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Connecting Employers to a Ready Workforce



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Monitoring Corrective Action Training

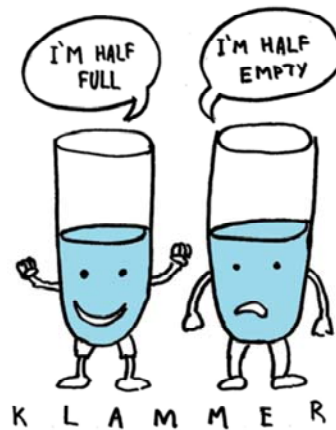
Date: March 22, 2018

Presented by:
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MaryAnn Avendano

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What's the condition?



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On average for PY16 monitoring, only 49% of findings closed with the first corrective action response

Some findings have remained open for more than six months



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How can we improve this?

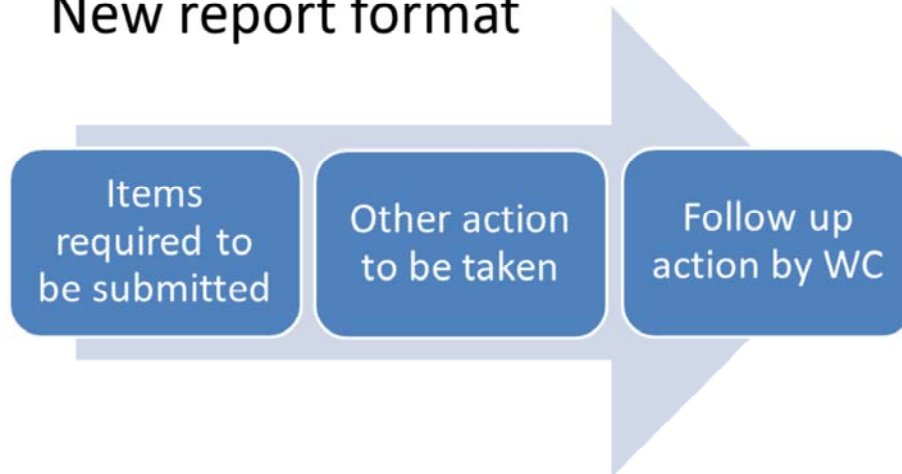


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- Corrective action requested in the monitoring report will be more clear
- Specific format for corrective action submittals
- New email address for submission
- More accountability for missing/incomplete responses



New report format



Three component corrective action in report

Items required to be submitted

Other action to be taken

Follow up action by WC



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Two finding formats...



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Finding type:

1. Finding with no questioned costs
2. Finding with questioned costs



Letters and Numbers...



Numbers = Count things

Letters = I have to submit something!!



Finding: No Questioned Costs

Example:

Finding 3 – Participant Files

Condition: One (1) participant record of the four (4) tested had **missing or incomplete documentation** in the participant file:

1. UID: 999999 – The WIOA application is not fully completed.



No ? \$ Corrective Action – Part I

Items required to be submitted:

- a. Service Provider must provide **written procedures...**

Nothing else?

Finding: No Questioned Costs

Finding 3 – Participant Files

Condition: One (1) participant record of the four (4) tested had missing or incomplete documentation in the participant file:

1. UID: 999999 – The WIOA application is not fully completed.

Corrective Action – Part 1

Items required to be submitted:

- a. Written procedures to ensure that all required documentation is complete and contained in the participant file.

Does it seem like something is missing here?...

No ? \$ Corrective Action – Part II

Other action to be taken:

1. Service Provider must **complete the WIOA application...**
2. Service Provider must also **conduct a review of files of active participants...**

Finding: No Questioned Costs

Finding 3 – Participant Files

Condition: One (1) participant record of the four (4) tested had missing or incomplete documentation in the participant file:

1. UID: 999999 – The WIOA application is not fully completed.

Corrective Action – Part 2

Other Action to be Taken:

- a. Service Provider must complete WIOA application for UID 999999 and place completed application in the participant's file.
- b. Service Provider must conduct a review of active files to ensure that all participant files contain complete WIOA applications.

No ? \$ Corrective Action – Part III

Follow up actions by WC:

WC will conduct a **site visit** within 30 days after the corrective action response is submitted...

Finding: No Questioned Costs

Finding 3 – Participant Files

Condition: One (1) participant record of the four (4) tested had missing or incomplete documentation in the participant file:

1. UID: 999999 – The WIOA application is not fully completed.

Corrective Action – Part 3

Follow up actions by WC:

WC will conduct a site visit within 30 days after the corrective action response is submitted to verify Service Provider has corrected the above file and is retaining complete documentation in the file for other active participants.

Format for Questioned Costs

Finding 4 – Eligibility

Condition: Two (2) participant records of the nine (9) tested were **missing required eligibility documents** for WIOA services:

1. UID: 999999 – This youth turned 18 on 9/4/16 – missing verification that the youth has registered with Selective Service.



? \$ Corrective Action – Part I

Items required to be submitted:

- a. The required **eligibility documentation** listed...
- b. Service Provider must provide **written procedures**...

Format for questioned costs:

Finding 4 – Eligibility

Condition: One (1) participant record of the nine (9) tested were missing required eligibility documents for WIOA services:

1. UID: 999999 – This youth turned 18 on 9/4/16 – missing verification that the youth has registered with Selective Service.

Corrective Action - Part 1:

Items required to be submitted:

- a. The required eligibility documentation listed above for 999999 and 888888.
- b. Written procedures to ensure that all male participants are in compliance with selective service registration requirements.



? \$ Corrective Action – Part II

Other action to be taken:

1. Service Provider must **suspend WIOA services** to participant...
2. Service Provider must also **conduct a review** of files of active male participants...

