

**PROGRAM:** Pittsylvania Adult / Dislocated Worker / In School Yth / Out of School Yth

**MONITOR:** Kathy Barton / West Piedmont Workforce Investment Board

**OPERATOR:** Pittsylvania County Community Action

**TIME:** 4th Quarter PY 2012

### **Pittsylvania Satellite Virginia Workforce Center – Adult, DLW, In School, and Out of School Youth Monitoring Report**

The following is a summary of an audit, conducted by staff of the West Piedmont Workforce Investment Board for the Workforce Investment Act, Adult, Dislocated Worker, In School Youth, and Out of School Youth programs, operated by Pittsylvania County Community Action, located at the Danville Comprehensive Virginia Workforce Center located in Danville, VA.

During the program quarter, WPWIB staff reviewed 24 files consisting of 6 Adult, 6 Dislocated Worker, 6 In School Youth, and 6 Out of School Youth files. The methodology in choosing and reviewing the files were as follows;

- 2 files was chosen in each program that is considered currently active and has been receiving services beyond Core for a period of more than 1 year.
- 2 files was chosen in each program that is considered currently active and has been receiving services beyond Core for a period of less than 1 year.
- 2 files was chosen in each program that is currently considered inactive but is active in Followup after completion of active enrollment.
- Criteria and Data Components were reviewed utilizing the state issued Monitoring Review sheet provided by our state monitor Vicki Tanner.

The Pittsylvania County Satellite Virginia Workforce Center, located at 13995 U. S. Highway 29, Suite 400 Chatham VA, is an innovative, technology, and customer friendly location with ease of access to multiple state and local government agencies and nonprofits providing streamlined customer service to both the citizens and business community of Chatham and Pittsylvania County. I observed the center to be very customer friendly with a structured layout that allowed center staff to provide streamlined services and assistance to visitors and clients. WIA staff and WIA mandated partner staff, along with other nonprofit agencies worked well together to provide collaborative services to all customers regardless of need or program requirements.

In the files that were reviewed, WIB staff found that overall eligibility determination for the Adult and Dislocated Worker Programs are consistent and accurate and the operator has procedures in place to maintain state and local compliance in the Danville and Pittsylvania offices. In the Martinsville office, the Adult and Dislocated Worker programs indicated some deficiencies in eligibility determination and oversight of file approval by management resulting in files being out of compliance for enrollment into the WIA program. In addition, file maintenance was determined to be excellent in the Danville and Pittsylvania offices but lacking in the Martinsville office which could be attributed to the fact that there are still active files in the system that was inherited from a previous operator and caseloads remain at an unacceptable level for case managers to perform proper case management on a daily basis. The file structure was neat, consistent and well maintained. As a result of the possibility of additional issues at the Martinsville office, WIB staff will be conducting a full eligibility audit on all new enrollments since 07/2010 during the coming months.

In the files that were reviewed for the In-School Youth programs and the Out-of-school Youth programs, WIB staff identified major eligibility issues in the Danville and Martinsville offices which may indicate clients that are not eligible for enrollment and possible disallowed costs if funding was expended. In the

Pittsylvania office there were minor issues with documentation and proper completion of file maintenance which will be addressed through training from the Operator and training from WIB staff. As a result of the findings in the Danville Youth program and the Martinsville Youth program, WIB staff will be conducting a full eligibility audit on all new enrollments since 07/2010 during the coming months.

The State Monitoring unit began requiring program monitors at the local level to also review the previous year audit for corrections made to findings in participant files and adherence to the Corrective Action Plan that each Operator submitted after receiving their local Audit report from WIB staff. As a result of this review by WIB staff it was determined that approximately 98% of required corrections were not completed by the Operator staff therefore resulting in non-compliance of the Corrective Action Plan that was submitted by the operator. Proceeding forward, the WIB staff will now require copies of documentation to show that corrections have been made which is to be submitted along with the Corrective Action Plan by the Operator on the submission deadline that is established by the WIB.

WIB staff identified minor issues with document completion or missing documentation, all of which can be corrected in order to bring files concurrent with requirements from our state monitors. Please be mindful that the files reviewed were only a sampling and if a pattern is detected in case management procedures, then all files should be reviewed for accuracy.

In addition to items identified in each office WIB staff has identified some areas that are consistent across the region and as a result the WPWIB will be conducting training and increase monitoring thru the VOS system and by reporting required by the Operator that is specific to those deficiencies. The specific areas identified as region wide deficiencies during this audit are, but not limited to the listing below;

- Establishing IEP/ISS goals that are client specific and based on individual client deficiencies, referencing assessments and skills required for desired outcome.
- Obtaining and maintaining current Trade documentation on co-enrolled clients and lack of indications of co-enrollment with Trade clients.
- Inconsistency with case note documentation.
- VOS activity date entries do not correspond with file documentation.
- Lit/Num Performance Measure for Out-of-School Youth continues to be an issue for the region with two consecutive years of a rating with the state of “FTM” (Failed To Meet) and an indication of failure for the 3<sup>rd</sup> year with FTM rankings for the first 3 quarters of PY12-13. The WIB Staff has identified the issue to be due to the lack of Post TABE Test within the required timeline or lack of any Post TABE Test due to lack of participant corporation and file closure by Operator staff before completing the process for Lit/Num Performance Measures.

