15301 E. 23RD St. • Independence, MO 64055

816-521-5700 • EJACworks.org

EASTERN JACKSON COUNTY
WORKFORCE DEVELOPMENT BOARD

Serving Eastern Jackson County Mo. including:
Independence, Blue Springs, Lee's Summit, Grandview, Raytown,
Sugar Creek, Buckner, Grain Valley, Oak Grove, Lone Jack, and other municipalities.

The Full Employment Council, Inc. (FEC) is the fiscal agent and workforce support organization for the Eastern Jackson County Workforce Development Board.

Workforce Innovation and Opportunity Act (WIOA) Policy

SUB-STATE MONITORING POLICY FOR WIOA ADULT, DISLOCATED WORKER AND YOUTH PROGRAMS

POLICY NUMBER: 2022 -01

EFFECTIVE DATE: 01-03-2022

APPROVED BY

Clyde McQueen, President/CEO
Full Employment Council, Inc.,
Managing Entity/Fiscal Agent
Eastern Jackson County Workforce Development Board

INQUIRIES

Questions about this Issuance should be addressed by email to Andrea Robins, Senior Director of Planning, Compliance and Management Systems, at arobins@feckc.org, who shall disseminate the agency response after consulting with Full Employment Council Officers.

PURPOSE

The purpose of this Issuance is to establish a protocol for programmatic monitoring as described in the Workforce Development Board (WDB) approved local plan, Missouri Division of Workforce Development Issuances, and to outline the monitoring tools used. This Issuance also establishes policy and procedures to programmatically monitor stand-alone programs for Youth.

BACKGROUND

This Issuance is statutorily required and implements the WIOA (Workforce Innovation and Opportunity Act) program monitoring policy. This issuance replaces Issuance no.2020-15 This issuance is based on Missouri Office of Workforce Development (OWD) Issuance No. 11-, Statewide Sub-State Monitoring Policy. **Rescissions: OWD Issuance 15-2020, "Statewide Sub-State Monitoring Policy," September 24, 2021.**

The Full Employment Council, Inc. is an Equal Opportunity Employer/Program. Auxiliary services are available. MO relay 711.

SUB-STATE MONITORING POLICY FOR WIOA ADULT, DISLOCATED WORKER AND YOUTH PROGRAMS,
Policy Number 2022-15

TABLE OF CONTENTS

I. Program Monitoring....3

II. Monitoring Process....3

III. Financial Monitoring Reviews.... 5

IV. Quality Review and Compliance.... 5

V. Equal Opportunity Monitoring 6-7

VI. Risk Assessments....7

VII. One-Stop Operator....8

VIII. Data Validation Review....8 - 9

IX. Trends and Outcomes....9

Attachments

Attachment A: WIOA Monitoring File Guide

Attachment B: Frequently Asked Questions & One-Stop Operator Monitoring Tool

Attachment C: Risk Assessment

Attachment D: Missouri Office of Workforce Development OWD Issuance 11-2021, Statewide Sub-State Monitoring Policy

Attachment E: Missouri Office of Workforce Development OWD Issuance 07-2020, Statewide Data Element Validation Policy

I. PROGRAM MONITORING

This issuance will follow OWD Issuance No. 11-2021, Statewide Sub-State Monitoring, or other current guidance on the topic located at jobs.mo.gov/dwdissuances.
Independent monitors must submit annual reports by June 30 each program year to the Local WDB and CEO. The following monitoring reports are required to be presented at a Board meeting and documented in meeting minutes: One-Stop Operator, Programmatic, Financial, Equal Opportunity, Performance and Special Initiatives/Grants. Areas to cover in monitoring reports include, but are not limited to, adequacy of assessment, planning of activities and services, coordination with One-Stop Delivery System partners to meet comprehensive needs/outcomes. The regulations implementing WIOA require that when monitoring identifies problems, those issues must be resolved by prompt and appropriate corrective actions taken or required for improvement. These programmatic and financial reviews, conducted during program operation, include comprehensive reviews of participant files, selected using random sampling techniques, compliance issues, questionnaires and on-site visits as appropriate, and financial monitoring to include accounting processes.
Local monitors will complete quarterly monitoring reviews, reports will be completed for each monitoring. The monitoring will include a comprehensive review of the participants file including data validation and equal opportunity monitoring.

OWD Issuance No. 11-2021, this Issuance, and other pertinent Issuances shall be utilized. Monitoring is to include periodic review to assure compliance regarding program practices and expenditures.

II. MONITORING PROCESS

1. Monitoring shall be performed by local monitors from the Planning Department, or by Quality Assurance Committee of the Workforce Development Board who are not engaged in the delivery of services to employers and job seekers. If Workforce Development Board personnel are performing monitoring functions, they are subject to the conforming to the Workforce Development Board's Conflict-of-Interest policies.

2. Monitoring shall be performed quarterly, and the results of the monitoring shall be presented in a Monitoring Report to the CEO and the Budget and Oversight Committee of the Workforce Development Board (WDB), who shall make a report to the entire WDB at the appropriate WDB meeting.

3. Monitoring shall determine the compliance of programs with applicable federal, state, and WDB policies.

4. Monitors will conduct a minimum **quarterly** Programmatic Monitoring Reviews (PMR) to test compliance in every funding stream for which the Local WDB has a contract with OWD. Samples should include records enrolled in the current program year; however, monitors may pull samples from the previous quarter if needed to meet sample size.

Depending on the size of each record set requiring review, the corresponding number of sample records shown below, at a minimum, must be examined annually. Samples should be adjusted as necessary based on the results of risk assessments, prior monitoring efforts and other identified issues. Sample size based on algorithmic tables for simple random sampling developed by The Research Advisors, Franklin, MA 2006.

Record Set Size	Sample Size
1 – 200	69
201 – 300	78
301 – 400	84
401 – 500	87
501-1,000	96
1.001-2,000	100
2,001 – 10,000	105

When reviewing WIOA Adult and Dislocated Worker participant records, combine the two funding streams, then sample by service/activity. However, the review must have a statistically valid sample of both Adult and Dislocated Worker participants enrolled in each of the following:

- Classroom Training
- On-the-Job Training
- Work experience/Internship/Apprenticeship
- Support Services/Needs-related payments
- Any other services that result in a direct payment being made to or on behalf of a participant

5. Monitors at a minimum will review participants files for:
    - Documentation of participant eligibility and/or priority for the programs and services received
    - Orientation to services
    - Signed acknowledgement form the participant that notification of complaint and grievance rights and procedures was received
    - Justification for the provision of Individualized Career Services or Training services
    - Method of assessment
    - Employment planning
    - Individual Training Accounts including all applicable paperwork/documents
    - Work Based Learning including all applicable paperwork/documentation
    - Appropriateness and accuracy of participant payments (i.e. Supportive Services)
    - Appropriate data entry
    - Posting of outcomes, including the attainment of a degree or certificate, measurable skill gains, and any supplemental employment data

- Examination of historical change requests
- Compliance issues cited in prior federal, state and local reviews
- Determination if prior corrective measures have been effective

6. Monitors must ensure WIOA Youth monitoring procedures account for The following requirements:
   - Out-of –School Youth (OSY) percentage expenditure requirement
   - 20% percent work based learning with educational component requirement
   - 5% percent limit on In –School Youth enrolled with the "requires additional assistance" barrier
   - 5% percent over-income exception

III. FINANCIAL MONITORING REVIEWS

Financial Monitoring Reviews (FMR) Contractor sub-recipients: This review is to ensure the adequacy of internal controls and the reliability of the sub-recipient's financial management system as they relate to the contract. To ensure that the sub-recipient meets the terms and conditions of the contract, fiscal goal or requirements, and that amounts reported are accurate, allowable, supported by documentation, and properly allocated. The FMR includes, but is not limited to, reviews of the following accounting processes:

- Audit Resolution/Management Decision
- Financial Reporting
- Internal Control
- Source Documentation
- Cost Allocation/Indirect Costs
- Cash Management
- Procurement

IV. QUALITY REVIEW AND COMPLIANCE

Local monitors will review files no less than quarterly. The Quality Review and Compliance Committee will review all eligibility files for enrollment. The file checklist in the file is to be used by the Committee to complete the participant file internal monitoring and quality review. The committee member must initial each data element that is reviewed as their indication that the documents were reviewed and are in compliance. When the file is complete and accurate, the Committee will sign the review form to indicate their compliance review and approval of file accuracy.

All files will be reviewed for compliance, and the data entered into the quality review instrument for reporting purposes. This tool will track compliance data elements, priority groups, and why the file was returned for corrections or additional information. The report will be used to determine error trends and identify the training needs of staff.

