WIA Monitor Training
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Why Do We Monitor?

The Workforce Investment Act (WIA) and accompanying regulations, place with the Governor the primary responsibility for monitoring and oversight of all federally funded WIA programs. The Governor is responsible for the development of the State monitoring system and must be able to demonstrate, through a monitoring plan that the State monitoring system meets the requirements of 20 CFR section 667.410(b)(2) of the USDOL Federal Regulations. Typically, Governors designate these oversight activities to the State Agency responsible for the WIA grant.

Purpose of Monitoring

Monitoring can serve many purposes. Although it is most common to monitor for compliance with federal and grant requirements, monitoring should be viewed as a multifaceted management activity directed at achieving program goals. Monitoring then becomes a program identification tool that links planning, program design, implementation, technical assistance and evaluation.

The ongoing review of program operations from a system and functions viewpoint provides a control tool for management. It will not only prevent violations of the WIA, but can also improve overall program performance. It can detect questioned or potential disallowed costs reasonably early in an effort to avoid audit exceptions. It is also an effective way program fraud or abuse may be prevented or discovered. Monitoring can result in eliminating bottlenecks, streamlining coordinated efforts involving multiple entities and activities, and improve grant recipients or subrecipients cost-effectiveness.

Compliance

Compliance monitoring has as its objective to determine if program activities comply with applicable laws, regulations and other administrative requirements upon which the release of funds is conditioned. The general purpose of compliance monitoring is to determine compliance with contract requirements. Financial monitoring is a special case of compliance monitoring since it focuses on compliance with requirements for financial systems, cost limitations and expenditure rates. Because contract requirements are designed to ensure lawful use of public funds, compliance monitoring is closely associated with program integrity.

Contract requirements may take the form of general administrative provisions defined in the contract “boilerplate” or they may be conditions to a particular contract such as required enrollment levels. When the contract requires certain levels of performance, compliance monitoring moves very close to performance monitoring.
Managerial
Managerial monitoring represents a more in depth examination of program activities to be assured the processes by which employment services and training are realized are in place. Managerial monitoring is based on certain assumptions about what constitutes “good” or quality programs. Contractors are then monitored to see if those attributes are present. This is referred to as monitoring for program quality.

Because managerial monitoring is judging processes as well as outcomes, it is possible to find quality programs that may not be achieving the desired performance levels. Reconciling outcomes to processes in these situations is a challenging and difficult task. Answers must be found to explain why quality processes are not producing quality outcomes. Programs can be refined or modified as a result of what is learned about the processes employed; thus they can be managed better.

Evaluation Impact Monitoring
Evaluation impact monitoring deals with the impact and effectiveness of the program. It is oriented toward objectives, focuses on results and benefits, links operations to planning and policy decisions, and it involves the application of values and judgment of analysis. Evaluation begins with the comparison of planned results versus actual and proceeds into the analysis of the reasons for such results and the effectiveness of the results.

Program Performance
Performance monitoring concerns the contractor’s performance as a service provider. It is sometimes referred to as “plan versus actual” monitoring. The objective is to determine whether the contractor is performing the contracted services at the required level. Performance may be defined in terms of participants served, participant activities, or outcomes. Generally, performance monitoring is confined to numbers that represent level of performance as opposed to quality of performance.

Federal Requirements Related to Monitoring

Under WIA sections 111 and 117, State and Local Boards are required to monitor and evaluate the effectiveness of the WIA program. (NOTE: Select text is formatted differently to enable the reader to more easily identify the various roles of monitoring throughout the system.)

WIA SEC. 117. PERFORMANCE ACCOUNTABILITY SYSTEM
(d) FUNCTIONS OF LOCAL BOARD
(4) PROGRAM OVERSIGHT.—The local board, in partnership with the chief elected official, shall conduct oversight with respect to local programs of youth activities authorized under section 129, local employment and training activities authorized under section 134, and the one-stop delivery system in the local area.

WIA SEC. 136. PERFORMANCE ACCOUNTABILITY SYSTEM
(f ) FISCAL AND MANAGEMENT ACCOUNTABILITY INFORMATION SYSTEMS
(1) IN GENERAL.—Using funds made available under this subtitle, the Governor, in coordination with local boards and chief elected officials in the State, shall
establish and operate a fiscal and management accountability information system based on guidelines established by the Secretary after consultation with the Governors, local elected officials, and one-stop partners. Such guidelines shall promote efficient collection and use of fiscal and management information for reporting and monitoring the use of funds made available under this subtitle and for preparing the annual report.

WIA SEC. 183. MONITORING
(a) IN GENERAL.—The Secretary is authorized to monitor all RECIPIENTS of financial assistance under this title to determine whether the RECIPIENTS are complying with the provisions of this title, including the regulations issued under this title.

(b) INVESTIGATIONS.—The Secretary may investigate any matter the Secretary determines to be necessary to determine the compliance of the RECIPIENTS with this title, including the regulations issued under this title. The investigations authorized by this subsection may include examining records (including making certified copies of the records), questioning employees, and entering any premises or onto any site in which any part of a program or activity of such a RECIPIENT is conducted or in which any of the records of the RECIPIENT are kept.

(c) ADDITIONAL REQUIREMENT.—For the purpose of any investigation or hearing conducted under this title by the Secretary, the provisions of section 9 of the Federal Trade Commission Act (15 U.S.C. 49) (relating to the attendance of witnesses and the production of documents) apply to the Secretary, in the same manner and to the same extent as the provisions apply to the Federal Trade Commission.

WIA SEC. 184 FISCAL CONTROLS; SANCTIONS
(a) (4) Each Governor of a State shall conduct on an annual basis onsite monitoring of each local area within the State to ensure compliance with the uniform administrative requirements.

WIA SEC. 185 REPORTS; RECORDKEEPING; INVESTIGATIONS
(c) (3) ACCESSIBILITY OF REPORTS.—Each State, each local area, and each RECIPIENT (other than a SUBRECIPIENT, subgrantee, or contractor of a RECIPIENT) receiving funds under this title shall monitor the performance of providers in complying with the terms of grants, contracts, or other agreements made pursuant to this title.

20 CFR § 667.400 Who is responsible for oversight and monitoring of WIA title I grants?
(a) The Secretary is authorized to monitor all RECIPIENTS and SUBRECIPIENTS of all grants awarded and funds expended under WIA title I to determine compliance with the Act and the WIA regulations, and may investigate any matter deemed necessary
to determine such compliance. Federal oversight will be conducted primarily at the 
RECIPIENT level.

(b) In each fiscal year, we will also conduct in-depth reviews in several States, 
including financial and performance audits, to assure that funds are spent in 
accordance with the Act. Priority for such in-depth reviews will be given to States 
not meeting annual adjusted levels of performance.

(c) (1) Each RECIPIENT and SUBRECIPIENT must continuously monitor grant 
supported activities in accordance with the uniform administrative 
requirements at 29 CFR parts 95 and 97, as applicable, including the 
applicable cost principles indicated at 29 CFR 97.22(b) or 29 CFR 95.27, 
for all entities receiving WIA title I funds. For governmental units, the 
applicable requirements are at 29 CFR part 97. For non-profit 
organizations, the applicable requirements are at 29 CFR part 95.

(2) In the case of grants under WIA sections 127 and 132, the Governor 
must develop a State monitoring system that meets the requirements of § 
667.410(b).

20 CFR § 667.410 What are the oversight roles and responsibilities of recipients and 
subrecipients?

(a) Roles and responsibilities for all RECIPIENTS and SUBRECIPIENTS of funds 
under WIA title I in general. Each RECIPIENT and SUBRECIPIENT must conduct 
regular oversight and monitoring of its WIA activities and those of its 
SUBRECIPIENTS and contractors in order to:

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

(2) Determine whether or not there is compliance with other provisions of the
Act and the WIA regulations and other applicable laws and regulations; and

(3) Provide technical assistance as necessary and appropriate.

(b) State roles and responsibilities for grants under WIA sections 127 and 132.

(1) The Governor is responsible for the development of the State monitoring 
system. The Governor must be able to demonstrate, through a monitoring 
plan or otherwise, that the State monitoring system meets the requirements 
of paragraph (b)(2) of this section.

(2) The State monitoring system must:

(i) Provide for annual on-site monitoring reviews of local areas’
compliance with DOL uniform administrative requirements, as
required by WIA section 184(a)(4);

(ii) Ensure that established policies to achieve program quality and
outcomes meet the objectives of the Act and the WIA regulations,
including policies relating to: the provision of services by One-Stop
Centers; eligible providers of training services; and eligible providers
of youth activities;
(iii) Enable the **Governor** to determine if **SUBRECIPIENTS** and contractors have demonstrated substantial compliance with WIA requirements; and

(iv) Enable the **Governor** to determine whether a local plan will be disapproved for failure to make acceptable progress in addressing deficiencies, as required in WIA section 118(d)(1).

(v) Enable the **Governor** to ensure compliance with the nondiscrimination and equal opportunity requirements of WIA section 188 and 29 CFR part 37. Requirements for these aspects of the monitoring system are set forth in 29 CFR 37.54(d)(2)(ii).

(3) The **State** must conduct an annual on-site monitoring review of each local area’s compliance with DOL uniform administrative requirements, including the appropriate administrative requirements for **SUBRECIPIENTS** and the applicable cost principles indicated at § 667.200 for all entities receiving WIA title I funds.

(4) The **Governor** must require that prompt corrective action be taken if any substantial violation of standards identified in paragraphs (b) (2) or (3) of this section is found. (WIA sec. 184(a)(5).)

(5) The **Governor** must impose the sanctions provided in WIA section 184 (b) and (c) in the event of a **SUBRECIPIENT**’s failure to take required corrective action required under paragraph (b)(4) of this section.

(6) The **Governor** may issue additional requirements and instructions to **SUBRECIPIENTS** on monitoring activities.

(7) The **Governor** must certify to the **Secretary** every two years that:

   (i) The **State** has implemented uniform administrative requirements;

   (ii) The **State** has monitored local areas to ensure compliance with uniform administrative requirements; and

   (iii) The **State** has taken appropriate corrective action to secure such compliance. (WIA sec. 184(a)(6)(A), (B), and (C).)

20 CFR § 667.500 What procedures apply to the resolution of findings arising from audits, investigations, monitoring and oversight reviews?

(a) Resolution of **SUBRECIPIENT**-level findings.

   (1) The **Governor** is responsible for resolving findings that arise from the **State’s** monitoring reviews, investigations and audits (including OMB Circular A–133 audits) of **SUBRECIPIENTS**.

   (2) A **State** must utilize the audit resolution, debt collection and appeal procedures that it uses for other Federal grant programs.

   (3) If a **State** does not have such procedures, it must prescribe standards and procedures to be used for this grant program.

(b) Resolution of **State** and other direct **RECIPIENT** level findings.

   (1) The **Secretary** is responsible for resolving findings that arise from Federal audits, monitoring reviews, investigations, incident reports, and **RECIPIENT** level OMB Circular A–133 audits.
(2) The *Secretary* uses the DOL audit resolution process, consistent with the Single Audit Act of 1996 and OMB Circular A–133, and Grant Officer Resolution provisions of § 667.510, as appropriate.

(3) A final determination issued by a Grant Officer under this process may be appealed to the DOL Office of Administrative Law Judges under the procedures at § 667.800.

(c) Resolution of nondiscrimination findings. Findings arising from investigations or reviews conducted under nondiscrimination laws will be resolved in accordance with WIA section 188 and the Department of Labor nondiscrimination regulations implementing WIA section 188, codified at 29 CFR part 37.

**20 CFR § 667.505 How do we resolve investigative and monitoring findings?**

(a) As a result of an investigation, onsite visit or other monitoring, we notify the **RECIPIENT** of the findings of the investigation and gives the **RECIPIENT** a period of time (not more than 60 days) to comment and to take appropriate corrective actions.

(b) The Grant Officer reviews the complete file of the investigation or monitoring report and the **RECIPIENT**’s actions under paragraph (a) of this section. The Grant Officer’s review takes into account the sanction provisions of WIA section 184(b) and (c). If the Grant Officer agrees with the **RECIPIENT**’s handling of the situation, the Grant Officer so notifies the recipient. This notification constitutes final agency action.

(c) If the Grant Officer disagrees with the recipient’s handling of the matter, the Grant Officer proceeds under § 667.510.

**29 CFR § 97.40 Monitoring and reporting program performance.**

(a) Monitoring by **GRANTEES.** **GRANTEES** are responsible for managing the day-to-day operations of grant and subgrant supported activities. **GRANTEES** must monitor grant and subgrant supported activities to assure compliance with applicable Federal requirements and that performance goals are being achieved. **GRANTEES** monitoring must cover each program, function or activity.

**Other Documents to Direct Monitoring**

Besides the guidance provided in the Federal Law and Regulations, many States use their State Plan and State Policies to outline the details of their monitoring system. Local boards may choose to do something similar with their local plan and policies. Within each level of the system, there are additional components to be considered, therefore customized guidance could be beneficial.

Below is a list of key documents you will need to monitor against.

- **29 CFR (Code of Federal Regulations)**
  - Parts 95 and 97 contain uniform administrative requirements (e.g., grantees are responsible for managing their projects, including sub-recipient activities
and services; includes requirements pertaining to data collection and reporting)
- Part 37 contains implementing regulations for the non-discrimination and equal opportunity provisions of WIA Sec. 188

- **2 CFR § 225 Cost Principles for State, Local, and Indian Tribal Governments**
  - Includes cost principles formerly referred to as OMB Circular A-87

- **Jobs for Veterans Act**
  - Public Law 107-288 pertains to all DOL-funded employment and training programs and establishes ‘priority of service’ for veterans and eligible spouses

- **ETA Policies**
  - Training & Employment Guidance Letters (or TEGLs) covering a range of topics, including salary and bonus limitations (TEGL 5-06) and the definitions of key terms such as ‘participant’ and ‘exiter’ contained in TEGL 17-05

- **Approved Reporting Instructions**
  - The OMB-approved ETA 9130 is required of all USDOL/ETA grantees for quarterly financial reporting
  - Programmatic reporting differs across grantees and is based on OMB-approved reporting instructions for the specific type of grant

### Hierarchy of Applicable Guidance
Monitoring Responsibilities

Matrix of Monitoring Responsibilities

The responsibility of monitoring the workforce system does not lie just with those who are officially “monitors.” Below is an example of how staff across the system, from front line to Federal, help meet the monitoring requirements. Anytime someone within this chart fails to complete their part, it makes another person’s job all the more difficult.

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<th>Role</th>
<th>Eligibility</th>
<th>Data Validation</th>
<th>Training Activity</th>
<th>Program Activity</th>
<th>Performance</th>
<th>Program Admin.</th>
<th>Fiscal</th>
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<tr>
<td>Case Manager</td>
<td>Gather, document, organize</td>
<td>Enter in system</td>
<td>Document, ETPL, invoices</td>
<td>Document, organize</td>
<td>Individual goals</td>
<td></td>
<td>Participant expense documentation</td>
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<tr>
<td>MIS Specialist</td>
<td>Verify document and MIS</td>
<td>Data Element Verification</td>
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<td></td>
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<tr>
<td>Center Manager</td>
<td></td>
<td>In demand occupation</td>
<td>Training staff</td>
<td>Center performance</td>
<td></td>
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<td>LWIA Program Manager</td>
<td>Approval of 5% exceptions</td>
<td>Local guidance, progress reports</td>
<td></td>
<td>Planned Perform. vs. Actual</td>
<td></td>
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</tr>
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<td>LWIA Monitor</td>
<td>Select Files</td>
<td>Monitor</td>
<td>Select Files</td>
<td>Contract performance</td>
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<td>Select Files</td>
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<td>Monitor State’s monitoring</td>
<td>Select Files, strategic</td>
<td>Overall</td>
<td>State performance</td>
<td>Monitor</td>
<td>Monitor</td>
</tr>
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Example from Mississippi Delta Workforce Investment Area Monitoring

- MIS Specialist
  - Receives and keys intake
  - Proves eligibility – proof required to key
  - Data element validation – proof required to key

- DWIA Youth Coordinator
  - Compares the contract’s planned performance to actual (quarterly)
  - Monthly progress reports and narratives are reviewed
  - Approval of 5% exceptions

- Monitor – receives unresolved issues or items to watch for from all levels of monitoring
  - Desk review (get familiar with the contract requirements and issues)
  - Onsite review
  - Monitoring report
  - Provider’s response to monitoring report
Mississippi Delta Workforce Investment Area Monitoring

MS DWIA Adult & Dislocated Worker Monitoring Flow Chart

10 WIN Job Centers Managers & Staff in the Delta Area
- Provide Core, Intensive, Training, Outreach, Recruitment, Referrals, Follow-Up Services
  - Responsible for Obligation vs Expenditures occurred with OJT & ITA
  - Internal Monitoring of expenditures and obligations on a quarterly basis

DWIA Monitor
- RIDES – Fiscal & Administrative
- WIN Job Center – All listed above

MS DWIA Youth Monitoring Flow Chart

Provider
- Administrative
- Fiscal
- Programmatic

MIS Specialist
- Intake-Eligibility Verification
- Data Validation

DWIA Youth Coordinator
- Plan vs Performance
- Monthly Progress Report
- 5% Exceptions
- Paid Incentives

DWIA Fiscal Staff
- Monthly Request for Cash
- Monthly Reporting Wksht
- Expenses vs Budget

DWIA Monitor
- Desk Review
- Entrance Interview
- General Compliance
- Fiscal
- Programmatic
- Exit Interview

Unresolved Issues
Pre-Review Preparation

Federal, State, and Local Monitoring Tools

Monitoring tools are designed to aid monitors in reviewing all compliance components of a grant. Grant recipients are encouraged to tailor their monitoring tool to their specific grant requirements and modify it as necessary. The ETA Core Monitoring Guide is the tool Federal monitors use when conducting a compliance review of State and Local WIA grantees, but it is very broad and does not detail the specific requirements of a particular grant.

To prepare for the on-site visit, review the monitoring guide you will use and identify documents called for as reference documents for the grantee organization. In addition, familiarity with the operations of the grantee can make the on-site visit and monitoring process more efficient. This may be accomplished by reviewing the grants, financial and programmatic reports, past monitoring reports, and audit summaries. Some grantees find it helpful to organize these documents in a notebook so they are easily accessible during the review. Below are two examples of what the notebook table of contents might look like.

