



# OVERVIEW OF CASE FILE MONITORING

Including an Introduction on Using  
CWDS Online Monitoring for Case  
File Reviews

April 17, 2025



# Presentation Goals



In this presentation, we will review:

- The Local Oversight/Monitoring Plan
- The methodology and procedure BWDA Oversight Services (OS) takes when monitoring case files
- Historically common monitoring findings
- Resources to prevent future and repeat monitoring findings
- How case file monitoring is performed through the online monitoring app in CWDS 2.0





# Local Oversight/ Monitoring Plan

A brief review





# Local Oversight / Monitoring Plan

## What is it?

An oversight plan serves as a critical framework to demonstrate that the LWDB can effectively fulfill the requirements established in the grant agreement. The plan ensures that the LWDB can meet all such obligations on time and within cost constraints while clearly defining the purpose of performing its oversight responsibilities and activities. By addressing these aspects, the plan not only promotes accountability but also fosters operational alignment and compliance across all levels.





# Local Oversight / Monitoring Plan (cont.)

## At a minimum, the local oversight plan must address:

- Oversight Process
- Risk Assessment
- Frequency of Monitoring
- Schedule and Timeline for the Current Program Year (PY) Monitoring

## Conducting monitoring early in the program year allows for:

- Monitoring subrecipients in line with their assessed risk level.
- Ensuring entities can meet grant agreement requirements on time & within budget.
- Identifying noncompliance & providing technical assistance.
- Evaluating effectiveness of the local oversight processes.
- Providing required monitoring documentation to BWDA and ETA in a timely manner.



# OS Case File Monitoring

What is emphasized





# OS Case File Monitoring

## System of Record Policy

- Requires all WIOA, Wagner-Peyser, and Trade Adjustment Act participant, provider, employer, and financial data be recorded in the Commonwealth Workforce Development System (CWDS), the commonwealth's system of record.
- The System of Record Policy must be reflected in the LWDB bylaws.
- It is recommended that the data be entered as soon as possible to ensure accuracy.
- Restrictions during the COVID-19 highlighted the importance of complete electronic case records.





# OS Case File Monitoring

## WIOA Adult and Dislocated Worker Program Monitoring

- BWDA will monitor required documentation and conduct WIOA Adult and Dislocated Worker program case file reviews for:

Eligibility Determinations	Eligible Training Provider and Training Program Information
Electronic Individual Employment Plan (IEP)	Assistance in Establishing Eligibility for Programs of Financial Aid Assistance
Outreach, Intake, and Orientation	Services to Obtain or Retain Employment
Initial Assessment of Skill Levels, Aptitudes, Abilities, Barriers/Supportive Service Needs	Interviewing and Evaluation to Identify Employment Barriers and Establish Goals
Labor Exchange Services	Follow-Up Services
Referrals/Coordination of Services	Information and Assistance Regarding Filing Unemployment Compensation Claims
Labor Market Information	Availability of Information in Usable and Understandable Formats

Secondary Supervisory Reviews for WIOA Participants



## Adult and Dislocated Worker Participant File Review Tool

<b>Reviewed By:</b>		<b>Today's Date:</b>	
<b>1</b>	What is the participant's name (Last, First)?		
<b>2</b>	What is the participant's CWDS PID?		
<b>3</b>	At which PA CareerLink® office did the participant receive services?		
<b>4</b>	Under which WIOA program was the participant registered?		Adult    DW
<b>WIOA - Adult Eligibility Requirements</b> <a href="#">WIOA § 3(2)</a> <a href="#">20CFR§663.110</a> <a href="#">WIOA §188(a)(5)</a> <a href="#">WIOA§189(h)</a> 1. At least 18 years old at eligibility determination, <u>and</u> 2. Authorized to work in the United States, <u>and</u> 3. Selective Service registration for required males.		<b>WIOA – Dislocated Worker Eligibility Requirements</b> <a href="#">WIOA § 3(15)</a> <a href="#">20 CFR 680.130</a> <a href="#">WIOA §188(a)(5)</a> <a href="#">WIOA§189(h)</a> Be at least 18 years of age at eligibility determination, be authorized to work in U.S., <u>and</u> 1. Has been terminated or laid off, or who has received a notice of termination or layoff, from employment; <u>or</u> 2. Is eligible for or has exhausted entitlement to unemployment compensation (UC); <u>or</u> 3. Has been employed for a demonstrable period but is ineligible for UC due to insufficient earnings or having performed services for an employer that were not covered under a State UC law, and is unlikely to return to the previous industry or occupation; <u>or</u> 4. Lost employment from a permanent closure or substantial layoff; <u>or</u> 5. Is employed at a facility at which the employer has made a general announcement that the facility will close within 180 days; <u>or</u> 6. Was self-employed and now unemployed because of local economic conditions or a natural disaster; <u>or</u> 7. Is a displaced homemaker; <u>or</u> 8. Is the spouse of a member of the Armed Forces on active duty, and experienced loss of employment as a direct result of relocation or is unemployed, underemployed, and having difficulty finding employment; <u>and</u> 9. Selective Service registration for required males.	
<b>WIOA - Adult Income Requirements</b> <a href="#">WIOA § 3(36)(A)</a> <a href="#">WIOA§3(5)(B)</a> <a href="#">20CFR§663.640</a> Family income at or below 100% of <u>poverty line</u> or 70% <u>lower living standard</u> . Income test not required if individual meets one of the following criteria: 1. Customer receives or is a member of a family that receives (currently or in the past six months) one of the following: TANF, SNAP, SSI, or other public assistance; <u>or</u> 2. Foster Child; <u>or</u> 3. Homeless; <u>or</u> 4. Receives or is eligible to receive free or reduced-price lunch; <u>or</u> 5. Is deficient in basic skills.		<b>WIOA – Dislocated Worker Income Requirements</b> An income determination is not required for DW-eligible participants.	
Note: Customer with a disability may be considered a family of			