The following is a list of the files that were reviewed with a description of concerns associated with each file;

CLIENT NAME	State or VOS ID#	PROGRAM	CONCERNS
<u>Wayne Carter</u> Pittsylvania County Connie Jordan	1464445	Adult	<p><u>1.</u> IEP does not reference assessments and give detailed description of goals.  <b>Staff will reference each assessment separately from now on and give a detailed description of the goals.</b>            Customer is currently in follow-up status therefore staff is not able to make any corrections.</p>
<u>Robert Willing</u>	1343664	Adult	<p><u>1.</u> IEP does not reference assessments and give detailed description of goals.  <b>Staff will reference each assessment separately from now on and give a detailed description of the goals.</b>            Customer is currently in follow-up status therefore staff is not able to make any corrections.</p> <p><u>2.</u> Supportive Services-VOS dates do not match</p>

<p>Pittsylvania County Connie Jordan</p>			<p>documentation in client file.  <b>The supportive service date is 8/6/12 and the bill from Piedmont Family shows that as the date of service. A copy has been provided.</b>  <b>3.</b> Internship-VOS dates do not match documentation in file, missing list of competencies or skills that will be gained from service.  <b>The start date in VOS for the internship is 8/8/12 and his timesheet shows that as well as the date on the contract with the ending date as 9/28/13 on showing as that on the timesheet and VOS service. The skills rating sheet shows the skills that he may gain. Copies have been provided.</b>  <b>4.</b> VOS services-dates in system do not match documentation in client file. <b>Staff will enter activity dates in a timely manner from now on. Customer is currently in follow-up status therefore staff is not able to make any corrections.</b></p>
<p><u>Heather Morris</u></p> <p>Pittsylvania County Connie Jordan</p>	<p>1208458</p>	<p>Adult</p>	<p><b>1.</b> IEP does not reference assessments and give detailed description of goals, missing explanation of why client did not achieve goals.  <b>Staff will reference each assessment separately from now on and give a detailed description of the goals. Customer was unsuccessful at PHCC and transferred to DCC. She is currently still working towards her goal, however, she has not been able to complete it in over a 2 year time frame.</b>  <b>2.</b> Supportive Services-VOS dates do not match documentation in client file. <b>Staff will enter activity dates in a timely manner from now on. Customer is currently in follow-up status therefore staff is not able to make any corrections.</b>  <b>3.</b> OST-copies of grades received are missing from client file. <b>Staff will make sure in the future that grades are collected in a timely fashion. Transcripts supporting grades are in file. Copies have been provided.</b>  <b>4.</b> Case Notes-more than a 30 day lapse between case notes, WIB requires case notes and customer contact be conducted every 30 days while client is active. <b>Staff will make sure to comply with the 30 day rule for customer contact in the future.</b>  <b>5.</b> VOS services-dates in system do not match documentation in client file. <b>Staff will make sure to comply with adding services on appropriate days to comply with documentation.</b></p>
<p><u>Angela Oakes</u></p> <p>Pittsylvania County No Case Manager assigned</p>	<p>608074</p>	<p>Adult</p>	<p><b>1.</b> Missing Basic Skills documentation.  <b>Customer scored on 9<sup>th</sup> grade level which is not considered basic skills. Staff only received the score sheet from the Adult Learning Center. In the future, staff will request a copy of the actual TABE assessment for the customer's file.</b></p>

			<p><b>2. IEP lacks detailed information.</b> Staff will give a detailed description of the goals from now on.</p> <p><b>3. No verification from employer for case closure in file.</b> Customer was exited because she had been in the program for over 4 years and have not completed training nor have she worked due to customer not complying with program</p>
<p><b>Ana Dixon</b></p> <p>Pittsylvania County Connie Jordan</p>	1449097	Adult	<p><b>1. Birth certificate form does not have Birth Date</b> There was no line on the form indicating that we needed to put the Birth Date so we did not have it on there. In the future still will write the Birth Date on the form. Staff has wrote in the birthdate and provided a copy.</p> <p><b>2. TABE Test not in file. Score Sheets only.</b> The TABE Test is given out of books that we reuse so the actual test is not put in the file just the answer sheet with the score on it once it is scored.</p> <p><b>3. IEP lacks detailed information.</b> Staff will give a detailed description of the goals from now on.</p>
<p><b>Raymond Nibblett</b></p> <p>Pittsylvania County Connie Jordan</p>	1660907	Adult	<p><b>1. Actual TABE Test not in file. Only score sheets.</b> The TABE Test is given out of books that we reuse so the actual test is not put in the file just the answer sheet with the score on it once it is scored.</p> <p><b>2. IEP lacks detailed information.</b> Staff will give a detailed description of the goals from now on.</p>
<p><b>Carol Ross-Betts</b></p> <p>Pittsylvania County Connie Jordan</p>	362860	Dislocated Worker	<p><b>1. Birthdate is not written on verification form.</b> There was no line on the form indicating that we needed to put the Birth Date so we did not have it on there. In the future still will write the Birth Date on the form. Staff wrote in the birthdate and provided a copy.</p> <p><b>2. IEP lacks detailed information.</b> Staff will give a detailed description of the goals from now on.</p> <p><b>3. Documentation to support Supportive Services is not in file.</b> The documentation to support Supportive Services for mileage is under flap 5 (bills). A copy has been provided.</p>
<p><b>Dorothy M. Davis</b></p> <p>Pittsylvania County CM: Connie Jordan</p>	1262042	Dislocated Worker	<p><b>1. Birth date missing on documentation.</b> There was no line on the form indicating that we needed to put the Birth Date so we did not have it on there. In the future still will write the Birth Date on the form. Staff wrote in the birthdate and provided a copy.</p> <p><b>2. IEP lacks detailed information.</b> Staff will give a detailed description of the goals from now on.</p>