Format for questioned costs:

Finding 4 – Eligibility

Condition: One (1) participant record of the nine (9) tested were missing required eligibility documents for WIOA services:

1. UID: 999999 – This youth turned 18 on 9/4/16 – missing verification that the youth has registered with Selective Service.

Corrective Action - Part II:

Other Action to be Taken:

1. Service Provider must **suspend WIOA services** to participant until they are in compliance with selective service registration requirements.
2. Service Provider must also **conduct a review** of files of active male participants to ensure that all files contain the required selective service documentation for participants once they turn 18 years old.

? \$ Corrective Action – Part III

Follow up actions by WC:

WC will conduct a **site visit** within 30 days after the corrective action response is submitted...

Format for questioned costs:

Finding 4 – Eligibility

Condition: One (1) participant record of the nine (9) tested were missing required eligibility documents for WIOA services:

1. UID: 999999 – This youth turned 18 on 9/4/16 – missing verification that the youth has registered with Selective Service.

Corrective Action - Part III:

Follow up actions by WC:

WC will conduct a **site visit** within 30 days after the corrective action response is submitted to verify that Service Provider is obtaining selective service registration documentation for participants once they turn 18 years old.



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New Submission Requirements



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Electronic responses only

PDF format required

May send multiple emails if needed





Will get an auto respond email confirming receipt

Submit to: monitoringresponses@snvwc.org

CA Format Requirements – Part I

Send

Subject **Acme Corp Corrective Action Response**

Attached  Finding 1.pdf 279 KB  Finding 2.pdf 138 KB  Finding 3.pdf 138 KB  Finding 4.pdf 138 KB

Hi,

Please see the attached monitoring corrective action response.

Regards,
Sue Smith
Administrative Assistant

File name: Finding 1.pdf
File type: .pdf File
File size: 279 KB

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Must submit a separate PDF file for each finding labeled - *Finding 1, Finding 2, etc.*
See example...



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CA Format Requirements – Part II

P.O. BOX 94638
DALLAS, TX 75294-4638

SELECTIVE SERVICE SYSTEM
<http://www.sss.gov>



4a-888888

SIL

60620-001120

June 20, 2016

Big Bird
123 Easy Street
Las Vegas, NV
89199

Dear Mr. Bird,

We have received your inquiry concerning your eligibility for a right, benefit, or privilege which is subject to your registration with the Selective Service System. A search of our files, and an examination of the information you provided reveal that you were required to register with Selective Service, but have not registered. You cannot register after attaining age 26. Correspondence was sent to you informing you of the requirement to register, but all were returned as undeliverable. Selective Service is not required to notify men of their obligation to register.

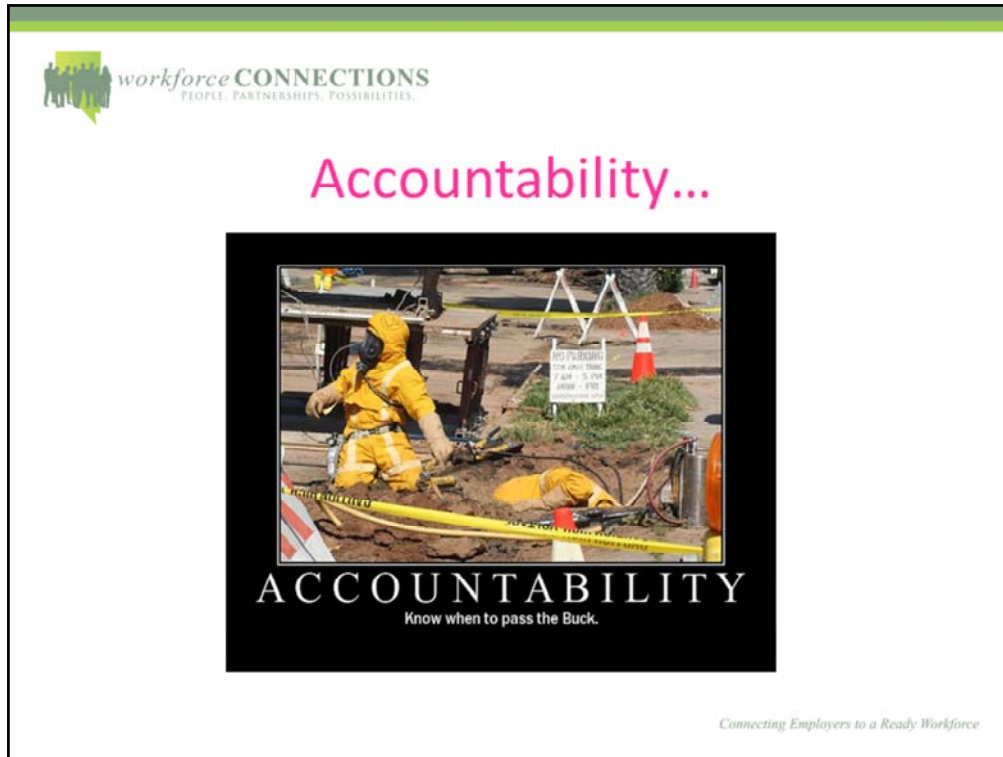
Section 12(g) of the Military Selective Service Act (50 App. U.S.C. 462(g))

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Each page of the file needs to be labeled with the finding number, sub-part letter, and UID in the upper right corner

For example: 4 a – 888888

See example...



Pink papers will be issued for:

Responses not in this format

Items that are requested and not provided

- Allow time to quality check your responses before submission!
- Pink papers may be board reported...



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We are available to help you
with technical assistance.

Please don't wait until the last minute
to request assistance or a due date extension.

Let's work together to
get findings closed faster...

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