Veterans and eligible spouse within these groups receive priority over non-veterans. The LWDB is required to have a Priority of Service policy which must include any local discretionary priorities that will be established in addition to the 3 statutory priority groups.		
<b>WIOA ELIGIBILITY</b> CWDS Help – WIOA Title I Adult Data Validation Checklist, WIOA Title I DW Data Validation Checklist		
<b>5</b>	Is proof of age (18+)/date of birth documented in CWDS?	Yes    No
<b>6</b>	Is proof of citizenship/work eligibility documented in CWDS? <a href="#">WIOA §188(a)(5)</a>	Yes    No
<b>7</b>	Is proof of Selective Service registration (for males born after Dec. 31, 1959) documented in CWDS?	Yes    No    NA
<b>8</b>	If DW: Is Proof of dislocation documented in CWDS? (NA if Adult)	Yes    No    NA
<b>9</b>	Is proof of Veteran status or Spouse of Veteran status documented in CWDS?	Yes    No    NA
<b>10</b>	Is proof of low-income documented in CWDS? Adult Only. *If the standardized Statement of Family Size/Family Income form was used, it must be as a last resort and the efforts to obtain proof of income prior to the use of the form be documented in CWDS case progress notes. <a href="#">Self-Certification and Telephone/Document Inspection Verification</a>	Yes    No    NA
<b>11</b>	Did staff verify the participant's disability status and document the status in CWDS?	Yes    No    NA
<b>12</b>	Is there a literacy & numeracy assessment documented in CWDS to verify basic skills deficiency? Adult Only.	Yes    No    NA
<b>13</b>	Was the Priority of Service policy applied to this participant? Adult Only.	Yes    No    NA
<b>14</b>	Was a Secondary/Supervisory Review completed to verify WIOA eligibility? BWDA <a href="#">email</a> to all LWDBs dated April 27, 2012	Yes    No
<b>NOTES:</b>		
<b>WIOA ENROLLMENT</b>		
<b>15</b>	What is the date of the WIOA eligibility determination?	
<b>16</b>	What is the date that the WIOA eligibility determination was documented in CWDS?	
<b>17</b>	Is it documented (via a CWDS case progress note and/or a signed acknowledgement) that grievance and complaint procedures were <a href="#">provided to the participant</a> ?	Yes    No
<b>NOTES:</b>		
<b>CWDS REGISTRATION</b>		
<b>18</b>	What is the participant's CWDS registration status? (Full/Complete, Full/Not Complete, Partial, Incomplete, or Not Registered) *May be a finding if not Full/Complete Registration due to reasons other than an incomplete SSN* Workforce System Policy (WSP) No. 01-2015 (Change 1), <a href="#">Pennsylvania's System of Record Policy (I)</a> .	
<b>19</b>	If the participant's CWDS registration is not 'Full/Complete' status, which items are pending completion? (Keystone ID creation, SSN, Work History, Education, Job Preferences, etc.)	
<b>20</b>	Did a Secondary/Supervisory Review include the verification of participant CWDS enrollment status? *Must be documented as an entry on the Supervisory/Second-Level Review Tool. <a href="#">Pennsylvania's System of Record Policy (I)</a> , BWDA <a href="#">email</a> to all LWDBs dated April 27, 2012.	Yes    No
<b>NOTES:</b>		
<b>CAREER SERVICES</b>		
<a href="#">WIOA §134(c)(2)(A)</a> defines the minimum career services that a one-stop delivery system <u>make</u> available to WIOA Adult and DW participants.		



# OS Case File Monitoring

## WIOA Youth Program Monitoring

- BWDA will monitor required documentation and conduct WIOA Youth program case file reviews for:

Eligibility Determinations	Eligible Training Provider and Training Program Information
Electronic Individual Service Strategy (ISS)	Assistance in Establishing Eligibility for Programs of Financial Aid Assistance
Assessments of Skill Levels, Barriers, and Service Needs	Services to Obtain or Retain Employment
Service Strategies for Career Pathways	Interviewing and Evaluation to Identify Employment Barriers and Establish Goals
Educational Goals and Services	Follow-Up Services
Referrals/Coordination of Services	Secondary Supervisory Reviews for WIOA Participants
Labor Market Information	The availability of the 14 Youth program elements





