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| 1. **ELIGIBILITY** | | | | |
| **1-A. Selective Service Registration**  All males (U.S. citizens and aliens living in the U.S.) born after January 1, 1960 must be registered with Selective Service.  **SELF-ATTESTATION:**   * **ESD Policy 1019, Rev. 4:**   + Self-attestation of Selective Service Registration is acceptable for ISD co-enrollment, Basic Career Services only   + Full eligibility documentation is required for participants pursuing Individualized Career Services or Training Services | **N/A-**  Female  Born before Jan. 1, 1960  Entered US after age 26   * Participant was registered with Selective Service Registration or received a waiver: *[WIOA Section 189(h)]*   **YES, Validated by one of the following:** *(ESD Policy 1019, Rev. 4)*  DD-214  Online SS Verification  SS Acknowledgement letter  Other:  **NO, Unable to Validate**  **Reporting:**   * Selective Service Registration is recorded in MIS:   *(20 CFR 677.235)*  **YES, No Issue Identified**  **NO, one or more issue identified** | No Issues Identified  Items to Address  Questioned Cost  Data Validation Issues  Observation | No Action Required  Action Required:  Recommendation: | |
| **1-B. Legally Entitled to Work in**  **the U.S.**   * Citizens; * Nationals; * Lawfully admitted permanent resident aliens; * Refugees; * Asylees; * Parolees; and * Other immigrants authorized by the Attorney General to work in the United States. | * Participant was eligible to work in the U.S.:   *(WIOA Section 3(2); ESD Policy 1019, Rev. 4)*  **YES, Validated by one of the following:** *(ESD Policy 1019, Rev. 4)*  ID & SS card  Self-attestation:   * Self-attestation was a signed and dated **paper version from ESD Policy 1019, Rev. 4** or a substantially similar version:   **YES, No Issues Identified**  **NO, one or more issues identified**   * Self-attestation was a signed and dated **paper WIOA eligibility** application:   **YES, No Issues Identified**  **NO, one or more issues identified**   * Self-attestation was a signed and dated **MIS WIOA Application**:   **YES, No Issues Identified**  **NO, one or more issues identified**   * The reason for using self-attestation was documented in case notes as recommended by DOL and ESD Policy 1019, Rev. 4:   **YES, No Issues Identified**  **NO, Could not Locate**  Other:  **NO, Unable to Validate**    **Reporting:**   * Eligibility to work in the U.S. is recorded in MIS:   *(20 CFR 677.235)*  **YES, No Issue Identified**  **NO, one or more issue identified** | No Issues Identified  Items to Address  Questioned Cost  Data Validation Issues  Observation | No Action Required  Action Required:  Recommendation: | |
| **1-C. General Dislocation**  **definition**   * **ESD WS System Policy 1019, Rev. 4:**    + An individual who was terminated, laid off, or received a notice of termination or layoff, ***AND***   + Is determined unlikely to return to previous industry or occupation (as defined by LWDB policy), ***AND***   + Is eligible for or has exhausted entitlement to unemployment compensation; ***OR***   + Is not eligible for unemployment compensation but can show attachment to the workforce of sufficient duration. * **TEGL 4-18**   + An individual temporarily or permanently laid off as a consequence of the disaster or emeergency. | **N/A, Not enrolled under this category**   * Participant met the *“General Dislocation”* eligibility criteria: *(20 CFR 677.235)*   **YES, Validated by one of the following:** *(ESD Policy 1019, Rev 4)*  Self-attestation:   * Self-attestation was a signed and dated **paper version from ESD Policy 1019, Rev. 4** or a substantially similar version:   **YES, No Issues Identified**  **NO, one or more issues identified**   * Self-attestation was a signed and dated **paper WIOA eligibility** application:   **YES, No Issues Identified**  **NO, one or more issues identified**   * Self-attestation was a signed and dated **MIS WIOA Application**:   **YES, No Issues Identified**  **NO, one or more issues identified**   * The reason for using self-attestation was documented in case notes as recommended by DOL and ESD Policy 1019, Rev. 4:   **YES, No Issues Identified**  **NO, Could not Locate**  Verification from employer  Notice of layoff  UI wage records  Other:  **NO, Unable to Validate**  **Reporting:**   * General Dislocation is recorded in MIS: *(20 CFR 677.235)*   **YES, No Issue Identified**  **NO, one or more issue identified** | No Issues Identified  Items to Address  Questioned Cost  Data Validation Issues  Observation | No Action Required  Action Required:  Recommendation: | |
