did the file contain any personally identifiable information (see General Policy 2).  
( ) Yes ( ) No

Comments:

### C. Documentation of Services

1. Does the file contain documentation Occupational Skills Training/Services with both:
- Documentation of attendance signed by both the participant and trainer signature.  
( ) Yes ( ) No  
Comments:  
  
and
  - Graded and/or completed assignments, portfolios, and other evidence of training.  
( ) Yes ( ) No  
Comments:
2. Is the OST indicated as “Completed” in DJL? ( ) Yes ( ) No?
- If Yes**, does the documentation must confirm that, at a minimum, 85% of the scheduled Training was completed?
3. Did the participant receive a paid work experience (including clinical)? ( ) Yes ( ) No?
- If Yes**, are timesheets of this completed and in the file?  
( ) Yes ( ) No  
Comments:
  - Is there a completed Work Experience Agreement in the file?  
( ) Yes ( ) No  
Comments:
  - Is there a completed Work Experience Monitoring in the file?  
( ) Yes ( ) No  
Comments:
4. Were case management notes in DJL? ( ) Yes ( ) No  
Comments:
5. Do the notes and/or documentation indicate that the participant has been contacted in accordance with the minimum standard of contact? (Reference General Policy 7)  
( ) Yes ( ) No  
Comments:
6. Is there a Job Search and Placement Assistance service in DJL? ( ) Yes ( ) No
- If Yes, did the documentation support job search and placement assistance?  
( ) Yes ( ) No  
Comments:

- ii. If yes, is there an updated resume in DJL?  
 Yes  No  
Comments:
  
- 7. If the individual has been exited, is their evidence to support post-exit and follow up services or that the Post-Participation plan in the ISS was implemented?  
 Yes  No  N/A  
Comments:
  
- 8. Is there evidence that the Supportive Services solutions indicated on the ISS were implemented (through services in DJL, Case Notes, documentation of services)?  
 Yes  No  N/A  
Comments:

**D. Documentation of Performance Goal Attainment/Outcomes**

- 1. Credential
  - i. Does the participant have credential reported in DJL?  Yes  No
  - ii. Is the credential documented in the file and in compliance with Adult Policy 4?  
 Yes  No  
Comments:
  
- 2. Employment
  - i. The participant has (check all that apply)  Day 1,  Day 30,  Day 60,  Day 90,  None, entered in DJL.
  - ii. Was this participant employed at the time of enrollment?  Yes  No
    - a. If Yes, is there a completed Employment Verification Form – Pre-Enrollment (Adult Policy 7) uploaded in DJL?  Yes  No
    - b. If the Participant has a Day 1, does the documentation support the participant meeting the definition upgrade (Adult Policy 7)?  
 Yes  No  
Comments:
  - iii. Did participant achieve Day 1-90 outcomes through a combination of school/advanced training and employment (Adult Policy 4)?  
 Yes  No  
Comments:
  - iv. For each checked in i above, does the documentation meet the requirements in Adult Policy 4?  
 Yes  No  
Comments:
  - v. If the Work Number was used to document Day 1 and/or Day 30, then is there evidence that the criteria in Adult Policy 4 were met?  
 Yes  No  N/A  
Comments:

Notes:

Delaware Department of Labor  
 Division of Employment and Training  
 Contract Unit

**YOUTH PARTICIPANT FILE REVIEW GUIDE**

Participant Name:		Date of Review:	
Funding Source:  ( ) WIOA      ( ) BC	Program:	PID#	

**Were documents uploaded to verify General Eligibility? Check Items verified**

Birth Date/Age      Residency      Citizenship/Immigration Status      Selective Service

**Were PII Documents removed from the files?**    YES       No

**Youth Barriers:**

Basic Skills Deficient:    Math    Reading    Both    Date of Test \_\_\_\_\_

TABE Tests entered into DJL? Retested date \_\_\_\_\_ Gain?

NO

School Dropout? YES  NO       **→ LOW INCOME and BASIC SKILLS DEFICIENT VERIFICATION?**

Homeless    Runaway    Foster Child    Pregnant or Parenting    Offender    Disability    English Learner

**Low Income Status**

Proof of Family Size?  
 Income verification for the family?