## Youth Participant File Review Tool

<b>Reviewed By:</b>		<b>Today's Date:</b>	
<b>1</b>	What is the participant's name (Last, First)?		
<b>2</b>	What is the participant's CWDS PID?		
<b>3</b>	At which PA CareerLink® office did the participant receive services?		
<b>4</b>	Under which WIOA program was the participant registered? <a href="#">WSP No. 03-2015, Dec. 23, 2015</a>	In-School	Out-of-School
<b>5</b>	Is the participant co-enrolled in a WIOA Adult/DW program?	Yes	No
<b>WIOA - ISY Eligibility Requirements</b> <a href="#">WIOA § 129(a)(1)(C)</a>		<b>WIOA - OSY Eligibility Requirements</b> <a href="#">WIOA § 129(a)(1)(B)</a>	
<p>A. 14-21 years old at eligibility determination, <u>and</u></p> <p>B. Attending or enrolled in secondary or for-credit postsecondary school at eligibility determination, <u>and</u></p> <p>C. Low-Income, <u>and</u></p> <p>D. At least one of the following apply</p> <ol style="list-style-type: none"> <li>1. Deficient in Basic Literacy Skills; <u>or</u></li> <li>2. Homeless, Runaway; <u>or</u></li> <li>3. In foster care or aged out of foster care; <u>or</u></li> <li>4. Pregnant/Parenting; <u>or</u></li> <li>5. Offender; <u>or</u></li> <li>6. Has a disability; <u>or</u></li> <li>7. An English language learner; <u>or</u></li> <li>8. Requires additional assistance to complete an education program, or to secure or hold employment.</li> </ol>		<p>A. 16-24 years old at eligibility determination, <u>and</u></p> <p>B. Not attending/enrolled in secondary or for-credit postsecondary school at eligibility determination* <u>and</u></p> <p>C. At least one of the following apply:</p> <ol style="list-style-type: none"> <li>1. School Dropout; <u>or</u></li> <li>2. Youth who (a) received HS Diploma/equivalent and (b) is low-income and (c) is Deficient in Basic Literacy Skills or is an English language learner; <u>or</u></li> <li>3. Required to attend school but has not attended for at least the most recent complete school year's calendar quarter; <u>or</u></li> <li>4. Homeless or Runaway; <u>or</u></li> <li>5. In foster care or aged out of foster care; <u>or</u></li> <li>6. Pregnant/Parenting; <u>or</u></li> <li>7. Subject to the juvenile or adult justice system; <u>or</u></li> <li>8. Has a disability; <u>or</u></li> <li>9. Requires additional assistance to complete an educational program, or to secure and hold employment (must also meet low-income requirements).</li> </ol> <p>*OSY customers <u>can attend and/or be enrolled</u> in Title II/Adult Ed, Youth Build, Job Corps, high school equivalency programs, or dropout re-engagement programs at eligibility determination.</p>	
<b>WIOA - ISY Income Requirements</b> <a href="#">WIOA § 3(36)(A)</a>		<b>WIOA - OSY Income Requirements</b> <a href="#">WIOA § 3(36)(A)</a>	
<p>A. Family income at or below 100% of <a href="#">poverty line</a> or 70% <a href="#">lower living standard</a> <u>or</u></p> <p>B. Meets one of the following criteria</p> <ol style="list-style-type: none"> <li>1. Customer receives or is a member of a family that receives (currently or in the past six months) one of the following: TANF, SNAP, SSI, or other public assistance; <u>or</u></li> <li>2. Foster Child; <u>or</u></li> <li>3. Homeless; <u>or</u></li> <li>4. Receives or is eligible to receive free or reduced-price lunch; <u>or</u></li> <li>5. Lives in a <a href="#">high poverty area</a> (<a href="#">WIOA §129(a)(2)</a>).</li> </ol>		<p>Low income required only if using C. 2. or C. 9. from the above list.</p> <p>A. Family income at or below 100% of <a href="#">poverty line</a> or 70% <a href="#">lower living standard</a> <u>or</u></p> <p>B. Meets one of the following criteria</p> <ol style="list-style-type: none"> <li>1. Customer receives or is a member of a family that receives (currently or in the past six months) one of the following: TANF, SNAP, SSI, or other public assistance; <u>or</u></li> <li>2. Foster Child; <u>or</u></li> <li>3. Homeless; <u>or</u></li> <li>4. Receives or is eligible to receive free or reduced-price lunch; <u>or</u></li> <li>5. Lives in a <a href="#">high poverty area</a> (<a href="#">WIOA §129(a)(2)</a>).</li> </ol> <p>Note: Customer with a disability may be considered family of one for</p>	