Contents of Delta WIA, MS Monitoring Work Papers

1) Contract(s) & Modifications
2) Prior Year Monitoring Report
3) Monitoring Tool
4) Supporting Documentation
5) Monitoring Report
6) Response to Monitoring Report

Example of Monitoring Working Papers

1. Local WIA policies and procedures (including sub-grantee)
2. Specific policy guidance from the State to local areas
3. Grant or sub-grant agreement used to transmit local area authorizations
4. Organizational chart with relationship to WIB and fiscal agent
5. List of WIA subrecipients and contractors
6. List of local area youth program contracts
7. Monitoring reports of subrecipients
8. List of all WIA Adult and Dislocated Worker participants to include unique identifier, enrollment and exit date, and programs enrolled in
9. Most recent single audit report

Often, parts of your monitoring guide, such as the calculation of actual performance, can be completed prior to the on-site visit using data contained in the reports and grant documents. List questions that may arise as to how the grantee is organized, relationships with subrecipients, and the location of documents and staff who will be sources of information for the monitoring visits.
The ETA Core Monitoring Guide is organized around key topics called core activities, not around sources of information. Each core activity is organized around objectives that must be met by the grantee organization and indicators used to assess the grantee’s accomplishment of the objective. The reviewer must plan how interviews will be organized to maximize grantee staff availability and avoid going back and forth between agencies, departments, or personnel. This might be done by marking the guide so that questions for a particular set of respondents are easily located. You may also rely upon the FPO guidance portions of each indicator that identify sources of information to develop a listing of source documents you wish the grantee to have available for your review. This list can be sent to the grantee so that arrangements can be made to have staff and documents ready for your visit.

**Desk Review**

The process of data acquisition, verification, comparison and analysis begins in the desk review. This review involves a review of in-house and/or requested documents and performance indicators. The desk review allows for the monitors to become familiar with the programs, to review financial and participant data and to test compliance prior to the on-site visit. The desk review also serves to identify or “red flag” potential or recurring problems.

Documents you may want to examine during the desk review include:

- Grant agreement, contract, sub-agreements, and modifications or amendments
- Prior monitoring reports and work papers
- MIS and financial data submitted by the subrecipient
- Financial and audit reports and requests for payment or invoices from the subrecipient
- Correspondence between the State, local board, subrecipient and contractors as well as technical assistance reports and staff memos regarding the subrecipient
- Complaints and grievances
- Consultation with appropriate personnel that may be aware of problem areas or exemplary performance

**Reviewing a Work Plan/Grant Agreement**

The purpose and function of a work/annual plan is to demonstrate to all involved in the award that the grantee can meet the requirements in the grant agreement on time and within cost limits.

The work/grant agreement should clearly explain:

- WHAT will be done - an explanation of the technical performance that should closely follow the requirements of the SGA/Planning Guidance;
- WHO will do the work;
- WHEN the work will be performed;
- HOW the work will be done, including a clear explanation of the methods and technology to be used;
- WHY this particular combination of personnel, methodology, and schedules will be
followed; and
• OUTCOMES/PRODUCT - expected results of the work, including important milestones, outcomes and/or deliverables.

A work/annual plan, phased work plan, or corrective action plan should include a narrative (text) description of the work to be performed and an explanation of how the work will be done in order to achieve the outcomes specified or deliver the product required.

**During the Review**

**Entrance Conference**

The on-site review begins with the monitor's arrival and a brief entrance conference to go over the agenda. During this conference, the monitor should introduce the members of the review team, and remind everyone why the review is being conducted and what will be done. Review the grantee's current organizational chart to determine key personnel and match them with team members if the grantee staff is present. Generally, the monitor will follow this same procedure if reviewing any sub-grantees or vendors since they are directly responsible for a large portion of the grantee's work plan/outcomes.

If the grantee has a good reason for doing so, the monitor may wish to change the sequence of agenda issues. This is sometimes necessary if some persons must be present for one issue but cannot stay for the entire entrance conference. This is also true of the itinerary for the review. The monitor should use his or her judgment, but try to stick to both the agenda and itinerary.

Once the entrance conference is completed, it is now time to monitor the work in progress. Remember while conducting the on-site review, the review team is not only looking for shortcomings and deficiencies; but also looking for positive and innovative findings that may be applied to other projects/programs. Review the work in progress for conformance with technical requirements, timeliness, and legal compliance requirements. If any technical direction/assistance is required by the grantee, it is generally provided at this time (when encountered and if need be, at the exit conference). Check cost performance, which will encompass compliance with the applicable OMB Circulars related to allowable/reasonable costs, financial systems, and the administrative regulations related to costs. The monitor should, at a minimum, check the cost documents available on-site to make sure that they agree with his or her records, or that any discrepancies are explained. The monitor should be sure to document everything that s/he discovers.

The Core Monitoring Guide will be a useful tool for guiding the monitor's review, as well as documenting the findings. Based upon the review of the Guide's indicator(s), the monitor will need to determine if the objective has been met. If there are multiple indicators for an objective, the monitor will need to base his or her decision as to whether the objective has
been met on the relative importance of the indicators and if there is a compliance factor involved.

On the first page of each Core Monitoring Guide section is space for summarizing the findings of the core activity. Specifically, the summary is organized around Promising Practices, Findings or High Risk Factors and Other Observations. This summary section is designed to assist the monitor with the development of the exit conference and written report. Each section is designed to provide for a short sentence or description of grantee processes or program design elements that would be addressed in the exit conference or written report. Promising Practices are those processes the monitor believes to be effective in operation and that s/he would recommend to another grantee. The monitor would summarize or list the compliance findings under Findings or High Risk Factors. The Other Observations section may be used to document additional information about the grantee organization or operation the monitor wishes to include in the exit conference and written report, including a discussion of effectiveness objectives and/or indicators that have not been met. There must be links between this summary and notes and conclusions recorded for objectives and indicators in the Guide.

**Exit Conference**

Before leaving the grantee site, the monitor should wrap up the review with an informal exit conference. If this review was done by a team, it is likely that several meetings would have taken place to compare notes, get mutual agreement, and check in with the office management/fiscal agent (if necessary). The grantee debrief should be done by the lead monitor after mutual agreement on the findings. The monitor should discuss the results of the review with the grantee and any other personnel s/he chooses. This ensures that any discoveries made by the monitor (and team) are not simply misunderstandings and provides the grantee with the opportunity to ask or answer any questions regarding the results.

The monitor should take as much time as necessary to explain the findings (negative and positive) but not drag out the briefing. The monitor should remember that s/he is presenting findings and impressions, not engaging in a debate. The monitor should make it clear that these are the initial positions which appear supported by rule, regulation, law, or policy. The purpose of the exit conference is to provide the grantee advance notice of any problem areas, including those that might be resolved quickly, even before the monitor leaves. It also offers the grantee the chance to rebut or correct any false conclusions or mistaken impressions the monitor may have. The monitor should explain whatever follow-up may be required. Finally, the monitor should time the exit conference to permit departure as soon as possible after the exit conference. There is little to be gained by prolonging the on-site time at this point.

Any issues that remain open can be corrected during the period prior to issuance of the on-site review letter/monitoring report. The grantee has to document the correction and can send sufficient back-up to resolve the finding in the report. If the monitor does not accept the documentation, the finding will include a determination that tells the grantee why s/he did not accept the documentation and what else is needed for resolution.
Finding the Finding

Identify Problem Areas
One way to spot a developing problem, even if it is not mentioned in quarterly progress/program/financial reports, is to plot trends. An example would be to plot remaining costs against remaining funds and time. Answer the following questions:

- Did the monitor spot a problem area? If so, what kind of problem area was it? For example, when the monitor compares actual costs with remaining funds and time, does it appear that the project may be headed for a cost overrun?
- Are there any other cost limit issues? Or, have the deliverables (goods/services) received to date not met the required specifications?
- Will the problem cause a failure to perform? If the answer is “yes,” then the monitor must determine the type of failure to perform.

Determine Type of Failure to Perform
There are basically three types of failure to perform on a grant. These are shown in the following table, with examples and explanations of criticality.

<table>
<thead>
<tr>
<th>Type of Failure to Perform</th>
<th>Degree of Criticality</th>
</tr>
</thead>
<tbody>
<tr>
<td>Failure to perform on time</td>
<td>Usually Least Critical. Usually no serious loss to Government except in extreme cases. Example:</td>
</tr>
<tr>
<td></td>
<td>• Minor delay in delivery of goods, services, and/or outcomes.</td>
</tr>
<tr>
<td></td>
<td>• Continuing delay in submitting progress, program, and/or financial reports (if the monitor has personal knowledge that the deliverables are actually being done). Delays in these reports of 45 days warrant a designation of at-risk and a letter to the grantee noting the problem and an on-site review within 90 days if not rectified.</td>
</tr>
<tr>
<td>Failure to perform according to terms and specifications of quality</td>
<td>Critical. Usually risks some loss in quality to the Government. Examples:</td>
</tr>
<tr>
<td></td>
<td>• Substitution of inferior goods, services, outcomes;</td>
</tr>
<tr>
<td></td>
<td>• Violation of Key Personnel Clause; and</td>
</tr>
<tr>
<td></td>
<td>• Inability to meet enrollment/placement or other goals.</td>
</tr>
<tr>
<td>Failure to perform to cost</td>
<td>Usually Most Critical. Risks loss of Government funds and time. This is often reflected as costs incurred at the expected rate, with lower performance, causing a higher “cost per.” May result in project cancellation. Some formula grants identify failed performance and have their own sanction processes.</td>
</tr>
</tbody>
</table>

Remedy for Failure to Perform
The first step in selecting an appropriate remedy for failure to perform is to review the project/program documents:

- The project SOW/annual plan to understand exactly WHAT is required, WHEN it is expected, and HOW it is to be done;
- The project/program/financial reports from the grantee [Look for warning signs,
problem areas, such as project/program delays or potential cost overruns (based on limitation clauses)];
- The monitor’s quarterly performance reviews;
- The monitor’s review reports, especially on-site visit reports and other evaluations (audits) are critical to the decision making process; and
- Any other special correspondence, such as letters to and from the grantee, e-mail records and telephone logs and the office’s working grant file.

### Post-Review Activities

#### Report Writing

Does your State/Local Plan give direction on what the report will contain?

ETA Regional Offices use the following standard labels within the body of their monitoring reports:

- **Finding/Required Action:** A Finding identifies an area of non-compliance with the Act, regulations, ETA policy, or terms of the grant agreement. A Finding statement is followed by a Required Action statement describing what must be done to remedy the Finding.

- **Area of Concern/Suggestion:** These headings are used to address significant deficiencies which, though not compliance issues, materially affect the grant’s performance, effectiveness, or efficiency of operations.

- **Positive Practice:** This heading is used when highlighting a grantee practice that is noteworthy as a positive model or “best practice.”

ETA Grantees are only required to respond to the Findings included in the Report. Reports invite, but do not mandate, a response to issues identified as “Areas of Concern.” Timeframes for the submission of grantee responses should provide a 30-45 day window from the date of the review’s Exit Conference, depending on the complexity of the issues raised in the report. The specific date that responses are due should appear in the cover letter. And Monitoring Reports should be signed by the Regional Administrator or, when absent, his or her designee.

#### Model Monitoring Report Components

**Cover Letter**

The cover letter should be brief, to the point, and include the dates of the review and programs covered, a statement that the report is attached, and a required receipt date for the grantee’s response. The letter should also note, if applicable, that the report contains significant findings such as questioned costs and critical findings or risk areas identified by the Region. (Sample language appears in the attached Example Report.)
**Title Page**
To ensure consistency of presentation and to give the report a professional appearance, a standard title page has been developed and appears in the attached Example Report. Regions should edit the page to include the appropriate Regional Office information, relevant grant program, grantee name, and issue date. The use of a similar title page is recommended for other products issued by the Regional Offices.

**Executive Summary**
The Executive Summary is exactly what the name implies – a summary of the report for an Executive, and, as such, it needs to be clear, concise, and brief. The Executive Summary should be no longer than one or two pages and should include the key findings and required actions identified during the review (including any questioned costs), as well as any positive practices the Region wants to highlight. The Executive Summary is not the place to include background information or a description of the scope of the review.

**Review Scope**
The Review Scope is the who, what, when, how, why and where of the review. This section should include:

- Dates of review and Exit Conference
- Sites visited
- Names of staff members that conducted the review
- Names & titles of those in attendance at exit conference
- Purpose of the review
- Programs reviewed
- Areas reviewed (in most instances this should be a list of the content areas in the Core Guide and Supplements that were covered during the review; but other descriptions of the review scope may be used, especially when the review content is not taken from the Core Guide and Supplements. The Example Report provides sample language tying the review areas to the Core Guide.)
- Time periods for data covered in the review
- What was reviewed prior to traveling on-site

The Review Scope should also include a disclaimer indicating that the review did not cover any areas outside of the defined scope, and that no material issues came to the reviewer’s attention other than those contained in the report. Sample language to this effect appears in the Example Report.

**Background**
A Background section is most commonly used for discretionary grants but rarely for formula grants. This section provides any significant background information about the grant, such as award date and amount, period of performance, any modification history, and general purpose of grant. This section should only contain information that the reader may not have readily available, or that provides context for information presented later in the report.
Findings/Required Actions
Findings are identified issues, policies, or practices that are non-compliant with program standards, other Federal regulations and policy, or the terms of the grant agreement. Findings must contain a clear statement of the identified problem, and must cite the specific section of the statute, regulation, policy, or grant agreement that has been violated. The report should follow the 4 Cs approach: Condition, Cause, Criteria, and Conclusion/Corrective Action. (Further guidance re: the 4 Cs appears in the Report Writing Approach section below).

Each Finding must have a corresponding Required Action. Required Action should be a clear statement that identifies what the Regional Office must see as action taken or documentation provided in order for a Finding to be resolved. The Required Action should use direct language, such as “shall” or “must”. Recommendations on detailed steps to take to correct the problem may be included when the reviewer is confident in knowing the cause of the problem and the appropriate remedy to fix it.

Areas of Concern/Suggestions
Areas of Concern are issues, policies or practices observed during the review that are negatively impacting the grantee’s ability to effectively manage the grant or provide services to participants. They may also be “red flags” or “risk areas” that, if not corrected, could lead to an area of non-compliance in future monitoring reviews. Each Area of Concern should have a corresponding Suggestion for improving the issue/practice. Your grantee is encouraged, but not required, to implement the suggested action for improving the issue/practice.

Positive Practices
Positive Practices are grantee practices or outcomes observed during the review that are sufficiently effective and/or innovative to warrant “highlighting” in the report. While it is a good practice to identify some positive things to say about a grantee and its program, reviewers should be judicious with their use of compliments in the official monitoring report. Such comments may be inappropriately used or taken out of context by grantees for use in other forums.

The following provides additional information about how to write Findings/Required Actions, Areas of Concern/Suggestions:

Report Writing Approach
The 4 C’s are a good writing approach to ensure the clarity and completeness of each Finding. They are: condition, criteria, cause, and conclusion/corrective action.

Findings
For each Finding, the 4 C’s lead us to ask:

What condition did we find? Explain this condition.
Example: Two of the 15 participant files reviewed did not contain sufficient eligibility documentation.
What is the criteria? In other words, what does the statute, regulation, federal policy, or grant agreement require? How did the condition we found compare to the criteria? Explain the criteria and give the specific citation.
Example: In accordance with the terms of the grant agreement, in order to be eligible to receive services under this grant, an individual’s income must be within 150% of the poverty level.

What was the cause? Why did this violation occur? Explain the causes that you observed (lack of training, inappropriate documentation, etc.). If the immediate cause is unknown, omit this part.
Example: The two files did not contain sufficient documentation to verify this eligibility requirement because the income of family members was not included in the eligibility determination.

What is the conclusion? What corrective action is required? Describe the recommendation.
Example of Required Action: The grantee must verify the eligibility of the two questioned participants for whom it did not have adequate eligibility documentation. The results of this review, as well as copies of the eligibility documentation, must be provided to the reviewer in the official response to this report. If an individual is found to be ineligible for this grant program, the grantee must stop spending grant funds on him/her. Any costs already spent on an ineligible individual are disallowed and must be paid back to the grant.

**Areas of Concern**
Three of the four Cs should be applied when writing an Area of Concern:

- Begin with the statement of condition.
  Example: The case notes in all 15 of the participant files reviewed were incomplete. While it was clear from talking with the case managers that they are making contacts with the participants, this is not apparent from the case notes since they do not reflect the contacts made or activities that took place.

- Cause (when known)
  Example: The case managers were not properly instructed on how to complete the case notes.

- Criteria may not necessarily be present. Include criteria if it applies.
  Example: It is important that case notes accurately reflect interactions between the case manager and the participant so that the service record is complete and documented.

- Conclude with a suggestion.
  Example: The reviewer suggests that the grantee provide training to the case managers on how to complete the case notes, and conduct periodic file reviews to ensure that case managers are keeping thorough and accurate case notes that reflect all that is being done on behalf of any given participant.
**Positive Practices:**
Positive Practices should contain a succinct description of the highlighted practice, as well as a brief explanation of the benefit to the customer or system. A tightly-worded Positive Practice will minimize the possibility of ETA’s language being inappropriately used or taken out of context by grantees for use in other forums.
Sample State Plan Text

The responsibility of ensuring the integrity of Federal funds and regular monitoring and oversight of grantee operations are some of the most important functions assumed by the State Agency. In order to comply with this responsibility, the State Agency will employ consistent, standardized performance reviews for the purpose of continuous improvement at all levels of the workforce system. Accountability will be the vehicle by which it realizes its goals.

The State Agency will conduct regular oversight and monitoring of its sub-recipients and contractors in order to:

- Determine if expenditures have been made against the cost categories and limitations specified in Workforce Investment Act.
- Determine whether or not there is compliance with other provisions of the Workforce Investment Act and other applicable laws and regulations.
- Provide technical assistance as necessary and appropriate.
- Provide an annual on-site monitoring review of local area compliance with Department of Labor uniform administrative requirements.
- Ensure that established policies related to provision of services in Workforce centers, eligible providers of training services, and eligible youth providers achieve program quality and outcomes that meet the Workforce Investment Act objectives.
- Determine if sub-recipients and contractors have demonstrated substantial Workforce Investment Act compliance.
- Ensure compliance with non-discrimination and equal opportunity requirements.
- Require prompt corrective action for any substantial violation of standards.
- Impose sanctions in the event of a sub-recipients failure to take required corrective action.
- Issue additional requirements and instructions as necessary.

Desk reviews performed quarterly to ensure implementation of corrective action and coordination of additional training and/or technical assistance.

- Subsequent follow-up reviews are conducted to ensure implementation of corrective action and coordination of additional training and/or technical assistance.
- Assistance with the inclusion of required partners.
- Guidance and assistance to local areas on the development and implementation of Workforce Investment Act and Workforce principles to achieve performance results for workers and businesses.
- Assistance with the inclusion of business (demand driven) activities and service integration.
- Technical assistance and corrective action for local areas with low performance.
- Provision of data and performance analysis to local areas and to state monitors on a regular basis.
- Technical assistance and guidance around the roles and responsibilities of state and local board staff in the administration of the Virtual Workforce System.
• Facilitate the inclusion of Employment Service Labor Exchange services in the local Workforce delivery system.