| **1-D. Plant Closure/ Substantial**  **Layoff**  **definition**   * **ESD WS System Policy 1019, Rev. 4:**   + An individual who was terminated, laid off, or received a notice of layoff from employment at a plant, facility, or enterprise as a result of a permanent closure or substantial layoff; ***OR***   + An individual employed at a facility at which the employer has made a general announcement that the facility will close within 180 days. | **N/A, Not enrolled under this category**   * Participant met the *“Plant Closure/Substantial Layoff”* eligibility criteria: *(20 CFR 677.235)*   **YES, Validated by one of the following:** *(ESD Policy 1019, Rev 4)*  Self-attestation:   * Self-attestation was a signed and dated **paper version from ESD Policy 1019, Rev. 4** or a substantially similar version:   **YES, No Issues Identified**  **NO, one or more issues identified**   * Self-attestation was a signed and dated **paper WIOA eligibility** application:   **YES, No Issues Identified**  **NO, one or more issues identified**   * Self-attestation was a signed and dated **MIS WIOA Application**:   **YES, No Issues Identified**  **NO, one or more issues identified**   * The reason for using self-attestation was documented in case notes as recommended by DOL and ESD Policy 1019, Rev. 4:   **YES, No Issues Identified**  **NO, Could not Locate**  Verification from employer  Notice of layoff  UI wage records  Other:  **NO, Unable to Validate**  **Reporting:**   * Plant Closure or Substantial Layoff is recorded in MIS:   *(20 CFR 677.235)*  **YES, No Issue Identified**  **NO, one or more issue identified** | No Issues Identified  Items to Address  Questioned Cost  Data Validation Issues  Observation | No Action Required  Action Required:  Recommendation: | |
| **1-E. Self-Employed**  **definition**   * **ESD WS System Policy 1019, Rev. 4:**   + Was self-employed (including employment as a farmer, rancher or fisherman), but is unemployed as a result of general economic conditions in the community in which the individual resides or because of natural disasters. * **TEGL 4-18**   + A self-employed individual who became unemployed or significantly underemployed as a result of the emergency or disaster. | **N/A, Not enrolled under this category**   * Participant met the *“Self-employment”* eligibility criteria: *(20 CFR 677.235)*   **YES, Validated by one of the following:** *(ESD Policy 1019, Rev 4)*  Self-attestation:   * Self-attestation was a signed and dated **paper version from ESD Policy 1019, Rev. 4** or a substantially similar version:   **YES, No Issues Identified**  **NO, one or more issues identified**   * Self-attestation was a signed and dated **paper WIOA eligibility** application:   **YES, No Issues Identified**  **NO, one or more issues identified**   * Self-attestation was a signed and dated **MIS WIOA Application**:   **YES, No Issues Identified**  **NO, one or more issues identified**   * The reason for using self-attestation was documented in case notes as recommended by DOL and ESD Policy 1019, Rev. 4:   **YES, No Issues Identified**  **NO, Could not Locate**  UI wage records  Other:  **NO, Unable to Validate**  **Reporting:**   * Self-Employed is recorded in MIS:  *(20 CFR 677.235)*   **YES, No Issues Identified**  **NO, one or more issue identified** | No Issues Identified  Items to Address  Questioned Cost  Data Validation Issues  Observation | No Action Required  Action Required:  Recommendation: | |
| **1-F. Displaced Homemaker**  **definition**   * **ESD WS System Policy 1019, Rev. 4:**   + An individual who was dependent on the income of another family member and is no longer supported by the income of that family member; ***OR***   + Is the dependent spouse of a member of the armed forces on active duty and whose family income is significantly reduced because of a deployment, a call or order to active duty, or a service connected death or disability of the member. ***AND***   + Is unemployed or underemployed and is experiencing difficulty in obtaining or upgrading employment.   **Date of dislocation**   * **TEGL 22-15**:   + **Date of Dislocation does not apply to Displaced Homemaker** | **N/A, Not enrolled under this category**   * Participant met the *“Displaced Homemaker”* eligibility criteria*: (20 CFR 677.235)*   **YES, Validated by one of the following:** *(ESD Policy 1019, Rev 4)*  Self-attestation:   * Self-attestation was a signed and dated **paper version from ESD Policy 1019, Rev. 4** or a substantially similar version:   **YES, No Issues Identified**  **NO, one or more issues identified**   * Self-attestation was a signed and dated **paper WIOA eligibility** application:   **YES, No Issues Identified**  **NO, one or more issues identified**   * Self-attestation was a signed and dated **MIS WIOA Application**:   **YES, No Issues Identified**  **NO, one or more issues identified**   * The reason for using self-attestation was documented in case notes as recommended by DOL and ESD Policy 1019, Rev. 4:   **YES, No Issues Identified**  **NO, Could not Locate**  Public assistance records  Divorce papers  Spouse’s layoff notice  **NO, Unable to Validate**  **Reporting:**   * Displaced Homemaker is recorded in MIS: *(20 CFR 677.235)*   **YES, No Issues Identified**  **NO, one or more issue identified** | No Issues Identified  Items to Address  Questioned Cost  Data Validation Issues  Observation | No Action Required  Action Required:  Recommendation: | |
| **1-G. Dislocated/Separating**  **Military Service Member**  **definition**   * **ESD WS System Policy 1019, Rev. 4:**    + A non-retiree military service member who was discharged or released from service under other than dishonorable, or has received a notice of military separation (defined by LWDB).   + **Retirement orders do not qualify as “terminated” or “laid off”.** | **N/A, Not enrolled under this category**   * Participant met the *“Dislocated or Separating Military Service Member”* eligibility criteria: *(20 CFR 677.235)*   **YES, Validated by one of the following:** *(ESD Policy 1019, Rev 4)*  Self-attestation:   * Self-attestation was a signed and dated **paper version from ESD Policy 1019, Rev. 4** or a substantially similar version:   **YES, No Issues Identified**  **NO, one or more issues identified**   * Self-attestation was a signed and dated **paper WIOA eligibility** application:   **YES, No Issues Identified**  **NO, one or more issues identified**   * Self-attestation was a signed and dated **MIS WIOA Application**:   **YES, No Issues Identified**  **NO, one or more issues identified**   * The reason for using self-attestation was documented in case notes as recommended by DOL and ESD Policy 1019, Rev. 4:   **YES, No Issues Identified**  **NO, Could not Locate**  Notice of layoff/separation  UI wage records  DD-214  Other:  **NO, Unable to Validate**  **Reporting:**   * Dislocated or Separating Military Service Member is recorded in MIS: *(20 CFR 677.235)*   **YES, No Issues Identified**  **NO, one or more issue identified** | No Issues Identified  Items to Address  Questioned Cost  Data Validation Issues  Observation | | No Action Required  Action Required:  Recommendation: |
| **I-H. Military Spouse**  **definition**   * **ESD WS System Policy 1019, Rev. 4:**   + The spouse of a member of the armed forces on active duty, and who has experienced a loss of employment as a direct result of relocation to accommodate a permanent change in duty station of such member; ***OR***   + The spouse of a member of the armed forces on active duty and who is unemployed or underemployed and is experiencing difficulty in obtaining or upgrading employment. | **N/A, Not enrolled under this category**   * Participant met the “Military Spouse” eligibility criteria:   *(20 CFR 677.235)*  **YES, Validated by one of the following:** *(ESD Policy 1019, Rev 4)*  Self-attestation:   * Self-attestation was a signed and dated **paper version from ESD Policy 1019, Rev. 4** or a substantially similar version:   **YES, No Issues Identified**  **NO, one or more issues identified**   * Self-attestation was a signed and dated **paper WIOA eligibility** application:   **YES, No Issues Identified**  **NO, one or more issues identified**   * Self-attestation was a signed and dated **MIS WIOA Application**:   **YES, No Issues Identified**  **NO, one or more issues identified**   * The reason for using self-attestation was documented in case notes as recommended by DOL and ESD Policy 1019, Rev. 4:   **YES, No Issues Identified**  **NO, Could not Locate**  Notice of layoff/separation  UI wage records  DD-214  Other:  **NO, Unable to Validate**  **Reporting:**   * Dislocated or Separating Military Service Member is recorded in MIS: *(20 CFR 677.235)*   **YES, No Issues Identified**  **NO, one or more issue identified** | No Issues Identified  Items to Address  Questioned Cost  Data Validation Issues  Observation | | No Action Required  Action Required:  Recommendation: |
| **1-K. A LONG-TERM UNEMPLOYED INDIVIDUAL** | **N/A, Not enrolled under this category**  **FILE REVIEW:**   * Participant met long-term unemployed eligibility criteria:(TEGL 4-18)   **YES, No Issus Identified**  **No, Unable to validate** | No Issues Identified  Items to Address  Questioned Cost  Data Validation Issues  Observation | | No Action Required  Action Required  Recommendation |