<b>9</b>	<b>OSY Only:</b> Did staff verify that the participant is not enrolled in secondary or for-credit postsecondary school?	Yes	No	NA
<b>10</b>	Is proof of low-income documented in CWDS? *If the standardized Statement of Family Size/Family Income form was used, it must be as a last resort and the efforts to obtain income prior to the use of the form be documented in CWDS case progress notes. <a href="#">Self-Certification and Telephone/Document Inspection Verification</a>	Yes	No	
<b>11</b>	Is proof of a barrier documented in CWDS? <i>(Basic literacy skills deficient, school dropout, homeless, runaway, foster child, pregnant or parenting, offender, disability, or requires additional assistance)</i>	Yes	No	
<b>12</b>	Is proof of Selective Service (males only) registration documented in CWDS? <a href="#">WIOA §189(h)</a>	Yes	No	NA
<b>13</b>	Is proof of Veteran status or Spouse of Veteran status documented in CWDS?	Yes	No	NA
<b>14</b>	Was a Secondary/Supervisory Review completed to verify WIOA eligibility? <a href="#">BWDA email</a> to all LWDBs dated April 27, 2012	Yes	No	
<b>NOTES:</b>				
<b>WIOA ENROLLMENT</b>				
<b>15</b>	What is the date of the WIOA eligibility determination?			
<b>16</b>	What is the date that the WIOA eligibility determination was documented in CWDS?			
<b>17</b>	Is it documented (via a CWDS case progress note and/or a signed acknowledgement) that grievance and complaint procedures were <a href="#">provided to the participant</a> ?	Yes	No	
<b>NOTES:</b>				
<b>CWDS REGISTRATION</b>				
<b>18</b>	What is the participant's CWDS registration status? (Full/Complete, Full/Not Complete, Partial, Incomplete, or Not Registered) *May be a finding if not Full/Complete Registration due to reasons other than an incomplete SSN* Workforce System Policy (WSP) No. 01-2015 (Change 1), <a href="#">Pennsylvania's System of Record Policy (I)</a> .			
<b>19</b>	If the participant's CWDS registration is not 'Full/Complete' status, which items are pending completion? (Keystone ID creation, SSN, Work History, Education, Job Preferences, etc.)			
<b>20</b>	Did a Secondary/Supervisory Review include the verification of participant CWDS enrollment status? *Must be documented as an entry on the Supervisory/Second-Level Review Tool. <a href="#">Pennsylvania's System of Record Policy (I)</a> , <a href="#">BWDA email</a> to all LWDBs dated April 27, 2012.	Yes	No	
<b>21</b>	Did a Supervisory/Second-Level Review verify: <ul style="list-style-type: none"> <li>• the participant was provided with information about the full array of applicable or appropriate services available through the LWDB or other eligible providers or one-stop partners, <u>and</u></li> <li>• the participant was referred to appropriate training and educational programs that have the capacity to serve the participant either on a sequential or concurrent basis.</li> </ul> *The above must be documented as an entry on the Supervisory/Second-Level Review Tool <u>and</u> via referrals, case progress notes, &/or service entry(s) documented in CWDS.  <a href="#">WIOA §129(c)(3)(A)</a> , <a href="#">TEGL No. 16-16</a> , <i>One-Stop Operations Guidance for the American Job Center Network</i> , <a href="#">BWDA email</a> to all LWDBs dated April 27, 2012.	Yes	No	NA
<b>NOTES:</b>				



# OS Case File Monitoring

Key Monitoring Program Year Monitoring Emphasis

Based on WIOA, the USDOLETA Core Monitoring Guide, PA L&I Policy and Workforce System Guidance, BWPO Guidance, and this 2024 Case File Monitoring Touchpoint, and the BWDA PY 2024 case file monitoring tools.

## Emphasis On

Timely and complete data entry into the System of Record

Creation and maintenance of the IEP and ISS documents

Eligibility documentation and second level/supervisory review

Documented training, supportive service, needs-based, and incentive payments



# OS Case File Monitoring

## Common Monitoring Findings

### Historically Common Case File Monitoring Findings

Untimely, deficient,  
or incomplete case  
progress notes

Incomplete  
documentation for  
eligibility  
determinations

Incomplete  
Individual  
Employment Plan  
(IEP) and Individual  
Service Strategy  
(ISS) documents

Deficient  
supportive services  
documentation

Supervisory  
/Second Level  
Eligibility Review  
not properly  
documented

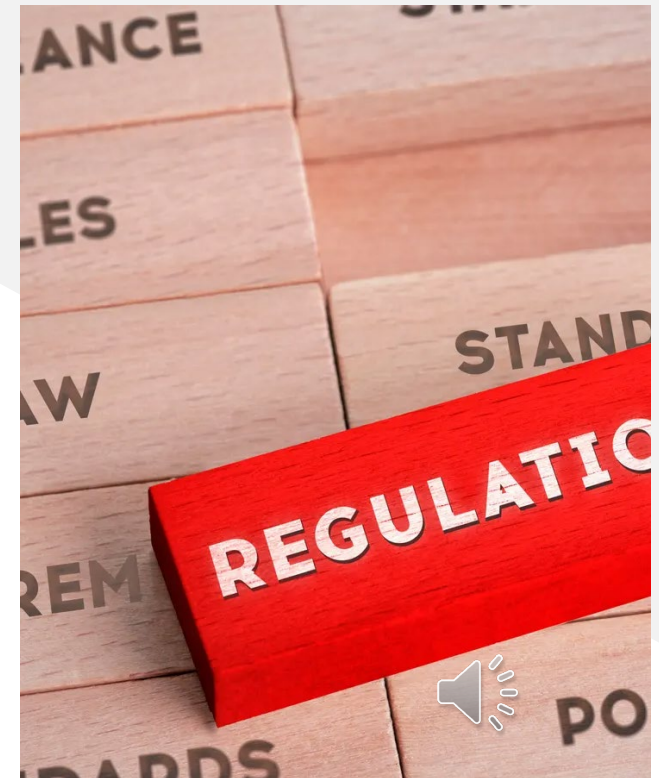




# OS Case File Monitoring

## Preventing Future and Repeat Findings

- Reference federal and state laws, regulations, policies and guidance.
  - [WIOA Section 129](#) – Mandates the use of funds for Youth Workforce Investment Activities
  - [WIOA Section 134](#) – Mandates the use of funds for Employment and Training Activities
  - [WSP No. 183-01 \(Change 1\), April 15, 2019](#) – Oversight and Monitoring policy
  - [WSP No. 03-2015, December 22, 2015](#) – This Financial Management Policy includes the [Financial Management Guide](#), more commonly called the “FMG.”
- Regularly schedule reviews of local policies, procedures, trainings, and monitoring tools referencing BWDA policies and guidance.
- [Protect Personally Identifiable Information \(PII\)](#) and handle as required.





