



**Employment  
Security  
Department**  
WASHINGTON STATE

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2023

## *PY22 WIOA Monitoring Report*

### **Pacific Mountain Workforce Development Council**

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

#### *Workforce Monitoring Unit Review Team*

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Monitoring Review Dates:

January 17 – February 13, 2023

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**Table of Contents**  
**Pacific Mountain Workforce Development Council**

**EXECUTIVE SUMMARY ..... 3**

**MONITORING REVIEW COMMUNICATIONS ..... 5**

**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 17 – February 13, 2023. 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. 6)
- Supportive Services and Needs-Related Payments (ESD Policy 5602, Rev. 3)
- All other policies and/or procedures, memos, technical assistance guides, etc., developed for the implementation of your WIOA formula and/or discretionary grants edited or published since the last state review.

#### *WIOA Adult Program*

- Eligibility
- Priority of Service
- All Direct Participant Costs
- MIS/ETO- Data Element Validation

#### *Dislocated Worker Program*

- Eligibility
- Program Enrollment
- Basic and Individualized Services
- All Direct Participant Costs
- Training Services
- Outcomes
- Program Completion
- Follow-up Services
- Self-Attestation
- MIS/ETO-Data Element Validation

- Case Notes
- TAA/DW Co-enrollment

### ***WIOA Youth Program***

- Eligibility
- All Direct Participant Costs
- MIS/ETO- Data Element Validation

### ***Opioid Disaster Recovery Dislocated Worker Grant***

- Participant Eligibility
- Program Enrollment
- Basic and Individualized Services
- All Direct Participant Costs
- Training Services
- Outcomes
- Program Completion
- Follow-up Services
- Self-Attestation
- MIS/ETO-Data Element Validation
- Case Notes
- TAA/DW Co-enrollment

## **Statewide Discretionary Contracts Program Review**

### ***State Economic Security for All (EcSA)***

- Participant Eligibility
- Program Enrollment
- Basic and Individualized Services
- All Direct Participant Costs
- Training Services
- Outcomes
- Program Completion
- Follow-up Services
- Self-Attestation
- MIS/ETO
- Case Notes

## **WIOA Title I Formula Administrative and Fiscal Review**

- Design and Governance of the LWDB including sunshine provisions
- MOU/IFA
- 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
- Single audit
- Personnel
- Grievance and Complaint

## **Statewide Discretionary Contracts Administrative and Fiscal Review Federal and State Economic Security for All (EcSA); COVID-19 Disaster Recovery Dislocated Worker Grant; COVID-19 Employment Recovery Dislocated Worker Grant; and Opioid Disaster Recovery Dislocated Worker Grant**

### **Administrative and Fiscal**

- Cash and Financial Management
- Administrative Controls (Subrecipient 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 to finalize the monitoring agenda, identify points of contact, and confirm other monitoring related activities. The entrance meeting also provided an opportunity for PacMtn WDC staff to share the changes, challenges, and successes that have occurred in their area since the last ESD monitoring review, and to share their future plans.

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), observations during the review, 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 February 13, 2023.

## **MONITORING OBSERVATIONS**

### **Program – WIOA Adult:**

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

### **Program – WIOA Dislocated Worker:**

ESD's Monitoring Unit reviewed ten (10) WIOA Dislocated Worker files. There were no

findings, unresolved questioned costs, or disallowed costs.

**Program – WIOA Youth:**

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

**Program – Opioid Disaster Recovery Dislocated Worker Grant:**

ESD’s Monitoring Unit reviewed five (5) Opioid Disaster Recovery DWG files. There were no findings, unresolved questioned costs, or disallowed costs.

**Program –State Economic Security for All (EcSA):**

ESD’s Monitoring Unit reviewed five (5) State EcSA files. There were no findings, unresolved 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
- Single Audit
- Personnel
- Grievance and Complaint
- Support Services & Needs Related Payments
- Incumbent Worker

**RESULTS**

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