V. EQUAL OPPORTUNITY MONITORING

1. The Local Equal Opportunity Officer is responsible for coordinating a recipient's obligations under 29 CFR Part 38, Section 188 of WIOA and the Missouri Nondiscrimination Plan. Those responsibilities include, but are not limited to:

(1.) Monitoring and investigating the recipient's activities, and the activities of the entities that receive WIOA Title I-financial assistance from the recipient including contracted Service Providers (One Stop Operators, Adult/Dislocated Worker/Youth program providers), Eligible Training Providers (ETPs), On-the-Job Training (OJ) Employers, Work Experience Employer and any other recipients defined under 29 CRF 38.4(zz) to make sure that the recipient and its subrecipients are not violating their nondiscrimination and equal opportunity obligations under WIOA Title I, which includes monitoring the collection of data required in Section 188 of WIOA, 29 CFR Part 38 and the Missouri Nondiscrimination Plan which includes the following sections and elements:

- Sections I: Assurances (29 CFR 38.25 through 38.27)
- Section II: Equal Opportunity Officers (29 CFR 38.28 through 38.33)
- Section III: Notice and Communication (29 CFR 38.34 through 38.39)
- Sections IV: Data and Information Collection and Maintenance (29 CFR 38.41 through 38.45)
- Section V: Affirmative Outreach (29 CFR 38.40)
- Sections VI: Complaint Processing Procedures (29 CFR 38.72 and 38.73)
- Section VII: Governor's Oversight Responsibilities Regarding Recipients' Recordkeeping (29 CFR 38.51 through 38.53)
- Additional Element Sections (29 CFR 38.53)
- Element I: Review for Compliance Under WIOA Section 188 with Policies/Contracts/Assurances
- Element II: System to Ensure Compliance with WIOA Section 188 for Recipients
- Element III: A System for Reviewing Recipients' Contracts, Assurances and Other Agreements
- Element IV: Ensuring Compliance with WIOA Section 188
- Element V: Compliance with Federal Disability Nondiscrimination Laws
- Element VI: Training for compliance under WIOA Section 188
- Element VII: Corrective Actions and Sanctions
- Element VIII: Supporting Documentation for the NDP

Local EO Officers are responsible for monitoring providers that service 15 or more participants (ETPS, OJTs, Work Experience Employers only) defined under 29 CFR 38.4(hhh) which includes monitoring the small service provider for adopting and publishing complaint procedures, and processing complaints, in accordance with Section 188 of WIOA, 29 CFR Part 38 and the Missouri Nondiscrimination Plan.

(2.) Reviewing the recipient's written policies to make sure those policies are Nondiscriminatory

2. The Local WDB must conduct quarterly on-site EO Monitoring which include, but is not limited to:

   (1.) Ensuring compliance with the nondiscrimination and equal opportunity provisions of WIOA, 29 CFR Part 38 and the Missouri Nondiscrimination Plan, and negotiation, where appropriate, with a recipient to secure voluntary compliance when noncompliance is found under 38.91(b)

   (2.) Quarterly monitoring the compliance of recipients with WIOA Section 188, 29 CFR Part 38 and the Missouri Nondiscrimination Plan, including a determination as to whether each recipient is conducting its WIOA Title I-financially assisted program or activity in a nondiscriminatory way. At a minimum, each annual monitoring review required must include:

- A statistical or other quantifiable analysis of records and data kept by the recipient under 38.41, including analyses by race/ethnicity, sex, limited English proficiency, preferred language, age and disability status
- An investigation of any significant differences identified in paragraph (b)(1) of this section in participation in the programs, activities, or employment provided by the recipient, to determine whether these differences appear to be caused by discrimination. This investigation must be conducted through review of the recipient's records and any other appropriate means; and
- An assessment to determine whether the recipient has fulfilled its administrative obligations (for example, recordkeeping, notice and communication) and any duties assigned to it under the Missouri Nondiscrimination Plan

VI. RISK ASSESSMENTS

Prior to issuing any award under WIOA Title I, the Local WDB must conduct a risk assessment to assess the Subrecipient's overall ability to administer Federal funds as required under 2 CFR 200.205.

(1.) As part of this assessment, the Local WDB must consider the Subrecipient's history with regard to management of other grants, financial stability, quality of management systems and standards, history of performance, timeliness of compliance, conformance to terms and conditions of previous awards, reports and findings from audits, and ability to implement effectively statutory, regulatory, or other requirements.

(2.) Thereafter, the Local WDB must conduct annual Subrecipient risk assessments based on criteria identified above, see Attachment C.

VII. ONE-STOP OPERATOR

The Local WDB must conduct an annual review of their One-Stop Operator to ensure compliance with the requirements outlined in 20 CFR 678.620, as well as responsibilities outlined in the current MOU/RFP/Contract. "Oversight and monitoring is an integral function to ensure the One-Stop Operator's compliance with the requirements of WIOA, the activities per the SOW, performance reporting requirements, and the terms and conditions of the contract or agreement governing the One-Stop Operator."

(1.) If it is determined that the One-Stop Operator is not meeting expectations, corrective action must be taken which can include contract termination.

(2.) If WDB is One-Stop Operator, the Board must contract an external entity to monitor the operator.

VIII. DATA VALIDATION REVIEW

Missouri Office of Workforce Development Issuance No. 11-2021, Statewide Data Element Validation Policy, requires that data element validation be performed quarterly.

- Monitors are responsible for conducting the DEV review and must complete their reviews at the beginning of October, January, April and July on both active and exited records. Staff are responsible for validating the data for the quarter that just ended.
- Monitors should follow the detailed desk-aid (Attachment 1) on how to access the PIRL data sampling report to randomly identify files to review from MoJobs.
- Monitors will download the data element sheets generated by the statewide electronic case management system into Microsoft Excel and conduct their reviews directly in the workbook
- Monitors will mark each clement as either a "pass" or a "fail". All failures must have corresponding comments describing why the element failed and the corrective action being taken to correct the data, if applicable.

This review is to identify anomalies in the data or missing data, to resolve issues that may cause inaccurate reporting, and to improve program performance accountability through the results of data validation efforts.

Additional Responsibilities:

The Local WDB must ensure business is conducted in an open manner, by making documents available to the public, on a regular basis through electronic means and open meetings. The Local WDB must ensure their website contains the following information:

1. Local Plan and modifications, if applicable;
2. Board members and their affiliations;
3. Selection of one-stop operators;
4. Award of grants or contracts to eligible training providers of workforce investment Activities including providers of youth workforce investment activities;
5. Minutes of formal meetings of the Local WDB; and
6. Board by-laws, consistent with 20 CFR 679.310(g)

IX. TRENDS AND OUTCOMES

Trends and outcomes shall be noted by independent monitors regarding such observations that certain types of findings are occurring frequently, whether customers who obtain employment are attaining a wage that moves beyond a median wage for the region, and other observations that are relevant to program design, services, delivery and outcomes.

Missouri Office of Workforce Development Policy Number 11-2021, Sub-State Monitoring at:

https://jobs.mo.gov/sites/jobs/files/2020_15_sub-state_monitoring_policy.pdf

Attachment A:

WIOA Monitoring File Guide

The following elements will be reviewed:

IV. WIOA ADULT MONITORING

1. Eligibility. Eligibility for Low-Income Adults shall be reviewed. This is outlined in Issuance 2017-011, Modification 1. Eligibility shall consist of review of the following:

- Citizenship or Eligible Non Citizenship status
- Presence of a document showing Social Security number
- Registration in Selective Services for males age 18 and over, born after December 31, 1959, unless otherwise exempt (e.g. acquisition of citizenship or naturalization status after turning age 26)
- Document showing age
- Family size and income, OR Applicant Statement with attesting witness signature, OR documentation showing receipt of public assistance (currently receiving Food Stamps or a member of a family receiving Food Stamps, or documentation Food Stamps have been received by applicant or family in the past 6 months), OR documentation of homelessness

2. Classroom Training. Classroom training must meet guidelines, such as:
   - The training is for an approved high-demand occupation (Currently sectors consist of healthcare, information technology, advanced manufacturing, business services, construction and warehouse/logistics/transportation. This may change, depending upon labor market conditions)
   - The training is listed as approved in the Eligible Training Provider list in MoJobs, with documentation

3. On-the-Job Training (OJT) and other Work-Based Training.
   - The training is for an approved high-demand occupation (Currently sectors consist of healthcare, information technology, advanced manufacturing, business services, construction and warehouse/logistics/transportation. This may change, depending upon labor market conditions)
   - Employer Agreement with required data elements
   - Signed timesheets must be in the file and approved by the authorized signatory
   - Worksite monitoring documents must be in the file

4. Work Experience / Internship.
   - The training is for an approved high-demand occupation (Currently sectors consist of healthcare, information technology, advanced manufacturing, business services, construction and warehouse/logistics/transportation. This may change, depending upon labor market conditions)
   - Employer Agreement with required data elements
   - Signed timesheets must be in the file and approved by the authorized signatory
   - Worksite monitoring documents must be in the file

5. Supportive Services.
   - Required documentation of Supportive Services, if provided (per Issuance No. 2017-041, Supportive Services for WIOA Dislocated Worker and Adult Policy and per Issuance No. 2017-018, Modification 3, Supportive Services, Post-Employment and Payments for Outcomes WIOA Youth Policy)