TANF      Food Stamps      Free Lunch

Date of Enrollment \_\_\_\_\_ Date paperwork was signed: \_\_\_\_\_  
\_\_\_\_\_

Resume in DJL? YES NO Expiration Date \_\_\_\_\_

GED Date \_\_\_\_\_

What are they active in for DJL? \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**Documentation of Assessments, Services and Performance Goal Attainment**

Were assessments located within the file? ( ) Yes ( ) No

If yes, what assessments were located within the file  
\_\_\_\_\_

Is there a signed EEO form in the file? ( ) Yes ( ) No

Was an Individual Service Strategy completed and signed by both parties? ( ) Yes ( ) No  
Date of last update. \_\_\_\_\_

Were case management notes located within the file, or in DJL, or Both ?  
How many notes? \_\_\_\_\_

Do the notes and/or documentation indicate that the participant has been contacted in accordance with the  
minimum standard of contact? ( ) Yes ( ) No

Are attendance records signed by the participant and instructor included within the files? ( ) Yes ( ) No

Hours to Date on Log: \_\_\_\_\_

Do they match the attendance reflected on the log?

**ISSUES:**

Adult Participant Program Survey

Name: \_\_\_\_\_ Program: \_\_\_\_\_

Please respond based on your experiences within this program.	Agree	Disagree	Not Applicable
Does the Staff have a positive attitude when working with you?			
Do you receive assistance when you need it?			
Do you feel that you have improved your academic skills as planned within the Individual Service Strategy (ISS)?			
Have you learned the skills necessary to make you a valuable employee?			
Are you now better prepared to seek employment than when you started the program?			
Do you feel comfortable interviewing for employment?			
Have you learned effective problem solving methods to make sure you can maintain employment?			
Have you been made aware of the Non-Discrimination , Grievance Procedures (including Equal Opportunity) and Disabled Accessibility			

Did you complete a resume in the program? Yes or No, Why?

How often do you discuss your ISS - e.g goals, progress during the program, work experience sites, post training goals, etc. during participation with your instructor or case manager?

Has the program manager met with you to discuss barriers ( e.g – financial planning, substance abuse, transportation, computer skills).

Have you had any attendance issue? Yes or No, Why?

Are you on track to graduate with your class? Yes or No, Why?

How well did the content that was delivered match what you were promised when you started?

Did your instructor(s) know their subjects well and did they give clear explanations of the topics?

Would you recommend this class to your friends? Yes or No, Why?

Comments/Recommendations:

**Youth Participant Program Survey:**

Name: \_\_\_\_\_ Program: \_\_\_\_\_

Please respond based on your experiences within this program.	Yes	No	Comments
Does the Staff have a positive attitude when working with you?			
Do you receive assistance when you need it?			
Did this program help you improve academically?			
Did this program help you develop Work Readiness Skills?			
Did you complete a resume in this program in Delaware JobLink			
Have you been made aware of the Non-Discrimination , Grievance Procedures (including Equal Opportunity) and Disabled Accessibility			
Have you had any attendance issue			
Would you recommend this class to your friends			

How long have you been enrolled in this program? \_\_\_\_\_

How often do you discuss your ISS - e.g goals, progress during the program, work experience sites, post training goals, etc. during participation with your instructor or case manager?

Have you been offered, or did you receive the following?

- |  |  |
|--|--|
| <input type="checkbox"/> Tutoring/Study Skills                 | <input type="checkbox"/> Mentoring   |
| <input type="checkbox"/> Alternative Secondary School Services | <input type="checkbox"/> Guidance and Counseling                                     |
| <input type="checkbox"/> Drop out Recovery Services            | <input type="checkbox"/> Financial Literacy Education                                |
| <input type="checkbox"/> Paid Work Experience                  | <input type="checkbox"/> Entrepreneurial Skills Training                             |
| <input type="checkbox"/> Occupational Skills Training          | <input type="checkbox"/> Post-Secondary Transition Activities                        |
| <input type="checkbox"/> Leadership Development Opportunities  | <input type="checkbox"/> Labor Market and Employment Services                        |
| <input type="checkbox"/> Supportive Services/Barrier Removal   | <input type="checkbox"/> Education and Workforce Preparation for specific Occupation |

How well does the Program services match what you were promised when you started?

Have you talked with instructors about how your training links to employment and the credentials you need to be successful? Yes or No?

Has the program manager met with you to discuss barriers ( e.g – financial planning, substance abuse, transportation, computer skills)? Yes or No, Why?

