MWA Case File Review & Monitoring Form

Case Name:	Case DCN:	Contractor:	Review Period:
Reviewed By:	Type of Review: ☐ Targeted ☐ Random ☒ Monitoring	Participant Status: ☐ Mandatory ☐ Volunteer ☐ Sanctioned ☐ Excluded	Staff Name/User ID:

Initial Meeting

N/A MWA.001 was mailed within 3 business days of the referral
N/A Appointment scheduled within 10 business days of the appointment letter
N/A Other

Notes: REFERENCE RFP SECTION 2.7.5

Assessment

N/A Assessment was completed within 30 days of initial meeting
N/A Assessments used measured the participant's literacy, math, and workplace/soft skills
N/A Test results were shared and discussed with participant
N/A Assessment information was entered into the MWA System
N/A Assessment screens were updated as changes occurred
N/A Other

Notes: REFERENCE RFP SECTION 2.7.6

Individual Employment Plan

N/A Career Pathway was selected in a leading industry or "Best Interest" of the participant case noted
N/A IEP was tailored to meet the needs of the participant and their family
N/A IEP contains current educational, career development, and employment goals
N/A IEP outlined steps necessary to secure employment, achieve self-sufficiency, and to remove barriers
N/A Participant is engaged in activity that aligns with their IEP
N/A Back up plans were discussed and documented
N/A Other

Notes: REFERENCE RFP SECTION 2.7.7

Work Activity Requirements

N/A Hours entered into the MWA system matches verification or logs
N/A Correct policy was applied (FSLA, holiday, excused absences, etc.)
N/A Sufficient verification was present to support activity type (paystubs, class schedule, agreements, etc.)
N/A Hours entered in the MWA system supports data submitted for Federal TANF Data Report purposes
N/A Hours or verification was entered into the MWA system timely and correctly for FSD benefit adjustments
N/A Other

Notes: REFERENCE RFP SECTION 2.7.8 (16) RECORDS AND WVP ATTACHMENT 4

Service Coordination.

N/A Participant was referred to community agencies for barrier removal if need was stated
N/A Supportive Services (TRE/WRE) needs identified, offered, and provided
N/A TRE/WRE was in align with Provider's local policy
N/A Staff followed-up with participant and partners to coordinate services, monitor progress, and outcomes
N/A Other

Notes: REFERENCE RFP SECTIONS 2.7.8, 2.7.7 (7); TRE SECTION 2.7.11 AND WRE SECTION 2.7.12

Monthly Contact (A face to face meeting, phone call, email, text, home visits, or social media are considered a contact)

N/A Case Manager maintained required minimum number of monthly contacts with participant
N/A Until the participant began meeting weekly hours, one (1) of three required contacts were attempted in-person
N/A Detailed case notes were entered for each contact with participant and actions taken
N/A Other

Notes: REFERENCE RFP SECTION 2.7.10

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Conciliation/Sanction

N/A Conciliation was initiated immediately following missed appointment and fails to reschedule the appointment, does not provide required verification, or is not fully participate in assigned work activities
N/A Conciliation was ended with verification of one week of full participation in allowable work activity
N/A Participant was engaged or a sanction alert was sent within 90 days of the referral
N/A Sanction alert was sent timely for FSD benefit reduction
N/A Sanction was ended with verification of four (4) weeks of 30 hour participation in allowable work activity
N/A Sanctioned applicant verification of 30 hours worked was entered and "lift sanction" alert sent timely
N/A Verification the participant meets an exemption was submitted to FSD along with alert to lift sanction timely
N/A Other

Notes: REFERENCE RFP SECTIONS 2.7.4, 2.7.8 (17, 18)

Outcomes and Performance Measures

N/A Obtained HiSet or a program skills gain.
N/A Entered into unsubsidized employment at 30 or more hours per week.
N/A Participant is no longer eligible for TANF due to earned income and has a defined Career Pathway.
N/A Participated in an official apprenticeship or on-the-job/short–term training for a specific job for 30 hours a week or more during the review period.

