

WIA SERVICE PROVIDER REVIEW

Program Year: _____

Financial/MIS Review

Provider Name:	Cost Center Number:
WIA Agreement Number:	Reviewer _____
Date(s) of Review:	Name(s): _____

PRIOR REVIEW

Describe any related findings or improvements identified during the most recent Participant File Review and/or On-Site Review that require attention during this Financial Review.

Review Date _____

Review Codes: 1: Finding 2: Needs Improvement 3: None 4: Exemplary

FINANCIAL MANAGEMENT

Review the Service Provider’s Budget, Program Planning Summary and DATA ENTRY, REPORTING, FORMS SUBMISSION AND RECORDS RETENTION REQUIREMENTS section of the Provider Agreement.

1. Finding Needs Improvement None Exemplary

Has the Service Provider submitted requests for payment in the proper format and in a timely manner? *Reviewer Note: Access the contract payment system and review the accounting payment file. Each Provider Agreement specifies the required method of payment and time frames; this question is not applicable to Job Service Agreements.*

2. Finding Needs Improvement None Exemplary

Based on the Subrecipient's budget and program planning summary, are actual expenditures reflective of mid year projections? If not, does the 2nd quarter Continuous Improvement report include an action plan to address the deficiency? Is the action plan producing results? *Reviewer Note: Compare WIA Financial Status Report information (forms 33&34) to quarterly projections for personnel and non-personnel; the WIA Grant Forecast Summary (Budget Report 62) should be used for Job Service Agreements. Participant obligations and expenditures can be viewed on the WIA MIS.*

3. Finding Needs Improvement None Exemplary

Do participant payments meet the test of "reasonable, necessary and allowable: If "emergency assistance" or "cash payments" were authorized, did the provider exhaust all other options prior to using WIA resources? *Reviewer Note: a 5% sample (active participants) of participant wage payments and supportive services (representative of actual activities) should be included as part of this review.*

4. Finding Needs Improvement None Exemplary

Has the Service Provider maintained the WIA MIS 'Site Participant Obligation Register'? *Reviewer Note: a review of the on-line register should reflect reasonable expenditure projections and timely updates. Total costs should not exceed obligations and system accruals should be monitored for accuracy and timeliness.*

5. Finding Needs Improvement None Exemplary

Has the Service Provider submitted a copy of their last independent audit and has it been reviewed by IDOL accounting staff? *Reviewer Note: Findings or concerns noted within the audit or as a result of IDOL's review should be noted and carried forward to the next On-Site Review. Corrective action measures can then be monitored to ensure continued compliance.*

WIA MIS

6. Finding Needs Improvement None Exemplary

Does the Provider have a working knowledge of the WIA MIS system? Do management reports reflect current participant data? Are data quality reports reviewed and corrected on a regular basis? *Reviewer Note: report data should reflect current client information, expenditures should not exceed obligations, 1st and 3^d quarter exit information should be entered in a timely fashion, data quality reports should reflect regular review and remedies when appropriate, etc. If technical assistance is needed, it may be provided now or carried forward to the On-Site Review and included as part of the TA delivery at that time.*