Oversight Monitoring Process

The State Agency will utilize several strategies in the oversight and monitoring process of the State’s Workforce system. Upon completion of the review, a report will be generated and distributed to Local Workforce Development Boards.

Quarterly Desk Review

Every three months, the State Agency will conduct a Quarterly Desk Review. The review will consist of:

• Quarterly fiscal, programmatic and performance monitoring of both Workforce Investment Act and Wagner-Peyser operations.
• Analysis of the programmatic and fiscal data.
• Review of expenditures and obligations to identify if the local area is on target.
• Review of the number of registrants, exiters, those in training, youth, and veterans receiving services.
• Review of whether the local area is meeting Workforce Investment Act performance measures.
• Retention rates for both Wagner-Peyser and Veterans programs.

Annual On-Site Monitoring

Once a year, the Department will conduct an on-site review. The review will consist of:

• Data validation to ensure that services and outcomes are properly documented. A sample of current participants will be pulled and eligibility and service information will be validated.
• In-depth review of staffing.
• In-depth review of customer flow.
• In-depth review of cost sharing.
• In-depth review of linkages.
• In-depth review of referrals.
• In-depth review of the level of involvement of Workforce partners.
• Service observation (to ensure services are universal, easy to access, that customer needing intensive services receive them in a timely manner and that staff are trained and knowledgeable).
• Review of a sample of vendors.
• Ensuring Equal Employment Opportunity Requirements are met.
• Review of participant data to ensure equitable services and outcomes.
• Review of the primary fiscal system and subsidiary system.
• Review of a random sample of invoices to ensure supporting documentation is present, costs are reasonable and allowable and payments are correct and timely.
• Review of internal controls to ensure adequacy including separation of duties and an adequate review and approval process.
- Review of obligation controls to ensure funds are being expended completely.
- Review of the grantee’s sub-recipient monitoring instrument to ensure appropriate fiscal and programmatic monitoring. A list of previous and current year monitored sub-recipients will be obtained.

Review of a sample of sub-recipient monitoring reports including those identifying issues and containing corrective actions.

### Sample State Monitoring Policy

**Text taken from the NEW MEXICO DEPARTMENT OF WORKFORCE SOLUTIONS OVERSIGHT, MONITORING, SANCTIONS, AND TECHNICAL ASSISTANCE POLICIES**
(Developed in partnership with DOLETA Regional Staff, July 2012)

**STATUTORY AUTHORITY**

**OBJECTIVE**
To provide the Department of Workforce Solutions (DWS)/State Administrative Entity’s monitoring provisions and respective responsibilities of the local boards, sub-recipients, and contract service providers.

**DEFINITIONS**

A. **Contract service provider.** An entity other than a vendor as defined in the OMB Circular A-133 engaged to provide goods, services, or both under a contract with a sub-recipient, or other provider of services pursuant to an executed contract funded with monies administered by the State Administrative Entity.

B. **Sub-recipient.** An entity other than a vendor as defined in the OMB Circular A-133 receiving funds through a direct contract with the State Administrative Entity. For example, New Mexico local boards are sub-recipients.

C. **Sanction.** Corrective action or penalty imposed by the State Administrative Entity on a local board or other sub-recipient for significant inability or failure to perform as required.

**COMPLIANCE WITH PROGRAM AND FISCAL MONITORING**
Sub-recipients and contract service providers shall comply with State program and fiscal monitoring activities including site visits, reviews of documentation and requests for information, and review all relevant records or a sample of the records as needed to determine subrecipient and contract service provider performance. Failure to comply with this rule will result in corrective action and possible sanctions pursuant to WIA Incentives, Sanctions, and Technical Assistance Policy.

**PROGRAM AND FISCAL MONITORING ACTIVITIES**
The State is required by WIA section 184(a)(4) to ensure the accountability of sub-recipients and contract service providers. Therefore, monitoring activities have been
developed to: ensure programs achieve intended results; ensure resources are efficiently and effectively used for authorized purposes and are protected from waste, fraud, and abuse; and ensure reliable and timely information is captured and reported to serve as the basis for improved decision-making and required reporting. Comprehensive monitoring activities include site visits, interviews, desk reviews, and analyses of both financial and program outcomes to help identify compliance violations and potential weaknesses before such activities result in substandard performance or questioned costs. Monitoring activities will assess a subrecipient’s or contract service provider’s compliance with applicable federal, state, and local laws, regulations, contract provisions/grant agreement, policies, and official directives. The State Administrative Entity will assess the subrecipient’s or contract service provider’s compliance with the appropriate uniform administrative requirements for grants and agreements applicable to the type of entity receiving funds, as promulgated in the circulars or rules of the office of management and budget (OMB). Monitoring reviews may result in findings that require immediate corrective action or recommendations that provide practical solutions.

A. Program monitoring activities. The State Administrative Entity will conduct annual onsite program monitoring activities to ensure compliance with federal, state, and local requirements and that programs achieve both intended and expected results. Processes and procedures used to determine subrecipient and contract service provider performance may include review and evaluation of one or more of the following.

1. Program results or outcomes.
2. Performance measures.
3. Reporting accuracy.
4. Record keeping and file maintenance.
5. Monitoring functions.
7. Service delivery.
8. Automated systems and reporting.
9. Human resources.

B. Fiscal monitoring activities. The State Administrative Entity will conduct annual onsite fiscal monitoring activities to ensure that grant funds and other assets are adequately safeguarded and that their use is in compliance with federal, state and local requirements. Processes and procedures used to determine subrecipient and contract service provider performance may include the review and evaluation of one or more of the following.

1. Accounting and reporting systems.
2. Budget methodologies.
3. Cash management practices.
5. Cash disbursement compliance and documentation.
6. Program income identification and reporting.
7. Insurance coverage and risk exposure.
8. Oversight and monitoring functions.
9. Payroll administration.
10. Purchasing and procurement processes and procedures.
11. Property accountability and safeguarding.
12. Internal controls.

STATE ADMINISTRATIVE ENTITY MONITORING REPORTS
Within 45 days of the exit conference that concludes the monitoring activity, the State Administrative Entity will issue a report summarizing the results, which will include findings, required actions, areas of concern, suggestions, and positive practices as applicable.

A. **Finding and required action.** Findings are identified issues, policies, or practices that are non-compliant with applicable federal, state, or local laws, regulations, contract provisions/grant agreement, policies, or official directives. Each finding will have a corresponding required action that identifies what the State Administrative Entity shall see as action taken or documentation provided in order for a finding to be resolved.

B. **Area of concern and suggestion.** Areas of concern are issues, policies or practices observed during the review that negatively impact the subrecipient or contract service provider’s ability to effectively manage the grant or provide services to participants. They may also be “red flags” or “risk areas” that, if not corrected, could lead to an area of non-compliance in future monitoring reviews. Each area of concern will have a corresponding suggestion for improving the issue or practice. New Mexico sub-recipients and contract service providers are encouraged, but not required, to implement the suggested action for improving the issue or practice.

C. **Positive practice.** Positive practices are sub-recipient or contract service provider’s practices or outcomes observed during the review that are sufficiently effective or innovative to warrant “highlighting” in the report and may be shared with other sub-recipients and contract service providers.

RESOLUTION ACTIVITIES
A. Within 45 days of the date of report issued by the State Administrative Entity, the sub-recipient or contract service provider shall provide a corrective action plan and supporting documentation to the State Administrative Entity regarding unresolved findings for review and evaluation. The corrective action plan shall identify actions the entity will take to correct the finding and the date by which the action will be completed. The subrecipient or contract service provider may be required to provide a monthly progress report to describe the progress the entity has made toward correcting the finding identified in the corrective action plan.

B. After the review and evaluation of the corrective action plan and supporting documentation, the State Administrative Entity will issue an initial determination identifying both allowed and questioned costs, if any, as well as addressing the acceptability of corrective actions taken or planned to resolve findings.

1. If questioned costs or findings are not resolved, the State Administrative Entity may require the sub-recipient or contract service provider, within 30
days of the date of the initial determination, to submit an additional response and provide additional evidence or documentation to justify the costs or administrative actions.

2. If questioned costs and findings remain unresolved after the timeline specified in the initial determination, a final determination will be issued identifying the allowed and questioned costs as well as the unresolved findings. If questioned costs remain, the final determination will establish a debt against the subrecipient or contract service provider for the questioned amount. If findings are not resolved and debts are not paid, the sub-recipient or contract service provider will be subject to corrective actions and sanctions pursuant to 11.2.20 NMAC, WIA Incentives, Sanctions, and Technical Assistance.

**APPEAL PROCESS**
All final determinations issued by the State Administrative Entity may be appealed pursuant to the process provided in 11.2.21 NMAC and 20 CFR Section 667.500.

**MONITORING AND ACCESS**

A. **Access to records.** The State Administrative Entity, or its authorized representatives, has the right of timely access to any books, documents, papers, computer records, emails, or other records of sub-recipients and contract service providers that are pertinent to the use of any funds administered by DWS, in order to conduct monitoring, audits, and examinations, and to make excerpts, transcripts, and photocopies of such documents.

B. **Access to Personnel.** The right of access also includes timely access to subrecipient and contract service provider personnel for the purpose of interview and discussion related to such documents.

C. **Record Retention.** The right of access is not limited to any required record retention period but will last as long as the records are retained. Except as otherwise provided, records shall be retained for three years from date of exit as outlined in 29 CFR Section 97.42. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise.

**EVALUATION OF LOCAL BOARD OVERSIGHT CAPACITY**
This section outlines the process and criteria used by the State Administrative Entity to evaluate local board capacity to oversee and manage local funds and the delivery of local workforce services.

A. According to 20 CFR Section 667.410, each recipient and sub-recipient shall conduct regular oversight and monitoring of its WIA activities and those of its sub-recipients and contractors in order to accomplish the following.

1. Determine expenditures have been made against the cost categories and within the cost limitations specified in the WIA and the regulations.
2. Determine whether there is compliance with other applicable federal, state, and local laws, regulations, contract provisions, grant agreement, policies, and official directives.

3. Provide technical assistance as necessary and appropriate.

B. The State Administrative Entity will use oversight methods outlined in this rule to evaluate each local board’s performance and compliance with applicable federal, state, and local laws, regulations, contract provisions/grant agreement, policies, official directives and local board plans. In particular, the State Administrative Entity will evaluate local board fulfillment of responsibilities relating to the following.

   1. Developing and maintaining, comprehensive fiscal management and programmatic systems.
   2. Hiring, training, and retaining qualified staff to carry out the local board’s oversight activities.
   3. Selecting and overseeing contract service providers to improve delivery of workforce services.
   4. Overseeing and improving operations of workforce connection centers in the local area.
   5. Managing contract service provider performance across multiple local board programs and achieving required performance standards.
   6. Identifying and resolving long-standing oversight problems of the local board and performance problems of contract service providers.

MONITORING CONDUCTED BY SUBRECIPIENT AND CONTRACT SERVICE PROVIDER

A. Oversight responsibility. Sub-recipients and contract service providers shall assure that regular oversight of their own activities and regular monitoring of the activities of their contract service providers which receive public funds is conducted, completed, and documented. Monitoring shall include monitoring of both the fiscal and program performance of the entities or contract service providers administering and delivering services. These monitoring activities should be designated to ensure compliance with federal, state, and local requirements and that programs achieve intended results and grant funds and other assets are adequately safeguarded. Monitoring activities shall be planned to ensure the most effective use of monitoring resources.

B. Minimum requirements. Monitoring activities shall assess a contract service provider’s compliance with applicable federal, state, or local laws, regulations, contract provisions/grant agreement, policies, and official directives. The sub-recipient shall assess the contract service provider’s compliance with the appropriate uniform administrative requirements for grants and agreements applicable to the type of entity receiving funds, as promulgated in the OMB circulars or rules. These activities shall encompass both financial and programmatic monitoring and shall be evaluated on no less than an annual basis at a minimum. Each sub-recipient and contract service provider shall conduct regular oversight and monitoring of its own sub-recipients and contractors in order to ensure the following.
1. Determine that expenditures have been charged to the cost categories and within the cost limitations specified in the applicable laws and regulations.
2. Determine whether or not there is compliance with other provisions of applicable laws and regulations.
3. Provide technical assistance as necessary and appropriate.

C. Monitoring Plan. Sub-recipients and contract service providers shall develop their own local-level monitoring plan. This monitoring plan shall incorporate the following.
   1. Schedule or timetable for monitoring WIA funded activities.
   2. Identification of the type of review planned, such as on-site review, comparative financial analysis, desk review, staff analysis, or other type of appropriate review.

D. Controls over Monitoring. To ensure comprehensive and effective monitoring, sub-recipients and contract service providers shall ensure the following.
   1. Require periodic reports from their contract service providers outlining monitoring reviews, noncompliance issues, and the status of corrective actions.
   2. Ensure that a briefing regarding monitoring activities and findings is provided to the local board or appropriate local board subcommittee at regularly scheduled meetings and that this briefing is documented.
   3. Perform an annual evaluation of the monitoring function to determine its effectiveness.
   4. Develop a written monitoring procedure to be used in monitoring both program and fiscal operations.

E. Reporting and resolution requirements. Sub-recipients and contract service providers shall ensure that monitoring reports identify instances of noncompliance with applicable federal, state, and local laws, regulations, contract provisions/grant agreement, policies, and official directives, and provide recommendations for corrective action and program quality enhancements. Sub-recipients and contract service providers shall ensure that timelines are established for the completion of corrective actions, based on the severity of the deficiency, and shall work with the contract service providers to ensure implementation of corrective actions. Timelines shall support prompt correction of any instances of non-compliance. Sub-recipients and contract service providers shall ensure that a copy of monitoring reports is made available to all local board members.

SANCTIONS
The State Administrative Entity may impose sanctions on a local board or other sub-recipient for significant inability or failure to perform as required, including performing or failing to perform due to a sanctionable act as described in this section. The purpose of imposing sanctions is to ensure accountability of local boards and other sub-recipients in meeting the needs of employers and job seekers; ensure performance in reaching outcome measures; ensure adequate returns on New Mexico investments; and support New Mexico in achieving its goals. To accomplish the purposes of this section, the State Administrative
Entity may require at any point during the year that a local board or WIA sub-recipient to cooperate with remedial actions, including, but not limited to, entering into a performance improvement plan, additional performance reviews or technical assistance activities.

A. **Sanctionable acts.** The State Administrative Entity may place a local board or WIA sub-recipient in sanction status or assess a corrective action or penalty for failure to ensure at any time during the program year compliance with one or more contracted performance measures; contract provisions; or federal or New Mexico statutes, regulations, guidances, directives, or circulars. The State Administrative Entity may assess penalties for sanctionable acts listed in subsection D related to corrective actions and penalties. Notwithstanding the list of sanctionable acts appearing after each specific level of sanction, the State Administrative Entity may assign a higher or lower level of sanction status based on the severity or mitigating circumstances surrounding the sanctionable acts.

B. **Intent to sanction.** An intent to sanction letter may be issued by the State Administrative Entity. The purpose of the intent to sanction letter is to describe technical assistance available and a specific timeline for the implementation by a local board or sub-recipient and to provide an opportunity to cure the sanctionable acts. An intent to sanction letter will not be required prior to the State Administrative Entity placing a local board in sanction status or assessing a penalty. There will be no appeal to an intent to sanction letter; however local boards and other sub-recipients may appeal a sanction determination as described in section G below.

C. **Sanction status.** There are three levels of sanction status that may be assigned by the State Administrative Entity to a local board or other sub-recipient.

1. **Level one sanction status.** A level one sanction status is assigned for significant inability or failure to perform as required by the State Administrative Entity, including performing or failing to perform due to a sanctionable act as described below. A level one sanction status may be associated with the assessment of one or more penalties as referenced in the corrective actions and penalties section. Sanctionable acts that occur during or after the program, grant, fiscal, contract, or calendar year, include but are not limited to the following.
   i. Failure to submit timely and accurate required financial or performance reports.
   ii. Failure to take corrective action to resolve findings identified during monitoring, investigative or program reviews, including failing to comply with a performance improvement plan.
   iii. Failure to resolve all independent audit findings or questioned costs within required time frames.
   iv. Failure to submit the annual audit required by OMB Circular A-133, as may be amended.
   v. Breach of administrative and service contract requirements.
   vi. Failure to retain required service delivery and financial records.
vii. Failure to meet one or more local negotiated performance levels in a single program year based on annual performance outcomes.

2. **Level two sanction status.** A level two sanction status is a higher sanction status than level one assigned for severe inability or failure to perform as required by the State Administrative Entity, including performing or failing to perform due to a sanctionable act as described below. A level two sanction may be associated with the assessment of more severe penalties than those assessed to a local board or sub-recipient in level one sanction status. Sanctionable acts that occur during or after the program, grant, fiscal, contract, or calendar year include but are not limited to the following.
   i. Failure to resolve or implement corrective action on a level one sanction within 180 days of notice.
   ii. Committing the same violation a second time within an 18 month period.
   iii. Failure to meet negotiated performance levels for the same performance measure(s) for two consecutive program years.

3. **Level three sanction status.** This is the highest sanction status assigned for extreme inability or failure to perform as required by the State Administrative Entity, including performing or failing to perform due to a sanctionable act as described below. A level three sanction may be associated with the assessment of the most severe penalties being assessed against the local board or sub-recipient. Sanctionable acts that occur during the program, grant, fiscal, contract, or calendar year include but are not limited to the following.
   i. Failure to resolve or implement corrective action on a level one sanction within 360 days of notice.
   ii. Failure to resolve or implement corrective action on a level two sanction within 180 days of notice.
   iii. Committing the same violation three or more times within a 36 month period.

4. Notwithstanding subsections (1), (2) and (3) of this section, the State Administrative Entity may use the criteria set forth in section A of this title regarding sanctionable acts to determine the appropriate level of sanction.