			<p><b>3.</b> Original paperwork missing for Trade Dual Enrollment. <b>Staff will follow-up with Trade representative in the future to make sure we have the completed Occupational Skills Training Sheet.</b></p>
<p><b><u>Nancy Waller</u></b>  Pittsylvania County CM: Connie Jordan</p>	1497948	Dislocated Worker	<p><b>1.</b> Birth date missing on documentation. <b>There was no line on the form indicating that we needed to put the Birth Date so we did not have it on there. In the future still will write the Birth Date on the form. Staff wrote birthdate in and provided a copy.</b></p> <p><b>2.</b> IEP lacks detailed information. <b>Staff will give a detailed description of the goals from now on.</b></p>
<p><b><u>Alice Chaney</u></b>  Pittsylvania County CM: Connie Jordan</p>	636349	Dislocated Worker	<p><b>1.</b> IEP lacks detailed information to support goals. <b>Staff will give a detailed description of the goals from now on.</b></p> <p><b>2.</b> Work Experience Documentation missing. <b>The customer's contract is in the file under flap 4. Staff providing a copy of contract and skills rating sheet.</b></p> <p><b>3.</b> Documentation dates do not match VOS dates for Internship service activity. <b>Staff will make sure that dates match in the future for service activities. Customer is currently in follow-up status therefore staff is not able to make any corrections.</b></p> <p><b>4.</b> Activity codes missing to support Internships. <b>Activity code is in VOS. The internship ended one day earlier than projected. Customer is currently in follow-up status therefore staff is not able to make any corrections. A copy of the program page has been provided.</b></p>
<p><b><u>Angela Jefferson</u></b>  Pittsylvania County CM: Connie Jordan</p>	1133695	Dislocated Worker	<p><b>1.</b> IEP lacks detailed information to support goals. <b>Staff will give a detailed description of the goals from now on.</b></p> <p><b>2.</b> Supportive Services dates in VOS do not match documentation in file. <b>Staff will enter activity dates in a timely manner from now on.</b></p> <p><b>3.</b> ITA missing receipt documentation and items do not match ITA sheet. <b>Staff will make sure that documentation matches ITA in future. Customer's funding approval was pending until March.</b></p> <p><b>4.</b> 30 day lapse in case notes. <b>Staff will make sure to comply with the 30 day rule for customer contact in the future.</b></p> <p><b>5.</b> Service activity codes past timeline required. <b>Staff will make sure to comply with timely input of service codes from now on.</b></p>

<p><b><u>Todd McKenzie</u></b></p> <p>Pittsylvania County CM: Connie Jordan</p>	<p>677107</p>	<p>Dislocated Worker</p>	<p><b>1. IEP lacks detailed information. Staff will give a detailed description of the goals from now on.</b></p> <p><b>2. Performance evaluation missing for Work Experience/Internship. Skills rating sheet was in flap 5. A copy has been provided.</b></p> <p><b>3. Receipts documentation missing to support Work Experience/Internship. The documentation is under flap 6. The work experience was shorter due to the end of year closeout. Staff is providing copies of the invoices.</b></p>
<p><b><u>Joshua Fuller</u></b></p> <p>Pittsylvania County CM: Sylvia Bruce</p>	<p>1148124</p>	<p>Out of School Youth</p>	<p><b>1. Documentation missing to support 10 elements.</b></p> <p><b>2. No Post Test in file.</b></p> <p><b>3. ISS incomplete and missing signatures.</b></p> <p><b>4. 30 day lapse in case notes</b></p> <p><b>5. All services are not reflected by a VOS Code and dates are incorrect and do not match documentation.</b></p> <p><b>6. Service activity codes not closed with required timeline.</b></p> <p><b>7. Documentation used to support barrier for offender is not proper documentation.</b></p>
<p><b><u>Chelsea Moore</u></b></p> <p>Pittsylvania County CM: LaShawn Farmer</p>	<p>961328</p>	<p>Out of School Youth</p>	<p><b>1. ISS incomplete and missing signature.</b></p> <p><b>2. No Post Test in file.</b></p> <p><b>3. ISS does not address at least one of the 10 elements and ISS lacks information.</b></p> <p><b>4. No VOS Activity codes for supportive services, determination form missing and dates in VOS do not agree with documentation in file.</b></p> <p><b>5. Services are not reflected by Vos Codes and dates are entered into VOS incorrectly</b></p> <p><b>6. Service Codes used with no documentation to support services provided.</b></p>
<p><b><u>Patrick Murphy</u></b></p> <p>Pittsylvania County CM: LaShawn Farmer</p>	<p>1440620</p>	<p>Out of School Youth</p>	<p><b>1. ISS dot not identify at least one of the 10 elements.</b></p> <p><b>2. Services do not concur with the ISS and has not been periodically updated to reflect progress.</b></p> <p><b>3. VOS Activity codes missing for supportive services.</b></p> <p><b>4. Dates in VOS do not agree with Supportive Service Documentation provided.</b></p> <p><b>5. Time sheets and evaluation for work experience missing.</b></p> <p><b>6. Documentation for proof of Post-secondary enrollment missing in file.</b></p> <p><b>7. Vos Code for CRC not in VOS</b></p>
<p><b><u>Kameshia L. Carter</u></b></p> <p>Pittsylvania County</p>	<p>1395372</p>	<p>Out of School Youth</p>	<p><b>1. Low Income determination in question</b></p> <p><b>2. Documentation to support family size not in file.</b></p> <p><b>3. Documentation missing to support at least one of the 10 elements.</b></p> <p><b>4. Services do not concur with the ISS.</b></p> <p><b>5. Case notes are not reflective of activities being done with participant.</b></p> <p><b>6. All services are not reflected by a VOS code, dates are incorrect and activities are open beyond required</b></p>