The screenshot shows the Pennsylvania Commonwealth Workforce Development System (CWDS) login page. At the top left is the PA logo and the text "pennsylvania COMMONWEALTH WORKFORCE DEVELOPMENT SYSTEM". To the right are links for "ESPAÑOL" and "HELP". The main content area features a login form with fields for "Keystone ID" and "Password", a blue "LOGIN" button, and a link for "forgot Keystone ID or Password?". Below the login form is a "REGISTER" button. At the bottom of the page, there are three navigation buttons: "JOB SEEKERS" with a lightbulb icon, "EMPLOYERS" with a silhouette icon, and "SERVICE PROVIDERS" with a group of people icon. The background of the page is a wooden desk with a laptop and papers.

# Using CWDS for Case File Monitoring

Implementing the New Functionality





# CWDS Case File Monitoring

How to Access the Case Files Selected for Review

- To access the list of case files selected for review by the assigned analyst:
  - The LWDB Staff must have the CWDS access role of AP-OnlineMonitoringAdminLO
  - Login to CWDS at [www.cwds.pa.gov](http://www.cwds.pa.gov) using “b-user” credentials
  - On the CWDS 2.0 homepage, click on the “LWDB Monitoring” app to access the LWDB Monitoring Dashboard.
  - For detailed instructions refer to the [LWDB Accessing CWDS Job Aid](#) in the CWDS Help Center





# CWDS Case File Monitoring

How to Access the Case Files Selected for Review (cont.)

- On the LWDB Monitoring Dashboard:

1. Click on “Monitoring Activities”
2. Click on “Plans Search”
3. Click on the “PY 2024” plan name in the search results

The screenshot displays the CWDS interface. At the top, the logo and name 'Commonwealth Workforce Development System' are visible, along with a 'HOME' link. The main navigation menu on the left includes 'LWDB MONITORING', 'Dashboard', 'Monitoring Activities' (marked with a yellow circle '1'), 'Activities Search', 'Plans Search' (marked with a yellow circle '2'), 'Board Members & Contacts Search', and 'Manage Meetings'. The main content area is titled 'Plans Search' and features a search bar for 'Plan Name'. Below the search bar, there are three filter sections: 'STATUS', 'ACTIVITY', and 'START DATE'. The 'STATUS' section shows 'In Progress (1)' and 'Reviewed by Reviewer (1)'. The 'ACTIVITY' section lists various categories such as 'LWDB Membership List and Documentation Review (3)', 'Business (3)', and 'Section 1 - Procurement and Subcontract (1)'. The 'START DATE' section is partially visible. On the right side, there are two summary cards. The first card is titled 'PY 2024' (marked with a yellow circle '3') and shows 'Activity: Section 1 - Procurement and Subcontract, Administrative Functions, Section 6 - Performance, Operator, Section 3 - Service Delivery, Document Request - 2. Policy & Agreement and Section 4A. Fiscal Integrity and A' with start and end dates. The second card is titled '2025 LWDB Recertification' and shows 'Activity: A. LWDB Membership List and Documentation Review, B. Business, E. D. Education, E. Governmental & Economic Development, E. Governmental & Economic Members' with start and end dates. Both cards have a 'SORT BY: Plan Start Date' dropdown menu.



# CWDS Case File Monitoring

How to Access the Case Files Selected for Review (cont.)

- On the Plans Search Results Screen:

- Locate activity named “*Document Request – 4B. Local Monitoring, One-Stop Operator, and Performance,*” and click on the ellipses (:), then click on “View”

The screenshot displays the CWDS Case File Monitoring interface. On the left is a dark sidebar menu with the following items: Dashboard, Monitoring Activities (selected), Board Members & Contacts Search, and Manage Meetings. The main content area is titled 'LWDB MONITORING' and shows 'Plan Details' for 'Lehigh Valley Workforce Development Board' with a status of 'In Progress' and a start date of '10/1/2024'. Below this is a 'Monitoring Activities Summary' table with columns for Activity Name, Results, Status, Due Date, and Actions. The table lists various sections and document requests, with the last row, 'Document Request - 4B. Local Monitoring, One-Stop Operator, and Performance', highlighted. A yellow callout bubble with the number '4' points to the 'View' button in the Actions column of this row. A 'BACK' button is located at the bottom left of the main content area.

ACTIVITY NAME	RESULTS	STATUS	DUE DATE	ACTIONS
Section 1 - Procurement and Subcontract	0	In Progress	09/11/2025	⋮
Section 2 - LWDB Policies and Agreements	0	In Progress	09/11/2025	⋮
Section 3 - Service Delivery	0	New	09/11/2025	⋮
Section 4 - Sunshine Act	0	New	09/11/2025	⋮
Section 5 - LWDB Administrative Functions	0	New	09/11/2025	⋮
Section 6 - Performance	0	New	09/11/2025	⋮
Section 7 - Fiscal Integrity	0	New	09/11/2025	⋮
Section 8 - Audit Requirements	0	New	09/11/2025	⋮
Section 9 - One-Stop Operator	0	New	09/11/2025	⋮
Document Request - 1. Procurement and Subcontract	0	Pending Review	10/18/2024	⋮
Document Request - 2. Policy & Agreement and Service Delivery	0	Pending Review	11/29/2024	⋮
Document Request - 3. Sunshine Act	0	Pending Review	01/17/2025	⋮
Document Request - 4A. Fiscal Integrity and Audits	0	Pending Review	03/21/2025	⋮
Document Request - 4B. Local Monitoring, One-Stop Operator, and Performance	0	Pending Review	03/21/2025	⋮



# CWDS Case File Monitoring

How to Access the Case Files Selected for Review (cont.)

- On the Plans Search Results Screen:
  5. Click on the “Documents” Tab
  6. Click on the “V” for “Document Request: 1. Current Local Oversight Plan” to expand the list of uploaded documents.
  7. Click on the file name for the list of case files uploaded by the analyst.