If Employed, enter Rate of Pay $ Number of Weekly Hours Worked Pay Cycle

Notes: REFERENCE RFP SECTION 2.9

Reviewer Comments:

REPORTING REQUIREMENTS – RFP SECTION 2.10

Case File Review & Monitoring Form Tips

Monitoring Period:

Random monthly case file reviews - verification is requested from the contractor for actions taken two months prior to the review date. (Current month is May so verification is requested for the month of March.)

Targeted reviews-are normally assigned quarterly by manager and the Targeted Review Spreadsheet is used. These relate to specific processes or actions such as the referral process, conciliation/sanction process, waivers, or a specific type of referral such as exclusions or volunteers.

Monitoring reviews – are conducted only when an official contract monitoring occurs. The manager randomly pulls case file information and divides the cases amount PDS who will be assisting with the monitoring visit. Verification and the case file is reviewed onsite during the monitoring visit. The review process is similar to random case file reviews but the review period is much longer or can be for a complete year.

Referral and Engagement:

MWA.001 mailed within 3 days of the referral?

- Check to see the date of the last referral to the contractor by reviewing TAINFO screen

Appointment scheduled within 10 days?

- To see the date the call-in letter was sent check Case Actions.
- You can sometimes go to Part Info and select Print Letter at the bottom of the screen to view the date letter was sent and the appointment date. Then cancel. (If the case is in pending close status, this won't work.)
- Case Notes also should state the date the letter is sent and the appointment date.

Participant engaged in work activities or alert sent to initiate sanction within 3 months of the MWA referral?

- Check Case Actions for enrollment and activity dates
- Mass Part and the IEP also shows the dates activities start
- If not enrolled in an activity check the Conciliation/Sanction Listing
- Case Notes also should explain circumstances such a waiver allowed

Assessment: Review all of the assessment tabs to include the summary.

Assessment completed within 30 days of initial meeting?

- Case Actions will show when the assessment screens were completed

Were other assessments used measure the participant's literacy, math, and workplace/soft skills?

- Case Actions should give the type of other assessment used and the results.

Were test results shared and discussed with participant?

- Case Actions should indicate if the test results were shared with participant.

Was the assessment information entered into the MWA System?

- Check each assessment screen or tab to ensure known information has been added to the MWA system.

Individual Employment Plan:

Was a Career Pathway identified and selected in a leading industry field or case notes support decision was in the Best Interest of the Participant?

- Check to see if there is a Career Pathway chosen on the IEP screen.
- Does it align with the information you learned about the participant from reviewing case notes and the assessment screen?

IEP tailored to meet the needs of the Participant and their family?

- Does it appear appropriate based on information known about the participant or is it stated the choice of the participant?
- Did the IEP reflect the participant's wishes or the case managers? Were they placed in an activity that will lead to their goal or just an easy placement for the CM? (*Participant wants to be a nurse but was placed in subsidized employment in a grocery store when a nursing facility where she could obtain a CAN would have been a better placement.*)

Did IEP contain educational, career development, or employment steps and goals? If not, were steps and goals used to assist with barrier removal?

- Check to ensure the steps and goals are related to advancement, goals, or barrier removal.
- Steps and goals are not to "turn in logs and keep in contact with case manager" but specific to the participants situation.

Were back up plans discussed and established?

- Assessment tab for Child Care and Transportation may show a backup plan
- Case Notes may show back up plans were discussed.

Was the participant enrolled in an activity corresponding with the career pathway chosen?

- IEP will reflect the Career Pathway and the current activities. Do the two align or is it explained why the specific activity was chosen or what the participant would learn or benefit from participating in the activity? *(placing an individual in job search when they have no past work history and have multiple barriers would not be an appropriate placement)*

Participation in Work Activity Requirements:

Verification filed in case file support hours entered into the MWA System?