LaShawn Farmer			timeline.
<b><u>Prudencia T. Coles</u></b>  Pittsylvania County CM: Sylvia Bruce	1206039	Out of School Youth	<ol style="list-style-type: none"> <li><b>1.</b> Low Income or family size determination forms are not in file.</li> <li><b>2.</b> VOS Code to reflect Work readiness but not documentation in file to support this.</li> <li><b>3.</b> Goals do not reference the assessments.</li> <li><b>4.</b> ISS has not been periodically updated to reflect progress.</li> <li><b>5.</b> No Vos Activity codes for Supportive services provided.</li> <li><b>6.</b> More than 30 day lapse in case notes.</li> <li><b>7.</b> VOS Closure paperwork not in file.</li> <li><b>8.</b> Not all services are reflected by VOS Codes and dates do not match.</li> </ol>
<b><u>Devonta Dodson</u></b>  Pittsylvania County CM: LaShawn Farmer	1600493	Out of School Youth	<ol style="list-style-type: none"> <li><b>1.</b> Low Income verification not in file</li> <li><b>2.</b> Family Size verification missing in file.</li> <li><b>3.</b> Lacks information in ISS to address at least one of the 10 elements.</li> <li><b>4.</b> Services provided do not concur with the ISS.</li> <li><b>5.</b> ISS has not been periodically updated to reflect progress.</li> <li><b>6.</b> VOS Activity Code missing for supportive services And determination form missing in file.</li> <li><b>7.</b> Missing sign off incentive receipt for participant for work experience.</li> <li><b>8.</b> All services are not reflected by VOS Codes.</li> </ol>
<b><u>Kalee Gibson</u></b>  Pittsylvania County LaShawn Farmer	1190931	In-School Youth	<ol style="list-style-type: none"> <li><b>1.</b> Intake/Administration-Consent to Release Form does not have an expiration date, Elementary School ID used for In-School Verification, application states participant has disability but there is no verification documentation in file.</li> <li><b>2.</b> General Eligibility-Document missing for Age verification</li> <li><b>3.</b> Assessments-</li> <li><b>4.</b> ISS-VOS service activity dates does not match the date that plan was developed, lacks detailed information, does not reference assessment results in goal determination, does not reference 10 elements, service activity does not support goals listed in plan, does not reference work readiness, does not reference Work Experience, has not been updated and signed by client and case manager.</li> <li><b>5.</b> Supportive Services-no service activity assigned for supportive services</li> <li><b>6.</b> Work Experience-missing performance evaluation in work experience contract</li> <li><b>7.</b> Case Notes-More than a 30 day lapse between some case notes, WIB requires that a customer contact and case note be conducted every 30 days while client is active in program</li> <li><b>8.</b> VOS-Missing service codes, dates do not match supporting activity in client file, activity codes do not</li> </ol>

			<p>follow the timelines for service date limitations</p> <p><b>9.</b> Misc.-Participant was enrolled on 07/26/10 and information in VOS indicates that client received TABE scores for Reading of a 3.2 and Math of a 2.6 however TABE file in client documentation indicates a TABE score of Reading 7.6 and Math 6.0, Flyers do not support validation for workshops that participant attended.</p>
<p><b><u>Traquan S. Barksdale</u></b></p>	960907	In-School Youth	<p><b>1.</b> Application is incomplete: Missing parent/guardian signature and dates.</p> <p><b>2.</b> Family Size verification is missing in file.</p> <p><b>3.</b> Career scope not in file.</p> <p><b>4.</b> Post Test not in file.</p> <p><b>5.</b> Determination for custody of child does not have proper documentation to support this.</p> <p><b>6.</b> Goals do not reference the assessments.</p> <p><b>7.</b> ISS has not been updates to reflect progress, work readiness is not reflected in the ISS nor do services concur with the ISS.</p> <p><b>8.</b> VOS code missing for work experience provided.</p> <p><b>9.</b> Work site agreement incomplete: missing state of work, description of job duties, tools and equipment used and is not signed and dated.</p> <p><b>10.</b> Time sheets are missing in file</p> <p><b>11.</b> Evaluation for work experience has not been completed</p> <p><b>12.</b> ISS does not list work experience competencies that must be mastered.</p> <p><b>13.</b> Participant sign off sheet for incentive payments is missing in file.</p> <p><b>14.</b> Lapse of more than 30 days for case notes.</p> <p><b>15.</b> Not all services are reflected by VOS Codes and dates do not match service codes which have documentation.</p> <p><b>16.</b> Documentation in file for eligibility does not match verification in VOS: VOS used Social Security Card; however not card is in file.</p>
<p>Pittsylvania County Phyllis Woods</p>			
<p><b><u>Keyonia Hunt</u></b></p>		In-School Youth	<p><b>1.</b> Missing documentation-<b>ELIGIBILITY</b> no proof of guardianship or custody from grandmother</p> <p><b>2.</b> Missing documentation-InSchool verification</p> <p><b>3.</b> Missing supportive service in VOS for payment of Licensure Fee.</p> <p><b>4.</b> OST-Missing training curriculum, missing training schedule, missing grade reports, missing attendance sheets, missing credential.</p> <p><b>5.</b> IEP- documentation and more description of training goal.</p> <p><b>6.</b> Not all services are reflected by VOS Codes and dates do not match service codes</p> <p><b>7.</b> Followup-missing case notes and support documentation, not completed in a timely manner.</p>
<p>Pittsylvania County Phyllis Woods</p>			