6. Any other services that result in a Direct Payment being made to or on behalf of a Participant.
   - Requires case note and associated documentation in file

V. WIOA DISLOCATED WORKER MONITORING

1. Eligibility. Eligibility for Dislocated Workers shall be reviewed. This is outlined in Issuance 2017-011, Modification 1. Eligibility shall consist of review of the following:
   - Citizen ship or Eligible Non Citizenship status
   - Presence of a document showing Social Security number
   - Registration in Selective Services for males age 18 and over, born after December 31, 1959, unless otherwise exempt (e.g. acquisition of citizenship or naturalization status after turning age 26)
   - Document showing age
   - The customer is a permanently laid-off individual, with documentation showing lay off or termination, Unemployment Insurance status, and Unlikely to return to a previous industry or occupation, OR
   - Permanent business closure or substantial layoff, OR
   - Self-Employed and dislocated due to business failure, OR
   - Unemployed or underemployed Displaced Homemaker, who was previously relying upon the income as a dependent of another family member, and that income is no longer available

2. Classroom Training.
   - The training is for an approved high-demand occupation (Currently sectors consist of healthcare, information technology, advanced manufacturing, business services, construction and warehouse/logistics/transportation. This may change, depending upon labor market conditions)
   - The training is listed as approved in the Eligible Training Provider list in MoJobs, with documentation

3. On-the-Job Training and other Work-Based Training
   - The training is for an approved high-demand occupation (Currently sectors consist of healthcare, information technology, advanced manufacturing, business services, construction and warehouse/logistics/transportation. This may change, depending upon labor market conditions)
   - Employer Agreement with required data elements

- Signed timesheets must be in the file and approved by the authorized signatory,
- Worksite monitoring documents must be in the file

4. Work Experience / Internship.
   - The training is for an approved high-demand occupation (Currently sectors consist of healthcare, information technology, advanced manufacturing, business services, construction and warehouse/logistics/transportation. This may change, depending upon labor market conditions)
   - Employer Agreement with required data elements
   - Signed timesheets must be in the file and approved by the authorized signatory,
   - Worksite monitoring documents must be in the file

5. Supportive Services.
   - Required documentation of Supportive Services, if provided (per Issuance No. 2017-041, Supportive Services for WIOA Dislocated Worker and Adult Policy)

6. Any other services that result in a Direct Payment being made to or on behalf of a Participant
   - Requires case note and associated documentation in file

VI. WIOA OUT-OF-SCHOOL YOUTH MONITORING

Out-of-School Youth, Ages 16-24

(Attending an Adult Education and Literacy (AEL) program is <u>not</u> considered being in school).

Monitoring must also ensure that WIOA regulations are followed for Out-of-School Youth:

1. Eligibility. Eligibility for Youth shall be reviewed. This is outlined in Issuance 2017-006, Modification 1. Eligibility shall consist of review of the following:

- Citizen ship or Eligible Non Citizenship status
- Presence of a document showing Social Security number
- Registration in Selective Services for males age 18 and over, born after December 31, 1959, unless otherwise exempt (e.g. acquisition of citizenship or naturalization status after turning age 26
- Document showing age
- Out-of-School Youth: Possess at least **one** barrier:
  (1.) High school dropout
  (2.) Supposed to be in school but did not attend the last calendar quarter,
  (3.) Low-Income high school graduate **and** is an individual who is basic skills deficient, or an English language learner
  (4.) Is subject to the Juvenile or Adult Justice System

(5.) Homeless or a run-away
(6.) Parenting or pregnant Youth
(7.) Individual with a disability
(8.) Homeless
(9.) Foster child or aged out of foster care

Additionally, the Local Board has identified these locally defined barriers as Needs Additional Assistance. One or more may be utilized for eligibility determination. **No more than five percent (5%) of all Youth participants may be made eligible under the Needs Additional Assistance barrier.** These barriers are:

(1.) Little or no successful work experience
(2.) Unemployed and has been involved in a long and unsuccessful work search for more than six months
(3.) Little if any exposure to successfully employed adults
(4.) Has been fired from a job in the last six (6) months
(5.) Has below average grades
(6.) Previously dropped out of an educational program
(7.) Is placed at least one grade level behind given age
(8.) Significant personal or family problems
(9.) Limited English proficiency

(10.) Limited access to reliable transportation, i.e. public transportation is beyond one walkable mile from residence
(11.) Is an individual who is a first generation college student
(12.) Is a child of an incarcerated parent

2. Classroom Training for Out-of-School Youth.

- An Objective Assessment must be included as part of the assessment process
- The training is for an approved high-demand occupation (Currently sectors consist of healthcare, information technology, advanced manufacturing, business services, construction and warehouse/logistics/transportation. This may change, depending upon labor market conditions)
- The training is listed as approved in the Eligible Training Provider list in MoJobs, with documentation

3. On-the-Job Training and other Work-Based Training

- The training is for an approved high-demand occupation (Currently sectors consist of healthcare, information technology, advanced manufacturing, business services, construction and warehouse/logistics/transportation. This may change, depending upon labor market conditions)
- Employer Agreement with required data elements

- Signed timesheets must be in the file and approved by the authorized signatory
- Worksite monitoring documents must be in the file

4. Work Experience / Internship.

   - A Youth may be enrolled into a Classroom training program as a stand-alone activity, however **Work-based training must have Classroom training as a plan component of the Youth's activity, documented as planned to occur either before, during or after the Work-based training**
   - The training is for an approved high-demand occupation (Currently sectors consist of healthcare, information technology, advanced manufacturing, business services, construction and warehouse/logistics/transportation. This may change, depending upon labor market conditions)
   - Employer Agreement with required data elements
   - Signed timesheets must be in the file and approved by the authorized signatory
   - Worksite monitoring documents must be in the file
   - There is a 20% work-based learning expenditure requirement, with an educational component requirement (classroom training). The 20% expended on work-based expenditures consist of participant wages as well as staffing costs for the development and management of work experiences

5. Supportive Services
   - Required documentation of Supportive Services, if provided (per Issuance No. 2017-018, Modification 1, Supportive Services, Post-Employment and Payments for Outcomes for WIOA Youth Policy)

6. Any other services that result in a Direct Payment being made to or on behalf of a Participant
   - Requires case note and associated documentation in file

VII. WIOA IN-SCHOOL YOUTH MONITORING

In-School Youth, Ages 14-21

(Attending Any Secondary or Post-Secondary Training: College, university, vocational technical training, any other training leading to a recognized credential or certificate, <u>except</u> Adult Education and Literacy (AEL) classes)

Monitoring must also ensure that WIOA regulations are followed for In-School Youth:

- Attending any school (except AEL classes)
- **Meet the low income guidelines for the customer or family**
- Possess at least one of these Barriers:
  (1.) Basic skills deficient
  (2.) English language learner

(3.) Is subject to the Juvenile or Adult Justice System
(4.) Homeless or a run-away
(5.) Parenting or pregnant Youth
(6.) Individual with a disability
(7.) Homeless
(8.) Foster child or aged out of foster care

Additionally, the Local Board has identified these locally defined barriers as Needs Additional Assistance. One or more may be utilized for eligibility determination. **No more than five percent (5%) of all Youth participants may be made eligible under the Needs Additional Assistance barrier.** These barriers are:

(1.) Little or no successful work experience
(2.) Unemployed and has been involved in a long and unsuccessful work search for more than six months
(3.) Little if any exposure to successfully employed adults
(4.) Has been fired from a job in the last six (6) months
(5.) Has below average grades
(6.) Previously dropped out of an educational program
(7.) Is placed at least one grade level behind given age
(8.) Significant personal or family problems
(9.) Limited English proficiency
(10.) Limited access to reliable transportation, i.e. public transportation is beyond one walkable mile from residence
(11.) Is an individual who is a first generation college student
(12.) Is a child of an incarcerated parent

2. Classroom Training for In-School Youth.

- An Objective Assessment must be included as part of the Assessment process,
- The training is for an approved high-demand occupation (Currently sectors consist of healthcare, information technology, advanced manufacturing, business services, construction and warehouse/logistics/transportation. This may change, depending upon labor market conditions)
- The training is listed as approved in the Eligible Training Provider list in MoJobs, with documentation

3. On-the-Job Training and other Work-Based Training
   - The training is for an approved high-demand occupation (Currently sectors consist of healthcare, information technology, advanced manufacturing, business services, construction and warehouse/logistics/transportation. This may change, depending upon labor market conditions)
   - Employer Agreement with required data elements
   - Signed timesheets must be in the file and approved by the authorized signatory
   - Worksite monitoring documents must be in the file