D. **Corrective actions and penalties.** Corrective actions and penalties may be assessed based on the following criteria as determined appropriate by the State Administrative Entity. The totality of the circumstances surrounding the occurrence of the sanctionable act or acts including severity, nature, duration, and extent including previous occurrences of sanctionable acts may also be considered. Additionally, efforts by the local board or sub-recipient to prevent the occurrence of the sanctionable act, including efforts to obtain technical assistance, training, or other assistance from the State or another entity, resolved monitoring findings, and efforts to prevent potential sanctionable acts may be considered. To assist the local board or sub-recipient in correcting any deficiencies, the State Administrative Entity may assess for each occurrence of a sanctionable act one or more of the following corrective actions or penalties.
   1. Participation in technical and quality assurance activities.
2. Mandatory participation in training.
3. On-site visits by the State Administrative Entity or its designee to monitor and assist with daily operations of a local board, local board’s contractor, or sub-recipient.
4. State administrative entity-developed and local board-implemented corrective action plan to address the weaknesses identified.
5. Timely implementation of the corrective action plan.
6. Submission of additional or more detailed financial or performance reports.
7. Designation as a high-risk local board or sub-recipient requiring additional monitoring visits.
8. Appearances by the local board’s executive director, other administrative officer or the sub-recipient to report on activities and progress in state board meetings until performance is satisfactory.
9. State administrative entity meetings with the local area’s chief elected officials, local board chair, local board members, local board’s executive director, or the sub-recipient.
10. State administrative entity or its designee oversight and management of problem situations, such as the appointment of a steward.
11. State administrative entity approval of specified actions (i.e., prohibition against entering into specific contracts or engaging in certain activities without explicit prior approval of the State Administrative Entity).
12. Prohibiting the use of designated service providers, including state agencies and New Mexico workforce system operators.
13. Payment by reimbursement only, with required supporting documentation.
15. Issuing a notice of intent to cease immediately reimbursement of local program costs.
16. Ineligibility for additional discretionary or other funds.
17. Contract cancellation or termination.
18. Other actions deemed appropriate by the State Administrative Entity to assist the local board or sub-recipient in correcting deficiencies. More than one penalty may be assessed in response to one occurrence of a sanctionable act. The number and severity of penalties assessed for one or more occurrences of sanctionable acts may correlate with the sanction status level assigned to a local board or sub-recipient. If a local board or sub-recipient is already in sanction status when another sanctionable act occurs or is discovered, the State Administrative Entity may assign a higher level of sanction.

E. Corrective actions and penalties specific to WIA performance measures.

1. **Penalties for first-year nonperformance.** If a local board fails to meet one or more local negotiated performance levels in a single program year based on annual performance outcomes, the local board shall develop a performance improvement plan within 45 days of the final performance outcome reported in the New Mexico annual report. The State Administrative Entity may also require the local board to modify its local plan or take other action designed to improve the local board’s performance.
2. **Penalties for second-year nonperformance.** If a local board fails to meet one or more local negotiated performance levels for the same performance measure(s) for a second consecutive program year, the State Administrative Entity will review the performance deficiencies and may make a recommendation to the governor to impose a reorganization plan for the local area. The State Administrative Entity recommendation to the governor for reorganization of a local area may include one or more of the following penalties be imposed: requiring modification of the local board’s local plan; issuing a notice of intent to revoke all or part of the affected local plan; restructuring the local board, including decertification of the current local board and a plan for appointment and certification of a new local board; or merging the local area into one or more other local areas.

3. **Local board performance improvement plan.** The local board performance improvement plan for addressing the failure to meet performance shall include, at a minimum, the following.
   
   i. List of the performance measure(s) for which the local board failed to achieve at least 80% of the negotiated performance level.
   
   ii. Detailed analysis and explanation of why the local board failed to achieve at least 80% of the negotiated level.
   
   iii. Description of the corrective actions to be taken and the timeline for such actions to address performance deficiencies in subsequent program years.
   
   iv. Identification of the technical assistance needed to support successful performance, including the source and type of assistance.
   
   v. Local board monitoring plan of its subrecipient(s) with timelines for evaluating effectiveness of corrective action plan.
   
   vi. The local board performance improvement plan shall be submitted to the State Administrative Entity within 45 days of the final performance outcome reported in the New Mexico annual report and shall be fully implemented by the end of the current program year (June 30). The performance improvement plan may be modified by the State Administrative Entity in conjunction with the local board as deemed appropriate by State Administrative Entity.

F. **Sanction determination.**

   1. The State Administrative Entity determines whether a sanction will be assessed, including whether it is appropriate to place the local board or subrecipient in a sanction status level and whether it is appropriate to assign a penalty.
   
   2. For local boards, the State Administrative Entity will send a written notice of sanction determination to the local board’s executive director or administrative officer and the local board’s chair. For other sub-recipients, the State Administrative Entity will send a written notice of sanction determination to its executive director.
   
   3. The sanction determination date of notice will be the date the sanction determination is sent to the local board or sub-recipient’s executive director by certified mail. All notices of sanctions will be sent by certified mail, return receipt requested.
4. The sanction determination will include the sanctionable act upon which the sanction was based; the sanction status level in which the local board or sub-recipient is placed and the conditions upon which the local board or sub-recipient may be removed from sanction status; the penalty and the effective date of the penalty; the corrective action required, including the timeline for completing the corrective action; and the technical assistance requested from the State Administrative Entity or other entity to assist in completing the corrective action.

5. The State Administrative Entity will send the sanction determination at least ten working days in advance of the effective date of the sanction.

G. Appeal. A local board or sub-recipient may appeal a sanction determination by filing a request for appeal of a sanction determination within 10 working days following the receipt of the sanction determination by the local board administrative entity. The appeal shall be in writing and filed in accordance with the Grievance and Complaint Resolution Procedures.

H. Finality of decision. The decision of the DWS cabinet secretary is the final administrative decision unless within 30 days DWS assumes continuing jurisdiction to modify or correct the decision.

TECHNICAL ASSISTANCE
Technical assistance is vital in addressing performance and encouraging an environment of continuous improvement. The State Administrative Entity will assist the local board or sub-recipient with identification of technical assistance resources upon request. Subject to the availability of funds, local boards or sub-recipients may apply to the State Administrative Entity for funds to support technical assistance initiatives. Such funds will not be provided for administrative costs, staff salaries or benefits, out-of-state travel, meals or refreshments, capital equipment purchases, including computers or other equipment. Local boards or sub-recipients may not receive more funding for technical assistance than it would have been eligible to receive for performance incentive awards for the program year. Technical assistance may include, but is not limited to, training or support on the following:

A. Improving assessment processes and methodology.
B. Performance management and associated record-keeping.
C. Case management.
D. Monitoring of services and providers.
E. Use of management information system.
F. Follow-up services.
G. Linkages with business, Required Workforce System Partners and stakeholders.
H. Restructuring of staff.
I. Staff development.
Sample Local Monitoring Policy

DELTA WORKFORCE INVESTMENT AREA
OVERSIGHT AND MONITORING POLICY

I. Scope and Purpose
   This policy sets forth requirements for oversight and monitoring of all entities in the Delta Workforce Investment Area (DWIA) receiving Workforce Investment Act (WIA) funds. This policy will govern oversight and monitoring of all subgrantees of the DWIA.

II. State Requirements
   a. State Oversight and Monitoring
      The Office of Grant Management (OGM) of the Mississippi Department of Employment Security (MDES) is responsible for monitoring all Local Workforce Investment Areas, Subgrantees and Contractors. On-site reviews will be conducted pursuant to established standard operating procedures to ensure compliance with the Act, Federal Regulations, State laws, contractual agreements, state policies, OMB Circulars, Cost Principles, and also, when applicable, Federal Acquisition Regulations (FAR).

   b. Local Oversight and Monitoring
      WIA Section 117(d)(4) requires the local board, in partnership with the chief elected officials, shall conduct oversight with respect to local programs of youth activities authorized under section 129, local employment and training activities authorized under section 134, and the one-stop delivery system in the local area.

      WIA Section 185(c)(3) and 20 CFR part 667.410(a)(1-3) further requires each recipient and subrecipient of funds under WIA Title I must conduct regular oversight and monitoring of its WIA activities and those of its subrecipients and contractors in order to:
      - Determine that expenditures have been made against the cost categories and within the cost limitations specified in the Act and Federal Regulations;
      - Determine whether or not there is compliance with uniform administrative requirements as applicable and other provisions of the Act and Federal Regulations and State law, policy and guidelines and other applicable laws and regulations; and
      - Provide technical assistance as necessary and appropriate.

   i. Scope
      The following systems or areas of Subgrantee/Contractor operations are included within the scope of the on-site monitoring reviews, as appropriate:
- Program goals and objectives,
- Program quality,
- Procurement,
- Fiscal accountability,
- Labor standards,
- Audit/audit resolution,
- An examination of actual expenditures against the cost categories and cost limitations,
- Grievance procedures,
- Equal opportunity,
- Provisions of the Americans with Disabilities Act,
- Assessment,
- Eligibility verification as applicable,
- Property management,
- Internal monitoring,
- Administrative procedures,
- Program performance (actual versus planned),
- Programmatic areas such as individual training accounts (ITAs), on-the-job training (OJT), basic skills training, or other customized training activities, and
- Program accountability.

ii. Frequency
To ensure compliance with the Act, Federal Regulations, State law, contractual agreements and state policies, the DWIA shall ensure a review of each contract during the program year or during the subgrant period if the duration of the contract is less than one year. Periodic desk reviews may also be conducted.

c. Local Monitoring Procedures
i. Monitoring Schedule
The monitoring schedule will be set at the beginning of the second quarter and reviewed and updated as required on a quarterly basis. The monitoring schedule is to list at a minimum: subcontractors names and addresses, contract numbers and terms of contracts, planned date(s) of review and the name(s) of the individual(s) who will perform the review.

ii. Review Notification
The DWIA will make every effort to provide advance notification to each of its subgrantees prior to the on-site review (preferably two weeks), except when unannounced visits are conducted.

iii. Monitoring Questionnaire
The DWIA monitoring questionnaire will be completed for the on-site visit. Procedures in the policy will include performance reviews to
ensure that pertinent data will be collected and analyzed for all program activities including but not limited to:

- Administrative
- Fiscal
- General Compliance
- Programmatic

iv. On-site Review Process
An on-site review is conducted consisting of:
- An entry conference to brief agency officials on the scope of the review and to make appropriate arrangements;
- A review of administrative, fiscal and/or programmatic systems and transactions;
- Performance of testwork, based on a review and examination of WIA records and/or interviews, to determine if adequate internal controls and procedures are in place; and
- An exit conference to appraise agency officials of probable findings.

v. Documentation of Findings
After each review, all findings will be documented in writing and will include a description of the specific violation of Federal or State laws, policies, regulations and/or contractual provisions. The detailed monitoring instrument will include space for noting findings and specifying the law, policy, regulation, or contractual provision resulting in the finding.

vi. Working Paper File
A working paper file will be maintained for each on-site review. The working paper files will, in an organized manner, contain documentation of tests performed and all findings in the report and other documentation as deemed appropriate to substantiate that monitoring has occurred. Organization of the file may be by systems reviewed or actual testwork performed or any other method deemed appropriate by the DWIA. The working paper file will include certification of the individual performing the testwork and evidence of supervisory review of the working papers.

vii. Monitoring Report
After each review, a written report will be prepared detailing any significant findings and recommending the appropriate corrective action or to indicate that there are no findings within three weeks of completion of the review. The report will be transmitted to the entity reviewed and appropriate corrective action will be requested. The following elements will be included in the written report:
- A face page to be signed by all monitors who participated in the review and the signature of supervisory level staff;
- The dates of the review and areas covered during the review;
- A sequential listing of findings and recommendations if applicable. Where findings are noted, each finding shall consist of an objective narrative description of a violation of Federal or State laws, policies, regulations, and/or contractual provisions; and
- Each finding is to be followed by a recommendation which sets forth the most appropriate action to correct the deficiency or violation noted in the finding.

viii. Corrective Action
Each report of findings and recommendations will be forwarded to the subgrantee within 21 days from the date of the report. The subgrantee will be requested to identify specific corrective action measures implemented or planned by the subgrantee for each finding and recommendation.

Upon receipt of the entity’s corrective action plan, the monitor will review the response and comment on the acceptability of the proposed corrective action. If the corrective action plan is deemed acceptable, the file is closed. If the corrective action plan or any part thereof is unacceptable, additional corrective action is requested. The file will remain open until all corrective actions have been accepted.

ix. Acceptance/Non-Acceptance of Corrective Action
Notice of acceptance or non-acceptance of the proposed corrective action plan will be forwarded within 30 working days of receipt of the plan. If the proposed plan is not accepted, the DWIA may require submission of a subsequent plan to be received within 10 days from the date of the notice. If the subsequent plan is deemed unacceptable, the DWIA may again request submission of a new plan within a specified timeframe or take other action in accordance with the Law, Federal Regulations, and administrative requirement as deemed appropriate relevant to the circumstances.

x. Follow-Up Monitoring and Verification of Corrective Action
Based on the corrective action plan submitted, the DWIA may institute a follow-up monitoring visit. If a follow-up visit is appropriate, the review will be designed to determine if the corrective action measures taken were adequate to resolve the noted deficiencies.

xi. Permanent Monitoring Files
Permanent and official monitoring files will be maintained by the DWIA. A separate file will be maintained for each on-site visit. At a minimum, the files will contain the following records:
• The letter announcing the monitoring visit, when appropriate.  
  NOTE: In some instances it may be more practical to use telephone or email contact to schedule the monitoring visit with a letter to follow.  
• Completed pre-onsite planning document;  
• Signed monitoring report;  
• Completed monitoring questionnaire;  
• Letter transmitting report to subgrantee, and if applicable, requesting a corrective action response from the subgrantee;  
• Response(s) from subgrantee, when appropriate;  
• Letter(s) to subgrantee accepting/rejecting corrective action; and  
• Working paper file to include actual testwork performed and documentation to support findings.  

An official monitoring file checklist will be developed to help ensure the maintenance of appropriate contents in the permanent monitoring file.  

III. Desk Monitoring  
There may be times when the one-stop operator enters into an OJT contract or ITA agreement with a subgrantee where only a small number of participants (5 or less) are employed or enrolled in a training class. In such instances, it may not be practical or cost effective to conduct an on-site monitoring visit. Therefore, desk monitoring may be used on a limited basis for those contracts and training programs only. Following are the criteria that must be met for a desk monitoring to occur:  
  a. ITA training providers or OJT contracts with 5 or less participants;  
  b. The total cost for the contract or total cost of training is no more than $25,000; and,  
  c. Adequate documentation is obtained and maintained in permanent monitoring files to be documented.  
    • Eligibility,  
    • Time and/or attendance,  
    • Progress reports—to ensure student has not dropped out of school,  
    • Completion of training/credit hours earned/passed,  
    • License or certificate,  
    • Participant medical and accident insurance,  
    • Placement and wage information, were applicable,  
    • Financial records—invoices for payments, amount of pell grant funds where applicable. Perform a cursory review and substantive tests such as re-perform calculations on all invoices or a significant sample. Look for completeness and accuracy of information, proper authorization and supporting documentation.  
  d. There are no known problems with the subgrantee's operations that would warrant an on-site visit; and
e. The DWIA has determined and documented the determination that desk monitoring is the most practical means of monitoring the subgrantee.

In all cases, desk monitoring is to be the exception and not the rule.

**Sample Language Scheduling an Onsite Review**

Dear _____:

On __day, _____, 20__, at __:00 a.m. and __day, _____, 20__, the South Delta Planning and Development District plans to monitor the __________’s DWIA ______ Program Contract #09-__-___. Fiscal, administrative, general compliance and programmatic activities will be reviewed. It is requested that the appropriate personnel be available on these dates for the review.

Your agency will be advised of any findings at the exit conference. The review should be completed by the close of business on __day, _____, 20__.

If there are any questions or additional information is needed, please feel free to contact me at 662-335-6889.
# Example Agenda for Onsite Review

<table>
<thead>
<tr>
<th>Time</th>
<th>Activity</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Monday</strong></td>
<td></td>
</tr>
<tr>
<td>8:00am</td>
<td>Monitoring Review Team Meet</td>
</tr>
<tr>
<td>9:00am</td>
<td>Entrance Meeting</td>
</tr>
<tr>
<td></td>
<td>▪ Review Scope Overview</td>
</tr>
<tr>
<td></td>
<td>▪ Request additional docs</td>
</tr>
<tr>
<td>10:30am</td>
<td>Overview of Participant Files</td>
</tr>
<tr>
<td></td>
<td>staff give and overview of how the files are organized and where we can</td>
</tr>
<tr>
<td></td>
<td>expect to find things</td>
</tr>
<tr>
<td>1:00pm</td>
<td>Administrative Review</td>
</tr>
<tr>
<td></td>
<td>▪ Time to ask questions of staff which were compiled after review</td>
</tr>
<tr>
<td></td>
<td>documents.</td>
</tr>
<tr>
<td></td>
<td>▪ Interview Staff</td>
</tr>
<tr>
<td></td>
<td>▪ Local Plan – Concerns and questions</td>
</tr>
<tr>
<td>5:30pm</td>
<td>Debrief (Discuss concerns/findings of that day, and plan for next day)</td>
</tr>
<tr>
<td><strong>Tuesday</strong></td>
<td></td>
</tr>
<tr>
<td>8:00am</td>
<td>Service Delivery Review</td>
</tr>
<tr>
<td>10:00am</td>
<td>Tour the Center</td>
</tr>
<tr>
<td></td>
<td>▪ Make notes, match up to scope of work in local plan, make note of</td>
</tr>
<tr>
<td></td>
<td>“best practices”</td>
</tr>
<tr>
<td>5:30pm</td>
<td>File Review</td>
</tr>
<tr>
<td></td>
<td>Debrief</td>
</tr>
<tr>
<td><strong>Wednesday</strong></td>
<td></td>
</tr>
<tr>
<td></td>
<td>File Review</td>
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<tr>
<td></td>
<td>OJT Site Visit</td>
</tr>
<tr>
<td></td>
<td>Debrief</td>
</tr>
<tr>
<td><strong>Thursday</strong></td>
<td></td>
</tr>
<tr>
<td>8:00am</td>
<td>Monitoring Review Team Meet</td>
</tr>
<tr>
<td></td>
<td>▪ Finalize Exit Briefing</td>
</tr>
<tr>
<td>10:00am</td>
<td>Exit Meeting</td>
</tr>
</tbody>
</table>
## Adult File Review Form

<table>
<thead>
<tr>
<th>Participant Name:</th>
<th>Monitor:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Service Provider/Location:</td>
<td></td>
</tr>
</tbody>
</table>

| Participant ID: | |
|-----------------| |

### Eligibility

- Age
- SS Number
- Selective Service
- Citizenship/Alien Reg.
- Local Priority of Service?

### Core Services

- Initial Assessment
- Partner Referral
- Job Search

### Intensive Services

- Individual Employment Plan
- Comprehensive Assessment
- Services Received
- Job Search
- Short Term/Pre Voc Training
- Need Documented

### Training

- Pell Grant/Other
- Linked to Labor Market
- Skills Necessary For Training
- ETPL
- Type of Training

### Supportive Services

- Case Management

### Last Service Received

- Follow-Up

### Comments

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# Dislocated Worker File Review Form

<table>
<thead>
<tr>
<th>Participant Name:</th>
<th>Monitor:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Participant ID:</td>
<td>Service Provider/</td>
</tr>
<tr>
<td></td>
<td>Location:</td>
</tr>
</tbody>
</table>

## Eligibility

- Age
- SS Number
- Selective Service
- Citizenship/Alien Reg.

**Dislocated Worker**

- Terminated/Perm. Layoff +UI Eligibility
- Closure/Mass Layoff
- Self Employed
- Displaced Homemaker
- Trade Eligibility

## Core Services

- Initial Assessment
- Partner Referral
- Job Search

## Intensive Services

- Individual Employment Plan
- Comprehensive Assessment
- Services Received
- Job Search
- Short Term/Pre Voc Training
- Need Documented

## Training

- Pell Grant/Other
- Linked to Labor Market
- Skills Necessary For Training
- ETPL
- Type of Training

## Supportive Services

- Case Management

## Last Service Received

- Follow-Up
Adult and DW Participant File Review Instructions

Below are some guidelines to be used with Review Chart.

**Adult Eligibility**
- Is the participant 18 years of age or older (Sec 101(1))?  
- Is the participant a "low-income individual," as defined by Sec 101 (25)? If not, does the enrollment meet the local requirements for "priority of service" per 663.600 and Sec 134 (d)(4)(E)? (Applicable when the State or Local Board determines that Adult funds are limited.) Criteria:
  - What documentation demonstrates low-income status? (Applicable when the State or Local Board determines that Adult funds are limited.)  
  - If the participant is not low-income, does the enrollment meet the local requirements for "priority of service"?  
  - If yes, based on what criteria? (Applicable when the State or Local Board determines that Adult funds are limited.)

**Dislocated Worker Eligibility**
- Does the participant qualify as a Dislocated Worker (Sec 101(9))? Criteria:
  - Category A: Permanent Layoff/Termination + UI Eligible/Attachment to Workforce + Unlikely to Return  
  - Category B: Permanent Closure/Substantial Layoff  
  - Category C: Self-Employed  
  - Category D: Displaced Homemaker  
- What documentation demonstrates Dislocated Worker status?

**Other Documentation**
- U.S. citizen or a non-citizen authorization to work in the U.S.  
- Selective Service: For males born in the U.S. on or after January 1, 1960, does the file show Selective Service registration?  
  - What documentation is used? Grievance Form? Release of Information Form?

**Core Services**
- Core services received (before registration) (Sec 134(d)(2)).  
- Core Services received (after registration):  
- Referrals to other programs or agencies, and any concurrent enrollments:

**Intensive Services - General**
- Comprehensive Assessment (Interview notes, test results, education, work experience...)
• Intensive services received, and any planned future services (Sec 134(d)(3)
• Documentation of the need for intensive services in the case file:
  o Unemployed and unable to obtain employment through core services.
  o Determined by One-Stop operator to be in need of more intensive services in
    order to obtain employment.
  o Employed, but determined by One-Stop operator to be in need of intensive
    services to obtain or retain employment for self-sufficiency.
• Has the participant received any short-term, pre-vocational training listed as an
  intensive service?
  o If so, note the purpose and duration of this training (Sec 134 (d)(3)(C)(vi).
• Does it qualify as an "intensive service" under the State or Local Board’s policy?

Intensive Services - Individual Employment Plan (IEP)
• Does the file contain an IEP?
• What is the participant’s goal?
• Are other long-term goals or objections in the plan?
• Does the IEP provide for the necessary mix of services to promote self-sufficiency
  and to help the participant meet the stated employment goal?

Intensive Services – Job Search
• What job search and placement assistance services did the individual receive’? (May
  not be applicable for those currently employed or enrolled in training.)
• Has the participant received adequate services to conduct an effective job search?

Training Services (Classroom Training)
• Does participant’s progression from Intensive to Training appear to be in accord
  with applicable State or local policy?
  o List the program, vendor, estimated cost, and planned duration of the
    training.
  o Is the cost and duration in accord with governing State or local policies?
• Is the training vendor on the eligible training provider list (ETPL)?
• Was the training provided through an Individual Training Account (ITA)?
  o How is approval obtained?
  o If not, is the ITA exception allowable, either through a Local Board
    determination of an insufficient number of training providers, or through a
    determination that the program is of "demonstrated effectiveness" in serving
    populations with multiple barriers to employment?
• Does the participant appear to have the skills and qualifications necessary to
  successfully participate in the selected program of training services?
• On the Job Training (OJT): See attachment for OJT participant questions.
• Is the program of training services directly linked to employment opportunities in
  the local area, or in another area to which the participant is willing to relocate?
• How was the direct link to employment opportunities determined and documented?
• Was the participant unable to secure other grant assistance sufficient to pay for the
  training?
• Did the participant apply for a Pell Grant?
  o In the event of a Pell award, what portion of the grant was allocated for direct
training costs, and what portion (if any) was allocated for education-related expenses?
  o Documentation of attendance, performance (grades, certification, degree/license)

Supportive Services
  ▪ Is the need for supportive services documented through a financial needs analysis?
    o If not, list the supportive services received or planned, their duration, and estimated costs.
  ▪ Is the provision of supportive services-including eligibility and payment amounts-in accord with governing State or local policies? (Pay particular attention to cash payments or reimbursements issued directly to participants, such as needs-related payments, travel reimbursements, childcare reimbursements, etc.)
    o If in training and receiving support services, is there documentation re: attendance?

Follow-up services
  ▪ If the program placed the participant into unsubsidized employment, were follow-up services made available? List any follow-up services received (or planned).

Case Management
  ▪ Is there regular contact between the case manager and the participant? (The service provider may define its own criteria for "regular contact," but at a minimum, this should occur at least once every three months.)
  ▪ Do case notes adequately track participants' progress?
  ▪ Does it appear there has been a lapse of services for longer than 90 days, indicating a "soft exit" should have occurred?
# Youth File Review Form

<table>
<thead>
<tr>
<th>ELEMENT</th>
<th>OK</th>
<th>NOTES</th>
</tr>
</thead>
<tbody>
<tr>
<td>Citizenship/Eligible to Work</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Selective Service</td>
<td></td>
<td></td>
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<tr>
<td>Social Security #</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Age</td>
<td></td>
<td></td>
</tr>
<tr>
<td>__ In School</td>
<td></td>
<td></td>
</tr>
<tr>
<td>__ Out of School</td>
<td></td>
<td></td>
</tr>
<tr>
<td>LOW INCOME:</td>
<td></td>
<td></td>
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<tr>
<td>__ Cash Public Assistance</td>
<td></td>
<td></td>
</tr>
<tr>
<td>__ Family size and income</td>
<td></td>
<td></td>
</tr>
<tr>
<td>__ Food Stamps</td>
<td></td>
<td></td>
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<tr>
<td>__ Homeless</td>
<td></td>
<td></td>
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<tr>
<td>__ Foster Child</td>
<td></td>
<td></td>
</tr>
<tr>
<td>__ Disability</td>
<td></td>
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</tr>
</tbody>
</table>

| BARRIER:                               |    |       |
| __ Deficient in Basic Literacy Skills  |    |       |
| __ School Dropout                      |    |       |
| __ Homeless, Runaway, Foster Child     |    |       |
| __ Pregnant or Parenting               |    |       |
| __ Offender                            |    |       |
| __ Requires additional assistance to complete education, etc. | | |

| 5% EXCEPTIONS:                         |    |       |
| __ Not low income & (check one or more): | | |
| __ School dropout                      |    |       |
| __ Basic Skills Deficient              |    |       |
| __ Education Attainment Below appropriate grade level | | |
| __ Pregnant or Parenting               |    |       |
| __ Disabled                            |    |       |
| __ Homeless or Runaway                 |    |       |
| __ Offender                            |    |       |
| __ Serious barrier to employment (locally defined) | | |

Signed Application (date): 

Complaint procedures/EEO: 

Release of Information form: 

Initial assessment/test results: 

Basic skills test results: 

In-depth assessment/test results: 

Individual Service Strategy: 

Youth Goals: 

Training/OJT/Work Experience Agreements: 

Non-WIA Funding Unavailable for Training: 

I-9 for Work Experience: 

Payment requests/invoices: 

Attendance/grades for school/training/WE: 

Credentials/Certificates: 

Services Documented (including follow-up): 

Use of Eligible Service Providers Documented: 

Log Notes/Regular Contact Documented: 

Exit Data/Employment Verification: 

Follow-Up – 12 Months (ISS/log notes): 

<table>
<thead>
<tr>
<th>Participant Name:</th>
<th>Monitor:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Participant ID:</td>
<td>Service Provider/Location:</td>
</tr>
</tbody>
</table>

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Appendix
Sample State Eligibility Policy

Text taken from the NEW MEXICO DEPARTMENT OF WORKFORCE SOLUTIONS
ELIGIBILITY POLICY
(Developed in partnership with DOLETA Regional Staff, July 2012)

ADULT ELIGIBILITY

Following is the eligibility criteria for the WIA Adult Program, a Glossary of relevant terms, and checklist of allowable forms of eligibility documentation. Additionally, a Document Inspection Form may not be used to document age. Documentation verifying the eligibility of participants in WIA is mandatory. Eligibility determination must be made prior to enrollment in WIA and must include an initial determination of need for services to insure that employment and training opportunities are being provided to those who can benefit from and are in need of such opportunities to obtain or retain employment. WIA is not an entitlement program and eligibility alone does not entitle an individual to receive services.

Veterans and eligible spouses covered by Public Law 107-288, who otherwise meet the eligibility requirements for enrollment and for whom WIA services are deemed appropriate, are to be given priority over non-veterans for the receipt of employment, training, and placement services provided under the WIA program.

If a Local Board has invoked a local priority of service per Local Board policy for the WIA Adult Program, Veterans priority of service for enrollment should be implemented in the following order:

1. Veterans, and other non-veterans eligible for Veteran’s Preference, who are eligible for the program and meet Adult priority of service requirements
2. Non-veterans who are eligible for the program and meet Adult priority of service requirements
3. Veterans, and other non-veterans eligible for Veteran’s Preference, who are eligible for the program, but do NOT meet Adult priority of service requirements
4. Non-veterans who are eligible for the program, but do NOT meet Adult priority of service requirements

WIA ADULT ELIGIBILITY CRITERIA

Each of the following eligibility elements must be documented for each participant prior to the receipt of a staff-assisted core service with significant staff involvement or an intensive level service. Local boards must obtain required documentation for each eligibility data element as outlined in the comprehensive checklist of allowable forms of eligibility documentation contained in this attachment. Photocopies of documentation kept on file, or scanned documents stored in electronic document management systems, must be legible.

A. **Right to Work** – Participation shall be open to citizens and nationals of the United States, lawfully admitted permanent resident aliens, refugees, asylees, and parolees, and other immigrants authorized by the Attorney General to work in the United States as required in WIA section 188(a)(5). If the participant does not possess one of the forms of identification listed and does not provide the requested information, application to the program must be denied. (Exception: Per TEGL 19-01, Change 1, Victims of Trafficking and Violence Protection Act of 2000; Trafficking Victims Protection Reauthorization Acts of 2003 and 2005; and the Role of the Workforce Investment System in the Delivery of Services for Victims of Trafficking, operators may not deny WIA-funded services to victims of severe forms of human trafficking based on their immigration status. See TEGL 19-01, Change 1 for further information.)

B. **Selective Service/Military Status** – All participants must be in compliance with the Selective Service Act requirements as required by WIA section 189(h). See the Selective Service section of this STAG.
C. **Age** at application must be 18 or older.

D. Unemployed or employed and **in need of services in order to obtain or retain employment.**

**ELIGIBILITY OF EMPLOYED WORKERS**

1. An employed worker is an individual currently working who has been determined to be in need of services in order to obtain or retain employment that leads to self-sufficiency, in accordance with the locally established definition of that term. See WIA Section 134(d)(3)(A)(ii), 20 CFR 663.230, and preamble to the WIA regulations at Federal Register, Vol. 65, No. 156, 49294, pages 49322 – 49323.

2. Dislocated workers who have become re-employed in “income maintenance” jobs (a job with a lower rate of pay than the job of dislocation) may also be served as long as the wage earned does not exceed the local criteria for self-sufficiency.

3. Staff is required to complete a WIA application and verify that the worker meets all program eligibility criteria including right to work, selective service, and age. An employed worker must receive at least one core service and one intensive service before training is provided.

4. Employed workers must be given the same customer choice options as other WIA participants (except for eligible employed workers who are enrolled in customized training with their employers).

5. Training must be provided in compliance with the Eligible Training Provider List and Individual Training Account (ITA) requirements unless it is customized training or On-the-Job Training.

6. WIA employed worker services primarily are provided for the benefit of the employed worker but it is recognized that these services may also benefit the employer.

**GLOSSARY**

Local program staff making eligibility determinations for the Adult program should make use of the following definitions:

**APPLICANT:** An individual who applies for employment, training and/or services provided under WIA through a WIA grant recipient or sub-recipient.

**PARTICIPANT:** An individual determined eligible to participate in a program who receives a service funded by the program. Only “qualifying” services trigger participation as defined in NMAC 11.2.10 Co-Enrollments.

**ELIGIBILITY DOCUMENTATION REQUIREMENTS**

**DOCUMENTATION:** Physical evidence, which is obtained during the verification process and is maintained in participant files. Such evidence would be copies of documents, completed telephone verification/document inspection forms, and signed self-attestation forms. Documents may be stored in hard copy case files or electronic document management systems. Local Boards must ensure all information or documentation stored in an electronic document management system is backed-up routinely. The crash of a computer system is not a valid excuse for loss of information.

**CASE NOTES:** Case notes refer to either paper or electronic statements by the case manager that identifies, at a minimum, the following: a participant’s status for a specific data element, the date on which the information was obtained, and the case manager who obtained the information.

**SELF-ATTESTATION:** Self-attestation occurs when a participant states his or her status for a particular data element and then signs and dates a form acknowledging this status. The key elements for self-attestation are:

(a) the participant identifying his or her status for permitted elements; and

(b) signing and dating a form attesting to this self-identification.

The form and signature can be on paper or in the state management information system, with an online signature.

**DOCUMENTING ELIGIBILITY WITH SELF-ATTESTATION**

Self-attestation cannot be used to document the basic WIA eligibility data elements of **right to work**, **selective service, and age** for services provided beyond staff assisted core service with significant staff assistance. Documenting eligibility with self-attestation is a method of last resort when no other source of
documentation can be found or accessed. Self-attestation can also be used to clarify documentation that is considered insufficient by itself. Please review the most current or relevant Data Validation TEGL to assist in determining when it is appropriate to use self-attestation; or consult with your local MIS coordinator if the data element in question is not addressed in this STAG. Local Boards may create their own self-attestation form; however, it must include all elements of the self-attestation form included in this STAG.

**ADULT ELIGIBILITY DOCUMENTATION...**

<table>
<thead>
<tr>
<th>Eligibility</th>
<th>Required Documentation</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Right to Work in the US</strong></td>
<td>_Social Security Card AND Driver's License or other government issued picture ID</td>
</tr>
<tr>
<td>(1 is required)</td>
<td>containing a photograph or information such as name, date of birth, gender,</td>
</tr>
<tr>
<td>Note: a Document Inspection Form</td>
<td>height, eye color and address. (If under 18 years old and does not have a</td>
</tr>
<tr>
<td>may be used for any of these</td>
<td>Driver's License; may use school record or doctor/hospital record with signed Social</td>
</tr>
<tr>
<td>required documents for this</td>
<td>Security Card.)</td>
</tr>
<tr>
<td>eligibility element.</td>
<td>_U.S. Passport (unexpired or expired)</td>
</tr>
<tr>
<td></td>
<td>_Permanent Resident Card or Alien Registration Receipt Card (Form I-551)</td>
</tr>
<tr>
<td></td>
<td>_An unexpired foreign passport with a temporary I-551 stamp</td>
</tr>
<tr>
<td></td>
<td>_An unexpired Employment Authorization Document that contains a Photograph</td>
</tr>
<tr>
<td></td>
<td>(Form I-766)</td>
</tr>
<tr>
<td></td>
<td>_An unexpired foreign passport with Form I-94 or I-94A bearing the same name as</td>
</tr>
<tr>
<td></td>
<td>the passport and containing an endorsement of the alien’s nonimmigrant status,</td>
</tr>
<tr>
<td></td>
<td>as long as the period of endorsement has not yet expired and the proposed</td>
</tr>
<tr>
<td></td>
<td>employment is not in conflict with any restrictions or limitations identified on</td>
</tr>
<tr>
<td></td>
<td>the form</td>
</tr>
<tr>
<td></td>
<td>_Original or certified copy of a Birth Certificate issued by a state, county,</td>
</tr>
<tr>
<td></td>
<td>municipal authority or territory of the US bearing an official seal (Document</td>
</tr>
<tr>
<td></td>
<td>Inspection Form is allowed.)</td>
</tr>
<tr>
<td></td>
<td>_Certification of Birth Abroad (Form FS-545) or Report of Birth (Form DS-1350)</td>
</tr>
<tr>
<td></td>
<td>issued by the Department of State</td>
</tr>
<tr>
<td></td>
<td>_US Citizen ID card (Form I-197)</td>
</tr>
<tr>
<td></td>
<td>_Native American Tribal Document</td>
</tr>
<tr>
<td></td>
<td>_I-9 complete including signature by authorized employer or designee</td>
</tr>
<tr>
<td><strong>Selective Service</strong></td>
<td>_Screen printout of the On-line verification at <a href="http://www.sss.gov">www.sss.gov</a></td>
</tr>
<tr>
<td>(1 is required for those required</td>
<td>_Acknowledgement Letter from Selective Service</td>
</tr>
<tr>
<td>to register)</td>
<td>_Selective Service Verification Form (For 3A)</td>
</tr>
<tr>
<td></td>
<td>_Selective Service Registration Card</td>
</tr>
<tr>
<td></td>
<td>_Stamped Post Office Receipt of Registration</td>
</tr>
<tr>
<td></td>
<td>_DD-214 “Report of Separation”</td>
</tr>
<tr>
<td><strong>Social Security Number</strong></td>
<td>_DD-214, Report of Transfer or Discharge</td>
</tr>
<tr>
<td>(Not required for eligibility,</td>
<td>_IRS Form Letter 1722</td>
</tr>
<tr>
<td>but must be requested and</td>
<td>_Letter from Social Security Agency</td>
</tr>
<tr>
<td>validated. A Document Inspection</td>
<td>_Pay Stub with Social Security number</td>
</tr>
<tr>
<td>Form may be used for any of these</td>
<td>_Social Security Benefits</td>
</tr>
<tr>
<td>required documents for this</td>
<td>_Social Security Card</td>
</tr>
<tr>
<td>eligibility element.)</td>
<td>_W-2 Form</td>
</tr>
<tr>
<td></td>
<td>_Declined; pseudo-SSN created</td>
</tr>
<tr>
<td>Eligibility</td>
<td>Required Documentation</td>
</tr>
<tr>
<td>-------------</td>
<td>------------------------</td>
</tr>
<tr>
<td>Age (1 is required)</td>
<td>_Baptismal Record _Birth Certificate (Document Inspection Form is not allowed) _Driver's License _Federal, State, or Local photo ID _DD-214 _Passport _Hospital record of birth _Public assistance/social service record _School records or ID card _Work permit _Cross match with Dept. of Vital Statistics _Tribal records _Self-attestation (Self-Service only) _Case note (Staff Assisted Core Service with significant staff assistance only)</td>
</tr>
</tbody>
</table>

| Priority of Service | Low Income – as defined by local policy | _Pay stubs _Employer statement: written or telephone verification _Alimony agreement _Award letter from Veteran's Administration _Bank statements _Compensation award letter _Court award letter _Pension statement _Family or business financial records _Housing authority verification _Social Security benefits statement _Public assistance records _UI documents _Quarterly estimated tax (self-employed persons) _Self-attestation |

**DISLOCA TED WORKER ELIGIBILITY**

Following is the eligibility criteria for the WIA Dislocated Worker Program, a Glossary of relevant terms, and a checklist of allowable forms of eligibility documentation. Documentation verifying the eligibility of participants in WIA is mandatory. Eligibility determination must be made prior to enrollment in WIA and must include an initial determination of need for services to insure that employment and training opportunities are being provided to those who can benefit from and are in need of such opportunities to obtain or retain employment. WIA is not an entitlement program and eligibility alone does not entitle an individual to receive services.

