

WIOA Title I B Core Programs and Dislocated Worker Grants

1. Before each Local Workforce Development Board (LWDB) monitoring entrance, LMEA provides Monitoring with a participant list to sample records from.
2. Records are selected based on a timeframe that includes all new enrollments since the last monitoring review up to the time the participant list was created. Records are also sampled based off of the level of service delivery, giving preference to records with support services, services that showed up as carry over items to address from the previous monitoring cycle and higher monetary risk services such as Occupational Skills Trainings, On the Job Trainings and Work Experience.
3. Sample size and methodology:
 - a. For each of the 12 LWDB Monitoring Reviews
 - i. Each core Title I-B program has 10 records selected, with a minimum number of files reviewed depending on resources.
 - ii. Each DWG program, as identified in scope on the LWDB monitoring entrance letter, has 5 records selected with a minimum number of files reviewed depending on resources.
 - iii. If less than the 10 or 5 records, respectively, appear in the table, all will be sampled.
 - iv. During early stages of the COVID-19 pandemic in PY19, there were 4 LWDB's where participant files were not reviewed for DEV. A smaller sample of PY19 records were reviewed along with PY20 records, for those LWDB's during the PY20 review.
 - b. The sample size methodology is based on a fixed number of participant records, the required data elements selected for review are identified on each PY19 and PY20 Program Participant File Checklists, being reviewed per the resources available. The sample includes a mix of active and exited participant records.
4. Failures are documented on each participant file checklist as an item to address, with actions required to correct the individual file or to correct the process moving forward.
5. Errors in the majority of files were also documented on the Daily Observation Reports with additional actions required from the LWDB's.

Wagner-Peyser

1. Annually, LMEA provides Monitoring with a participant record table that includes the PIRL data values to be validated against source documentation.
2. Using the "rnum" field to create a random sort of table, for PY19 records, the first 25 unduplicated participant records are selected. For PY20 records, sorted from largest to smallest "rnum" every fifth unduplicated record was selected.
3. Sample size and methodology
 - a. A random sample of 25 records is selected, including some MSFW
 - b. The sample size methodology is based on a fixed number of participant records with all required data elements being reviewed per the resources available. The sample includes a mix of active and exited participant records.
4. Monitoring provides LMEA with the sampled records to obtain the identified wage data elements that are data validated by LMEA.

PY19 and PY20 DEV Scope of Review

- a. This request takes 12-14 days. Monitoring will provide LMEA these record selections by the Friday of the week LMEA provides the random sample table.
 - b. LMEA validates the following data elements: 1600-1607; 1614-1618 (1610, 1612, and 1613 elements are not being populated at this time); 1700-1706.
 - c. Monitoring validates all other data elements as identified in each program's DEV Worksheet.
5. Timelines and documentation of error resolution:
- a. Once the review is completed, Monitoring will provide the Wagner-Peyser program and System Performance with the DEV Worksheets showing items that failed and they will be required to resolve the items identified and communicate to us when resolved or, if they can't, why they can't.
 - b. The DEV Worksheets will identify passes and failures for each record by element. A comment will be added to each cell in the worksheet identified as a "f" with notes about the failure.
 - c. The data Element Pass / Fail column in the DEV Worksheet indicates whether each data element passed or failed based on exceeding the 10% programmatic pass/fail ratio as prescribed in ESD Policy 1003, Rev. 2. If any element fails, each respective unit will be required to develop and submit a corrective action plan.
 - d. Wagner-Peyser and System Performance has 60 business days to resolve errors, document resolution and outcome, or reason for failure to resolve in the respective program worksheet and send the completed worksheet back to the Monitoring unit. Each respective unit will use the reply feature in each comment to document and communicate the resolution, or reason for failure to resolve.

Trade Adjustment Assistance (TAA)

1. Before each Trade Adjustment Assistance monitoring entrance, TAA Monitor will run an ETO Operational Report -> Case Management Report to sample records from.
2. Records are selected based on a variable timeframe in order to reach the desired sample size for the WorkSource office under review in that current quarter. Records are also sampled based off of the level of service delivery, giving preference to records with higher monetary risk services such as Occupational Skills Trainings, On the Job Trainings, Transportation, Job Search Allowance, Relocation Allowances, and RTAA/ATAA Services.
3. Sample Size and Methodology
 - a. Annually a sample of 80 records will be selected and reviewed. The four quarterly samples within a calendar year will cover at least four different regions of the state. (20 records each quarter will include cases from at least 2 certifications)
 - b. The sample size methodology is based on a fixed number of participant records, the required data elements selected for review are identified on each PY19 and PY20 Program Participant File Checklists, being reviewed per the resources available. The sample includes a mix of active and exited participant records.
4. Failures are documented on each participant file checklist as an item to address, with actions required to correct the individual file or to correct the process moving forward.
5. Errors identified in the Monitoring Response Document outlined actions required from the WorkSource office under review. The WorkSource office has 30 business days to make

PY19 and PY20 DEV Scope of Review

corrections and respond. The Monitoring Response Document also identifies staff training needs and areas for program improvement.