

Corrective Action Plan

Workforce Investment Area: Montgomery County

Department (if applicable) _____

Date: October 13, 2011

Deficiency	Person(s) Responsible	Resources Allocated	Evidence of Implementation	Monitoring: Date and by whom	Results (include evaluation of processes for effectiveness and efficiency)
1. a. Development of administrative and operational policies	WIB Staff	<p>Staff and consultants time (Consultants already under contract)</p> <p>WIB time to review and approve policies</p>	<ul style="list-style-type: none"> <input type="checkbox"/> WIB and Division of Workforce Services (DWS) staff review local workforce investment area's (LWIA) current administrative and operational policies (2nd quarter PY 11) <input type="checkbox"/> Develop list of policies needing updates and list of new policies needed 2nd quarter PY 11) <input type="checkbox"/> Request and review administrative and operational policies from other Maryland local workforce investment areas (LWIAs) cited by DLLR as having best practices (2nd and 3rd quarter PY 11) <input type="checkbox"/> Create work team of DWS staff and vendor staff to draft and review policies (2nd quarter PY 11) <input type="checkbox"/> Drafting and updating policies will be completed and reviewed by organizational consultant, DWS staff and work team (2nd quarter PY 11 and ongoing) 	<p>Quarterly review by WIB Program Planning Committee</p> <p>Part of DLLR's program monitoring in spring 2012</p>	<p>Policies and processes are in place and understood by staff and vendor leading to increased efficiencies, deadlines met, and reduced errors</p>

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1. b. Development of Performance Accountability Plan	WIB Staff	Staff and consultant time (Consultants already under contract)	<ul style="list-style-type: none"> <input type="checkbox"/> Develop a dashboard of critical measures that the WIB can use for accountability purposes (by end of 3rd quarter PY 11) <input type="checkbox"/> Develop reports to be used by vendors and DWS staff to monitor performance on a regular and more frequent basis (by end of 3rd quarter PY 11) <input type="checkbox"/> Develop a schedule for the reports and meetings to review reports (by end of 2nd quarter PY 11) <input type="checkbox"/> Performance consultant, with DLLR, to develop schedule/calendar of performance events such as release of reports, deadlines for submitting data to MWE and provide to DWS and vendors (by end of 2nd quarter PY 11) <input type="checkbox"/> Performance consultant review performance with vendors and provide TA (start 2nd quarter PY 11 and ongoing) <input type="checkbox"/> Provision of TA by DLLR as identified by performance consultant and vendors, as needed (start 2nd quarter PY 11 and ongoing) <input type="checkbox"/> Training by the performance consultant (start 2nd quarter PY 11 and ongoing) 	<p>Quarterly review by the WIB Quality Assurance Committee</p> <p>Quarterly chart issued by DLLR</p>	Montgomery County meets or exceeds all of the performance measures at the end of the PY 11 and provisional certification of WIB is removed

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1. c. Development of Vendor role and performance expectations	WIB Staff Kaufmann, Barksdale)	Staff and County Attorney and Office of Procurement Time	<input type="checkbox"/> DWS staff, with assistance from consultants and County attorney staff, to review language used in contracts between County and vendor to and clarify and strengthen language (3 rd quarter PY 11) <input type="checkbox"/> DWS staff to develop and/or strengthen language in upcoming RFPs (3 rd quarter PY 11)	Review by WIB Program Planning Committee	Signed contracts
1. d. Development of processes for WIA policy communication and implementation	WIB Staff (Boyd, Kaufmann, Barksdale, Strumpf) Vendors	<p>Staff and consultant time(Consultants already under contract)</p> <p>Funds allocated for Website design for communication purposes (website update part of funds available for upgrade of DED website)</p>	<p>There is proposed a long-term and short-term strategy</p> <input type="checkbox"/> The LT strategy is to develop a website where all polices, processes and changes are posted and available to all (by end of PY 11) <input type="checkbox"/> The ST strategy is to identify a single point of contact (SPOC) at each of the vendors and a SPOC at DWS for MWE Alerts, WIFIs, TEGs (2 nd quarter PY 11) <input type="checkbox"/> DWS staff to develop identification of polices from other communications (i.e. development of graphic or some other means to ensure the importance is recognized) (2 nd quarter PY 11) <input type="checkbox"/> DWS staff to develop schedule and process to ensure that all communications on policy and process come from DLLR, DWS	<p>Quarterly review by WIB Committee</p> <p>Part of DLLR's program monitoring in spring 2012</p>	Policies and processes are in place and understood by staff and vendor leading to increased efficiencies, deadlines met, and reduced errors

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			or its consultants (2 nd quarter PY 11) <ul style="list-style-type: none"> <input type="checkbox"/> Require plan from vendors of how they communicate policies and procedures to their staff (3rd quarter PY 11) <input type="checkbox"/> DWS train vendor staff on policies and procedures as needed (2nd quarter and ongoing) 		
1.e. Development of Staff training plan	WIB Staff (Kaufmann, Boyd, Barksdale) Leadership from Vendors	Staff and vendor time Funds allocated to trainers and training sessions (TBD)	Training topics to be developed jointly among DWS staff and vendors <ul style="list-style-type: none"> <input type="checkbox"/> DWS staff to develop Leadership Council consisting of directors or leaders of each of the vendors and DWS staff (2nd quarter PY 11) <input type="checkbox"/> Meet to develop plan (Development of list by end of 2nd quarter PY 11) <input type="checkbox"/> Develop methods to evaluate effectiveness of training (2nd quarter PY11) <input type="checkbox"/> Identify resources for training (2nd quarter PY 11) <input type="checkbox"/> Deliver training (2nd quarter PY 11 and ongoing) <input type="checkbox"/> Evaluate effectiveness of training (2nd quarter PY 11 and ongoing) <input type="checkbox"/> Develop annual plan thereafter (at beginning of program year) 	Quarterly review by WIB Program Planning Committee Part of DLLR's program monitoring in spring 2012	Competency of individual staff increases; overall organizational performance increases based on training and reduction in rework and errors over time
1.f. Grant acquisition and deployment	WIB Staff (Boyd and Kaufmann)	Staff time	<ul style="list-style-type: none"> <input type="checkbox"/> Policies and procedures are developed and in place to guide vendors 	Quarterly review by WIB Finance Committee and by	Federal, state and local funds are used effectively and efficiently to support programs and services