<p><b><u>Bridgette L. Leach</u></b></p>  <p>Pittsylvania County LaShawn Farmer</p>	<p>1610629</p>	<p>In-School Youth</p>	<p><b>1.</b> Income verification is not in file to prove parents are over income for participant to qualify as a family of one due to disability.  <b>2.</b> Missing documentation to support at least one of the 10 elements  <b>3.</b> Goals do not reference the assessments and lacks information  <b>4.</b> Activity Codes do not fall in timeline.</p>
<p><b><u>Damien R. Payne</u></b></p>  <p>Pittsylvania County No Case Manager assigned</p>	<p>780625</p>	<p>In-School Youth</p>	<p><b>1.</b> Age verification is in wrong section of file.  <b>2.</b> Documentation to support at least one of the 10 elements is not in file.  <b>3.</b> ISS is incomplete and not signed. ISS also lacks information to support education and career goals.  <b>4.</b> At least one of the 10 elements is not addressed in plan, work readiness is not reflected in plan.  <b>5.</b> VOS Codes go past required time line and dates do not match documentation in file.</p>
<p><b><u>Shantaria L. Plunkett</u></b></p>  <p>Pittsylvania County Anika White</p>	<p>1652736</p>	<p>In-School Youth</p>	<p><b>1.</b> Missing documentation-<b>ELIGIBILITY</b> no proof of guardianship or custody from grandmother  <b>2.</b> Missing documentation-InSchool verification  <b>3.</b> Missing documentation-Verification of Youth Barrier (TABE test copy)  <b>4.</b> 10 Elements-no supporting documentation in file to indicate provision of any of the 10 elements.  <b>5.</b> ISS-No reference to assessment results and how they were used in goal determination, no reference to Work Readiness, has not been updated on required basis to indicate progression of client.  <b>6.</b> VOS Service Codes- Do not match information in client file.</p>

Please provide the West Piedmont Workforce Investment Board with a detailed written corrective action plan within 30 days from receipt of this report, which will correct the items identified and bring all files in compliance with eligibility requirements and explain your future procedures in relation to preventing concerns or findings of this nature.

Kathy Barton

Date: \_\_\_\_\_

Regional Program Manager

West Piedmont Workforce Investment Board

<p>Joshua Farris</p> <p>Pittsylvania County CM: Sylvia Bruce</p>	1148124	Out of School Youth	<ol style="list-style-type: none"> <li><u>1.</u> Documentation missing to support 10 elements. <ol style="list-style-type: none"> <li>A. In the future staff will make sure that Documentation will support the 10 elements</li> </ol> </li> <li><u>2.</u> No Post Test in file. <ol style="list-style-type: none"> <li>B. Youth did not Post Tab</li> </ol> </li> <li><u>3.</u> ISS incomplete and missing signatures. <ol style="list-style-type: none"> <li>C. Previous Case Manager updated ISS by Telephone.</li> </ol> </li> <li><u>4.</u> 30 day lapse in case notes <ol style="list-style-type: none"> <li>D. In the Future staff will make sure that case notes does not lapse.</li> </ol> </li> <li><u>5.</u> All services are not reflected by a VOS Code and dates are incorrect and do not match documentation. <ol style="list-style-type: none"> <li>E. In the future staff will make sure that all services are reflected by VOS Codes and dates are correct and match documentation.</li> </ol> </li> <li><u>6.</u> Service activity codes not closed with required timeline. <ol style="list-style-type: none"> <li>F. In the future staff will make sure that all Service Activity Codes are closed by the required timeline.</li> </ol> </li> <li><u>7.</u> Documentation used to support barrier for offender is not proper documentation. <ol style="list-style-type: none"> <li>G. In the future staff will make sure that documentation is used to support barrier for offender and staff will make sure that it is properly documented.</li> </ol> </li> </ol>
<p>Chelsea Moore</p> <p>Pittsylvania County CM: LaShawn Farmer</p>	961328	Out of School Youth	<ol style="list-style-type: none"> <li><u>1.</u> ISS incomplete and missing signature. <ol style="list-style-type: none"> <li>A. ISS has been completed along with signatures</li> </ol> </li> <li><u>2.</u> No Post Test in file. <ol style="list-style-type: none"> <li>B. Post TABE is in file under flap Four</li> </ol> </li> <li><u>3.</u> ISS does not address at least one of the 10 elements and ISS lacks information. <ol style="list-style-type: none"> <li>C. Case manager will add additional information to the ISS make sure that that one of the 10 elements are address with a detail plan.</li> </ol> </li> </ol>