The screenshot shows the 'LWDB MONITORING' dashboard with a sidebar containing 'Dashboard', 'Monitoring Activities', 'Board Members & Contacts Search', and 'Manage Meetings'. The main content area is titled 'PY 2024 - Document Request - 4B. Local Monitoring, One-Stop Operator, and Performance'. A blue banner at the top says 'Please contact your assigned Oversight Services analyst for additional support and resources.' Below this are tabs for 'Questions', 'Documents', 'Extensions', and 'Results'. A list of document requests is shown, with 'Document Request: 1. Current Local Oversight Plan' expanded. A table below lists uploaded documents with columns for 'UPLOAD DATE', 'FILE NAME / URL', 'UPLOADED BY', and 'DESCRIPTION'. A 'BACK' button is visible at the bottom left.

UPLOAD DATE	FILE NAME / URL	UPLOADED BY	DESCRIPTION
04/09/2025	<a href="#">Case Files Selected for Review.docx</a>	WF, CWDSstestT	List of WIOA Case Files Selected for Review
03/03/2025	<a href="#">PY2023-2024 Monitoring Plan.pdf</a>	Wolffington, Nanse	

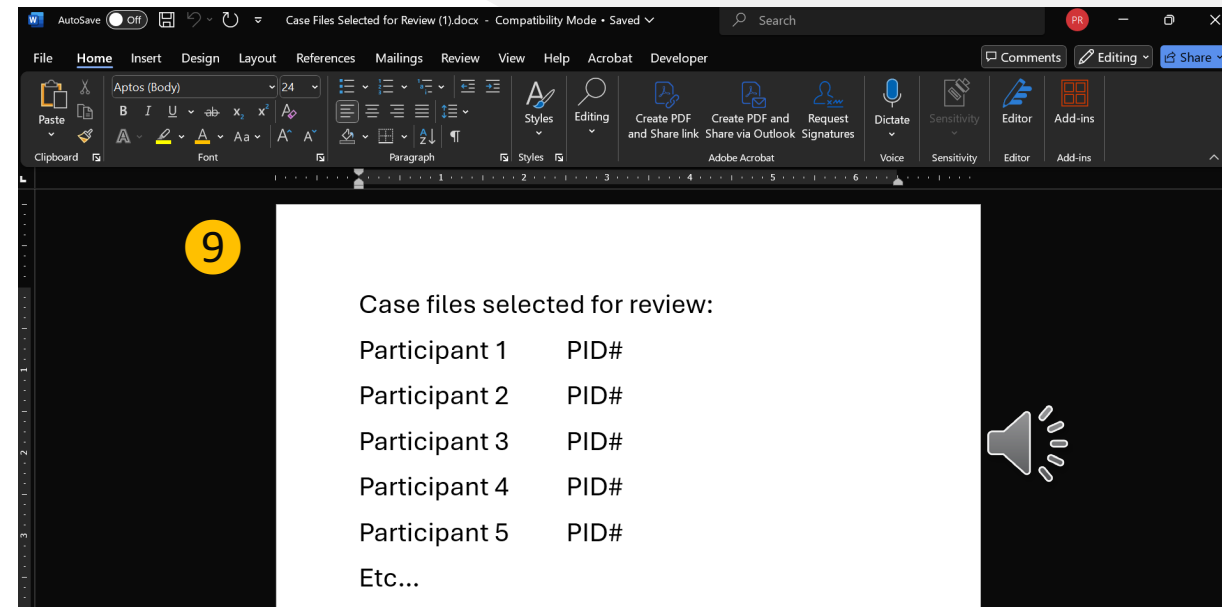
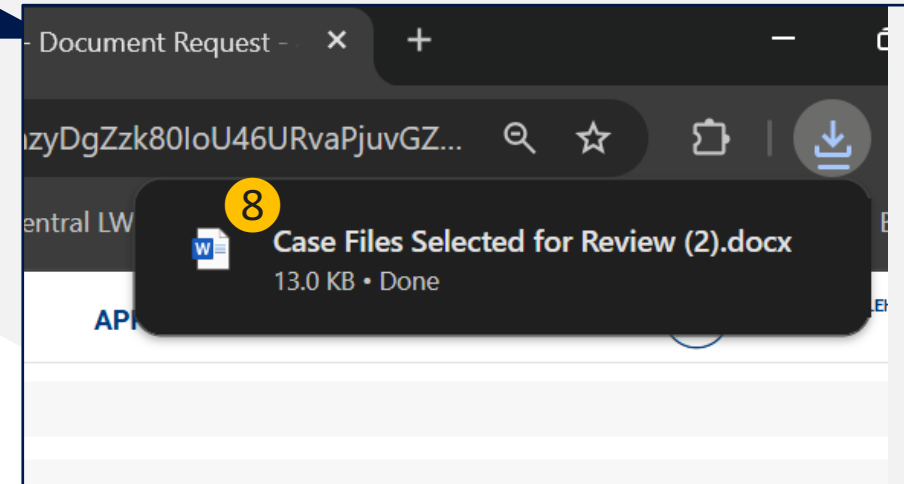


# CWDS Case File Monitoring

How to Access the Case Files Selected for Review (cont.)

- On your internet browser:
  8. A popup notification appears the file is downloaded. Click file name to open.
  9. The list of case files opens. This may be in MS Word or Adobe Reader, depending on the file format. This document will include any additional instructions and the date when any additional case file documentation is due to be uploaded.