4. Work Experience / Internship.
   - A Youth may be enrolled into a Classroom training program as a stand-alone activity, however **Work-based training must always have a training component as a part of the Youth's activity, documented as planned to occur either before, during or after the Work-based training.**
   - The training is for an approved high-demand occupation (Currently sectors consist of healthcare, information technology, advanced manufacturing, business services, construction and warehouse/logistics/transportation. This may change, depending upon labor market conditions)
   - Employer Agreement with required data elements
   - Worksite monitoring documents must be in the file
   - **There is a 20% work-based learning expenditure requirement, with an educational component requirement. The 20% expended on work-based expenditures consist of participant wages as well as staffing costs for the development and management of work experiences.**

5. Supportive Services.
   - Required documentation of Supportive Services, if provided (per Issuance No. 2017-018, Modification 1, Supportive Services, Post-Employment and Payments for Outcomes for WIOA Youth Policy)

6. Any other services that result in a Direct Payment being made to or on behalf of a participant
   - Requires case note and associated documentation in file

Attachment B:

Frequently Asked Questions & One-Stop Operator Monitoring Tool

DEPARTMENT OF
HIGHER EDUCATION &
WORKFORCE DEVELOPMENT

ONE-STOP OPERATOR MONITORING TOOL

Purpose: Role of the One-Stop operator codified at WIOA Title 1, Section 121 (d); Title 20, Code of Federal Regulations, Part 678.620

Effectiveness

Identifier	Objective	Meeting Expectation		Progress		Technical Assistance Required		Comments
		Yes	No	Current	Future	Yes	No	
Is meaningful access evident in the comprehensive center for all required programs provided by system partners, and for core partners in additional centers to ensure the effectiveness of the One-Stop system	Primary focus on the customer and not on program/funding stream							
	Is there interaction of all partner organizations to work creatively across program/funding stream?							
	Has center staff been cross-trained to communicate availability of all Title services?							
	Is cross-training and guidance on-going?							
	Evidence of efficient customer flow How is access provided (e.g., streamline service delivery; pool funding resources; use of technology; flex space usage)?	Comments:						
	Alignment/collaboration/integration of system partners (i.e., advocate for all system partners and participants directed according to need)							

The Missouri Department of Higher Education and Workforce Development is an equal opportunity employer/program. Auxiliary aids and services are available upon request to individuals with disabilities. Missouri Relay Services at 711. CONFIDENTIALITY STATEMENT: This email and any attachments are intended only for those to which it is addressed and may contain information which is privileged, confidential, and prohibited from disclosure or unauthorized use under applicable law. If you are not the intended recipient of this e-mail, you are hereby notified that any use, dissemination, or copying of this e-mail or the information contained in this e-mail is strictly prohibited by the sender. If you have received this transmission in error, please return the material received to the sender and delete all copies from your system.

	Is operator staff present, identifiable and available?							

Identifier	Objective	Meeting Expectation		Progress		Technical Assistance Required		Comments
		Yes	No	Current	Future	Yes	No	
	Providing meaningful outreach strategies (e.g., sector/demand driven; focus on supply/demand alignment; take into account community footprint; utilize social media, etc.)							
	Actively engaging with business services among the other titles to bring relevant industry sector employers to support participant pursuit of career pathways linked to in-demand employment opportunities based on LMI and labor exchange services to drive skill-based initiatives.							
	Are common identifiers being used							
	Operating according to MOU?							
	Evidence of communication between the One-Stop operator and all system partners, inclusive of library branches (meetings, email communication, "open door policy" environment)							

The Missouri Department of Higher Education and Workforce Development is an equal opportunity employer/program. Auxiliary aids and services are available upon request to individuals with disabilities. Missouri Relay Services at 711. CONFIDENTIALITY STATEMENT: This email and any attachments are intended only for those to which it is addressed and may contain information which is privileged, confidential, and prohibited from disclosure or unauthorized use under applicable law. If you are not the intended recipient of this e-mail, you are hereby notified that any use, dissemination, or copying of this e-mail or the information contained in this e-mail is strictly prohibited by the sender. If you have received this transmission in error, please return the material received to the sender and delete all copies from your system.

	Industry sector-centered initiatives and activities integrated into individualized career services, as appropriate							

Identifier	Objective	Meeting Expectation		Progress		Technical Assistance Required		Comments
		Yes	No	Current	Future	Yes	No	
	Create and implement cross training activities, professional development, capacity building for all center/partner staff (sharing of best practices, processes, procedures, activities, etc., across system)							

Continuous Improvement

Identifier	Objective	Meeting Expectation		Progress		Technical Assistance Required		Comments
		Yes	No	Current	Future	Yes	No	
Evaluation of service delivery	Develop and implement customer satisfaction evaluation (participant, employer, system partners)							
	Do survey outcomes result in system improvement, as applicable							

The Missouri Department of Higher Education and Workforce Development is an equal opportunity employer/program. Auxiliary aids and services are available upon request to individuals with disabilities. Missouri Relay Services at 711. CONFIDENTIALITY STATEMENT: This email and any attachments are intended only for those to which it is addressed and may contain information which is privileged, confidential, and prohibited from disclosure or unauthorized use under applicable law. If you are not the intended recipient of this e-mail, you are hereby notified that any use, dissemination, or copying of this e-mail or the information contained in this e-mail is strictly prohibited by the sender. If you have received this transmission in error, please return the material received to the sender and delete all copies from your system.

	Maximize resources made available throughout the system (workshops, activities, etc.)							
	Do hours of operation meet customer flow							
	Are processes completed as described in the MOU							
Data driven performance strategy	Knowledgeable of system partner performance requirements, based on on-going review							
	Support system partner performance measure attainment							

Accessibility

Identifier	Objective	Meeting Expectation		Progress		Technical Assistance Required		Comments
		Yes	No	Current	Future	Yes	No	
ADA compliance	Use of pictorial/written/ verbal/ tactile references for disabilities or ELL							
	Clear lines of sight, seated or standing users							
	Provide necessary accommodations							
	Adequate space for assistive devices or personal assistants							
	Are all centers ADA compliant							

The Missouri Department of Higher Education and Workforce Development is an equal opportunity employer/program. Auxiliary aids and services are available upon request to individuals with disabilities. Missouri Relay Services at 711. CONFIDENTIALITY STATEMENT: This email and any attachments are intended only for those to which it is addressed and may contain information which is privileged, confidential, and prohibited from disclosure or unauthorized use under applicable law. If you are not the intended recipient of this e-mail, you are hereby notified that any use, dissemination, or copying of this e-mail or the information contained in this e-mail is strictly prohibited by the sender. If you have received this transmission in error, please return the material received to the sender and delete all copies from your system.

Identifier	Objective	Meeting Expectation		Progress		Technical Assistance Required		Comments
		Yes	No	Current	Future	Yes	No	
	Addressing barriers to employment							
	Individualized assistance							
	Promote priority of service							
Mobile One-Stop deployment	Utilization by sub-recipients							
	Meaningful community deployment							
	Outreach to inaccessible areas							

Additional Responsibilities

Identifier	Objective	Meeting Expectation		Progress		Technical Assistance Required		Comments
		Yes	No	Current	Future	Yes	No	
OSO Additional Responsibilities	Does the OSO also provide additional services such as fiscal agent or provider of Job Center services?							
	If yes, are there firewalls/policies in place to satisfy 679.430?							
	Describe any other activities being provided by the OSO	Comments:						
	Are these activities acceptable?							

The Missouri Department of Higher Education and Workforce Development is an equal opportunity employer/program. Auxiliary aids and services are available upon request to individuals with disabilities. Missouri Relay Services at 711. CONFIDENTIALITY STATEMENT: This email and any attachments are intended only for those to which it is addressed and may contain information which is privileged, confidential, and prohibited from disclosure or unauthorized use under applicable law. If you are not the intended recipient of this e-mail, you are hereby notified that any use, dissemination, or copying of this e-mail or the information contained in this e-mail is strictly prohibited by the sender. If you have received this transmission in error, please return the material received to the sender and delete all copies from your system.

Attachment C:

Risk Assessment

Missouri Division of Workforce Development

Financial Assistance Subrecipient Risk Assessment

ATTACHMENT A

Recipient Name:
Completed By-Name:
Region:

Date Completed:
FY:
Recipient DUNS:

Instructions:

1. Complete this form once a Fiscal Year (FY) for each recipient who will be awarded one or more grant or cooperative agreement awards from the program in the open FY. The results of this risk assessment will apply to all awards to the recipient in the open FY.

2. For each category below, enter a numerical rating of 0=Not applicable (N/A), 1=Low, 2=Medium or 3=High in the Rating box. Use the information provided under the Rating Description sections to assist you in assigning a rating to each category. If not a new recipient, consider the recipient's performance on all currently open and recently closed awards, when applicable to the risk category.

3. For each category below, specify in the "Basis for Rating and Other Comments" field the factors that contributed to the rating entered. Provide enough detail to give an independent reviewer a clear understanding of the rationale used to determine the rating. If documents exist to support your rating (e.g., performance report on previous award) identify the document(s) and specify the location of the document(s). Here is an example of the type of detail to be entered in the "Basis for Rating and Other Comments" fields:

Category 1 Rating = 1; "Basis for Rating and Other Comments" field reads: The recipient has successfully implemented awards under our program in the past. Some projects include subrecipients and construction, but awards with these complexities have been well managed. Summaries of past project results are available in our program database.