Did you develop a plan for after leaving the program? (college / advanced training) Yes or No, What is the plan? \_\_\_\_\_

Comments/Recommendations:

**STATE OF DELAWARE  
DEPARTMENT OF LABOR  
DIVISION OF EMPLOYMENT AND TRAINING  
MONITORING REPORT**

DATE OF VISIT:

CONTRACTOR:

CONTRACT #:

CONTRACTOR REPRESENTATIVE & TITLE:

FUNDING SOURCE & AMOUNT:

TOTAL: \$ \_\_\_\_\_ ( ) Adult: \$ \_\_\_\_\_ ( ) Performance: \$ \_\_\_\_\_

Funds spent/earned YTD:

TOTAL: \$ \_\_\_\_\_ ( ) Adult \$ \_\_\_\_\_ ( ) Performance \$ \_\_\_\_\_

Are there any budgeting issues that need to be addressed?

Is the staff listing (obtain from contractor) consistent with staff found in the budget in the contract?

Is a modification needed?

Adult Performance Reported as of:

Performance Measures	Goal or % of Exits	Current PPS Goal	Current PY Actuals
Enrollment			
OST Completion	80%		
Credential Attainment	75%		
Participation in Work Experience	Minimum 50%		
Day 1 Outcome	79%		
Employment Outcome Day One Wage (Minimum)	Adult - \$13.50		
Day 30 Outcome	75%		
Day 60 Outcome	72%		
Day 90 Outcome	70%		

1. Did you experience, or are you experiencing, any issues with recruitment, or eligibility determination?

2. Are you having any data entry issues with either Delaware JobLink (DJL) or complying with DET policies and procedures?
3. Are you using the academic assessment procedure as stated in the RFP?
4. What is your attendance policy? What steps do you take if the student misses time?
5. Are you utilizing the ISS for to help the students stay on track?
6. Is computer training part of your curriculum?
7. How/When, do your students build resumes in DJL?
8. All Providers are to provide retention services, as necessary, including during the day and evening to meet performance measures for 6 months following exit of participants. What availability during nontraditional hours of operation do you provide?
9. Are your students on track for obtaining their Credential?
10. Are you offering Career Exploration and/or entrepreneurial skills training? How?

11. What connections do you have with employers as it relates to your training and job placement?
  
12. Are you providing work based learning where participants have the opportunity to engage and learn from employers? This can include job shadowing, work experience/internship.
  
13. Does your curriculum demonstrate the linkages between academic instruction and occupational training and provide effective connections to employers?
  
14. Do you have linkages with other Human Service Providers for Supportive Services and/or drug and alcohol counseling?
  
15. What is your most used Direct Benefit/Supportive Service item? Do you have a written incentive policy?  
(Obtain a copy)

Comments:

**STATE OF DELAWARE  
DEPARTMENT OF LABOR  
DIVISION OF EMPLOYMENT AND TRAINING  
Equal Opportunity Review**

CONTRACTOR:

CONTRACT #(s):

DATE OF REVIEW:

SITE LOCATION MONITORED:

CONTRACTOR REPRESENTATIVE & TITLE:

MONITOR NAME:

1. Do you understand equal opportunity requirements are contractually binding and you will be held responsible for compliance?  Yes  No If no, explain:
  
2. Are the current Equal Opportunity posters prominently displayed?  Yes  No If no, explain:
  
3. Discuss how the following general contract provisions are enforced and if there is a written policy provided on the following:
  - Non-Discrimination
  
  - Grievance Procedures (including Equal Opportunity)
  
  - Disabled Accessibility
  
4. Are the proper Tag Line included on all publications? The taglines are:
  - Equal opportunity employer/program;
  - Auxiliary aids and services are available upon request to individuals with disabilities; and
  - Funded by Delaware Workforce Development Board and Department of Labor.

Yes  No If no, explain:

5. Are all participants assigned to training on a non-discriminatory basis? ( ) Yes ( ) No If no, explain:
  
6. Is a record kept on eligible participants who were not selected for training and the reason for non-selection? ( ) Yes ( ) No If no, explain:
  
7. Do you have an orientation process for participants that provide information on the rules and regulations of the training site, EO rights, and all other applicable or appropriate services that are available through the service delivery area or other service providers? ( ) Yes ( ) No If no, explain:
  
8. Are your supervisors/instructors given orientation concerning EO rights and responsibilities? ( ) Yes ( ) No If no, explain:
  
9. Is there communications system to allow communications with the hearing impaired? ( ) Yes ( ) No If no, explain:
  
10. Do you have a Limited English staff person (such as a staff person who speaks Spanish fluently?) ( ) Yes ( ) No If no, explain: