

PY21 WIOA Monitoring Report

Pacific Mountain Workforce Development Council

Serving Grays Harbor, Lewis, Pacific, Thurston, and Mason Counties

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Monitoring Review Dates:

January 10-14, 2022

January 17-21, 2022

January 24, 2022



Table of Contents
Pacific Mountain Workforce Development Council

EXECUTIVE SUMMARY 3

MONITORING REVIEW COMMUNICATIONS 4

DOCUMENTATION OF REVIEW 5

MONITORING OBSERVATIONS 5

RESULTS 6

EXECUTIVE SUMMARY

Background and Monitoring Objective

Employment Security Department's Workforce Monitoring Unit (ESD's Monitoring Unit) conducted an annual compliance review of Pacific Mountain Workforce Development Council (PacMtn WDC) on January 10-14, 2022, January 17-21, 2022, and January 24, 2022. The review was conducted in accordance with the Uniform Administrative Requirements 2 CFR Part 200; the Workforce Innovation and Opportunity Act (WIOA), Sec. 184(a)(4); and additional requirements established by Department of Labor Employment and Training Administration (DOLETA) and ESD policies, rules, and regulations.

Scope

In keeping with general monitoring practices, not all transactions and activities were examined. ESD's Monitoring Unit randomly selected individual participant files and administrative/fiscal documents for review.

The following areas were examined and tested during this review period:

WIOA Title I Formula Program Review

WIOA Program Policies

- Eligibility Guidelines and Documentation Requirements (ESD Policy 1019, Rev. 5)
- Supportive Services and Needs-Related Payments (ESD Policy 5602, Rev. 2)
- All Other policies and/or procedures, memos, technical assistance guides, etc. developed for the implementation of your WIOA formula and/or discretionary grants.

WIOA Adult and Dislocated Worker Programs

- Eligibility
- Priority of Service (Adult Program Only)
- Support Services
- MIS/ETO- Data Element Validation

WIOA Youth Program

- Eligibility
- Support Services
- MIS/ETO- Data Element Validation

COVID-19 Employment Recovery Dislocated Worker Grant; and COVID-19 Disaster Recovery Dislocated Worker Grant

- Participant Eligibility
- Program Enrollment
- Basic and Individualized Services
- Support Services
- Training Services

- Outcomes
- Program Completion
- Follow-up Services
- Self-Attestation
- MIS/ETO- Data Element Validation
- Case Notes

WIOA Title I Formula Administrative and Fiscal Review

- Design and Governance of the LWDB
- MOU/IFA/RSA
- One-Stop Operator, if applicable
- Policies/Procedures
- Administrative Controls and Monitoring (Subrecipient/Contractor and Pass-Through Entity)
- Internal Controls
- Cash and Financial Management
- Procurements & Contracts
- Cost Allocation Plan or Rate
- Property & Inventory
- Single audit
- Personnel
- Grievance and Complaint
- Support Services & Needs Related Payments
- Incumbent Worker, if applicable

Statewide Discretionary Contracts Compliance Review

Economic Security for All (EcSA); Increased Employment (Rapid Response); COVID-19 Disaster Recovery Dislocated Worker Grant; COVID-19 Employment Recovery Dislocated Worker Grant

Administrative and Fiscal

- Cash and Financial Management/A19 Reimbursements
- Administrative Controls (Sub-recipient Monitoring)
- Procurements & Contracts
- Personnel Activity Reports and Cost Allocation

MONITORING REVIEW COMMUNICATIONS

To ensure transparent communication occurred during the monitoring review, ESD’s Monitoring Unit conducted an on-site entrance meeting with PacMtn WDC staff on the first day of the review. The entrance meeting provided an opportunity for the monitoring agenda to be finalized, points of contact identified and confirmation of other monitoring related activities. The entrance meeting also provided an opportunity for PacMtn WDC staff to share changes that occurred in their area since the last ESD monitoring review, challenges, and successes they have experienced, and future endeavors.

There were regularly scheduled daily meetings with ESD’s Monitoring Unit and PacMtn WDC’s administrative, fiscal, and program staff to maintain engagement and communication during the on-site review.

The exit meeting provided PacMtn WDC staff with a summary of the compliance review, outstanding items to address (if applicable), noted practices observed during the visit, and next steps in the ESD monitoring process.

DOCUMENTATION OF REVIEW

Daily Observation Reports (DORs) were shared with PacMtn WDC staff throughout the review summarizing ESD Monitoring Unit's activities and observations up to that point. DORs included any items to address, questioned or disallowed costs (if applicable), and documentation of items to address that may have been resolved during the review. The final DOR from the review was provided to PacMtn WDC staff on January 25, 2022.

MONITORING OBSERVATIONS

Program – WIOA Youth:

ESD's Monitoring Unit reviewed ten (10) WIOA Youth files. There were no findings, questioned costs or disallowed costs.

Program – WIOA Adult:

ESD's Monitoring Unit reviewed ten (10) WIOA Adult files. There were no findings, questioned costs or disallowed costs.

Program – WIOA Dislocated Worker:

ESD's Monitoring Unit reviewed ten (10) WIOA Dislocated Worker files. There were no findings, questioned costs or disallowed costs.

Program – COVID-19 Employment Recovery Dislocated Worker Grant:

ESD's Monitoring Unit reviewed five (5) COVID-19 Employment Recovery Dislocated Worker Grant files. There were no findings, unresolved questioned costs or disallowed costs.

Program – COVID-19 Disaster Recovery Dislocated Worker Grant:

ESD's Monitoring Unit reviewed five (5) COVID-19 Disaster Recovery Dislocated Worker Grant files. There were no findings, questioned costs or disallowed costs.

Administrative & Fiscal Review:

The Monitoring Unit found the following administrative and fiscal procedures to be compliant with State and Federal requirements:

- Design and Governance of the LWDB
- MOU/IFA/RSA
- One-Stop Operator
- Policies/Procedures
- Administrative Controls and Monitoring (Subrecipient/Contractor and Pass-Through Entity)
- Internal Controls
- Cash and Financial Management
- Procurements & Contracts

- Cost Allocation Plan or Rate
- Property & Inventory
- Single Audit
- Personnel
- Grievance and Complaint
- Support Services & Needs Related Payments

RESULTS

ESD's Monitoring Unit determined, as a result of the review, there are no findings, unresolved questioned costs or disallowed costs.