Category 1: Subrecipient's prior experience with the same or similar subawards — Rating:

Category 1 Rating Descriptions

0=N/A:	Recipient has no past or current award from the program.
1=Low:	Recipient has been timely in the submission of budget and project amendment requests, prior approval requests, financial and performance reporting, extensions of performance period and reporting due dates, and significant development reports, as applicable.
2=Medium:	Recipient has mostly been timely in the submission of budget and project amendment requests, prior approval requests, financial and performance reporting, extensions of performance period and reporting due dates, and significant development reports, as applicable. When out of compliance, recipient was responsive to written notifications and requests from DWD regarding late or incomplete requests or reports.
3=High:	Recipient has consistently been late in the submission of budget and project amendment requests, prior approval requests, financial and performance reporting, extensions of performance period and reporting due dates, and significant development reports, as applicable. Recipient is seldom or not at all responsive to written notifications and requests from DWD regarding late or incomplete requests or reports.

Basis for Rating and Other Comments:

Category 2: Results of previous audits — Rating:

Category 2 Rating Descriptions

0=N/A:	Recipient is a Commercial Organization, Foreign Entity, or Individual.
1=Low:	Recipient is a government or non-profit entity and their application indicates that they were not required to submit a single audit report for their most recently closed fiscal year; recipient completed a single audit for at least one of their two most recently closed fiscal years. Recipient submitted required single audit report to the Single Audit Clearinghouse on time. Recipient did not have any Qualified or Adverse/Disclaimer opinions, significant internal control deficiencies or findings for non-compliance.
2=Medium:	Recipient has not had any Adverse/Disclaimer opinions, more than two significant internal control deficiencies, or more than two findings for non-compliance on single audits conducted in the last five years. Recipient was late in submitting required single audit report to the Single Audit Clearinghouse.
3=High:	Recipient has had an Adverse/Disclaimer opinion, more than two significant internal control deficiencies, or more than two findings for non-compliances on single audits conducted in the last five years. Recipient has a history of not submitting single audit reports to the Single Audit Clearinghouse on time. Recipient currently working under a single audit Corrective Action Plan related to a current or previous award funded by the program.

Basis for Rating and Other Comments:

Category 3: Whether the subrecipient has new personnel or new or substantially changed systems — Rating:

Category 3 Rating Descriptions

0=N/A:	Recipient is an individual.
1=Low:	Recipient provided information detailing the experience and qualifications of key project personnel. All personnel appear qualified to meet the project objectives; no past issues with recipient in regards to key staff qualification. The project is fully staffed.
2=Medium:	Recipient provided information detailing the experience and qualifications for some key project personnel. All of the identified personnel appear qualified to meet the project objectives, but other key project personnel have not yet been hired.
3=High:	Recipient has not yet identified/hired any key project personnel; one or more of the personnel identified do not appear qualified to meet the project objectives; or one or more key personnel left the project and replacement(s) have not been identified.

Basis for Rating and Other Comments:

Category 4: Extent and results of Federal awarding agency monitoring	Rating:

Category 4 Rating Descriptions

0=N/A:	**Recipient has no past or current award from the program; or previous/current/pending award. If previous/current/pending award funded by other types of funds, program authorizing legislation does not require recipients to conduct a formal monitoring.**
1=Low:	**Recipient has had no significant internal control deficiencies or findings for non-compliance.**
2=Medium:	**Recipient has had less than two significant internal control deficiencies and less than two findings for non-compliance.**
3=High:	**Recipient has had more than two significant internal control deficiencies and more than two findings for non-compliance.**

Basis for Rating and Other Comments:

RISK RATING AVERAGE (auto-calculated based on numerical scores entered in Rating boxes above):	**0.00**

Instructions: In the Preliminary Risk Level box below, enter the preliminary risk level that corresponds with the risk rating average calculated

above, as follows:
Enter "**Low**" if the number in the Risk Rating Average box above is between **0-1.49**
Enter "**Medium**" if between **1.5-2.49**
Enter "**High**" if between **2.5-3**

PRELIMINARY RISK LEVEL (Low, Medium or High):	

OTHER FACTORS IMPACTING RISK LEVEL:

Instructions: **Consider if there are any other factors that impact, either by raising or lowering, the recipient's preliminary risk level. If there are such factors, describe each factor and explain how each raised or lowered the preliminary risk level in the text box below, and then enter either "Low", "Medium" or "High" in the Final Risk Level box below.**

If no such factors exist, enter "No other factors impact the preliminary risk level" in the text box below, and then enter the same value as entered in the Preliminary Risk Level box above in the Final Risk Level box below.

FINAL RISK LEVEL (Low, Medium or High):	

Attachment D:

Missouri Office of Workforce Development OWD Issuance 11-2021,
Statewide Sub-State Monitoring Policy

Missouri Department of Higher Education and Workforce Development

OWD Issuance:

11-2021

Release Number—Program Year

Release Date:
September 24, 2021

Effective Date:
September 24, 2021

Expiration Date:
Continuous, until further notice

SUBJECT: Statewide Sub-State Monitoring Policy

ATTACHMENTS: None.

This Issuance is Official Policy of the Missouri Office of Workforce Development

ISSUING AUTHORITY:

Mardy Leathers, DMgt
Director
Office of Workforce Development (OWD)

THIS ISSUANCE REQUIRES CREATION OR ALTERATION OF A CORRESPONDING LOCAL POLICY

KEYWORDS:

Equal Opportunity, Data Element Validation, Financial, Monitoring, Programmatic, One-Stop Operator, Sub-State;

THIS ISSUANCE AFFECTS:

Missouri One-Stop Delivery System (MJCs/AJCs)
WIOA Title I Performance/Accountability
WIOA Title I One-Stop Delivery/Service Providers
WIOA Title I Local Areas/Local Boards/Local Plans
WIOA Title I In-State Funding
WIOA Title I Performance/Accountability
State of Missouri Workforce System Procedures

FOR THE ATTENTION OF:

DHEWD State Professional Staff
Sub-recipient Staff
Local Fiscal Agents
One-Stop Operators
Service Providers
Local WDB Directors
Local Compliance Monitors

RESCISSIONS:

OWD Issuance 15-2020, "Statewide Sub-State Monitoring Policy".

REFERENCES:

OWD Issuance 09-2019, "Local and Regional Plan Guidelines for Local WDBs," October 08, 2019.
U.S Department of Labor, Employment and Training Administration, Training and Guidance Letter (TEGL) 7-18, "Guidance for Validating Jointly Required Performance Data Submitted under the Workforce Innovation and Opportunity Act (WIOA)," December 19, 2018.
TEGL 23-19, "Guidance for Validating Required Performance Data Submitted by Grant Recipients of U.S. Department of Labor (DOL) Workforce Programs," June 18, 2020.
State of Missouri's Nondiscrimination Plan, *most current*.
Section 188 of WIOA and 29 CFR Part 38, Implementation of the Nondiscrimination and Equal Opportunity provision of the WIOA.
OWD Annual Agreements, *most current*.
2 CFR Part 200 and Part 2900.

SUMMARY:

This Issuance updates the Office of Workforce Development's (OWD) Sub-State Monitoring Policy for Local Workforce Development Areas (LWDA) designated under WIOA. Updates include detailed expectations for Annual Reports and required deadlines.

BACKGROUND:

WIOA mandates[1] administrative and program oversight responsibilities that, in partnership with the Chief Elected Official (CLEO), are inherent functions of the Local WDB serving an LWDA:

"The local board, in partnership with the chief elected official for the local area, shall—

(A)(i) conduct oversight for local youth workforce investment activities authorized under section 129(c), local employment and training activities authorized under subsections (c) and (d) of section 134, and the one-stop delivery system in the local area; and

(ii) ensure the appropriate use and management of the funds provided under subtitle B for the activities and system described in clause (i); and

(B) for workforce development activities, ensure the appropriate use, management, and investment of funds to maximize performance outcomes under section 116."

Subparagraphs A(ii) and B above refer to WIOA local oversight responsibilities.

Further, the U.S. Department of Labor (DOL) implementing regulations for WIOA require:[2]

"(a) Each recipient and subrecipient of funds under title I of WIOA and under Wagner-Peyser must conduct regular oversight and monitoring of its WIOA and Wagner-Peyser program(s) and those of its subrecipients and contractors as required under Title I of WIOA and Wagner-Peyser, as well as under 2 CFR Part 200, including 2 CFR 200.327, 200.328, 200.330, 200.331, and Department exceptions at 2 CFR part 2900, in order to:

(1) Determine that expenditures have been made against the proper cost categories and within the cost limitations specified in the Act and the regulations in this part;

(2) Determine whether there is compliance with other provisions of the Act and the WIOA regulations and other applicable laws and regulations;

(3) Assure compliance with 2 CFR part 200; and

(4) Determine compliance with the nondiscrimination, disability, and equal opportunity requirements of Section 188 of WIOA, including the Assistive Technology Act of 1998 (29 U.S.C. 3003)."