Veterans and eligible spouses covered by Public Law 107-288, who otherwise meet the eligibility requirements for enrollment and for whom WIA services are deemed appropriate, are to be given priority over non-veterans for the receipt of employment, training, and placement services provided under the WIA program.

**WIA DISLOCATED WORKER ELIGIBILITY CRITERIA**

Each of the following eligibility elements (A-C below) must be documented for each participant prior to the receipt of a staff-assisted core service with significant staff involvement or an intensive level service. Local boards must obtain required documentation for each eligibility data element as outlined in the comprehensive checklist of allowable forms of eligibility documentation contained in this attachment. Photocopies of documentation kept on file, or scanned documents stored in electronic document management systems, must be legible.
A. **Right to Work** – Participation shall be open to citizens and nationals of the United States, lawfully admitted permanent resident aliens, refugees, asylees, and parolees, and other immigrants authorized by the Attorney General to work in the United States as required in WIA section 188(a)(5). If the participant does not possess one of the forms of ID listed and does not provide the requested information, application to the program must be denied. (*Exception:* Per TEGL 19-01, Change 1, Victims of Trafficking and Violence Protection Act of 2000; Trafficking Victims Protection Reauthorization Acts of 2003 and 2005; and the Role of the Workforce Investment System in the Delivery of Services for Victims of Trafficking, operators may not deny WIA-funded services to victims of severe forms of human trafficking based on their immigration status. See TEGL 19-01, Change 1 for further information.)

B. **Selective Service/Military Status** – All participants must be in compliance with the Selective Service Act requirements as required by WIA section 189(h). See the Selective Service section of this STAG.

C. In addition to the basic WIA eligibility criteria, staff making eligibility determinations must verify that the applicant qualifies under one of the following categories:

1. (a) Has been terminated or laid off, or has received a notice of termination or layoff, from employment; and,
   (b) Is eligible for or has exhausted entitlement to unemployment compensation; or has been employed for a duration sufficient to demonstrate attachment to the workforce, but is not eligible for unemployment compensation due to insufficient earnings or having performed services for an employer that were not covered under State unemployment compensation; and,  
   (c) Is unlikely to return to a previous industry or occupation.

2. (a) Has been terminated or laid off, or has received a notice of termination or layoff, from employment as a result of any permanent closure of, or any substantial layoff at a plant, facility or enterprise; or,  
   (b) Is employed at a facility where the employer has made a general announcement that such facility will close within 180 days, or,  
   (c) For purposes of eligibility to receive services other than Training, Intensive or Supportive Services, is employed at a facility at which the employer has made a general announcement that the facility will close.

3. Was self-employed, including employment as a farmer, a rancher, or a fisherman, but is unemployed as a result of general economic conditions in the community in which the individual resides or because of natural disasters; or,

4. Is a displaced homemaker.

**ELIGIBILITY OF EMPLOYED WORKERS**

1. An employed worker is an individual currently working who has been determined to be in need of services in order to obtain or retain employment that allows for self-sufficiency, in accordance with the locally established definition of that term. See WIA Section 134(d)(3)(A)(ii), 20 CFR 663.230, and preamble to the WIA regulations at Federal Register, Vol. 65, No. 156, 49294, pages 49322 – 49323.

2. Dislocated workers who have become re-employed in "income maintenance" jobs (a job with a lower rate of pay than the job of dislocation) may also be served as long as the wage earned does not exceed the local criteria for self-sufficiency.

3. Staff is required to complete a WIA application and verify that the worker meets all program eligibility criteria including right to work, selective service, and age. An employed worker must receive at least one core service and one intensive service before training is provided.

4. Employed workers must be given the same customer choice options as other WIA clients (except for eligible employed workers who are enrolled in customized training with their employers).

5. Training must be provided in compliance with the Eligible Training Provider List and Individual Training Account (ITA) requirements unless it is customized training or On-the-Job Training.

6. WIA employed worker services primarily are provided for the benefit of the employed worker but it is recognized that these services may also benefit the employer.
GLOSSARY
Local program staff making eligibility determinations for the Dislocated Worker program should make use of the following definitions:

APPLICANT (AN INDIVIDUAL): An individual who applies for employment, training and/or services provided under WIA through a WIA grant recipient or sub-recipient.

DISPLACED HOMEMAKER: An individual who has been providing unpaid services to family members in the home and who has been dependent on the income of a spouse but is no longer supported by that income (alimony is not considered replacement for lost income); and is unemployed or underemployed and is experiencing difficulty in obtaining or retaining employment.

EARLY/FORCED RETIREMENT: Individuals who accept early or forced retirement as part of a reduction in force may be considered to have been terminated or laid off, or received notice of termination or layoff as appropriate. These individuals would be eligible for the WIA Dislocated Worker program if they retire as a result of a permanent closure of, or any substantial layoff at a plant, facility or enterprise.

ELIGIBLE FOR UNEMPLOYMENT INSURANCE (UI) COMPENSATION: any individual who:
   a. Is eligible for or has exhausted entitlement to unemployment compensation; or
   b. Has been employed for a duration sufficient to demonstrate attachment to the workforce (has a history of working), but is not eligible for unemployment compensation due to insufficient earnings or having performed services for an employer that were not covered under a State unemployment compensation law.

EXHAUSTED UI COMPENSATION: has received all of the unemployment compensation benefits for which an individual has been determined eligible.

FARM/RANCH WORKER (applies to self-employed category): a person who is self-employed or employed by another, on a farm or ranch which produces agricultural products and who receives at least 50% of their family or individual income from agricultural production.

GENERAL ECONOMIC CONDITIONS: conditions that cause an individual to lose a business include, but are not limited to:
   a. Failure of one or more businesses to which the self-employed individual supplied a substantial proportion of products or services; or
   b. Failure of one or more businesses from which the self-employed individual obtained a substantial proportion of products or services; or
   c. Substantial layoffs, or permanent closure(s) of one or more plants or facilities that support a significant portion of the State or local economy; or
   d. Depressed price(s) or market(s) for the article(s) produced by the self-employed individual.

JOB OF DISLOCATION - The economic dislocation of an individual as described in the WIA Dislocated Worker program implies the existence of a job of dislocation. The job of dislocation is the job that qualifies the individual under one of the eligibility categories.

Under the categories for Plant Closing/Substantial Layoff and Layoff/UI/Unlikely to Return, the job of dislocation is the job from which the applicant has been laid off. The general guideline for classifying the job of dislocation is interim jobs are considered to be temporary. For a self-employed individual, evidence that the business has been lost verifies a job of dislocation.

The general guideline is to identify the job or pattern of jobs that defines the true job of dislocation. The job of dislocation should include the job title and the name of the business (or industry). Often, the variance in wages can help to distinguish the job of dislocation from other temporary employment. For a self-employed individual, evidence that the business has closed (or is in the process of closing) or business financial records show a major decline in profits can help verify the job of dislocation.
NATURAL DISASTERS: Natural disasters that cause the unemployment of a self-employed individual include: hurricane, tornado, storm, flood, high water, wind-driven water, tidal wave, tsunami, earthquake, volcanic eruption, landslide, mudslide, avalanche, drought, fire, explosion, snow storm or other catastrophe.

PARTICIPANT: an individual determined eligible to participate in a program who receives a service funded by the program. Only “qualifying” services trigger participation as defined in NMAC 11.2.10 Co-Enrollment.

PLANT CLOSING: The permanent shutdown of a plant, business or facility.

PREVIOUS OCCUPATION/INDUSTRY: For the purposes of WIA Dislocated Worker program eligibility, previous occupation or industry relates directly to the job of dislocation.

PUBLIC ANNOUNCEMENT: The process by which a plant, facility, or enterprise makes the general public aware of its permanent closure. The announcement must include a projected closure date and be verifiable.

PRIMARY OCCUPATION: Occupation in which an individual has had most experience; and/or most training; and/or which the individual prefers; and/or one in which the individual has remained for an extended period without seeking more appropriate employment (new primary occupation).

SELF-EMPLOYED: Any professional, independent trades person, or other business person who works for him/herself. Such a person may or may not be incorporated or in a limited partnership. A family member who provides professional services in the affected business of at least 15 hours per week and receives a salary or wage from the self-employed individual may also be considered to be a self-employed individual. Self-employed may also include employment as a farmer, rancher or fisherman.

SUBSTANTIAL LAYOFF: A substantial layoff is any reduction-in-force which is not the result of a plant closing and which results in an employment loss at a single site of employment for at least 25 percent of the employees (excluding employees regularly working less than 20 hours per week).

TEMPORARY EMPLOYEES: An applicant cannot be automatically disqualified for WIA Dislocated Worker program enrollment because the job of dislocation was not considered a permanent position. An employee under a temporary contract, or placed by a temporary employment agency with an employer may be made eligible under the same category as regular employees of the company (substantial layoff, plant closing). Temporary employees directly under contract with the company are considered eligible as are regular employees if their dislocation was caused by a layoff or closing. If the dislocation was not caused by a closing or substantial layoff, the applicant must be shown to be unlikely to return (UI or the temporary agency can confirm). However, temporary employees who are unemployed because the project or undertaking for which they were hired has been completed are not considered Dislocated Workers. **Contracted Employees** - Employees working within a set contract (not through a temporary agency) that ends on schedule, are not eligible for the WIA Dislocated Worker program. If the job ends prior to the set contract end date and the applicant is not at fault for the separation, they are considered to have a job of dislocation.

UNLIKELY TO RETURN TO PREVIOUS INDUSTRY OR OCCUPATION:
   a. **Skill Oversupply** - State or local supply of persons with the specific skills of the applicant exceeds current demand for those skills; or
   b. **Obsolete Skills** - Applicants can no longer meet the minimum requirements of jobs available in their occupation (e.g. clerical worker without word processing skills, etc.); or
   c. **Local Layoff Impact** - A local plant or business closing or layoff has had a significant negative impact on the availability of jobs in the applicant’s primary occupation and accustomed wage/hour/skill level; or
   d. **Physical Limitations or Disabilities** - Newly acquired physical limitations or injuries occurring which limit the individual's ability to perform the job from which they were dislocated may make an individual unlikely to return to the previous occupation. Such individuals are eligible if they fit one of the categories of the WIA Dislocated Worker program eligibility, but must have a doctor’s release to work; or
   e. **Other Factors** - Factors that can be recorded in the customer's file from written or verbal sources, including staff judgment, indicating “unlikely of returning to the previous industry or occupation.”
**ELIGIBILITY DOCUMENTATION REQUIREMENTS**

**DOCUMENTATION:** Physical evidence, which is obtained during the verification process, is maintained in participant files. Such evidence would be copies of documents, completed telephone verification/document inspection forms, and signed self-attestation forms. Documents may be stored in hard copy case files or electronic document management systems. Local Boards must ensure all information or documentation stored in an electronic document management system is backed-up routinely. The crash of a computer system is not a valid excuse for loss of information.

**CASE NOTES:** Case notes refer to either paper or electronic statements by the case manager that identifies, at a minimum, the following: a participant's status for a specific data element, the date on which the information was obtained, and the case manager who obtained the information.

**SELF-ATTESTATION:** Self-attestation occurs when a participant states his or her status for a particular data element and then signs and dates a form acknowledging this status. The key elements for self-attestation are:

(a) the participant identifying his or her status for permitted elements; and

(b) signing and dating a form attesting to this self-identification.

The form and signature can be on paper or in the state management information system, with an online signature.

**DOCUMENTING ELIGIBILITY WITH SELF-ATTESTATION**

Self-attestation cannot be used to document the basic WIA eligibility data elements of *right to work and selective service* for services provided beyond staff assisted core service with significant staff assistance. Documenting eligibility with self-attestation is a method of last resort when no other source of documentation can be found or accessed. Self-attestation can also be used to clarify documentation that is considered insufficient by itself. Please review the most current or relevant Data Validation TEGL to assist in determining when it is appropriate to use self-attestation; or consult with your local MIS coordinator if the data element in question is not addressed in this STAG. Local Boards may create their own self-attestation form; however, it must include all elements of the self-attestation form included in this STAG.

**DISLOCATED WORKER ELIGIBILITY DOCUMENTATION...**

<table>
<thead>
<tr>
<th>Eligibility</th>
<th>Required Documentation</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Right to Work in the US</strong>&lt;br&gt;(1 is required)</td>
<td>__Social Security Card AND Driver's License or other government issued picture ID containing a photograph or information such as name, date of birth, gender, height, eye color and address. (If under 18 years old and does not have a Driver’s License; may use school record or doctor/hospital record with signed Social Security Card.)&lt;br&gt;__U.S. Passport (unexpired or expired)&lt;br&gt;__Permanent Resident Card or Alien Registration Receipt Card (Form I-551)&lt;br&gt;__An unexpired foreign passport with a temporary I-551 stamp&lt;br&gt;__An unexpired Employment Authorization Document that contains a Photograph (Form I-766)&lt;br&gt;__An unexpired foreign passport with Form I-94 or I-94A bearing the same name as the passport and containing an endorsement of the alien’s nonimmigrant status, as long as the period of endorsement has not yet expired and the proposed employment is not in conflict with any restrictions or limitations identified on the form&lt;br&gt;__Original or certified copy of a Birth Certificate issued by a state, county, municipal authority or territory of the US bearing an official seal (Document Inspection Form is allowed.)&lt;br&gt;__Certification of Birth Abroad (Form FS-545) or Report of Birth (Form DS-1350) issued by the Department of State&lt;br&gt;__US Citizen ID card (Form I-197)&lt;br&gt;__Native American Tribal Document&lt;br&gt;__I-9 complete including signature by authorized employer or designee</td>
</tr>
</tbody>
</table>

Note: a Document Inspection Form may be used for any of these required documents for this eligibility element.
<table>
<thead>
<tr>
<th>Eligibility</th>
<th>Required Documentation</th>
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</table>
| Selective Service | ___Screen printout of the On-line verification at [www.sss.gov](http://www.sss.gov)  
___Acknowledgement Letter from Selective Service  
___Selective Service Verification Form (For 3A)  
___Selective Service Registration Card  
___Stamped Post Office Receipt of Registration  
___DD-214 “Report of Separation” |
| Social Security Number | ___DD-214, Report of Transfer or Discharge  
___IRS Form Letter 1722  
___Letter from Social Security Agency  
___Pay Stub with Social Security number  
___Social Security Benefits  
___Social Security Card  
___W-2 Form  
___Declined; pseudo-SSN created |
| Age | ___Baptismal Record  
___Birth Certificate (Document Inspection Form is not allowed)  
___Driver’s License  
___Federal, State, or Local photo ID  
___DD-214  
___Passport  
___Hospital record of birth  
___Public assistance/social service record  
___School records or ID card  
___Work permit  
___Cross match with Dept. of Vital Statistics  
___Tribal records  
___Self-attestation (Self-Service only)  
___Case note (Staff Assisted Core Service with significant staff assistance only) |
| Date of Dislocation | ___Verification from employer  
___Rapid Response List  
___Layoff Notice  
___Public layoff notice with UI data cross-match  
___Self-attestation |

**Documentation Requirements**

- **Self-Service only**- self attestation
- **Staff Assisted Core Service with significant staff assistance**- Hard or electronic case notes. Must reflect that the customer has shown proof of age, and should include, for example, the driver’s license number or other uniquely identifiable information of the document.
- **Intensive/Training**- copy of document

**Documentation for one of the four dislocated worker categories is required**

### 1. Layoff/Unlikely to Return

*(Note: Honorable military discharge can count as a layoff, but the customer must also meet the other two criteria.)*

*(Note: All three circumstances must be documented)*

**Layoff:**

- ___Letter from Employer or telephone verification  
- ___UI Notice of Decision  
- ___Public layoff notice with UI data cross-match  
- ___DD-214  
- ___Self-attestation

**UI Monetary Eligibility:**

- ___UI monetary eligibility letter  
- ___UI Notice of Decision  
- ___UI wage data screen  
- ___UI wage claim screen  
- ___Self-attestation

**Unlikely to Return:**

- ___Labor Market Info  
- ___Job Search Logs  
- ___Documentation of Disability  
- ___Self-attestation
<table>
<thead>
<tr>
<th>Eligibility</th>
<th>Required Documentation</th>
</tr>
</thead>
<tbody>
<tr>
<td>2. Plant Closure, Substantial Layoff</td>
<td>Applicant was Employed:&lt;br&gt;___Letter from Employer or telephone verification&lt;br&gt;___Pay Stubs&lt;br&gt;___UI wage data screen&lt;br&gt;___Self-attestation</td>
</tr>
<tr>
<td>(Note: Two circumstances must be documented – the fact that the business closed or a substantial layoff occurred and that the applicant worked there.)</td>
<td>Business Closed:&lt;br&gt;___Public notice of plant closure or substantial layoff&lt;br&gt;___Copy of WARN notice&lt;br&gt;___Newspaper&lt;br&gt;___Letter from Employer or telephone verification&lt;br&gt;___Self-attestation</td>
</tr>
<tr>
<td>3. Self-Employed – Business Closed</td>
<td>Self-Employed:&lt;br&gt;___Business License/Permit&lt;br&gt;___Tax records&lt;br&gt;___UI wage data screen&lt;br&gt;___Self-attestation</td>
</tr>
<tr>
<td>(Note: All three circumstances must be documented)</td>
<td>Business Closed:&lt;br&gt;___Business closure notice&lt;br&gt;___Tax records&lt;br&gt;___Bankruptcy documentation&lt;br&gt;___Lending Institution documentation&lt;br&gt;___Financial statements from accountant&lt;br&gt;___Self-attestation</td>
</tr>
<tr>
<td>4. Displaced Homemaker</td>
<td>Economic Conditions or Natural Disaster:&lt;br&gt;___Public notice&lt;br&gt;___USDOL Advisory</td>
</tr>
<tr>
<td>(Note: Two circumstances must be documented – The fact that the applicant was dependent on the income of a spouse and is no longer being supported by that income, and the fact that the applicant is unemployed or underemployed.)</td>
<td>__Public assistance records&lt;br&gt;___Court records&lt;br&gt;___Divorce papers&lt;br&gt;___Bank records&lt;br&gt;___Spouse's layoff notice&lt;br&gt;___Spouse's death record&lt;br&gt;___UI wage data indicating no wages&lt;br&gt;___Self-attestation</td>
</tr>
</tbody>
</table>

**YOUTH ELIGIBILITY**

Following is the eligibility criteria for the WIA Youth Program, a Glossary of relevant terms, and checklist of allowable forms of eligibility documentation. Additionally, a Document Inspection Form may not be used to document age. Documentation verifying the eligibility of participants in WIA is mandatory. Eligibility determination must be made prior to enrollment in any WIA Youth service, and must include an initial determination of need for services to insure that employment and training opportunities are being provided to those who may benefit from and who are most in need of such opportunities. WIA is not an entitlement program and eligibility alone does not entitle an individual to receive services.

