

Program Performance and Compliance Review Process Timeline

1. The annual Program Performance and Compliance Review will be scheduled for each local area at least once during each twelve-month program year.
2. The Regional Liaison will contact the Regional Director six to eight weeks in advance to confirm a “Program Performance and Compliance Review (or monitoring),” a one-two week period for the review, which will include an “Entrance Meeting.”
3. The Regional Liaison will send a formal letter to the Regional Director approximately two-three weeks prior to the date of the Entrance. This letter will request the required local policies, Workforce Investment Board (WIB) and Youth Council rosters and minutes, and other documents as needed.
4. The Regional Liaison will request a “cost-per-client” list from the local area, to include WIA Adult, Dislocated Worker, and Youth clients active during the period of review, and also the cumulative dollar amounts spent for each participant’s training and/or supportive services. (Note: For purposes of this review, local areas should only include expenditures associated with supportive services, ITAs, OJTs, paid internships, and Customized Training for Adults, Dislocated Workers, and Youth participants. Work Experience expenditures should also be included if applicable to Youth clients. (Short-term pre-vocational (PV) intensive service costs should not be included.) This report should be provided by the local area during the Entrance Meeting.
5. The Regional Liaison will provide the local area with the case file sample lists approximately three-five days prior to the on-site program performance review visit.
6. The Regional Liaison will conduct the Entrance Interview on the first day of the on-site Program Performance and Compliance Review.
7. The Regional Services Team (monitors) will conduct on-site monitoring lasting approximately one-two weeks; however, more time may be necessary if warranted.
8. The Regional Liaison will schedule an Exit Meeting with the local area two to three weeks after the planned final monitoring date.
9. Risk assessment conducted for the annual Program Performance and Compliance Review will be included in the Initial Report; however, the risk assessment process is ongoing, will also be conducted throughout the Program Year, and is not limited to the period of the program performance review. As a result of an interim risk assessment, a local area may receive a compliance letter at any time during the Program Year, if warranted.
10. The Regional Liaison will submit an Initial Report to the Regional Director within 45 days (or less) of the Exit Meeting. A courtesy draft of the report will be provided to the Regional Director three days prior to the transmittal of the official report.
11. Upon receipt of the official Initial Report, the Region has 30 days (or less) to respond to compliance and action items in writing to the Regional Liaison.
12. Upon receipt of local area’s response, the Regional Liaison will transmit the Final Report to the Regional Director, WIB Chair and Local Elected Official(s) (LEO) within 30 days (or less.) A courtesy draft of the report will be provided to the Regional Director three days prior to the transmittal of the official report.