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**STATE REFUGEE OFFICE MANUAL**  
**REFUGEE PUBLIC ASSISTANCE AND SERVICES MONITORING**

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**CHAPTER V - REFUGEE ASSISTANCE MONITORING**

**CHANGE #1-2023**

**January 13, 2023**

**I. MONITORING REFUGEE CASH ASSISTANCE AND REFUGEE MEDICAL ASSISTANCE**

**A. INTRODUCTION**

To ensure the integrity of the Refugee Cash Assistance (RCA) and Refugee Medical Assistance (RMA) programs, a formal monitoring process has been developed. This process will address program standards and employment and financial eligibility criteria needed to ensure appropriate and adequate assistance and services. Frequency of performance monitoring process is once every year for large counties, once every three years for medium counties, and once every five years or as needed for all other counties depending on arrival numbers and resettlement of refugee's in the specific county. The North Carolina State Refugee Office (SRO) reserves the right to require monitoring more frequently should any significant problems arise in those counties in the alternative year. A standardized monitoring tool will be used.

**B. SAMPLE**

A sample of case files will be selected for review from a period preceding the month of monitoring. The monitoring sample size will depend on the size of the county, previous performance, and other factors identified by the SRO. The sample size should not be less than fifteen (15) case files per year, unless the total number of recipients fall below that number. The sample size should not exceed thirty-five (35) case files. In all other counties which had at least one, and no more than ten (10) RCA/RMA recipients, the sample size will be randomly selected by the SRO for a county desk-top monitoring.

**C. PROCESS**

Cash and medical assistance cases will be selected for review from the Monthly Refugee Cases and Medical Recipients by Program report, prepared by the Performance Management Section within the NC Division of Social Services (DSS). The Refugee Program Consultant (Consultant) will monitor refugee cash and medical assistance cases in one of two ways:

**1. Onsite Review**

- a.** The Consultant will conduct an onsite visit to the local department of social services. The Consultant will review the case files for documentation of eligibility status, employment referral, completion of DSS-5022, Refugee Work Registration Certification, Employment/Refusal and Termination/Denial Notice, RCA/RMA application date, approval/denial date, payment history, household composition, and other relevant data.
- b.** Significant findings will be discussed communicated verbally during the exit meeting on the final day of the monitoring visit. The Consultant will analyze the monitoring results and provide the DSS director a written report within thirty (30) days following the monitoring visit.

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- c. If there are any findings of non-compliance, the county is required to develop a Performance Improvement Plan (PIP) or file an appeal of the monitoring results within thirty (30) days of the date of receipt of the performance monitoring report to the Consultant. The PIP must provide a written corrective action response to each review finding. Corrective actions must be taken within the timeframe designated by the SRO. The Consultant will follow-up with the county after submission of the PIP to verify that corrective action has been implemented. The Consultant will evaluate the PIP and either accept the corrective action or request additional information or clarification.

**2. Desk Review**

- a. The Consultant will initiate the self-monitoring process by contacting the Director of the local Department of Social Services (DSS) via email correspondence. The Director will be provided with an initial monitoring letter, case sample worksheet, and a required verification list.
- b. Within thirty (30) days after receipt of notification of the randomly selected RCA/RMA cases, the local DSS will electronically upload requested eligibility information, documentation, and attachments on the client person page under the "Attachments" tab in the North Carolina Families Accessing Services through Technology (NC FAST).
- c. The Consultant will then monitor case notes for documentation of eligibility verification, status, employment referral, completion of DSS-5022, RCA/RMA application date, approval/denial date, payment history, household composition, and other relevant data.
- d. The Consultant will analyze the monitoring results from the counties. If there are findings of non-compliance, a report with the findings will be prepared and emailed to the DSS director, of the respective county, within thirty (30) days following the schedule desk review date.
- e. If there are any findings of non-compliance, the county is required to develop a PIP or file an appeal of the monitoring results within thirty (30) days of the date of receipt of the performance monitoring report to the Consultant. The PIP must provide a written corrective action response to each review finding. Corrective actions must be taken within the timeframe designated by the SRO. The Consultant will follow-up with the county after submission of the PIP to verify that corrective action has been implemented. The Consultant will evaluate the PIP and either accept the corrective action or request additional information or clarification.