Veterans and eligible spouses covered by Public Law 107-288, who otherwise meet the eligibility requirements for enrollment and for whom WIA services are deemed appropriate, are to be given priority over non-veterans for the receipt of employment, training, and placement services provided under the WIA program.

**WIA YOUTH ELIGIBILITY CRITERIA**

Each of the following eligibility elements must be documented for each participant prior to the receipt of a staff-assisted core service with significant staff involvement or an intensive level service. Local boards
must obtain required documentation for each eligibility data element as outlined in the comprehensive checklist of allowable forms of eligibility documentation contained in this attachment. Photocopies of documentation kept on file, or scanned documents stored in electronic document management systems, must be legible.

1. **Right to Work** – Participation shall be open to citizens and nationals of the United States, lawfully admitted permanent resident aliens, refugees, asylees, and parolees, and other immigrants authorized by the Attorney General to work in the United States as required in WIA section 188(a)(5). If the participant does not possess one of the forms of ID listed and does not provide the requested information, application to the program must be denied. (Exception: Per TEGL 19-01, Change 1, Victims of Trafficking and Violence Protection Act of 2000; Trafficking Victims Protection Reauthorization Acts of 2003 and 2005; and the Role of the Workforce Investment System in the Delivery of Services for Victims of Trafficking, operators may not deny WIA-funded services to victims of severe forms of human trafficking based on their immigration status. See TEGL 19-01, Change 1 for further information.)

2. **Selective Service/Military Status** – All participants must be in compliance with the Selective Service Act requirements as required by WIA section 189(h). See the Selective Service section of this STAG.

3. **Age** at application must be between the ages of 14 and 21.

4. **Low-income** individual (See exception below)

5. **Barrier** - an individual who is one or more of the following:
   A. deficient in basic literacy skills;
   B. a school dropout;
   C. homeless, a runaway, or a foster child;
   D. pregnant or a parent;
   E. an offender; or
   F. an individual (including youth with a disability) who requires additional assistance to complete an education program or to secure and hold employment. (Because the State has chosen to not define “additional assistance” as relates to WIA Youth program eligibility, each Local Board has the responsibility for determining its own definition of this eligibility category. If a Local Board wishes to use this eligibility category, a local policy must be developed that specifies what conditions must be met for a youth to require additional assistance and what documentation is needed to demonstrate this eligibility category.)

**Exception:** Five percent of the youth participants may be individuals who do not meet the minimum income criteria, if such individuals still meet one of the following barriers (which are different from the barriers for low income youth):
   A. a school dropout;
   B. basic skills deficient;
   C. are one or more grade levels below the grade level appropriate to the individual’s age;
   D. pregnant or a parent;
   E. possess one or more disabilities, including learning disabilities;
   F. homeless or a runaway;
   G. an offender; or
   H. Faces serious barriers to employment as identified by the Local Board in. (Local Boards who wish to use this eligibility category must define “serious barriers to employment” in their Local Plan. The Local Plan must specify what conditions must be met for a youth to be considered as an individual who faces serious barriers to employment and what documentation is needed to demonstrate this eligibility category.)

**Note:** Individuals ages 18 through 21 may be eligible for both Adult and Youth programs if they meet the respective eligibility requirements for both programs.
GLOSSARY

Local program staff making eligibility determinations for the Youth program should make use of the following definitions:

APPLICANT: An individual who applies for employment, training and/or services provided under WIA through a WIA grant recipient or sub-recipient.

BASIC SKILLS DEFICIENT: (For use in determining youth eligibility for the 5% who do not meet the low income requirement.) An individual who computes or solves problems, reads, writes, or speaks English at or below the eighth grade level on a generally accepted standardized test or a comparable score on a criterion-referenced test.

DEFICIENT IN BASIC LITERACY SKILLS: (For use in determining basic youth eligibility.) An individual who:

1. computes or solves problems, reads, writes, or speaks English at or below the eighth grade level on a generally accepted standardized test or a comparable score on a criterion-referenced test; or
2. is unable to compute or solve problems, read, write, or speak English at a level necessary to function on the job, in the individual’s family, or in society.

DEPENDENT CHILD: A child, related by blood, marriage, or decree of court, living in a single residence with his/her parent(s) or guardian.

EXCLUDABLE INCOME: For the purpose of determining WIA income eligibility, the following are excluded from income:

- Unemployment compensation. [WIA §101(25)(B)]
- Needs-based scholarship assistance.
- Child support payments. [WIA §101(25)(B)]
- Cash welfare payments (including TANF, SSI, RCA, GA, emergency assistance, and general relief). [WIA §101(25)(B)]
- Onetime income received in lieu of TANF cash assistance.
- Income earned while a veteran was on active military duty and certain other veterans’ benefits, i.e., compensation for service-connected disability, compensation for service-connected death, vocational rehabilitation, and education assistance. [TEIN 22-92]
- Regular payments from Social Security, such as Old Age and Survivors Insurance. [WIA §101(25)(B)]
- Lump sum payments received as assets in the sale of a house, where the assets are to be reinvested in the purchase of a new home. [Consistent with IRS guidance]
- Payments received as the result of an automobile accident insurance settlement that are being applied to the repair or replacement of an automobile.
- Foster care payments.
- Any withdrawal from an Individual Development Account (IDA) for the purchase of a home, medical expenses, or educational expenses.
- Onetime cash payment, including tax refunds; loans, which are debt and not income; onetime insurance payments; gifts; and lump sum inheritances.
- Noncash benefits such as employer-paid fringe benefits, food, or housing received in lieu of wages, Medicare, Medicaid, food stamps, school meals, and housing assistance.

Note: When a federal statute specifically provides that income or payments received under such statute shall be excluded in determining eligibility for the level of benefits received under any other federal statute, such income or payments shall be excluded in WIA eligibility determination. Example: adoption subsidies

Everything that is not listed as excluded from income above is included as income.
FAMILY: Two or more persons related by blood, marriage, or decree of court, who are living in a single residence, and are included in one or more of the following categories:
   a. A husband, wife, and dependent children.
   b. A parent or guardian and dependent children.
   c. A husband and wife.

Note: Family size is determined based on those individuals meeting the above definition at time of application.

FAMILY INCOME: Family income includes total 6 months cash receipts before taxes (i.e. Gross wages) from all sources as defined in “Family” above, except: If the applicant reports little or no includable income, s/he must indicate other resources relied upon for life support during the last six months on the Applicant Statement. Such resources may include such things as unpaid debts, gifts, loans, unemployment compensation, etc.

FOSTER CHILD: A youth 14-18 years of age on whose behalf state or local government payments (excluding OASI) are made. This may include youth who have been made a ward of the state by a court, including those in the following categories:
   a. Youth in State Institutions
   b. Youth in Community Group Homes
   c. Youth in Foster Homes

GUARDIAN: An individual related by blood, marriage, or decree of court, living in a single residence, where the parents are not present in the residence.

HOMELESS PERSON: An individual who lacks a fixed, regular, and adequate nighttime residence and who has a primary nighttime residence that is
   a. a supervised publicly or privately operated shelter designed to provide temporary living accommodation (including welfare hotels, congregate shelters, and transitional housing for the mentally ill);
   b. an institution that provides a temporary residence for individuals intended to be institutionalized; or
   c. a public or private place not designed for, or ordinarily used as, a regular sleeping accommodation for human beings. EXCLUSION – For purposes of WIA, the term “homeless” or “homeless individual” does not include any individual imprisoned or otherwise detained pursuant to an Act of Congress or a State law. A homeless individual who meets the above criteria is presumed to be economically disadvantaged for purposes of eligibility under the WIA unless demonstrated otherwise.

IN-SCHOOL YOUTH: Means a person age 14 through 21 who is attending school full time and who has not yet received a high school diploma or its equivalent (GED).

INDIVIDUAL: (Family of one) – A person not meeting the definition of family is considered to be an individual. Youth aged 18 years and older living with parents or other family member(s) must document individual status by completing the Self-Attestation form verifying that status.

INDIVIDUAL WITH DISABILITY: (For use as one of the barriers of youth not meeting the income eligibility test who may be served under the 5% category.) Any individual who has a physical or mental disability, which for such individual, constitutes or results in a substantial handicap to employment. Suggested definition for substantial disability to employment: a loss of occupational choice of a class or group of jobs due to the disability, i.e., significant diminishment of occupational choices. An Individual with a Disability may be eligible based on the family of one income guideline.

INDIVIDUAL WITH A DISABILITY: An individual with a disability as defined in the Americans with Disabilities Act of 1990, §3. [42 U.S.C. §12102] The individual:
   a. has a physical or mental impairment that substantially limits one or more of the major life activities of such individual;
   b. has a record of such an impairment; or
   c. is regarded as having such an impairment.
LOW-INCOME INDIVIDUAL: An individual who:
   a. receives or is a member of a family that receives cash payments under a federal, state, or local income-based public assistance program;
   b. received an income or is a member of a family that has received a total family income for the six-month period prior to application for the program involved [exclusive of unemployment compensation, child support payments, payments described in subparagraph (A), and old-age and survivors insurance benefits received under Section 202 of the Social Security Act (42 U.S.C. 402)] that, in relation to family size, does not exceed the higher of:
      1. the poverty line, for an equivalent period; or
      2. 70 percent of the Lower Living Standard Income Level, for an equivalent period;
   c. is a member of a household that receives (or has been determined within the six-month period prior to the application for the program involved to be eligible to receive) food stamps pursuant to the Food Stamp Act of 1977;
   d. qualifies as a homeless individual, as defined in the Stewart B. McKinney Homeless Assistance Act §103(a) and (c);
   e. is a foster youth on behalf of whom state or local government payments are made; or
   f. is an individual with a disability whose own income meets the requirements of (b) above, but who is a member of a family whose income does not meet such requirements. [WIA §101(25)]

LIVING IN A SINGLE RESIDENCE:
   a. Temporary, voluntary residence elsewhere – an individual is included in a single residence if they are temporarily and voluntarily living outside of the residence. This may include individuals attending school or college, or visiting relatives. It does not include involuntary temporary residence elsewhere (i.e. incarceration or placement as a result of a court order). Note: If a college student is not claimed as a dependent on anyone else’s tax return, they are NOT a dependent child.
   b. Temporary, involuntary residence elsewhere – an individual is NOT included in a single residence if they are temporarily and involuntarily living outside of the residence. This may include individuals who are incarcerated or placed as a result of a court order. Note: A person not meeting the definition of family is considered to be an individual (family of one). Individuals ordinarily included in the definition of family, but no longer claiming to be dependent must complete an applicant statement attesting to individual status. Such statements should be corroborated by the head of household in which the individual resides. (S)He must also show source of his/her support. The individual must provide over 50% of his/her support to be considered a family of one. Income tax records are also a good source of documentation to support that the youth is not claimed by the parents. Youth aged 18 years and more, see “Individual” definition.

LOWER LIVING STANDARD INCOME LEVEL: the income level (adjusted for regional, metropolitan, urban, and rural differences and family size) determined annually by the Secretary of Labor based on the most recent lower living family budget issued by the Secretary. Income levels for families of two or more are revised for the lower living standard income level from the U.S. Department of Labor Federal Register issued annually.

OFFENDER: Any adult or juvenile who is or has been subject to any stage of the criminal justice process for whom services may be beneficial or who requires assistance in overcoming artificial barriers to employment resulting from a record of arrest or conviction.

OUT-OF-SCHOOL YOUTH: An eligible youth who is a school dropout; or who has either graduated from high school or holds a GED, but is basic skills deficient, unemployed or underemployed.
   Note: An individual who is out of school at the time of registration and subsequently placed in an alternative school may be considered an out-of-school youth for the 30% expenditure requirement for out-of-school youth.

PARTICIPANT: an individual determined eligible to participate in a program who receives a service funded by the program. Only “qualifying” services trigger participation as defined in NMAC 11.2.10 Co-Enrollments.
PREGNANT OR PARENTING YOUTH: A youth who is 21 years of age or less at the time of application and who is pregnant, or a male or female who is providing custodial care for one or more dependents under age.

POST SECONDARY EDUCATION: A program at an accredited degree-granting institution that leads to an academic degree beyond secondary education.

PUBLIC ASSISTANCE/CASH WELFARE PAYMENTS: Federal, State or local government cash welfare payments issued directly to the recipient for whom eligibility is determined by a needs or income test (i.e. TANF, Refugee Cash Assistance, and Supplemental Security Income). Note: Supplemental Security Disability Income (SSDI) is not considered cash welfare and does not make a person automatically eligible for WIA.

RUN-AWAY YOUTH: A person under 18 years of age who absents himself or herself from home or place of legal residence without the permission of parents or legal guardian.

SCHOOL DROPOUT: An individual who is no longer attending any school and who has not received a secondary school diploma or its recognized equivalent. A youth’s dropout status is determined at the time of registration.

ELIGIBILITY DOCUMENTATION REQUIREMENTS

DOCUMENTATION: Physical evidence, which is obtained during the verification process, is maintained in participant files. Such evidence would be copies of documents, completed telephone verification/document inspection forms, and signed self-attestation forms. Documents may be stored in hard copy case files or electronic document management systems. Local Boards must ensure all information or documentation stored in an electronic document management system is backed-up routinely. The crash of a computer system is not a valid excuse for loss of information.

CASE NOTES: Case notes refer to either paper or electronic statements by the case manager that identifies, at a minimum, the following: a participant’s status for a specific data element, the date on which the information was obtained, and the case manager who obtained the information.

SELF-ATTESTATION: Self-attestation occurs when a participant states his or her status for a particular data element and then signs and dates a form acknowledging this status. The key elements for self-attestation are:

(a) the participant identifying his or her status for permitted elements and
(b) signing and dating a form attesting to this self-identification.

The form and signature can be on paper or in the state management information system, with an online signature.

DOCUMENTING ELIGIBILITY WITH SELF-ATTESTATION

Self-attestation cannot be used to document the basic WIA eligibility data elements of right to work, selective service, and age. Documenting eligibility with self-attestation is a method of last resort when no other source of documentation can be found or accessed. Self-attestation can also be used to clarify documentation that is considered insufficient by itself. Please review the most current or relevant Data Validation TEGL to assist in determining when it is appropriate to use self-attestation; or consult with your local MIS coordinator if the data element in question is not addressed in this STAG. Local Boards may create their own self-attestation form; however, it must include all elements of the self-attestation form included in this STAG.
<table>
<thead>
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<td><strong>Social Security Card AND Driver's License or other government issued picture ID containing a photograph or information such as name, date of birth, gender, height, eye color and address. (If under 18 years old and does not have a Driver's License; may use school record or doctor/hospital record with signed Social Security Card.)</strong>&lt;br&gt;<strong>U.S. Passport (unexpired or expired)</strong>&lt;br&gt;<strong>Permanent Resident Card or Alien Registration Receipt Card (Form I-551)</strong>&lt;br&gt;<strong>An unexpired foreign passport with a temporary I-551 stamp</strong>&lt;br&gt;<strong>An unexpired Employment Authorization Document that contains a photograph (Form I-766)</strong>&lt;br&gt;<strong>An unexpired foreign passport with Form I-94 or I-94A bearing the same name as the passport and containing an endorsement of the alien's nonimmigrant status, as long as the period of endorsement has not yet expired and the proposed employment is not in conflict with any restrictions or limitations identified on the form</strong>&lt;br&gt;<strong>Original or certified copy of a Birth Certificate issued by a state, county, municipal authority or territory of the US bearing an official seal (Document Inspection Form is allowed.)</strong>&lt;br&gt;<strong>Certification of Birth Abroad (Form FS-545) or Report of Birth (Form DS-1350) issued by the Department of State</strong>&lt;br&gt;<strong>US Citizen ID card (Form I-197)</strong>&lt;br&gt;<strong>Native American Tribal Document</strong>&lt;br&gt;<strong>I-9 complete including signature by authorized employer or designee</strong></td>
</tr>
<tr>
<td><strong>Selective Service</strong>&lt;br&gt;(1 is required for those required to register)</td>
<td><strong>Screen printout of the On-line verification at <a href="http://www.sss.gov">www.sss.gov</a></strong>&lt;br&gt;<strong>Acknowledgement Letter from Selective Service</strong>&lt;br&gt;<strong>Selective Service Verification Form (For 3A)</strong>&lt;br&gt;<strong>Selective Service Registration Card</strong>&lt;br&gt;<strong>Stamped Post Office Receipt of Registration</strong>&lt;br&gt;<strong>DD-214 “Report of Separation”</strong></td>
</tr>
<tr>
<td><strong>Social Security Number</strong>&lt;br&gt;(Not required for eligibility, but must be requested and validated. A Document Inspection Form may be used for any of these required documents for this eligibility element.)</td>
<td><strong>DD-214, Report of Transfer or Discharge</strong>&lt;br&gt;<strong>IRS Form Letter 1722</strong>&lt;br&gt;<strong>Letter from Social Security Agency</strong>&lt;br&gt;<strong>Pay Stub with Social Security number</strong>&lt;br&gt;<strong>Social Security Benefits</strong>&lt;br&gt;<strong>Social Security Card</strong>&lt;br&gt;<strong>W-2 Form</strong>&lt;br&gt;<strong>Declined; pseudo-SSN created</strong></td>
</tr>
<tr>
<td><strong>Age</strong>&lt;br&gt;(1 is required)</td>
<td><strong>Baptismal Record</strong>&lt;br&gt;<strong>Birth Certificate (Document Inspection Form is not allowed)</strong>&lt;br&gt;<strong>Driver’s License</strong>&lt;br&gt;<strong>Federal, State, or Local photo ID</strong>&lt;br&gt;<strong>DD-214</strong>&lt;br&gt;<strong>Passport</strong>&lt;br&gt;<strong>Hospital record of birth</strong>&lt;br&gt;<strong>Public assistance/social service record</strong>&lt;br&gt;<strong>School records or ID card</strong>&lt;br&gt;<strong>Work permit</strong>&lt;br&gt;<strong>Cross match with Dept. of Vital Statistics</strong>&lt;br&gt;<strong>Tribal records</strong></td>
</tr>
<tr>
<td>Eligibility</td>
<td>Required Documentation</td>
</tr>
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<td>-------------</td>
<td>------------------------</td>
</tr>
<tr>
<td>_In-School</td>
<td><strong>Educational Status:</strong></td>
</tr>
</tbody>
</table>
| _Out-of-school | __School records  
 | | __Self-attestation |
|             | **Deficient in basic literacy skills:** |
|             | __Standardized assessment test  
 | | __School Records  
 | | __Case Notes |
| **Low Income** | __Pay stubs  
 | (1 is required) | __Employer statement: written or telephone verification  
 | | __Alimony agreement  
 | | __Award letter from Veteran's Administration  
 | | __Bank statements  
 | | __Compensation award letter  
 | | __Court award letter  
 | | __Pension statement  
 | | __Family or business financial records  
 | | __Housing authority verification  
 | | __Social Security benefits statement  
 | | __Public assistance records  
 | | __UI documents  
 | | __Quarterly estimated tax (self-employed persons)  
 | | __Self-attestation |
| **Disability** | __Medical records  
 | | __Letter from drug / alcohol rehabilitation agency  
 | | __Case notes regarding an observable condition  
 | | __Physician's statement  
 | | __Psychiatrist's statement  
 | | __Psychologist's diagnosis  
 | | __Rehabilitation evaluation  
 | | __School records  
 | | __Sheltered workshop certification  
 | | __Social Service records / referrals  
 | | __Social Security Administration disability records  
 | | __Veterans Administration letter / records (continued)  
 | | __Vocational Rehabilitation letter  
 | | __Worker's Compensation record |
## Eligibility