If you have any issues accessing the list of case files selected for review, please reach out to Oversight Services ([ra-li-bwda-os@pa.gov](mailto:ra-li-bwda-os@pa.gov)) or your assigned analyst.





# CWDS Case File Monitoring

## What to upload to CWDS for the Case File Review

- Gather your documentation for each participant. Please include only documentation that is NOT already available in CWDS. Some examples may include:
  - Grievance and complaint procedure acknowledgement form
  - Statement of Family Size/Family Income
  - The Supervisory/Second-Level Review Form
  - Supportive Service/Needs Related Payments/Incentive receipt forms signed/dated by the participant and staff.
  - OJT and ITA signed contracts and payment documentation.
  - Any other WIOA documentation that **is not in CWDS** but necessary to conduct a case file review.
- Save the documents in a single file for each participant. Use the naming convention of [PID] – [Participant Last Name] – [Program]  
Example: 12345678 – Jones – WIOA OSY.pdf





# CWDS Case File Monitoring

How to upload to CWDS for the Case File Review

1. Access the PY 2024 plan activity named “*Document Request: 1. Current Local Oversight Plan*” using steps 1 through 7 for accessing the case file for review listed above.
2. Click on the “Add Documents” button.

Please contact your assigned Oversight Services analyst for additional support and resources.

Questions Documents Extensions Results

- > Document Request: 8. LWDB Bylaw Update Request
- > Document Request: 7. Current OSO Firewall Policy, If Applicable.
- > Document Request: 6. Monitoring Tools Not Used To Monitor The Local Workforce System In PY 2024
- > Document Request: 5. Monitoring Of The One-Stop Operator And Its Performance
- > Document Request: 4. Certification Of Each PA CareerLink®
- > Document Request: 3. Monitoring Of The WIOA Title I Program
- > Document Request: 2. Current Completed Subrecipient Risk Assessment
- ▼ Document Request: 1. Current Local Oversight Plan **1**

**Description of Document Request**  
A copy of the local area's current local oversight plan.

UPLOAD DATE	FILE NAME / URL	UPLOADED BY	DESCRIPTION	CONFIDENTIAL	ACTIONS
04/09/2025	<a href="#">Case Files Selected for Review.docx</a>	WF, CWDStestT	List of WIOA Case Files Selected for Review	No	
03/03/2025	<a href="#">PY2023-20 24 Monitoring Plan.pdf</a>	Wolflington, Nanse		No	

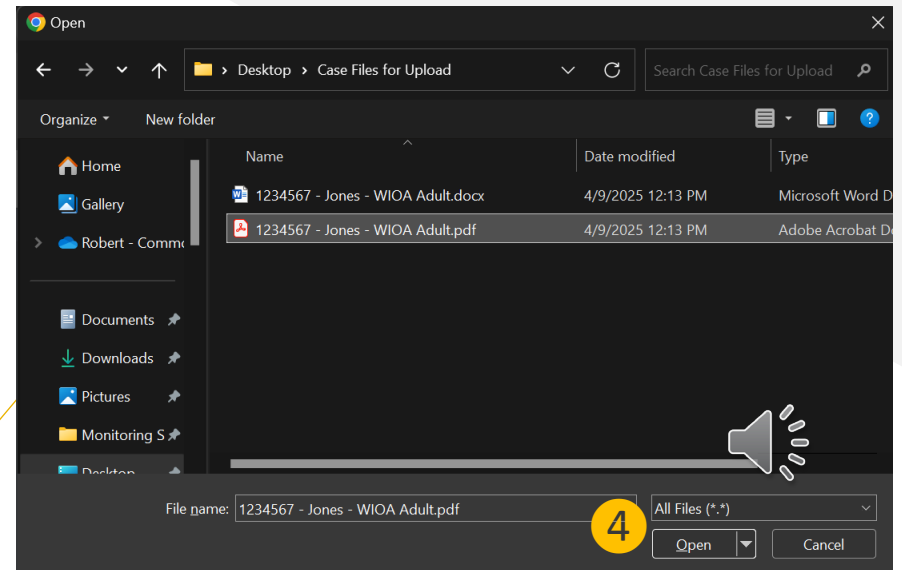
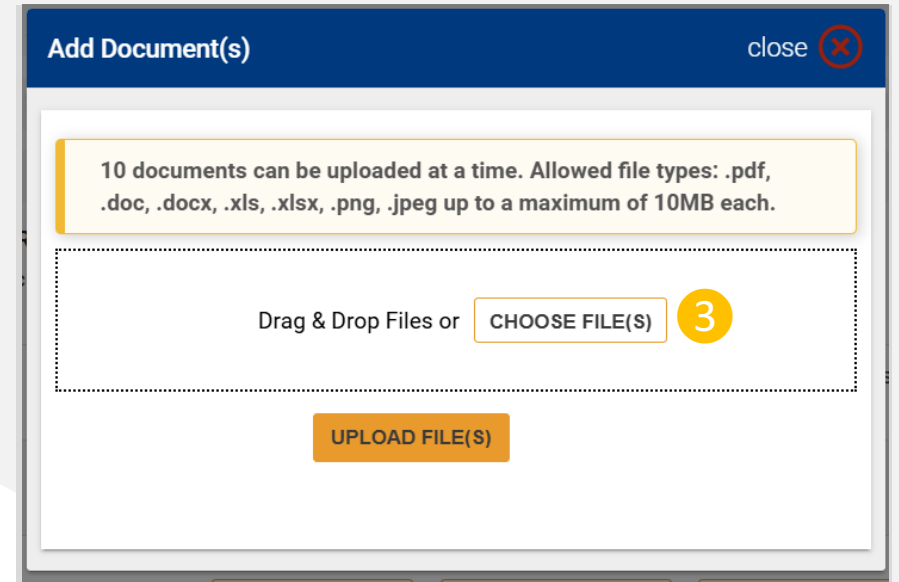
**2** ADD DOCUMENTS ADD DOCUMENT URL ADD PREVIOUS PLAN DOCUMENTS



# CWDS Case File Monitoring

How to upload to CWDS for the Case File Review(cont.)

