

JEFFERSON/FRANKLIN CONSORTIUM

WORKFORCE INNOVATION AND OPPORTUNITY ACT (WIOA)

SUB-STATE MONITORING PLAN POLICY

Sub-State Monitoring Plan (SMP) Jefferson/Franklin Consortium

As required by the Workforce Innovation and Opportunity Act (WIOA), Jefferson/Franklin Consortium has developed a Sub-State Monitoring Plan (SMP) to effectively execute WIOA program oversight and monitoring requirements. The SMP describes procedures to ensure that the performance of subrecipient providers is following the terms of grants, contracts or other agreements pursuant to WIOA Title I Workforce Development Activities.

The general mission and function of monitoring is to review and evaluate overall WIOA administration and operation, including the appropriate use, management, and investment of funds to maximize performance outcomes. Monitoring and oversight will function as a management tool for the Local Workforce Development Area (LWDA) that links planning, program design, implementation, and evaluation.

Oversight Responsibilities

The Local Workforce Development Board (LWDB), in partnership with the Chief Local Elected Officials (CLEO) is responsible for oversight for local youth workforce investment activities, local employment and training activities, and the one-stop delivery system in the local area.

The Office of Job Training Programs (OJTP) compliance staff performs the oversight functions for the LWDB. The One-Stop Coordinator may appoint other staff for selected monitoring responsibilities. Compliance staff maintain a separation of duties and independent from the duties or systems being monitored. Programs are subcontracted and therefore duties are inherently separated.

Compliance staff are thoroughly and continually trained in all phases and technical aspects of WIOA. Staff training is conducted by OJTP staff, Office of Workforce Development (OWD) staff, Department of Labor (DOL), and other private consultants. Further, program policy issuances, technical guides, monitoring manuals, operational manuals, scopes of work, performance data, and other relevant information is distributed to monitoring staff.

The WDB and Local Elected Officials receive annual monitoring reports from the LWDA Administrative Entity (AE) regarding compliance with the terms and conditions of each contractual scope of work. Subcontractor and area performance reviews are provided to the Boards and CLEOs. Any identified findings are reported promptly, and appropriate corrective action steps will be taken. Recommendations and/or technical assistance may be provided as necessary. A comprehensive examination of any compliance issues determined during a federal, state or local review will be conducted to ensure that corrective measures were taken by subcontractors to address those issues and written determination will document that the corrective actions were effective.

Risk Assessment

Prior to issuing an award under WIOA Title I and annually thereafter, the LWDB will conduct a risk assessment to assess the organizations' overall ability to administer Federal funds as required

under 2CFR 200.205. The results of this risk assessment may result in additional records being added to the sample size.

As part of this assessment, the following will be considered: the subrecipient's:

- history regarding management of other grants; and
- financial stability; and
- quality of management systems and standards; and
- history of performance; and
- timeliness of compliance; and
- conformance to terms and conditions of previous awards; and
- reports and findings from audits; and
- ability to effectively implement statutory, regulatory, or other requirements.

Thereafter, the LWDB will conduct annual subrecipient risk assessments based on criteria identified above.

One-Stop Operator

The LWDB will 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.

Programmatic Monitoring

Reviews will be conducted quarterly and/or ongoing as determined by operational need. Staff will utilize OWD monitoring tools, or a variation of, to complete reviews. Locally developed monitoring tools will be used if OWD does not have a tool for a specific area. The LWDB will follow OWD's policy on sample size and monitoring with combined funding streams. The LWDB will ensure subrecipient(s) are meeting programmatic requirements set forth in current MOUs/RFPs/Contracts.

Program monitoring may include, but is not limited to, the following:

Local monitors will monitor participant records for, at a minimum:

1. Documentation of participant eligibility and/or priority for the programs and services received; and
2. Orientation to services; and
3. Signed acknowledgement from the participant that notification of complaint and grievance rights and procedures was received; and
4. Justification for the provision of Individualized Career Services or Training services; and
5. Method of assessment; and
6. Employment planning; and
7. Individual Training Accounts including all applicable paperwork/documentation; and
8. Work Based Learning including all applicable paperwork/documentation; and
9. Appropriateness and accuracy of participant payments (i.e., Supportive Services)
10. Appropriate data entry; and
11. Posting of outcomes, including the attainment of a degree or certificate, measurable skill gains, and any supplemental employment data; and

12. Examination of historical change requests; and
13. Compliance issues cited in prior federal, State, and local reviews; and
14. Determination if prior corrective measures have proven effective.

Additional youth monitoring review items:

1. Out-of-School (OSY) percentage expenditure requirement; and
2. 20% work-based learning with educational component; and
3. 5% limit on In-School Youth enrolled with “requires additional assistance” barrier; and
4. 5% over-income exception.

Data Element Validation

The LWDB’s Job Stat Representatives will conduct quarterly Data Element Validation (DEV) reviews to ensure the integrity of performance outcomes. The DEV will be performed as outlined in OWD’s most current policy on data element validation. This review is 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, to resolve issues that may cause inaccurate reporting, and to improve program performance accountability through the results of data validation efforts. Monitors will use random-sampling techniques when selecting the active and exited files from the quarter that just ended to review.

Financial Monitoring

The Local WDB will conduct quarterly Financial Monitoring Reviews (FMR) and at least one on-site monitoring of subrecipients to ensure fiscal integrity. 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. 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.

The FMR will include, but is not limited to, reviews of the following process:

1. Audit Resolution/Management Decision; and
2. Financial Reports; and
3. Internal Controls; and
4. Source Documentation; and
5. Cost Allocation/Indirect Costs; vi. Cash Management; and
6. Procurement.

The LWDB will 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

The Local Equal Opportunity (EO) Officer will follow the responsibilities outlined in OWD’s

most current policy on sub-state monitoring. The Local EO Officer will 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 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; and
 - 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

LWDB staff will submit annual reports for Financial, Programmatic, One-Stop Operator, and EO monitoring to its subrecipient(s) by June 30th of each Program Year. Each subrecipient report will include the date issued, timeframe of monitoring, identified issues, corrective action previously taken, or an explanation of required corrective action including deadline.

Specific corrective action steps shall be recommended based on any deficiencies found and clearly identified. Continuous improvement of service delivery and/or program quality may include recommending training and/or technical assistance or simply to specify the need to conform to written regulations or procedures.

The following Reports will be compiled into a comprehensive annual report and will be presented at a Board meeting and documented in meeting minutes:

1. One-Stop Operator monitoring
2. Programmatic monitoring
3. Financial monitoring
4. Equal Opportunity monitoring
5. Performance reviews
6. Special initiatives/grants

Sunshine Provision

The Local WDB will ensure they conduct its business in an open manner by making available to

the public, on a regular basis through electronic means and open meetings. The Local WDB will ensure their website contains the following information:

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

Non-WIOA/OWD Grants

As appropriate, the region shall implement additional financial and programmatic monitoring procedures for stand-alone summer youth programs or other special initiatives. These policies will ensure the intended funds are administered in accordance with contractual scopes of work. These monitoring procedures shall be in addition to the regularly scheduled monitoring schedule and occur during program operation to assure accountability and transparency of expenditures. The monitoring process shall include, but not limited to, payroll/timesheet review, as well as worksite, participant and supervisor reviews.