			<p><u>4.</u> No VOS Activity codes for supportive services, determination form missing and dates in VOS do not agree with documentation in file.</p> <p>D. In the future staff will make sure that supportive services and determination will be add to the VOS.</p> <p><u>5.</u> Services are not reflected by Vos Codes and dates are entered into VOS incorrectly</p> <p>E. In the future staff will make sure VOS codes and Dates are entered into VOS correctly.</p> <p><u>6.</u> Service Codes used with no documentation to support services provided.</p> <p>F. In the future staff will make sure the proper documentation to support the services provided.</p>
<p>Patrick Murphy</p> <p>Pittsylvania County CM: LaShawn Farmer</p>	1440620	Out of School Youth	<p><u>1.</u> ISS dot not identify at least one of the 10 elements.</p> <p>A. Case manager will add additional information to the ISS make sure that that one of the 10 elements are address with a detail plan.</p> <p><u>2.</u> Services do not concur with the ISS and has not been periodically updated to reflect progress.</p> <p>A. In the future staff will make sure that Services concur with the ISS and are updated to reflect progress.</p> <p><u>3.</u> VOS Activity codes missing for supportive services.</p> <p>B. Staff will make sure that all supportive services are shown by a VOS activity code in the future.</p> <p><u>4.</u> Dates in VOS do not agree with Supportive Service Documentation provided.</p> <p>C. In the future staff will make sure all Supportive Service Documentation is provided.</p> <p><u>5.</u> Time sheets and evaluation for work experience missing.</p> <p>D. Staff has placed a copy of missing timesheets and in the future staff will use update worksite agreement with evaluation form.</p> <p><u>6.</u> Documentation for proof of Post-secondary enrollment missing in file.</p> <p>E. Documentation of Post-Secondary enrollment is in file under flap 5</p> <p><u>7.</u> Vos Code for CRC not in VOS</p> <p>F. In the future all CRC attainments will be placed in VOS.</p>
<p>Rameshia L. Carter</p>	1395372	Out of School Youth	<p><u>1.</u> Low Income determination in question.</p> <p>A. Low income was verified by Non Support Documentation.</p> <p><u>2.</u> Documentation to support family size not in file.</p> <p>B. Youth is a family of one base on Non Support</p>



<p>Pittsylvania County LaShawn Farmer</p>			<p><b>Documentation form.</b></p> <p><b>3.</b> Documentation missing to support at least one of the 10 elements.</p> <p><b>C.</b> In the future staff will make sure at least one of the 10 elements is supported by documentation. Staff will work hard to make sure youth participate in programming more by attending activities, workshops, or pre-employment.</p> <p><b>4.</b> Services do not concur with the ISS.</p> <p><b>D.</b> In the future staff will make sure some of the services concur with the ISS and all activities are geared toward the 10 program elements.</p> <p><b>5.</b> Case notes are not reflective of activities being done with participant.</p> <p><b>E.</b> In the future, even though a youth has attained employment staff will make sure activities are being done with the participant until they are in follow-up.</p> <p><b>6.</b> All services are not reflected by a VOS code, dates are incorrect and activities are open beyond required timeline.</p> <p><b>F.</b> In the future staff will make sure that all services are reflected by VOS Codes and dates are matching.</p>
<p>Prudencia F. Coles</p> <p>Pittsylvania County CM: Sylvia Bruce</p>	<p>1206039</p>	<p>Out of School Youth</p>	<p><b>1.</b> Low Income or family size determination forms are not in file.</p> <p><b>A.</b> In the future staff will make sure that low income and family size determination form is in the file.</p> <p><b>2.</b> VOS Code to reflect Work readiness but not documentation in file to support this.</p> <p><b>B.</b> In the future staff will make sure that VOS Codes reflect Work Readiness and make sure that the documentation is placed in the file.</p> <p><b>3.</b> Goals do not reference the assessments.</p> <p><b>C.</b> In the future staff will make sure that the Goals reference the assessments.</p> <p><b>4.</b> ISS has not been periodically updated to reflect progress.</p> <p><b>D.</b> In the future staff will make sure that the ISS is periodically updated to reflect progress.</p> <p><b>5.</b> No Vos Activity codes for Supportive services provided.</p> <p><b>E.</b> In the future staff will make sure that the VOS Activity Codes for Supportive Services is provided.</p> <p><b>6.</b> More than 30 day lapse in case notes.</p> <p><b>F.</b> In the future staff will make sure that case notes are up to date and not lapse.</p>

			<p><u>7.</u> VOS Closure paperwork not in file.  <u>G.</u> Case Closure has been placed in client's file.</p> <p><u>8.</u> Not all services are reflected by VOS Codes and dates do not match.  <u>H.</u> In the future staff will make sure that all services are reflected by VOS Codes and dates are matching.</p>
<p>Devonta Odysse</p> <p>Pittsylvania County  CM: LaShawn Farmer</p>	1600493	Out of School Youth	<p><u>1.</u> Low Income verification not in file  <u>A.</u> Low income verification has been verified by the Certification of Non-Support which has been signed by youth and parent.</p> <p><u>2.</u> Family Size verification missing in file.  <u>B.</u> Verification of Family Size is verified on the Certification of Non Support and also on the Low Income Verification Form</p> <p><u>3.</u> Lacks information in ISS to address at least one of the 10 elements.  <u>C.</u> Case manager will add additional information to the ISS and make sure that one of the 10 elements is address with a detail plan.</p> <p><u>4.</u> Services provided do not concur with the ISS.  <u>D.</u> In the future staff will make sure some of the services concur with the ISS and all activities are geared toward the 10 program elements.</p> <p><u>5.</u> ISS has not been periodically updated to reflect progress.  <u>E.</u> In the future staff will make sure that the ISS will be periodically be updated to reflect progress and goals and objectives are updated every 90 days.</p> <p><u>6.</u> VOS Activity Code missing for supportive services And determination form missing in file.  <u>F.</u> In the future staff will make sure that supportive services and determination will be add to the VOS.</p> <p><u>7.</u> Missing sign off incentive receipt for participant for work experience.  <u>G.</u> Sign off sheets for incentives is verified in the file.</p> <p><u>8.</u> All services are not reflected by VOS Codes.  <u>H.</u> In the future staff will make for that all services are reflected by VOS Codes with proper dates of the service.</p>
Kates Gibson	1190931	In-School Youth	<p><u>1.</u> Intake/Administration-Consent to Release Form does not have an expiration date, Elementary School ID used for In-School Verification, application states participant has disability but there is no verification documentation in file.  <u>A.</u> The Consent to Release Form does not expire. Enrollment Case Manager entered</p>

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information in the VOS system incorrectly; youth does not have a disability. Staff will submit a VOS correction to correct this mistake.