<table>
<thead>
<tr>
<th>Barrier</th>
<th>Required Documentation</th>
</tr>
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</table>
| Deficient in Basic Literacy Skills | - Standardized assessment test  
- School records  
- Case note (must describe how the case manager determined the participant meets the “Deficient in Basic Literacy Skills” definition) |
| School Dropout                     | - Case note  
- WIA application form                                                                   |
| Homeless/Runaway                   | - Written statement from a shelter  
- Written statement from social service agency  
- Written statement from individual providing residence  
- Self attestation                                                                      |
| Foster Child                       | - Written confirmation from social services agency  
- Case notes                                                                            |
| Pregnant / Parenting               | - Baptismal record  
- Doctor’s note  
- Observation documented in case note  
- Child’s birth certificate  
- Self-attestation                                                                     |
| Offender                           | - Juvenile/criminal justice document  
- Telephone verification from juvenile / criminal justice representative  
- WIA application form  
- Self attestation                                                                      |
| Requires Additional Assistance     | - See Local Board Policy                                                                |

### SELECTIVE SERVICE REGISTRATION REQUIREMENTS

Men born on or after January 1, 1960 are required to register with Selective Service within 30 days of their 18th birthday (i.e. 30 days before or 30 days after their birthday.) This includes males who are:

A. Citizens of the U.S.;  
B. Non-citizens, including illegal aliens, legal permanent residents, seasonal agricultural workers, and refugees, who take up residency in the U.S. before their 26th birthday; and/or  
C. Dual nationals of the U.S. and another country regardless of whether they live in the U.S.

For U.S. citizens, Selective Service registration is not required if the man falls within one of the following categories:

A. Men who are serving in the military on full-time active duty;  
B. Men attending the service academies;  
C. Disabled men who were continually confined to a residence, hospital or institution; and/or  
D. Men who are hospitalized, institutionalized, or incarcerated are not required to register during their confinement; however, they must register within 30 days after being released if they have not yet reached their 26th birthday.
For non-U.S. citizens, Selective Service registration is not required if the man falls within one of the following categories:

A. Non-U.S. male who came into this country for the first time after his 26th birthday. Acceptable forms of supporting documentation include:
   1. Date of entry stamp in his passport;
   2. I-94 with date of entry stamp on it; or
   3. Letter from the U.S. Citizenship and Immigration Services (USCIS) indicating the date the man entered the United States presented in conjunction with documentation establishing the individual's age.

B. Non-U.S. male who entered the U.S. illegally after his 26th birthday. He must provide proof that he was not living in the U.S. from age 18 through 25.

C. Non-U.S. male on a valid non-immigrant visa.

This list is not intended to be exhaustive. Please visit the Selective Service website for more information about the registration requirements at www.sss.gov. The Selective Service System also provides a quick reference chart showing who must register located at http://www.sss.gov/PDFs/WhoMustRegisterChart.pdf.

Registration Requirements for Males Under 26

Before being enrolled in WIA Title I-funded services, all males who are not registered with the Selective Service and have not reached their 26th birthday must register through the Selective Service website at www.sss.gov. If a male turns 18 while participating in any applicable services, registration with Selective Service must be completed no later than 30 days after he becomes 18 in order to continue to receive WIA Title I-funded services. If a man under the age of 26 refuses to register with the Selective Service, WIA Title I-funded services must be suspended until he registers.

Registration Requirements for Males 26 Years and Over

Before enrolling in WIA Title I-funded services, all males, 26 years of age or older, must provide documentation of compliance with the Selective Service registration requirement. Individuals who did not register for the Selective Service or who cannot provide any of the documentation listed in Section 3 must obtain a Status Information Letter from Selective Service indicating whether he was required to register. The Request for Status Information Letter form can be accessed at http://www.sss.gov/PDFs/infoform.pdf and the instructions can be accessed at http://www.sss.gov/PDFs/instructions.pdf. The individual will need to describe, in detail, the circumstances that prevented him from registering (e.g., hospitalization, institutionalization, incarceration, military service) and provide documentation of those circumstances. The documentation should be specific as to the dates of the circumstances.

If the Status Information Letter indicates that an individual was not required to register for the Selective Service, then he is eligible to enroll in services authorized or funded by Title I of WIA. If the Status Information Letter indicates that the individual was required to register and now cannot because he is 26 or older, he is presumed to be disqualified from participation in WIA Title I-funded activities and services until it can be determined that his failure to register was not knowing and willful. All costs associated with grant-funded services provided to non-eligible individuals may be disallowed.

Determining Knowing and Willful Failure to Register

If the individual was required but failed to register with the Selective Service, the individual may only receive services if they establish by a preponderance of the evidence that the failure to register was not knowing and willful. The local board, subgrantee, or contractor that enrolls individuals in WIA Title I-funded activities, and is thereby authorized to approve the use of WIA Title I grant funds, is the entity responsible for evaluating the evidence presented by the individual and determining whether the failure to register was a knowing and willful failure.

Evidence presented may include the individual’s written explanation and supporting documentation of his circumstances at the time of the required registration and the reasons for failure to register. The individual should be encouraged to offer as much evidence and in as much detail as possible to support his case. The following are examples of documentation that may be of assistance in making a determination in these cases:
1. Service in Armed Forces. Evidence that a man has served honorably in the U.S. Armed Forces such as DD Form 214 or his Honorable Discharge Certificate. Such documents may be considered sufficient evidence that his failure to register was not willful or knowing.

2. Third Party Affidavits. Affidavits from parents, teachers, employers, doctors, etc. concerning reasons for not registering, may also be helpful to local boards in making determinations in cases regarding willful and knowing failure to register.

In order to establish consistency regarding the implementation of the requirement, local boards should consider the following questions when determining whether a failure to register is knowing and willful.

In determining whether the failure was “knowing,” the authorized organization should consider:

- Was the individual aware of the requirement to register?
- If the individual knew about the requirement to register, was he misinformed about the applicability of the requirement to him (e.g., veterans who were discharged before their 26th birthday was occasionally told that they did not need to register)?
- On which date did the individual first learn that he was required to register?
- Where did the individual live when he was between the ages of 18 and 26?
- Does the status information letter indicate that Selective Service sent letters to the individual at that address and did not receive a response?

In determining whether the failure was “willful”, the authorized organization should consider:

- Was the failure to register done deliberately and intentionally?
- Did the individual have the mental capacity to choose whether or not to register and decided not to register?
- What actions, if any, did the individual take when he learned of the requirement to register?

If an authorized organization determines it was not a knowing and willful failure and the individual is otherwise eligible, services may be provided. If the authorized organization determines that evidence shows that the individual’s failure to register was knowing and willful, WIA services must be denied. Individuals denied services must be advised of available WIA grievance procedures. Authorized organizations must keep documentation related to evidence presented in determinations related to Selective Service.

**SELF-SUFFICIENCY WAGE DETERMINATION**

The term “self-sufficiency” in 29 CFR 663.220(b) only applies in the context of establishing eligibility for employed adults and employed dislocated workers to receive intensive and training services under WIA. A determination that an employed adult or dislocated worker is in need of intensive and training services to obtain or retain employment that leads to self-sufficiency is one of the criteria for the receipt of such services. This provision serves as a “limiter” in determining service eligibility for such employed workers, which helps ensure that intensive services are provided to those employed adults or dislocated workers most-in-need of such services, such as individuals employed in low skill/low wage jobs and dislocated workers who may be working but who have not achieved self-sufficiency as defined by the Local Board.

Local Boards must develop a policy that sets the criteria for determining whether employment leads to self-sufficiency. At a minimum, such criteria must provide that self-sufficiency means employment that pays at least the lower living standard income level, as defined in WIA section 101(24). The special needs of individuals with disabilities or other barriers to employment should be taken into account when setting criteria to determine self-sufficiency.

Self Sufficiency wage cannot be waived for any participant. There can be only one definition of self-sufficiency wage in each local area and it may not vary by program activities.
Sample Findings and Required Action from USDOL Reviews

Finding #1: Insufficient Eligibility Documentation
Of the thirteen dislocated worker files reviewed, one did not contain sufficient eligibility documentation. The particular file was identified and discussed with local staff. One of the elements for dislocated worker eligibility is the determination that a participant has been terminated or laid off as defined in the WIA at §101(9). The participant file in question included a letter from the employer indicating the participant's position was being eliminated; however, the name on the letter does not adequately reflect the participant’s identity. All other files reviewed contained all required eligibility documentation, and this appears to be an isolated case.

Required Action #1: The Grantee Name must verify the eligibility of the questioned participant and provide copies of the eligibility documentation. If the participant is found to be ineligible for the dislocated worker services, all funds expended on this participant are questioned and may be considered disallowed costs.

Finding #2: Case Files
None of the 13 case files reviewed were in full compliance with the Name of Policy. For example, six of the 13 files reviewed were missing participant time sheets, 12 of the 13 contained incomplete or inaccurate documents, two had incomplete employability development plans, and one was missing dislocated worker eligibility documentation.

Required Action #2: All active case files must be reviewed and updated to ensure each file meets all requirements of local policy. Additionally, the Grantee Name must verify the eligibility of the questioned dislocated worker participant and provide copies of the eligibility documentation to the Monitor’s Agency. If the participant is found to be ineligible for dislocated worker services, all dislocated worker funds expended on this participant are questioned and an accounting adjustment may be required.

Finding #3: Follow-up activities are delinquent
Of the eleven files reviewed, seven did not have up-to-date documentation of follow-up services. The most recent follow-up service documented in the files was from February 2009. While the WIA regulations at §662.240 require that follow-up services be made available for not less than 12 months after the first day of employment, Grantee Name’s PY09 grant agreement with the service provider requires follow-up for three quarters following exit.

Required Action #3: A review of all participant files of clients that have been placed in unsubsidized employment must occur to ensure that all follow-up activities are occurring and that documentation is up-to-date.

Finding #4: Core and Intensive Services
Core and intensive services are not being provided to dislocated workers prior to enrollment in training. WIA regulations §663.160(a) states “an individual must receive at
least one core service...before receiving intensive services.” In addition, §663.240 states, “an individual must receive at least one intensive service...before the individual may receive training services.”

**Required Action #4:** With guidance from the respective local areas, the service provider must immediately begin providing the required sequence of services that includes core and intensive.

**Finding #5: Inaccurate Exit**
Participants are not being exited according to Training and Employment Guidance Letter (TEGL) 17-05, Common Measures Policy for ETA Performance Accountability System and Related Performance Issues, dated February 17, 2006. Instead of exiting after a 90-day gap in service, participants remain enrolled in case management, prohibiting them from exiting the program until the case manager determines they should be exited. The date of exit for 10 of the 13 participant files reviewed indicated participants remained in the program for an average of 20 months following their appropriate exit date. According to TEGL 17-05, once a participant has not received any WIA-funded or partner services for 90 days, that participant has exited WIA for the purposes of inclusion in the core measures. The exit date is the last date of WIA-funded or partner services received (except follow-up services).

Furthermore, TEGL 17-05 highlights specific criteria and guidance on the exit of participants to determine performance outcomes. If the date of exit is not accurately recorded, post-exit data that are utilized to determine performance outcomes will be incorrect and, consequently, performance outcomes will not be accurate.

**Required Action #5:** The Grantee Name must develop and implement a policy that is consistent with TEGL 17-05 guidance and relevant State policy. The policy must be provided with the official response to this report. Additionally, the Grantee Name must immediately exit any participant that has not received not received any WIA-funded or partner services within the last 90 days.

**Finding #6: Eligibility Documentation, Individual Employment Plans and Case Notes**
The 30 participant files reviewed did not contain required documentation, such as eligibility documentation, comprehensive individual employment plans (IEP) and case notes. For example, 10 of the 30 files did not contain eligibility documentation, and 10 files did not contain a comprehensive IEP with participant employment goals or the combination of services to assist in achieving these goals. Since 19 of the files lacked case notes, the effectiveness of service delivery and service strategies could not be determined. 20 CFR 663.110 states the eligibility criteria for core services and 20 CFR 663.220 and 663.310 states the eligibility for intensive and training services and 20 CFR 663.240 and 663.245 indicates the purpose and documentation required in an IEP.

**Required Action #6:** The Grantee Name must conduct a complete analysis of all participant files to ensure that each file contains the needed eligibility documentation. Additionally, the IEPs of active participants must be updated and used to identify employment goals and services needed. The Grantee Name must determine the reason for
the lack of case notes and comprehensive IEPs. Technical assistance and guidance must be provided to workforce center staff as needed to prevent a reoccurrence of this finding.

**Finding #7:** Required Individual Service Strategies (ISS) are not being properly developed for youth participants. There are no individualized employment goals, strategies or objectives recorded, just a standard checklist of what a participant is expected to do. As a result, the reviewers could not determine the youth goals or their progress.

**Reference:** WIA section 129 (c)(1)(B) and 20 CFR §664.405 states that the ISS is a required component of the youth program. WIA law and regulations state that the ISS shall contain certain elements including identifying age-appropriate career goals, appropriate achievement objectives and consideration of the assessment results for each youth.

**Required Action #7:** An ISS must be developed for each youth participant that contains short or long term goals and strategies for overcoming barriers identified in the initial assessment process. The goals must be comprehensive to each individual participant. An ISS, signed by both the case manager and participant, is evidence that the plan was mutually discussed and jointly developed. Local programs have the discretion to determine what specific program services will be provided to a youth participant, based on each participant’s objective assessment and individual service strategy. The ISS must be maintained in the participant’s file and updated as each goal is reached.

**Finding #8:** A review of agency records and interviews with staff revealed that post program assessments are not being conducted to determine basic skills attainment.

**Reference:** 20 CFR§ 666.100 states, in part, “For the youth program the core indicators of performance are attainment of basic skills goals …” Training and Employment Guidance Letter (TEGL) 17-05 dated February 17, 2006, Common Measures Policy for the Employment and Training Administration Performance Accountability System and Related Performance Issues states, "participants identified as basic skills deficient must be post-tested at least once by the end of year one following the individual’s date of first youth program service.”

**Required Action #8:** The *Grantee Name* must ensure post assessments on each out-of-school youth are conducted to help determine the attainment of basic skills goals. Post assessments are critical to determine if a participant attained the necessary one basic skills goal per year with a maximum of three goals per year. The participant may also set work readiness and/or occupational skills goals, if appropriate. The target date for accomplishing each skill goal must be set for no later than one year. *Grantee Name* must conduct a review of all youth participants that are determined basic skills deficient and conduct post assessments as required.
Links to Additional Monitoring Tools

Search “Monitoring WIA” in your internet browser

**ETA Core Monitoring Guide**

**Colorado Policies:**
- PGL 08-18 WIA: Annual Compliance Monitoring and Risk Assessment Guidelines

**Florida Monitoring Tools**
- [http://www.floridajobs.org/workforce-board-resources/program-monitoring-and-reports/program-monitoring-review](http://www.floridajobs.org/workforce-board-resources/program-monitoring-and-reports/program-monitoring-review)

**Kentucky Monitoring Tool**

**Minnesota Monitoring Tools**
- [http://www.positivelyminnesota.com/All_Programs_Services/Workforce_Investment_Act/WIA_Policies/Monitoring.aspx](http://www.positivelyminnesota.com/All_Programs_Services/Workforce_Investment_Act/WIA_Policies/Monitoring.aspx)

**Montana Policies**

**Nebraska Monitoring Tool**

**New Mexico Policies**
- [http://www.dws.state.nm.us/WIAPolicyPlansAnnualReports](http://www.dws.state.nm.us/WIAPolicyPlansAnnualReports)

**New York Monitoring Tool**
- [http://www.labor.state.ny.us/workforcenypartners/emg/emgtoc.htm](http://www.labor.state.ny.us/workforcenypartners/emg/emgtoc.htm)

**Ohio Youth Monitoring Guide**
- [http://jfs.ohio.gov/owd/WorkforceProf/Youth/Docs/Infobrief46_Monitoring_WIA_Youth_Contracts.pdf](http://jfs.ohio.gov/owd/WorkforceProf/Youth/Docs/Infobrief46_Monitoring_WIA_Youth_Contracts.pdf)

**Tennessee Monitoring Plan and Tools**