These regulations establish requirements under the Uniform Guidance[3] for sub-state monitoring according to federal cost principles and audit requirements. This includes requiring an examination of subrecipient non-discrimination and conflict-of-interest policies, and mandatory disclosures of all violations of federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the federal award.

---

[1] WIOA sec. 107(d)(8) [29 U.S.C. 3122(d)(8)].

[2] 20 CFR 683.410(a).

[3] 2 U.S.C. Grants and Agreements, Chapter II—Office of Management and Budget Guidance, Part 200 "Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards"; Chapter XXIX—Department of Labor, Part 2900 "Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards"; and Chapter XXIX—Department of Labor, Part 2998 "Nonprocurement Debarment and Suspension."

SUBSTANCE:

WIOA mandates that the Local WDB and the CLEO are responsible, in partnership, for oversight of WIOA Title I programs.

The Local WDB must develop—and maintain on file—written policy and procedures for monitoring subrecipient compliance with the terms of grants, contracts, or other agreements pursuant to the Workforce Innovation and Opportunity Act (WIOA). Policies must demonstrate that the Local WDB's programmatic, administrative, and operational oversight systems effectively measure compliance in a manner compatible with WIOA regulations and OWD policies.

Quarterly monitoring is designed to routinely evaluate subrecipients to measure progress, ensure compliance, assess that Federal funds are used responsibly and to develop technical assistance plans. Each Local WDB must determine how to apportion the federal annual monitoring requirement into the state's quarterly requirement to ensure oversight functions are carried out successfully. At a minimum, the following elements and standards must be included in the Local WDB's sub-state monitoring policy and procedures:

Responsible Representative

a. Identify who will perform the various oversight functions, such as the entity or (if applicable) staff position, that will perform any monitoring activities for programmatic, Equal Opportunity (EO), and financial monitoring.
    1. The policy must describe all duties of the local monitor, and ensure the local monitor has no programmatic supervisory or management responsibilities, to avoid any actual or apparent conflict of interest.

Risk Assessments

b. Prior to issuing or renewing any award under WIOA Title I, the Local WDB must conduct a risk assessment to assess the subrecipient's overall ability to administer federal funds as required under 2 CFR 200.205.
    1. As part of this assessment, the Local WDB must consider the subrecipient's:
        i. history with regard to management of other grants;
        ii. financial stability;
        iii. quality of management systems and standards;
        iv. history of performance;
        v. timeliness of compliance;
        vi. conformance to terms and conditions of previous awards;
        vii. reports and findings from audits; and
        viii. ability to effectively implement statutory, regulatory, or other requirements.
    2. Thereafter, the Local WDB must conduct annual subrecipient risk assessments based on criteria identified above.

One-Stop Operator

c. The Local WDB must conduct an annual review of their one-stop operator to ensure compliance with the requirements outlined in 20 CFR 678.620, as well as responsibilities outlined in the current MOU/RFP/Contract. "Oversight and monitoring is an integral function… to ensure the one-stop operator's compliance with the requirements of WIOA, the activities per the scope of work (SOW), performance reporting requirements, and the terms and conditions of the contract or agreement governing the one-stop operator."[4]
   1. If it is determined that the one-stop operator is not meeting expectations, corrective action must be taken, which can include contract termination.
   2. When the Local WDB is the one-stop operator, there is an inherent conflict of interest in that the Local WDB cannot effectively monitor itself. In such circumstances, an outside entity or a State agency, such as a State auditor or inspector general, must conduct the monitoring and report the monitoring results to the CLEO.

Programmatic Monitoring

d. The Local WDB must conduct **quarterly** Programmatic Monitoring Reviews (PMR) to test compliance in every funding stream for which the Local WDB has a contract with OWD. Samples should include records enrolled in the current program year; however, monitors may pull samples from the previous quarter if needed to meet sample size.
   1. Local monitors are required to use random-sampling techniques, and are encouraged to use the reports feature in the electronic statewide case management system (MoJobs) to obtain random-samples, whenever possible.
      i. Depending on the size of each record set requiring review, the corresponding number of sample records shown below, *at a minimum*, must be examined annually.[5]

Record Set Size	Sample Size
1–200	69
201–300	78
301–400	84
401–500	87
501–1,000	96
1,001–2,000	100
2,001–10,000	105

      ii. Adjust samples, as necessary, based on the results of risk assessments, prior monitoring efforts and other identified issues.

---

[4] TEGL 15-16.
[5] Sample size based on algorithmic tables for simple random sampling developed by The Research Advisors, Franklin, MA ©2006.

e. When reviewing WIOA Adult and Dislocated Worker participant records, combine the two funding streams, then sample by service/activity. Ensure the review has a statistically valid sample of both Adult and Dislocated Worker participants enrolled in each of the following services:
    1. Classroom Training;
    2. On-the-Job Training;
    3. Work experience/Internship/Apprenticeship;
    4. Supportive Services/Needs-related payments; and
    5. Any other services that result in a direct payment to, or on behalf of, a participant.

f. Local monitors must monitor participant records for, *at a minimum*:
    1. Documentation of participant and training eligibility and/or priority for the programs and services received;
    2. Orientation to services;
    3. Signed acknowledgement from the participant that notification of complaint and grievance rights and procedures was received;
    4. Justification for the provision of Individualized Career Services or Training services;
    5. Method of assessment;
    6. Employment planning;
    7. Individual Training Accounts including all applicable paperwork/documentation;
    8. Work Based Learning including all applicable paperwork/documentation;
    9. Appropriateness and accuracy of participant payments (i.e., Supportive Services);
    10. Appropriate data entry;
    11. Posting of outcomes, including the attainment of a degree or certificate, measurable skill gains, and any supplemental employment data;
    12. Examination of historical change requests;
    13. Compliance issues cited in prior federal, State, and local reviews; and
    14. Determination if prior corrective measures have proven effective.

g. Local monitors must ensure WIOA Youth monitoring procedures account for the following requirements:
    1. Out-of-School Youth (OSY) percentage expenditure requirement[6];
    2. 20% work-based learning with educational component requirement;
    3. 5% percent limit on In-School Youth enrolled with the "Requires additional assistance" barrier; and
    4. 5% over-income exception.

h. Local monitors must ensure their subrecipient(s) are meeting requirements set forth in the current MOU/RFP/Contract for carrying out programmatic duties.

Data Element Validation

[6] The WIOA requirement for 75 percent expenditures on OSY may be subject to adjustment due to federal waiver.

i. The Local WDB must conduct **quarterly** Data Element Validation (DEV) reviews to ensure the integrity of performance outcomes following the procedures outlined in OWD's most current issuance on DEV[7]. This review is to verify that performance data elements reported by Missouri are valid, accurate, reliable, and comparable across programs. The review is to identify anomalies in the data or missing data, to resolve issues that may cause inaccurate reporting, and to improve program performance accountability through the results of data validation efforts.

Financial Monitoring

j. The Local WDB must conduct **quarterly** Financial Monitoring Reviews (FMR) of subrecipients to ensure fiscal integrity. At least one monitoring a year must be on-site.
   1. Additional reviews may be warranted, based on the evaluations of risk of noncompliance. The FMR will be performed to comply with WIOA section 184(a)(4) [29 U.S.C. 3244(a)(4)], annual OWD agreements, and 2 CFR Part 200 and Part 2900.
   2. The FMR is conducted to ensure the adequacy of internal controls and the reliability of the subrecipient's financial management system as they relate to the administrative subaward. The FMR must ensure the subrecipient meets the terms and conditions of the subaward and the fiscal goal or requirements, and that amounts reported are accurate, allowable, supported by documentation, and properly allocated.
   3. The FMR must include, but is not limited to, reviews of the following process:
      i. Audit Resolution/Management Decision;
      ii. Financial Reports;
      iii. Internal Controls;
      iv. Source Documentation;
      v. Cost Allocation/Indirect Costs;
      vi. Cash Management; and
      vii. Procurement.
   4. Local WDBs must incorporate additional financial and programmatic monitoring policies to ensure funds intended to support stand-alone special initiatives/grants are administered in accordance with the contractual scopes of work. These policies are to supplement existing monitoring duties and must be conducted during program operation to ensure accountability and transparency of expenditures.

Equal Opportunity Monitoring

k. Required EO monitoring responsibilities include, but are not limited to:

[7] OWD Issuance 07-2020, "Statewide Data Element Validation Policy", September 16, 2020.