3. On the “Add Document(s)” pop up modal, click on the “Choose File(s)” button.
4. Access the file folder and select the file name for the participant you need to upload from the computer dialogue box and click “Open”



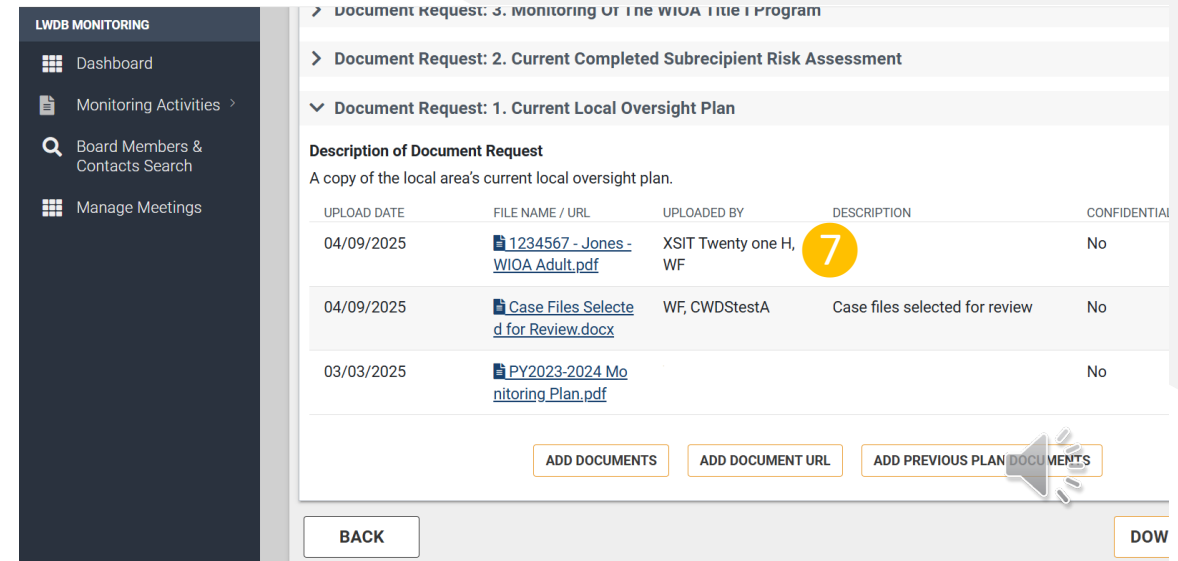
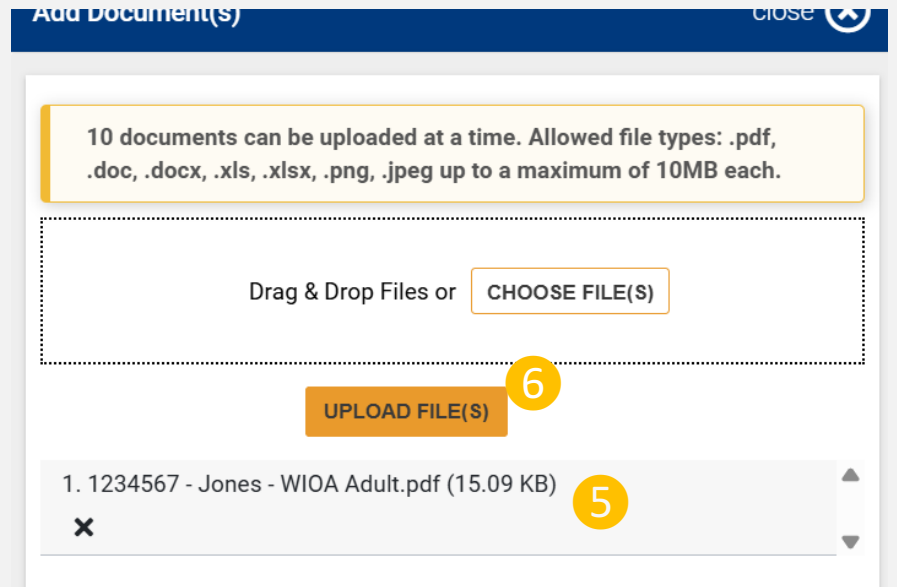


# CWDS Case File Monitoring

How to upload to CWDS for the Case File Review(cont.)

5. On the “Add Document(s)” pop-up modal, check to ensure the file you selected is there.
6. Click the “Upload File(s)” button on the pop-up modal.
7. Verify your case file documents have uploaded in CWDS.

If you have any issues uploading case file documents for review, please reach out to Oversight Services ([ra-li-bwda-os@pa.gov](mailto:ra-li-bwda-os@pa.gov)) or your assigned analyst.





# Thank you!

 Greg Hart, Oversight Services

 [ghart@pa.gov](mailto:ghart@pa.gov)

 <https://www.dli.pa.gov>