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			(2-4 th quarters PY 11 and ongoing) <ul style="list-style-type: none"> <input type="checkbox"/> When Montgomery County receives grant award notifications from the state, DWS staff will meet with vendors responsible for implementation to review grant, outcomes and deadlines (ongoing) <input type="checkbox"/> DWS will request from vendor an operational plan for each grant with benchmarks (ongoing) <input type="checkbox"/> DWS will monitor progress on operational plans (monthly) 	WIB Quality Assurance Committee	Increase in non-WIA funds Operational plans put in place that maximizes leveraging opportunities to increase organizational or programmatic capacity
1.g.Sub-recipient monitoring	WIB Staff (Kaufmann, Boyd, Barksdale, Gallipoli, Strumpf)	Staff and consultant time (Consultants already under contract) Additional funds will be needed for consultants' review (TBD)	<ul style="list-style-type: none"> <input type="checkbox"/> Fiscal monitoring of sub-recipients occurs on annual basis (annually) <input type="checkbox"/> Performance review is to be developed by performance consultant (by end of 2nd quarter PY 11) <input type="checkbox"/> Program review to be developed by organizational consultant (by end of 2nd quarter PY11) 	Quarterly review by WIB Finance Committee Fiscal monitoring done by DLLR Part of DLLR's program monitoring in spring 2012	Monitoring process in place and occurs with stated frequency on cycle Monitoring results in less findings requiring corrective action on behalf of the sub-recipient
1.h.Fiscal management	WIB staff (Barksdale)	Staff time	<ul style="list-style-type: none"> <input type="checkbox"/> Fiscal policies put in place (ongoing) <input type="checkbox"/> Audit of vendors conducted (annual) 	Quarterly review by WIB Finance Committee Part of DLLR's Fiscal monitoring	Federal, state and local funds are used effectively and efficiently to support programs and services
2. Failure to meet the minimum state performance standards for PY 2009 - 2010	WIB Staff (Kaufmann, Gallipoli)	Staff and consultant time (Consultants already under contract)	<ul style="list-style-type: none"> <input type="checkbox"/> TA sessions provided by DLLR staff to DWS staff and provider staff (completed in PY 10) <input type="checkbox"/> WIB creates Quality Assurance Committee (completed September 	Quarterly review by WIB Quality Assurance Committee	Montgomery County meets or exceeds all of the performance measures at the end of the PY 11 and provisional certification of WIB is removed

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			2011) <input type="checkbox"/> DWS hires performance consultant (completed September 2011) <input type="checkbox"/> Performance consultant provides analysis of results (completed October 2011) <input type="checkbox"/> Regular meetings occurring among performance consultant, DWS staff, and vendor staff (started 1st quarter PY 11 and occurring on weekly basis)		
3. Lack of knowledgeable performance management staff	WIB Staff (Kaufmann, Gallipoli)	Contract has been let with a performance management, Michelle Gallipoli	<input type="checkbox"/> Creation of WIB Quality Assurance Committee (completed September 2011) <input type="checkbox"/> DWS hires performance consultant (completed September 2011) <input type="checkbox"/> TA provided by performance consultant to vendors and DWS staff (started 1 st quarter PY 11 and ongoing) <input type="checkbox"/> Performance consultant develop reports to be used by vendors, DWS staff, and WIB to monitor performance (2 nd quarter PY 11) <input type="checkbox"/> Performance consultant develop procedures for staff to follow (2 nd quarter PY11 and ongoing) <input type="checkbox"/> Performance consultant train vendor staff and DWS staff on procedures 2 nd quarter PY11 and ongoing)	Quarterly review by WIB Quality Assurance Committee	Montgomery County meets or exceeds all of its performance measures at the end of the PY 11 and provisional certification of WIB is removed

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4. Meet or exceed all of the performance measures	County	Resources for additional staff capacity (TBD)	<input type="checkbox"/> Discussions among WIB, staff, County leadership underway to identify additional staff resources for program operations and implementation (identification by end of 2 nd quarter PY 11)	Quarterly review by WIB Quality Assurance Committee	Montgomery County meets or exceeds all of its performance measures at the end of the PY 11 and provisional certification of WIB is removed
5. Failure to interpret and implement federal and state policies and plans efficiently	County	Resources for additional staff capacity (TBD)	<input type="checkbox"/> Discussions underway to identify additional staff resources for program operations and implementation (identification by end of 2 nd quarter PY 11)	Quarterly review by WIB Quality Assurance Committee and/or Program Planning Committee	Policies and processes are in place and understood by staff and vendors leading to increased efficiencies, deadlines met, and reduced errors Federal, state and local funds are used effectively and efficiently to support programs and services Overall organizational performance increases and reduction in rework and errors over time