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**II. MONITORING REFUGEE SERVICES PROGRAMS**

**A. Introduction**

To ensure the integrity of the Refugee Services Programs (RSP), North Carolina refugee service providers are contractually required to participate in monitoring by the SRO and other state and federal agencies to address fiscal, administrative and programmatic performance and progress to ensure compliance.

Refugee Services Programs include the following: Refugee Support Services (RSS), Refugee School Impact Program (RSIP), Refugee Youth Mentoring (RYM), Refugee Health Promotion (RHP) and Services to Older Refugees (SOR) are longer-term, programs for which refugees are eligible. These programs focus on self-sufficiency and integration

The SRO has instituted several strategies to measure performance continuously among refugee service providers. Overall success is measured on achievement of performance indicators at periodic intervals. A process that involves a system of weekly, monthly, trimester, semi-annual and annual benchmarks help the SRO track and monitor performance.

The statewide integrated Refugee Information System (RIS) allows for data input of all services and activities received by clients. NC refugee service providers and the SRO use this system to monitor the performance of their efforts.

SRO consultants monitor the appropriate use of the RIS system by each service provider who are required to input and export data, weekly. Also, SRO staff performs desktop monitoring reviews, monthly, to ensure steady progress towards achieving semi-annual, trimester and annual goals. These monthly reviews include financial assessments to determine appropriate spending patterns.

**B. Onsite Monitoring Process**

The SRO initiates the monitoring process with the NC refugee service provider within thirty (30) days of an on-site visit. A mutually agreeable time for the onsite visit is determined and confirmed with written notification to the NC refugee service provider. The monitoring visit will include an administrative review, client record reviews, limited fiscal review, observation of service delivery, interviews with key personnel, clients and community partners such as employers. Findings will be communicated both verbally at the time of an exit interview and in writing within thirty (30) days after the monitoring visit. If the findings require a NC refugee service provider to implement corrective action, a Corrective Action Plan (CAP) must be submitted to the SRO within thirty (30) days after receipt of the report. SRO staff will follow up with the NC refugee service provider after submission of the CAP to verify that corrective action has been implemented.

Send monitoring forms with appropriate supporting documentation to:

NC DHHS/DSS/Refugee Assistance Program  
Dorothea Dix Campus – Hargrove Building  
820 South Boylan Avenue  
2405 MSC  
Raleigh, NC 27699-2405

Monitoring forms and all correspondence and supporting documentation for Refugee Cash and Medical Assistance and Refugee Support Services will be maintained according to the

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state's record retention policy in the SRO located at 820 South Boylan Avenue, Raleigh, North Carolina.

#### C. Desk Review

- a. The Consultant will initiate the self-monitoring process by contacting the Director of the NC refugee service provider via email correspondence. The Director will be provided with an initial monitoring letter, case sample worksheet, and a required verification list.
- b. Within thirty (30) days after receipt of notification of the randomly selected RSP program cases, the NC refugee service provider will electronically submit requested eligibility information, documentation, and attachments..
- c. The Consultant will then monitor case notes for documentation of eligibility verification, status, employment referral, completion of required DSS forms,, service provision and other relevant data.
- d. The Consultant will analyze the monitoring results from the NC refugee service provider. If there are findings of non-compliance, a report with the findings will be prepared and emailed to the NC refugee service provider director, within thirty (30) days following the schedule desk review date.
- e. If there are any findings of non-compliance, the NC refugee service provider is required to develop and to implement corrective action, a Corrective Action Plan (CAP). The CAP must be submitted to the SRO within thirty (30) days after receipt of the report. SRO staff will follow up with the NC refugee service provider after submission of the CAP to verify that corrective action has been implemented. The CAP must provide a written corrective action response to each review finding. Corrective actions must be taken within the timeframe designated by the SRO. The Consultant will follow-up with the NC refugee service provider after submission of the CAP to verify that corrective action has been implemented. The Consultant will evaluate the CAP and either accept the corrective action or request additional information or clarification.

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