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| <b>WIA and Wagner-Peyser Program Services and Delivery Systems<br/>Compliance Monitoring Guide</b> |
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**WFC Name / Location:** \_\_\_\_\_

**WFC Staff Interviewed:** \_\_\_\_\_

**Monitor / Program Year / Date:** \_\_\_\_\_

### 1. Service Delivery Systems for Employers and Job Seekers

| <b>Sources:</b><br>Grant Agreement, PGL 97-11-P4, PGL 04-17-V, PGL 01-11-WIA1, PGL 02-33-P |  | <b>YES/NO</b>    | <b>Comments</b><br>Explain, if NO |
|--|--|------------------|-----------------------------------|
| A.   | Is the region providing the full range of required services to employers and job seekers that are stipulated in the grant agreement?                                 | Y    N           |                                   |
| B.   | Does the region have an operational framework that integrates the activities of WIA, WP, and other program operated by the WFC?                                      | Y    N           |                                   |
| C.   | Does the region have WIA and ES complaint procedures in place?<br>Have any WIA Grievances or ES Complaints been received? If yes, were they resolved satisfactorily? | Y    N<br>Y    N |                                   |
| D.   | Has the region fully implemented the required Veteran's Triage procedures and Veteran's Priority of Service requirements for WP and WIA services?                    | Y    N           |                                   |

### 2. Wagner Peyser program

| <b>Sources:</b><br>Wagner-Peyser Act of 1933 as amended by Title III of the Workforce Investment Act of 1998; PGL 01-04-WP1; PGL 00-27-WP1; PGL 97-11-P4; 02-12-WP |  | <b>YES/NO</b> | <b>Comments</b><br>Explain, if NO |
|--|--|---------------|-----------------------------------|
| A.   | Is universal access for basic labor exchange services ensured for all job seekers and employers requesting assistance?     | Y    N        |                                   |
| B.   | Does the region offer self-service and staff assisted service options to employers and job seekers?                        | Y    N        |                                   |
| C.   | Does the region actively market and promote services to employers and job seeker customers, including special populations? | Y    N        |                                   |

|    |  |     |  |
|----|--|-----|--|
| D. | Is an employer record created for all employers served? Are all services entered on the employer record?   | Y N |  |
| E. | Has the region implemented procedures regarding UI work registration, and to notify UI when UI claimants refuse to accept suitable job referrals or otherwise do not comply with the UI Work Test? | Y N |  |

### 3. WIA Adult and Dislocated Worker programs

| <b>Sources:</b><br>WIA Final Rules, 20 CFR, Part 663; PGL 01-04-WP1 |  | <b>YES/NO</b>                   | <b>Comments</b><br>Explain, if NO |
|---|--|---------------------------------|-----------------------------------|
| A.  | Is priority of service given to low-income adults or other targeted groups in the region? Is this process integrated with Veterans priority of service?  | Y N                             |                                   |
| B.  | Is self-sufficiency defined in your local region to allow appropriate enrollment of employed workers in the Adult Program?   | Y N                             |                                   |
| C.  | Is Sequential Delivery of Service fully implemented through your WIA program delivery process?   | Y N                             |                                   |
| D.  | Has the region fully implemented an ITA process that includes a documented: <ul style="list-style-type: none"> <li>- justification for training,</li> <li>- eligible training provider,</li> <li>- in-demand occupation,</li> <li>- coordination of other funding sources to pay for training costs (using WIA funds last), and</li> <li>- approval and denial process?</li> </ul> | Y N<br>Y N<br>Y N<br>Y N<br>Y N |                                   |
| E.  | Has the region provided training services that are exempt from ITA requirements such as OJTs, customized training, and incumbent worker training? Are policies and procedures for these services fully implemented?  | Y N<br>Y N                      |                                   |
| F.  | Does the region utilize work experiences for WIA AD or DW clients? Does the region have a policy outlining the requirements for implementing a work experience?  | Y N<br>Y N                      |                                   |
| G.  | Does the region have a policy and procedures in place to conduct follow-up after exit? Has the region identified the services and expenditures that are allowed during follow-up?  | Y N<br>Y N                      |                                   |
| H.  | Are Rapid Response activities available to employers in your region?<br>Is the region coordinating Rapid Response activities with the State and meeting the requirements of the Rapid Response reporting process? (PGL 05-12-WIA)  | Y N<br>Y N                      |                                   |

## 4. WIA Youth program

| <b>Sources:</b><br>WIA Final Rules, 20 CFR, Part 664; PGL 01-04-WP1 |   | <b>YES/NO</b> | <b>Comments</b><br>Explain, if NO |
|---|---|---------------|-----------------------------------|
| A.  | Are the 10 youth program elements offered and/or made available to all enrolled clients?  | Y N           |                                   |
|   | Does staff have an up-to-date list of youth program element service providers, whether procured by a competitive process or available without cost?                               | Y N           |                                   |
|   | When the full youth program is contracted to a vendor, are procedures in place to refer youth to these entities for services?   | Y N           |                                   |
| B.  | Does the development of the Individual Service Strategy (ISS) identify appropriate short term and long term education and/or employment goals?                                    | Y N           |                                   |
|   | Are these goals adequately monitored & updated?   | Y N           |                                   |
| D.  | Is “requires additional assistance to complete an educational program, or to secure and hold employment” defined and documented in your region?                                   | Y N           |                                   |
| E.  | Does your region use the 5% window for youth who do not meet the low income eligibility requirement for WIA?  | Y N           |                                   |
| F.  | Does your region ensure that 30% of your youth funds are spent on out-of-school youth?  | Y N           |                                   |
| G.  | Does your region utilize work experiences for WIA youth clients? Does your region have a policy outlining the requirements for implementing a work experience?                    | Y N           |                                   |
|   |   | Y N           |                                   |
| H.  | Does the region have a policy and procedures in place to conduct follow-up after exit? Has the region identified the services and expenditures that are allowed during follow-up? | Y N           |                                   |
|   |   | Y N           |                                   |

