

DEPARTMENT OF CHILDREN AND FAMILIES
DIVISION OF FAMILY & ECONOMIC SECURITY
ADMINISTRATOR'S MEMO SERIES

ACTION
 NOTICE **11-07**

ISSUE DATE: 11/04/2011
DISPOSAL DATE: Ongoing

*PROGRAM CATEGORIES:

AS FM ML TR
 CC FL NA W-2
 CS IT RA WIA
 CF JC TC
 CR LM TA

To: W-2 Agency Directors

From: Kristiane Randal
Division Administrator

RE: Comprehensive W-2 Agency Reviews

PURPOSE

The purpose of this memo is to inform W-2 Agencies of the new process and tools that will be utilized to conduct comprehensive reviews of W-2 and Related Programs.

BACKGROUND

The W-2 and Related Programs Contract (18.2.1) specifies that the Department of Children and Families (DCF) shall monitor W-2 Agencies for compliance, including but not limited to, the Contract, financial requirements, administrative requirements, policy and program requirements, civil rights requirements, training requirements, and requirements to prevent racial, ethnic or other disparities in program operation. The Contract (18.2.2) further indicates that DCF shall conduct monitoring reviews of the W-2 Agency at least annually to determine if the agency is meeting Performance Standards and other program expectations and to determine if the results warrant action from the Department.

REVIEW PROTOCOL

The Bureau of Regional Operations (BRO) and Milwaukee Operations Section (MOS) will conduct a comprehensive on-site review of each W-2 agency by December 2012 and at least annually thereafter. The focus of the review will include compliance with contract requirements, Agency performance, quality of services, and use of W-2 funds.

Desk Review Prior to On-site Review

Prior to the On-site Review, BRO and MOS staff will conduct desk review of items including but not limited to:

- Review of Agency's W-2 Plan, Plan modifications, budget, and subcontracts;

- Review of a randomly selected sample of W-2 cases to include newly opened cases, W-2 T's, CSJ's, CMC's, and recent case closures;
- Review of reports to include fiscal, performance measures, and other compliance and quality related reports;
- An anonymous phone call to the agency to review information provided to potential applicants;
- Review of the agency's website to assess accuracy of information and ease of access to information about W-2 and Related Programs.

On Site Review Components

The components of the on-site review will include:

- An initial meeting with a group of designated W-2 Agency management and staff;
- A review of various administrative, policy and program documents developed by the agency;
- Individual and/or group interviews with key staff (within the W-2 Agency and key sub-contractor agencies) to discuss the agency's W-2 customer flow and key processes;
- Observations in lobby;
- Observation of one or more appointments, including:
 - Initial application/intake
 - Review appointment
 - Employability plan development/update;
- Observations at one or more on-site workshops;
- Observations/interviews at one or more worksites;
- Face-to-face interviews of program applicants/participants;
- Exit de-briefing with W-2 managers/supervisors.

Comprehensive On-site Review

The Comprehensive On-site Review will include the following modules:

1. General Administration and Operations
2. Access and Outreach
3. Intake
4. Assessment
5. Placement
6. Ongoing Case Management
7. Employment
8. Payments
9. Program Integrity
10. Support Services
11. SSI Advocacy
12. Education and Job Skills Training
13. Case Closures, Sanctions and Extensions

The On-site Review process will consist of at least one full day in the Agency. In some agencies, it may not be possible to complete the entire review in a single day, and a series of visits may be necessary to complete all of the review components.

Agencies will receive a formal written report within 30 days of completion of the on-site review. The report will include positive findings and best practices, compliance findings, and recommendations. Agencies will be required to respond in writing to all compliance findings and recommendations within 30 days of receipt of the report. Shorter response times may be necessary for more serious findings.

CONTACT

Balance of State: Bureau of Regional Operations, W-2 Regional Coordinators
Milwaukee: Milwaukee Operations Section, Regional Administrators

Attachments: [Comprehensive W-2 Agency Review Guide](#)
 [W-2 Case Review Tool](#)