1. Monitoring and investigating the subrecipient's activities, and the activities of the entities receiving WIOA Title I-financial assistance on behalf of the subrecipient. Entities include contracted Service Providers (One Stop Operators, Adult/Dislocated Worker/Youth program providers), Eligible Training Providers (ETPs), On-the-Job Training (OJT) employers, Work Experience employers, and any other recipients defined under 29 CFR 38.4(zz). Monitoring is to ensure the recipient and its subrecipients are not violating their nondiscrimination and equal opportunity obligations under WIOA Title I, which includes monitoring the collection of data required in Section 188 of WIOA to ensure compliance with the nondiscrimination and equal opportunity requirements of Section 188 of WIOA, 29 CFR Part 38 and the Missouri Nondiscrimination Plan which includes the following sections and elements;
    i. Sections I: Assurances (29 CFR 38.25 through 38.27);
    ii. Section II: Equal Opportunity Officers (29 CFR 38.28 through 38.33);
    iii. Section III: Notice and Communication (29 CFR 38.34 through 38.39);
    iv. Sections IV: Data and Information Collection and Maintenance (29 CFR 38.41 through 38.45);
    v. Section V: Affirmative Outreach (29 CFR 38.40);
    vi. Sections VI: Complaint Processing Procedures (29 CFR 38.72 and 38.73);
    vii. Section VII: Governor's Oversight Responsibilities Regarding Recipients' Recordkeeping (29 CFR 38.51 through 38.53);
    viii. Additional Element Sections (29 CFR 38.54);
    ix. Element I: Review for Compliance under WIOA Section 188 with Policies/Contracts/Assurances;
    x. Element II: System to Ensure Compliance with WIOA Section 188 for Recipients;
    xi. Element III: A System for Reviewing Recipients' Contracts, Assurances and Other Agreements;
    xii. Element IV: Ensuring Compliance with WIOA Section 188;
    xiii. Element V: Compliance with Federal Disability Nondiscrimination Laws;
    xiv. Element VI: Training for Compliance under WIOA Section 188;
    xv. Element VII: Corrective Actions and Sanctions; and
    xvi. Element VIII: Supporting Documentation for the NDP.

    Local EO Officers are responsible for monitoring small service providers (ETPS, OJTs, Work Experience employers only) defined under 29 CFR 38.4(hhh), which includes monitoring the small service provider for adopting and publishing complaint procedures and processing complaints, in accordance with Section 188 of WIOA, 29 CFR Part 38 and the Missouri Nondiscrimination Plan.

2. Reviewing the recipient's written policies to make sure those policies are nondiscriminatory.

I. The Local WDB must conduct **quarterly** EO Monitoring which includes, but is not limited to:

1. Ensuring compliance with the nondiscrimination and equal opportunity provisions of WIOA, 29 CFR Part 38 and the Missouri Nondiscrimination Plan, and negotiating, where appropriate, with a recipient to secure voluntary compliance when noncompliance is found under §38.91(b).
2. Quarterly monitoring the compliance of recipients with WIOA section 188, 29 CFR Part 38 and the Missouri Nondiscrimination Plan, including a determination as to whether each recipient is conducting its WIOA Title I-financially assisted program or activity in a nondiscriminatory way. At a minimum, each annual monitoring review required must include:
    i. A statistical or other quantifiable analysis of records and data kept by the recipient under §38.41, including analyses by race/ethnicity, sex, limited English proficiency, preferred language, age, and disability status;
    ii. An investigation of any significant differences identified in paragraph (b)(1) of this section in participation in the programs, activities, or employment provided by the recipient, to determine whether these differences appear to be caused by discrimination. This investigation must be conducted through review of the recipient's records and any other appropriate means; and
    iii. An assessment to determine whether the recipient has fulfilled its administrative obligations (for example, recordkeeping, notice and communication) and any duties assigned to it under the Missouri Nondiscrimination Plan.

Monitoring Reports

m. The Local WDB (or designated local monitor) must submit annual reports for Financial, Programmatic, One-Stop Operator and EO monitoring each Program Year to their subrecipient(s). Annual reports must be issued by June 30th of each program year.
    1. Each report must be addressed to the subrecipient, include the date issued, the timeframe of monitoring, all identified issues, the corrective action, along with an explanation of the required corrective action, and a deadline for completion of the corrective action.
    2. The following Reports are required to be presented at a Board meeting and documented in meeting minutes:
        i. One-Stop Operator monitoring;
        ii. Programmatic monitoring;
        iii. Financial monitoring;
        iv. Equal Opportunity monitoring;
        v. Performance reviews monitoring; and
        vi. Special initiatives/grants monitoring.
    3. Areas to cover in monitoring reports include, but are not limited to, adequacy of assessments, planning of activities and services, coordination with One-Stop Delivery System partners to meet the comprehensive needs of customers, and customer outcomes.

4. The regulations implementing WIOA require that when monitoring identifies issues, those issues must be resolved by prompt and appropriate corrective action. Therefore, reports must identify areas of noncompliance and corrective actions taken or required for improvement.
5. The Local WDB is also responsible for providing any technical assistance needs identified through monitoring.

Additional Responsibilities:

n. The Local WDB must ensure business is conducted in an open manner, by making documents available to the public, on a regular basis through electronic means and open meetings. The Local WDB must ensure their website contains the following information:
    1. Local Plan and modifications, if applicable;
    2. Board members and their affiliations;
    3. Selection of one-stop operators;
    4. Award of grants or contracts to eligible training providers of workforce investment activities including providers of youth workforce investment activities;
    5. Minutes of formal meetings of the Local WDB; and
    6. Board by-laws, consistent with 20 CFR 679.310(g).

ROLES, RESPONSIBILITES, and REQUIRED ACTIONS:

Each Local WDB must review its local sub-state monitoring policy for compliance with this statewide policy. Local WDB must update their local policy if it does not meet the statewide requirements; the local sub-state policy is a required component of the Area's Local Plan. The Local WDB must adhere to all aspects of this policy.

TIMELINE:

Implementation of these rules.....**Immediate and Continuous**

INQUIRIES:

Please direct all questions or comments regarding this Issuance document to dwdpolicy@dhewd.mo.gov. All active Issuances are available at jobs.mo.gov/dwdissuances. Expired/rescinded Issuances are available on request.

For information about Missouri Office of Workforce Development services, contact a Missouri Job Center near you.
Locations and additional information are available at jobs.mo.gov or 1-(888)-728-JOBS (5627).
Missouri Department of Higher Education and Workforce Development is an equal opportunity employer/program.
Auxiliary aids and services are available upon request to individuals with disabilities.
Missouri Relay Services at 711.

Attachment E:

Missouri Office of Workforce Development OWD Issuance 07-2020,
Statewide Data Element Validation Policy

Missouri Department of Higher Education and Workforce Development

OWD Issuance 07-2020

Release Number—Program Year

Release Date: September 16, 2020

Effective Date: September 16, 2020

Expiration Date: Continuous, until further notice

SUBJECT:

Statewide Data Element Validation Policy

ATTACHMENTS: Attachment 1- PIRL Data Sampling Desk-Aid
Attachment 2- TAA and WP Specific Data Elements

This Issuance is Official Policy of the Missouri Office of Workforce Development

ISSUING AUTHORITY

Mardy Leathers, Director
Missouri Office of Workforce Development (OWD)

THIS ISSUANCE DOES REQUIRE CREATION OR ALTERATION OF A CORRESPONDING LOCAL POLICY

KEYWORDS:

Data Element, DEV, Performance, Validation, WIOA,

THIS ISSUANCE AFFECTS:

Missouri One-Stop Delivery System (MJCs/AJCs)
WIOA Title I Local Areas/Local Boards/Local Plans
WIOA Title I Performance/Accountability
WIOA Title I One-Stop Delivery/Service Providers
WIOA Fiscal/Administrative Procedures
Trade Adjustment Assistance
State of Missouri Workforce System Procedures

FOR THE ATTENTION OF:

OWD State Professional Staff
One-Stop Fontline Staff
Chief Elected Officials
Local WDB Directors
One-Stop Operators
One-Stop Functional Leaders
Service Providers
Local Quality Assurance Monitors
Local Trade Act Reps
Local Trade Act Navigators

RESCISSIONS:

None.

REFERENCES:

20 CFR 677.240, "What are the requirements for data validation of State annual performance reports?"

U.S. Department of Labor, Employment and Training Administration, Training Employment and Guidance Letter (TEGL) 23-19, "Guidance for Validating Required Performance Data Submitted by Grant Recipients of U.S. Department of Labor (DOL) Workforce Programs," June 18, 2020.

TEGL 7-18, "Guidance for Validating Jointly Required Performance Data Submitted under the Workforce Innovation and Opportunity Act (WIOA)," December 18, 2018.

OWD Issuance 12-2019, "Statewide Sub-State Monitoring Policy," December 6, 2019.

SUMMARY:

The purpose of this policy is to establish a data validation strategy for the WIOA Adult and Dislocated Worker, WIOA Youth, Wagner-Peyser (WP), and the Trade Adjustment Assistance (TAA) programs operated by the Office of Workforce Development (OWD). This policy will help ensure the accuracy of quarterly and annual performance reports, safeguards data integrity, and promotes the timely resolution of data anomalies and inaccuracies. This policy supersedes any previous guidance on this topic.