- Do the hours shown on logs, paystubs, or statements match the hours entered into the MWA system Part Hours for the week ending?
- Was hours rounded up and down appropriately?
- Were hours projected correctly?
- Was the verification entered into the system?
- Are there missing logs or verification?
- Were logs signed by appropriate individuals?

Was sufficient verification identified to support activity type?

- Check the requirements for each activity type to ensure all appropriate documentation is present; worksite and participant agreements, employer forms, paystubs, or statement from employer, class schedule and statement from school, etc.

Could error cause incorrect data to be submitted for the Federal TANF Data Reporting purposes?

Examples:

- Participant is shown as meeting hours for the month per hours entered in the MWA system, but insufficient documentation to support the hours was obtained, this would be "yes". (state reports to Fed's based on MWA & TA entries)
- Participant hours were entered excessively for holidays and excused absences but did not complete their required hours for the month, this would be a "no".
- Participant is shown as meeting monthly hours in Job Search but hours were entered for all 5 weeks during the month. This is "no" as the Federal data base disregards hours for 5th week.

Service Coordination:

Participant or household referred to other agencies or organization for barrier removal or additional assistance?

- Case notes should indicate referrals made.
- IEP will list barriers and may give indication of referrals made or be included in their steps and goals.

Were Supportive Services (TRE/WRE) needs identified, offered, and provided?

- Check TRE/WRE screens for expenses during the review month.
- Case Actions also show expense entered
- Case Notes are normally entered for expense.

Did the case manager follow up with the participant or other partner agencies to coordinate services and monitor progress and outcomes?

- Case Notes should indicate any follow up discussion held or note actions to follow up or monitor progress and outcomes.

Was TRE/WRE policy applied correctly?

- Each contractor may have an internal TRE/WRE policy which you will need to be familiar with to ensure payments are made according to their policy and distributed fairly to all participants
- The contract also contains the state's rules and requirement for TRE/WRE and contractor's policy must comply within the guidelines (Some contractors require participants to meet their weekly hours prior to receiving TRE or may only pay TRE after the

participant is enrolled and not for the assessment appointments. Both can only pay TRE up to $15 a day based on the contract)

Monthly Contact:

Case Manager maintained required minimum number of monthly contacts with Participant?

- Did the case manager document 3 discussions with the participant or attempts or were just logs noted which don't count as a contact?
- Was a home visit conducted if the participant was not fully participating?

Were detailed case notes entered for each contact with participant and all actions taken?

- Did the Case Notes entered give detailed information relating to the conversation held or attempts to contact the participant?
- Were logs dropped off but no details or conversations held?

Conciliation/Sanction:

Conciliation/Sanction process correctly followed?

- Was participant placed in conciliation timely or as soon as non-compliance was known?
- Was the sanction alert sent per policy?
- Did the case manager end conciliation with 1 week of regular hours?
- Was the sanction alert to lift the sanction sent the date verification of 4 weeks at 30 hours was met?
- Was the conciliation/sanction record closed appropriately?
- Was the sanction lifted prior to verification being provided?
- Was "good cause" allowed when situation didn't meet a "good cause" reason?

_____ No. Months

The number of month's area would be used when the participant:

- Was sanctioned in error or not lifted timely causing the a reduction to participants benefits
- Was not sanctioned due to error and the participant received a full grant
- Could be used when the participant failed to meet hours without good cause and was not placed in conciliation for month after month.

Outcomes and Performance:

Currently this is N/A as the reports are not complete and the new screen to show if the participant met an incentive hasn't been moved to the system.

Customer Feedback:

Actual contact, in person or by phone, with the participant may occur during the onsite monitoring process.

Reviewer Comments/Recommendations:

This section is used to note positive and negative details about the case file review findings.

Suggestion and actions recommended to correct the case file are included in this area.

Case Manager Response:

The case manager and agency representative will respond in this area as to actions or steps taken if necessary.

Review to ensure actions recommended have been taken.