2. General Eligibility-Document missing for Age verification

B. Staff will place a verification form in file to show proof of age.

3. Assessments

C. Assessments are in file placed in Flap 4

4. ISS-VOS service activity dates does not match the date that plan was developed, lacks detailed information, does not reference assessment results in goal determination, does not reference 10 elements, service activity does not support goals listed in plan, does not reference work readiness, does not reference Work Experience, has not been updated and signed by client and case manager.

D. Youth goals that reflect Leadership, need be tutoring and also youth the goal that reflect work experience is in the file in Flap 2.

5. Supportive Services-no service activity assigned for supportive services

E. In the future staff will make sure that Mileage Supportive Services is assigned and if youth do not have that VOS code they will contact the WIB for direction.

6. Work Experience-missing performance evaluation in work experience contract

F. Evaluation form was not completed until after work experience ended and the work experience was not over during the time of the audit. The information will be placed in file once return to the case manager.

8. Case Notes-More than a 30 day lapse between some case notes, WIB requires that a customer contact and case note be conducted every 30 days while client is active in program

G. In the future Staff will make sure when transition between new and old case managers there will not be a lapse in case notes or a customer contact.

9. VOS-Missing service codes, dates do not match supporting activity in client file, activity codes do not follow the timelines for service date limitations

H. In the future Staff will make sure when transition between new and old case managers youth will not have any missing service codes, matching dates, and follow the time line for date limitations.

			<ul style="list-style-type: none"> <li><b>10.</b> Misc.-Participant was enrolled on 07/26/10 and information in VOS indicates that client received TABE scores for Reading of a 3.2 and Math of a 2.6 however TABE file in client documentation indicates a TABE score of Reading 7.6 and Math 6.0, Flyers do not support validation for workshops that participant attended.</li> <li><b>I.</b> In the future staff will make sure all paper trails and VOS documentation matches. Only participation information will be placed in file.</li> </ul>
<p>Pittsylvania County Phyllis Woods</p>	960907	In-School Youth	<ul style="list-style-type: none"> <li><b>1.</b> Application is incomplete: Missing parent/guardian signature and dates.</li> <li><b>A.</b> In The future staff will make sure that the application is complete and all signatures and dates and dates is completed.</li> <li><b>2.</b> Family Size verification is missing in file.</li> <li><b>B.</b> Family Size has been verified on the Low Income Determination Form</li> <li><b>3.</b> Career scope not in file.</li> <li><b>C.</b> Youth has not completed a Career Scope</li> <li><b>4.</b> Post Test not in file.</li> <li><b>D.</b> Previous Case Manager did not place Pre-Test in the File but a Post TABE is in the file and is filed in Flap 4.</li> <li><b>5.</b> Determination for custody of child does not have proper documentation to support this.</li> <li><b>E.</b> In the future staff will make sure that the proper determination is supported.</li> <li><b>6.</b> Goals do not reference the assessments.</li> <li><b>F.</b> In the future staff will make sure that the goals will reference the assessments</li> <li><b>7.</b> ISS has not been updates to reflect progress, work readiness is not reflected in the ISS nor do services concur with the ISS.</li> <li><b>G.</b> Youth is an In-school youth and ISS reflects the progress of passing on to the next grade.</li> <li><b>8.</b> VOS code missing for work experience provided.</li> <li><b>H.</b> Youth has taken Pre-Employment Training but has not done a work experience.</li> <li><b>9.</b> Work site agreement incomplete: missing state of work, description of job duties, tools and equipment used and is not signed and dated.</li> <li><b>I.</b> Youth has taken Pre-Employment Training but has not done a work experience.</li> <li><b>10.</b> Time sheets are missing in file</li> <li><b>J.</b> Youth has taken Pre-Employment Training but has not done a work experience.</li> </ul>