BACKGROUND:

Data validation is a series of internal controls or quality assurance techniques established to verify the accuracy, validity, and reliability of data. The establishment of a shared data validation framework that requires a consistent approach across programs ensures that all program data consistently and accurately reflect the performance of each grant recipient. To that end, the purposes of validation procedures are to[1]:

- *Verify that the performance data reported by grant recipients to DOL are valid, accurate, reliable, and comparable across programs;*
- *Identify anomalies in the data and resolve issues that may cause inaccurate reporting;*
- *Outline source documentation required for common data elements; and*
- *Improve program performance accountability through the results of data validation efforts.*

SUBSTANCE:

DEV Procedures

All Programs

- Staff responsible for conducting Data Element Validation (DEV) reviews must submit a system access request in order to receive access to the "PIRL data sampling" report located in the statewide electronic case management system.
- Staff responsible for conducting the DEV review must complete quarterly their reviews at the beginning of October, January, April and July on both active and exited records. Staff are responsible for validating the data for the quarter that just ended.
- Staff should follow the detailed desk-aid (Attachment 1) on how to access the PIRL data sampling report to randomly identify files to review. Depending on the size of each record set, the corresponding number of sample records shown below, at a minimum, must be examined. These guidelines are applicable for every review.[2] If the minimum number of sample records is not available, all available records must be reviewed.

Exited Record Set	Size Sample Size
1–200	69
201–300	78
301–400	84
401–500	87
501–1,000	96
1,001–2,000	100
2,001–10,000	105

- Staff will download the data element sheets generated by the statewide electronic case management system into Microsoft Excel and conduct their reviews directly in the workbook.
- Staff will mark each element as either a "pass" or a "fail". All failures must have corresponding comments describing why the element failed and the corrective action being taken to correct the data, if applicable.

---

[1] TEGL 23-19

[2] Sample size based on algorithmic tables for simple random sampling developed by The Research Advisors, Franklin, MA ©2006.

- Staff will use the latest PIRL document found at https://www.doleta.gov/performance/reporting/#current-reporting-req for definitions/instructions, program specific requirements and source documentation needed to perform data element validation on each data element.
- Staff will be expected to provide their DEV documentation, when requested, to the OWD Regulatory Compliance Unit at least annually.

WIOA Adult/Dislocated Worker and Youth Programs

- Each Workforce Development Board (WDB) is responsible for conducting quarterly DEV reviews to verify that the performance data elements reported by Missouri are valid, accurate, reliable, and comparable across programs. The review is to identify anomalies in the data, or missing data, to resolve issues that may cause inaccurate reporting, and to improve program performance accountability through the results of data validation efforts.
- Each WDB must use the source documentation requirements found in TEGL 23-19 Attachment II to validate the required elements identified in the attachments of OWD's Technical Assistance Guides (T.A.G.).

TAA

- Trade Navigators are responsible for conducting quarterly DEV reviews for their respective areas to verify that the performance data elements reported by Missouri are valid, accurate, reliable, and comparable across programs. The review is to identify anomalies in the data, or missing data, to resolve issues that may cause inaccurate reporting, and to improve program performance accountability through the results of data validation efforts.
- Trade Navigators must use the source documentation requirements found in TEGL 23-19 Attachment II to validate the required elements identified on Attachment 2 of this Issuance.

WP

- OWD's WP Program Coordinator is responsible for conducting quarterly DEV reviews on WP data in order to verify that the performance data elements reported by Missouri are valid, accurate, reliable, and comparable across programs. The review is to identify anomalies in the data, or missing data, to resolve issues that may cause inaccurate reporting, and to improve program performance accountability through the results of data validation efforts.
- The OWD WP Coordinator must use the source documentation requirements found in TEGL 23-19 Attachment II to validate the required data elements identified on Attachment 2 of this Issuance.

DEV Training

Each WDB is expected to provide training to workforce staff on the importance of correct data entry as it relates to obtaining positive performance outcomes on an annual basis, at minimum. Additionally, each WDB must provide training to workforce staff on the allowable source documentation requirements

contained within OWD's WIOA Adult/Dislocated Worker TAG[3], WIOA Youth TAG[4], and Attachment II[5] of TEGL 23-19.

OWD Supervisors and Regional Managers are expected to provide training to frontline workforce staff on the importance of correct data entry as it relates to obtaining positive performance outcomes.

OWD will provide DEV training to all staff responsible for monitoring data entry and performance on an annual basis, at a minimum. These trainings may occur via regular monthly Office of Performance & Strategy / Workforce Data unit meetings, annual monitoring summits, virtual technical assistance sessions, or other appropriate training methods as recommended by OWD.

Data Integrity

On a quarterly basis, DOL will provide OWD with performance feedback reports to aid in data integrity efforts and support data accuracy. The analysis will include, but is not limited to, a review of the data submitted, anomalies and outliers, and other potential data quality issues, which may indicate reporting inaccuracies.[6] Office of Performance & Strategy / Workforce Data unit will use these feedback reports to conduct quarterly data integrity reviews of program data errors, missing data, out-of-range variances in values reported, and other anomalies.

On an annual basis, OWD's Regulatory Compliance Unit will review the DEV reviews conducted by each responsible entity to determine the effectiveness of this policy and the procedures identified within. If inefficiencies are discovered, the policy and procedures will be updated accordingly.

Correcting Missing or Erroneous Data

If any missing or erroneous data is discovered throughout the validation process, staff must take appropriate actions to correct it. These corrective actions may include, but is not limited to:

- Submitting detailed Change Requests to correct inaccurate data;
- Working with the Office of Performance & Strategy / Workforce Data unit to resolve out-of-range variances and/or large quantity of data anomalies;
- Providing additional training or technical assistance to workforce staff responsible for the erroneous data entry, if applicable;
- Collecting missing documentation to verify required data elements, if applicable.

Record Retention

DEV documentation must be maintained per the Federal records retention guidelines[7].

> *Financial records, supporting documents, statistical records, and all other non-Federal entity records pertinent to a Federal award must be retained for a period of three years from the date of submission of the final expenditure report or, for Federal awards that are renewed quarterly or annually, from the date of the submission of the quarterly or annual financial report, respectively, as reported to the Federal awarding agency or pass-through entity in the case of a subrecipient.*

[3] OWD Issuance 04-2020
[4] OWD Issuance 05-2020
[5] TEGL 23-19 Attachment II
[6] TEGL 23-19
[7] 2 CFR 200.333

- Each WDB must retain copies of worksheets on data elements and/or records reviewed during the data validation review process, and any corrective actions taken such as submitted Change Requests or technical assistance.
- OWD's TAA and WP Coordinators must retain copies of workbooks, worksheets on data elements and/or records reviewed during the data validation review process, and any corrective actions taken such as submitted Change Requests or technical assistance.
- Office of Performance & Strategy / Workforce Data unit must maintain frozen quarterly wage records for wage record matching used for reporting outcomes, trends in common data accuracy issues, and error rates.
- OWD Regulatory Compliance Unit must retain documentation of annual DEV effectiveness reviews and any corrective action efforts made after data validation review process.

ROLES, RESPONSIBILITES, and REQUIRED ACTIONS:

- Each WDB must revise their local sub-state monitoring policy[8] **and** internal controls to include the quarterly data element validation monitoring procedures outlined in this policy.
- Each WDB must designate and identify at least one staff to perform validation procedures on a quarterly basis. This information must be included in the updated sub-state monitoring policy.
- Each WDB has 90 days to revise their policy and to submit a required Plan modification.
- TAA Navigators must validate TAA data on a quarterly basis.
- OWD's WP Coordinator must validate WP data on a quarterly basis.

TIMELINE:

Specially Identified Workforce System Staff – Implementation of these rules……**Immediate and Continuous**

INQUIRIES:

Please direct all questions or comments regarding this Issuance document to dwdpolicy@dhewd.mo.gov. All active Issuances are available at jobs.mo.gov/dwdissuances. Expired/rescinded Issuances are available on request.

For information about Missouri Office of Workforce Development services, contact a Missouri Job Center near you. Locations and additional information are available at jobs.mo.gov or 1-(888)-728-JOBS (5627).

Missouri Department of Higher Education and Workforce Development is an equal opportunity employer/program. Auxiliary aids and services are available upon request to individuals with disabilities. Missouri Relay Services at 711.

[8] 2 CFR 200.328

Missouri Department of Higher Education and Workforce Development

FREQUENTLY ASKED QUESTIONS (FAQs) ABOUT...

OWD Issuance 07-2020: Statewide Data Element Validation Policy

(Issued: September 16, 2020)

Last updated: May 2021.

Q: What changes were made to DEV for the Trade program?

A: Beginning June 1, the Central Office Trade Unit will handle all Trade DEV efforts. TAA navigators will no longer be responsible for completing this.

Last updated: October 2020.

Q: When will the previous quarter's data be available for staff to validate?

A: The data will be available by the 15th of the month following the quarter's end (i.e. Q1 data will be available by October 15th). The Office of Performance and Strategy needs time to close out the data.