

**GOVERNMENT OF THE DISTRICT OF COLUMBIA**

Department of Employment Services



MURIEL BOWSER  
MAYOR

DR. UNIQUE MORRIS-HUGHES  
DIRECTOR

Entity Name

Entrance Conference Memo

Federal WIOA Monitoring Period: Month #, 20## – Month ##, 20##

Federal WIOA Monitoring Dates Onsite: Month ##, 20## – Month ##, 20##

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

Location: \_\_\_\_\_

**OPPM Team in Attendance**  
(Print Name)

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Entity Team in Attendance**  
(Print Name)

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**I. Review the Purpose of Monitoring**

The purpose of this monitoring is to provide management officials responsible for the function or activity being reviewed with a description of the monitoring scope and objectives to ensure compliance with federal and District laws, rules, and regulations.

**II. Review the Goals of Programmatic Testing Areas**

**Corrective Action Response Review**

If applicable, determine if the entity has implemented the required corrective actions as described in their approved Corrective Action Response (CAR) from the most recently closed grant program year.

**Program Administration**

- Determine if proper policies and procedures are in place to effectively administer programs.

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**Determine if sufficient programmatic management systems are in place.**

**Participant Eligibility**

- Determine if appropriate and sufficient WIOA eligibility procedures are in place and being followed.
- Review case files to assess whether participant WIOA eligibility criteria have been met in accordance with applicable federal laws.

**Veteran’s Priority of Service**

- Determine if appropriate and sufficient veterans’ preference procedures are in place.
- Determine if the entity is consistently determining and documenting veterans’ preference in accordance with local policy and applicable federal law.

**Provision of Services**

- Determine if appropriate and sufficient service delivery procedures are in place.
- Determine if the entity is providing services in accordance with local policy and applicable federal law.

**Employment Services/Training**

- Determine if appropriate and sufficient employment services are in place.
- Review case files to assess whether participant employment services and training activities are documented in accordance with local policy and applicable federal law.

**Supportive Services**

- Determine if appropriate and sufficient delivery of supportive services procedures are in place.
- Determine if the entity is providing supportive services in accordance with local policy and applicable federal law.

**Incentives**

- Review case files to determine if incentives are in place and appropriate.

**Preparation for Employment**

- Review case files to determine if the program addresses the employment needs of youth.

**Program Elements**

- Determine if the program effectively provides services to support the core elements of WIOA.

**Educational Attainment**

- Review case files to validate that educational records are identified in the participant’s case file.

**Credential Attainment**

- Review case files to validate that credentials are identified in the participant’s case file.

**Equal Employment Opportunity**

- Review entity physical location to determine if appropriate employment –related posters are visible to staff.

- Review case files to determine if appropriate accommodations were made to support equal employment opportunity policies.

**Exit & Follow-Up Services**

- Review case files to determine if required follow-ups were made.

**Grievance**

- Determine if appropriate and sufficient grievance and appeal policies and procedures are in place.
- Determine if the entity is supporting the grievance and appeal process in accordance with local policy and applicable federal law.

**Physical and Programmatic Accessibility**

- Review entity physical location to determine if the training facility and applicable program elements meet ADA / 504 compliance requirements.

**Programmatic Quality Assurance Monitoring**

- Determine if the entity has in place appropriate and sufficient programmatic monitoring policies and procedures.
- Determine if the entity’s subrecipient monitoring activities comply with local policy and applicable federal law.

**General Safety**

- Review the entity’s physical location to determine if any apparent conditions pose a safety risk.

**III. Review the Goals of Financial Testing Areas (If applicable):**

**Pre-Planning**

- Reviewed the documents provided from the Data Request List prior to the Site Visit.
- Selected samples and gained an understanding of the operational environment.

**Financial Management Systems**

- Gain an understanding of financial and operational environments through reviews of entity policies and procedures, other written documentation (e.g., meeting minutes), responses to the internal control questionnaire, observation of processes, and a thorough interview of entity management.

**Internal Control Environment**

- Gain an understanding of the entity’s internal control environment through testing of internal controls, observation of entity operations, and on-site testing to ensure compliance with Federal laws, regulations, and funding requirements.

**Cash Management and Revenue Recognition**

- Test whether appropriate cash management policies and procedures are in place and being followed.

### **Prepaid Program Items**

- Determine whether prepaid program items exist and if present, test safeguarding, managing, tracking, reporting, and control procedures/processes.

### **Timekeeping, Salary, and Cost Allocation Plan Testing**

- Test cost allocation plan for completeness.
- Test timekeeping and payroll processes for accurate reporting and recording of time and salary costs.

### **Disbursement Testing**

- Test disbursements for necessary and reasonable allowability, appropriate approval (including pre-approval if needed), period of availability, controls over disbursements and allocations in accordance with applicable cost principles and grant program compliance requirements.
- Test the payroll process, including timekeeping, calculating allocations, and recording the payroll in the financial system.

### **Purchasing**

- Determine if sampled procurements are in compliance with the entity's procurement policies as well as federal and District procurement laws, rules and regulations; determine whether appropriate controls are in place.

### **Contracting**

- Determine if sampled contracts are being monitored and managed in compliance with the entity's contracting policies as well as federal and District requirements; determine whether appropriate controls are in place.

### **Subrecipient Monitoring**

- Determine if the entity's subrecipient monitoring activities comply with the entity's policies and procedures as well as federal requirements; determine whether appropriate controls are in place.

## **IV. Review of Monitoring Timeline**

### **Testing**

- Testing will be performed during the site visit.
- In the rare instance that information/documentation is not available during the on-site visit, OPFM may consider a request for an extension to be granted on a case-by-case basis.

### **Exit Conference**

- Schedule Exit Conference.
- Participants will include:
  - OPFM monitoring team
  - Entity Executive Director
  - Finance lead

- Program delivery lead
- An exit memo documenting and demonstrating that results have been communicated must be acknowledged by attendees.

### **Reporting**

- OPPM will provide draft findings to the entity at conclusion of testing.
- OPPM will issue the final report to the entity within 10 business days after receiving the signed exit conference memo.
- Upon receipt of the final report, the entity has ten (10) business days to provide a Corrective Action Response to OPPM.
- OPPM will provide approval to the Corrective Action Response within ten (10) business days from Corrective Action Response from entity.

### **V. Entity Update**

- Operational changes
- Material service organization changes
- Staff turnover
- Other

### **VI. Logistics**

- Entity office hours
- OPPM workspace
- Internet/copier/phone access
- Other

### **VII. Action Items**

- Provide onsite sample selections
- Outstanding data requests
- Other

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## VIII. Signatures

Acknowledged by: \_\_\_\_\_  
*(OPPM Team Lead)* *(Date)*

Acknowledged by: \_\_\_\_\_  
*(Entity Executive Director)* *(Date)*

Acknowledged by: \_\_\_\_\_  
*(Entity Finance Lead)* *(Date)*

Acknowledged by: \_\_\_\_\_  
*(Entity Program Lead)* *(Date)*

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