			<ul style="list-style-type: none"> <li><u>11.</u> Evaluation for work experience has not been completed</li> <li><b>K.</b> Youth has taken Pre-Employment Training but has not done a work experience.</li> <li><u>12.</u> ISS does not list work experience competencies that must be mastered.</li> <li><b>L.</b> Youth has taken Pre-Employment Training but has not done a work experience.</li> <li><u>13.</u> Participant sign off sheet for incentive payments is missing in file.</li> <li><b>M.</b> Participant sign off sheets are placed in the file under Flap 5.</li> <li><u>14.</u> Lapse of more than 30 days for case notes.</li> <li><b>N.</b> Case Notes has been updated</li> <li><u>15.</u> Not all services are reflected by VOS Codes and dates do not match service codes which have documentation.</li> <li><b>O.</b> In the future staff will make sure that all Services will reflect VOS codes and dates will match the service codes</li> <li><u>16.</u> Documentation in file for eligibility does not match verification in VOS: VOS used Social Security Card; however not card is in file.</li> <li><b>P.</b> The Social Security Card is verified by Pittsylvania County Schools Pupil Cumulative Record for Elementary/Middle School</li> </ul>
<p><b>Kevonia Hunt</b></p> <p>Pittsylvania County Phyllis Woods</p>		<p>In-School Youth</p>	<ul style="list-style-type: none"> <li><u>1.</u> Missing documentation-<b>ELIGIBILITY</b> no proof of guardianship or custody from grandmother. <ul style="list-style-type: none"> <li><b>A.</b> Youth is on Charlotte Canada food stamps and documentation is in the file.</li> </ul> </li> <li><u>2.</u> Missing documentation-InSchool verification. <ul style="list-style-type: none"> <li><b>B.</b> In the future staff will have documentation for In School verification.</li> </ul> </li> <li><u>3.</u> Missing supportive service in VOS for payment of Licensure Fee. <ul style="list-style-type: none"> <li><b>C.</b> In the future staff will make sure supportive services will be placed in VOS to show payment for Training.</li> </ul> </li> <li><u>4.</u> OST-Missing training curriculum, missing training schedule, missing grade reports, missing attendance sheets, missing credential. <ul style="list-style-type: none"> <li><b>D.</b> Youth did not receive OST</li> </ul> </li> <li><u>5.</u> IEP- documentation and more description of training goal. <ul style="list-style-type: none"> <li><b>E.</b> In the future staff will make sure the IEP and the goals are more descriptive.</li> </ul> </li> <li><u>6.</u> Not all services are reflected by VOS Codes and dates do not match service codes. <ul style="list-style-type: none"> <li><b>F.</b> In the future staff will make sure services are reflected by VOS Codes and dates match service codes.</li> </ul> </li> </ul>



			<p><b>7.</b> Follow-up-missing case notes and support documentation, not completed in a timely manner.</p> <p><b>G.</b> Follow case notes are in the file under flap six.</p>
<p>Brigitte L. Leach</p> <p>Pittsylvania County LaShawn Farmer</p>	1610629	In-School Youth	<p><b>1.</b> Income verification is not in file to prove parents are over income for participant to qualify as a family of one due to disability.</p> <p><b>A.</b> Staff has placed information about parents income in the file</p> <p><b>2.</b> Missing documentation to support at least one of the 10 elements</p> <p><b>B.</b> Youth is disabled and is in a wheelchair so prevents her from participating in some workshops. In future staff will have workshops at the schools which will allow youth to participate.</p> <p><b>3.</b> Goals do not reference the assessments and lacks information.</p> <p><b>C.</b> Youth is an In-School youth and the goals reference to passing Algebra. In the future staff will have more information in the goals and make sure they are geared towards the 10 program elements.</p> <p><b>4.</b> Activity Codes do not fall in timeline.</p> <p><b>D.</b> In the future staff will make sure that all Activity Codes will fall in the timeline.</p>
<p>Hamish R. Payne</p> <p>Pittsylvania County No Case Manager assigned</p>	780625	In-School Youth	<p><b>1.</b> Age verification is in wrong section of file.</p> <p><b>A.</b> In the future staff will make sure that the age verification is placed in the right section in the file.</p> <p><b>2.</b> Documentation to support at least one of the 10 elements is not in file.</p> <p><b>B.</b> In the future staff will make sure that the documentation supports at least one of the 10 elements.</p> <p><b>3.</b> ISS is incomplete and not signed. ISS also lacks information to support education and career goals.</p> <p><b>C.</b> In the future staff will make sure that ISS is completed and signed by staff and youth. Staff will also make sure that there is more information to support education and career goals.</p> <p><b>4.</b> At least one of the 10 elements is not addressed in plan; work readiness is not reflected in plan.</p> <p><b>D.</b> In the future staff will make sure that at least one of the 10 elements are addressed in plan. Youth did not participate in work readiness.</p> <p><b>5.</b> VOS Codes go past required time line and dates do not match documentation in file.</p> <p><b>E.</b> In the future staff will make sure that VOS</p>



			codes does not go past the required time line and staff will make sure that the dates matches documentation in file.
Shantaria L. Plunkett                Pittsylvania County Anika White	1652736	In-School Youth	<ol style="list-style-type: none"> <li>1. Missing documentation-<u>ELIGIBILITY</u> no proof of guardianship or custody from grandmother A. Staff has proof of information on the Social Services Verification Form</li> <li>2. Missing documentation-InSchool verification A. The information about the drop out date is verified on a Telephone Verification Form.</li> <li>3. Missing documentation-Verification of Youth Barrier (TABE test copy) B. The TABE information is in the File in Flap one and four</li> <li>4. 10 Elements-no supporting documentation in file to indicate provision of any of the 10 elements. C. The information of the 10 elements has supported documentation because youth is attending Adult Education Center on Tuesday, Thursday, and Friday from 9:00 - 1:00. And long with being there on those days youth is receiving tutoring from Barbara Armstrong and Delphine Ley.</li> <li>5. ISS-No reference to assessment results and how they were used in goal determination, no reference to Work Readiness, has not been updated on required basis to indicate progression of client. D. Youth is receiving tutoring at the Adult Education Center on Tuesday, Thursday, and Friday from 9:00-1:00 and is receiving tutoring from Barbara Armstrong and Delphine Ley.</li> <li>6. VOS Service Codes- Do not match information in client file. E. VOS codes does reflect and matches with what is in File and also in VOS</li> </ol>

Please provide the West Piedmont Workforce Investment Board with a detailed written corrective action plan within 30 days from receipt of this report, which will correct the items identified and bring all files in compliance with eligibility requirements and explain your future procedures in relation to preventing concerns or findings of this nature.

Kathy Barton

Date: \_\_\_\_\_

Regional Program Manager

West Piedmont Workforce Investment Board