

877—11.9(84A) Administration.

11.9(1) Contracts. Upon selection of a proposal for funding, the DWD will issue a contract to the fiscal agent of the appropriate coordinating service provider. These rules and applicable federal and state laws and regulations become a part of the contract by reference.

11.9(2) Record keeping and retention. Financial records, supporting documents, statistical records, and all other records pertinent to the program shall be retained by the grant recipient in accordance with the following:

a. Records for any project shall be retained for three years after final closeout and audit procedures are completed and accepted by DWD;

b. Representatives of the state auditor's office and DWD shall have access to all books, accounts, documents, records and other property belonging to or in use by a grant recipient pertaining to the receipt of funds under these rules.

11.9(3) Data collection and reporting requirements. Grants recipients shall collect, maintain and report to DWD participant characteristic information, activity and service levels, participant status at termination, program outcomes and expenditures as prescribed in the contract. The reports will assess the use of funds in accordance with program objectives, the progress of program activities, and compliance with program requirements.

11.9(4) Monitoring. DWD may perform any review or field inspections it deems necessary to ensure program compliance.

a. The grant recipient must make available all of its records pertaining to all matters related to this program and shall permit DWD to utilize, monitor, examine, make excerpts or transcripts from such records, contracts, invoices, payrolls, personnel records, conditions of employment, the management information system, and other data and records related to all other matters covered by this program.

b. When problems of compliance are noted, DWD may require corrective action to be taken. Failure to respond to corrective action notifications may result in the implementation of 11.9(5).

11.9(5) Remedies for noncompliance. At any time before project closeout, DWD may, for cause, find that a grant recipient is not in compliance with the requirements under this program. At DWD's discretion, remedies for noncompliance may include the following:

a. Issue a warning letter that further failure to comply with program requirements within a stated period of time will result in a more serious sanction.

b. Condition a future grant.

c. Direct the grant recipient to stop the incurring of costs with grant amounts.

d. Require that some or all of the grant amounts be remitted to the state.

e. Reduce the level of funds the recipient would otherwise be entitled to receive.

f. Elect not to provide future WFIP funds to the recipient until appropriate actions are taken to ensure compliance.

Reasons for a finding of noncompliance include, but are not limited to: the grant recipient's use of program funds for activities not described in its application, the grant recipient's failure to complete approved activities in a timely manner, the grant recipient's failure to comply with the contract or any applicable state or federal rules or regulations, or the lack of continuing capacity by the grant recipient to carry out the approved project in a timely manner.