| **2. program enrollment** | | | | |
| **2-a. Date of Program Entry,**  **Participation**  **participant**   * **20 CFR 680.110:**   **(a)** Individuals are considered participants **when they have received a WIOA service other than self-service or information-only activities and have satisfied all applicable programmatic requirements** for the provision of services, such as eligibility determination.  **(b)** **Adults who receive services funded under Title I other than self-service or information-only activities must be registered and must be a participant***.*   * **WS System Policy 1020 Handbook**:   + Date of participation is initiated by the first program-funded qualifying service.   **MIS data entry requirements:**   * **WIN 0082:**   + Services must be entered at the point in time they are delivered;   + If services cannot be entered at the time they are delivered, services must be entered **within 14 calendar days** of service delivery and the **service date entered must always reflect** ***the date the service was delivered***. * **ESD Policy 1023 – Co-enrolled Integrated Service Delivery Policy and Operations Manual Handbook:**   + All services must be linked to an Active Program Enrollment. * **ESD Policy 1020 Data Integrity and Performance Policy and Handbook:**   + Services within the WorkSource Service Catalog are the source data for performance and outcome measurements across the WorkSource system.   + **Stakeholders within the system must review the Services Catalog on a regular basis to ensure their knowledge of available services and definitions is maintained.** | **FILE REVIEW:**   * Participant met all programmatic eligibility requirements: *[20 CFR 680.110 and TEGL 19-16)*   **YES, No Issues Identified**  **NO, Unable to Validate**   * There is documented evidence indicating a service other than self-service or information only activities was provided to the participant initiating program participation:*[20 CFR 680.110) and TEGL 19-16; TEGL 7-18]*   **YES, Documented on one of following:** *(TEGL 7-18)*  Individual Plan for Employment  Electronic Records  Program intake documents such as eligibility  determination documentation or program  enrollment forms  **NO, Unable to Validate**  **Reporting:**   * A service other than self-service or information-only activities is recorded in MIS on date of program enrollment:*(20 CFR 680.110) and TEGL 19-16; TEGL 7-18)*   **YES, No Issue Identified**  **NO, one or more issue identified** | No Issues Identified  Items to Address  Questioned Cost  Data Validation Issues  Observation | No Action Required  Action Required:  Recommendation: | |
| **2-b. Concurrent Program**  **Enrollment**  **TRACKING OF FUNDS**   * **TEGL 19-16**   + Local program operators must **identify and track the funding streams** which pay the costs of services provided to individuals who are concurrently enrolled, and   + Ensure no duplication of services. | **N/A, Not co-enrolled at the time of monitoring**  **Reporting:**   * Program enrollments are correctly recorded in MIS: *(20 CFR 677.160)*   **YES, No Issue Identified**  **NO, one or more issue identified**   * Services are correctly recorded in MIS and assigned to the appropriate program: *(20 CFR 677.160)*   **YES, No Issue Identified**  **NO, one or more issue identified** | No Issues Identified  Items to Address  Questioned Cost  Data Validation Issues  Observation | No Action Required  Action Required:  Recommendation: | |

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| **3. services** | | | |
| **3-A. Internship or Work Experience**  **(WEX)**  **MIS**  **WIN 0077, Change 6; WorkSource Services Catalog:**   * + **Individualized, Work/Internship Experience:**     - For adults and dislocated workers, work experience is a planned, structured learning experience that takes place in a workplace for a limited period of time and is linked to a career. Work experience may be paid or unpaid, as appropriate. A work experience workplace may be in the private for profit sector, the non-profit sector, or the public sector. Labor standards apply in any work experience where an employee/employer relationship, as defined by the Fair Labor Standards Act, exists.   **definition**   * **20 CFR 680.180**:   + An **internship or work experience** is a planned, structured learning experience that takes place in a workplace for a limited period of time.   + Internships and other work experience may be paid or unpaid, as appropriate and consistent with other laws, such as the Fair Labor Standards Act.   + An internship or other work experience may be arranged within the private for profit sector, the non-profit sector, or the public sector.   + **Labor standards apply** in any work experience setting where an employee/employer relationship, as defined by the Fair Labor Standards Act, exists.   **REPORTING/MIS DATA ENTRY REQUIREMENTS**   * **WIN 0082:**   + Services must be entered at the point in time they are delivered;   + If services cannot be entered at the time they are delivered, services must be entered **within 14 calendar days** of service delivery and the **service date entered must always reflect** ***the date the service was delivered***. * **ESD Policy 1023 :**   + All services must be linked to an Active Program Enrollment. * **ESD Policy 1020 Data Integrity and Performance Policy and Handbook:**   + Services within the WorkSource Service Catalog are the source data for performance and outcome measurements across the WorkSource system.   + **Stakeholders within the system must review the Services Catalog on a regular basis to ensure their knowledge of available services and definitions is maintained.** | **N/A, no documented evidence this service was**  **planned or provided**  **FILE REVIEW:**   * Contracts, time sheets, performance evaluations, and similar documentation supporting the WEX was on file for the participant: *(DOL, State guidance)*   **YES, No Issues Identified**  **NO, Unable to Locate**  Contract(s)  Time sheets  Performance evaluations | No Issues Identified  Items to Address  Questioned Cost  Data Validation Issues  Observation | No Action Required  Action Required:  Recommendation: |

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| **3-B. Supportive Services**  **MIS**   * **WIN 0077, Change 6; WorkSource Services Catalog:**   + **Program Support Services-Other (2.0)**     - This service is used when the support services being provided   does not fall into the transportation category.   * + - This may include assistance with clothing, counseling, family/health care, housing, tools, union dues, driver’s licenses, or car repairs.     - The purpose of support services is to offer a resource for participants who are actively engaged in job search, work activities or training. Support services should be provided based on the real and immediate needs of the participant.   + **Program Support Services-Transportation**     - Support services to be provided to participants prior to job placement and exiting the program. Transportation support are goods in the form of transportation assistance. The purpose of support services is to offer a resource for participants who are actively engaged in job search, work activities or training. Support services should be provided based on the real and immediate needs of the participant. * **TEGL 4-18; Contract K6215 WDA 2 Pacific Mountain Workforce Development Council Opioid Disaster PY18 NDWG :**   + Supportive services provided to participants under this grant will include traditional career and training resources (e.g., transportation assistance, books, supplies, testing assistance, and work tools and clothing), as defined by TEGL 4-18 and approved in the State’s Supportive Services policy.   **REPORTING/MIS DATA ENTRY REQUIREMENTS**   * **WIN 0082:**   + Services must be entered at the point in time they are delivered;   + If services cannot be entered at the time they are delivered, services must be entered **within 14 calendar days** of service delivery and the **service date entered must always reflect** ***the date the service was delivered***. * **ESD Policy 1019, Rev. 4:**   + Supportive services can be provided to Adults and DW (except during follow-up or after exit) **subject to also receiving a career and training services** (supportive services cannot be the only service in a participant record).   + The supportive service **can be record on or after the date of the career or training service**, and   should also **include a case note** explaining how  the supportive service connects to a career or training service. | **N/A, no documented evidence Supportive**  **Services were planned or provided**  **FILE REVIEW:**   * Supportive services were provided with WIOA funds only when the participant was unable to obtain supportive services through other resources:   *[20 CFR 680.910(a)(2)]*  **YES, No Issues Identified**  **NO, one or more issue identified**   * Documentation of supportive services is on file and meets local policy requirements: *(ESD WIOA Policy 5602)*   **YES, No Issues Identified**  **NO, one or more issue identified**  **Reporting:**   * A qualifying career or training service was provided to the participant and is recorded in MIS in conjunction to the supportive services recorded in MIS:   *(WIN 0078, Rev. 1; ESD Policy 1019, Rev. 4)*  **YES, No Issues Identified**  **NO, on one or more occasion, no supportive service is recorded in MIS**  **NO, on one or more occasion, no**  **qualifying service is recorded in MIS** | No Issues Identified  Items to Address  Questioned Cost  Data Validation Issues  Observation | No Action Required  Action Required:  Recommendation: |

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| **training services** | | | |
| **3-C. Occupational skills training**  **MIS**   * **WIN 0077, Change 6; WorkSource Services Catalog:**   + **Training, Occupational Skills Training (2.0):**      - An organized program of study for adults and dislocated workers that provides specific vocational skills that lead to proficiency in performing actual tasks and technical functions required by certain occupational fields at entry, intermediate, or advanced levels.   **Eligibility**   * **20 CFR 680.210**: Training services may be made available to employed and unemployed adults who:   **(a)** A one-stop center or one-stop partner determines, *after an interview, evaluation or assessment, and career planning*, are:   1. Unlikely or unable to obtain or retain employment that leads to economic **self-sufficiency** or wages comparable to or higher than wages from previous employment through career services; 2. In need of training services to obtain or retain employment leading to economic **self-sufficiency** or wages comparable to or higher than wages from previous employment through career services; 3. Have the skills and qualifications to participate successfully in training services;   **(b)** Select a program of training services that is **directly linked to the employment opportunities** in the local area or the planning region, or in another area to which the individuals are willing to commute or relocate;  **(c)** Are **unable to obtain grant assistance from other sources** to pay the costs of such training, including such sources as State-funded training funds, TAA, and Federal Pell Grants, or require WIOA assistance in addition to other sources of grant assistance, including Pell Grants.  **Documentation requirements**   * **20 CFR 680.220:**   **(b) The case file must contain a determination of need for training services** **as determined through the interview, evaluation, or assessment**, **and career planning** **informed by local labor market information and training provider performance information, or through any other career service received.**  There is no requirement that career services be provided as a condition to receive training services; however, **if career services are not provided before training, the Local WDB must document the circumstances that justified its determination to provide training without first providing the services described in paragraph (a) of this section.**  **(c)** There is no Federally required minimum me period  for participation in career services before receiving  training services.  **REPORTING/MIS DATA ENTRY REQUIREMENTS**   * **WIN 0082:**    + Services must be entered at the point in time they are delivered;   + If services cannot be entered at the time they are delivered, services must be entered **within 14 calendar days** of service delivery and the **service date entered must always reflect** **the date the service was delivered**. * **ESD Policy 1023 :**   + All services must be linked to an Active Program Enrollment. | **N/A, no documented evidence this service was planned or**  **provided**  **FILE REVIEW:**   * Participant attended a post-secondary education program that leads to a credential or degree from an accredited post-secondary education institution at any point during program participation: *(TEGL 7-18)*   **N/A**  **YES, Validated by one of the following**: *(TEGL 7-18)*  Copy of enrollment record  File documentation with notes from program staff  Vendor training documentation  Electronic Records  Individual Training Account  Attendance Records  **No, Unable to Validate**   * Participant was unlikely or unable to obtain or retain employment that leads to economic *self-sufficiency or wages comparable to or higher than wages from previous*   *employment* through career services: *[20 CFR 680.210(a)(1)]*  **YES, No Issues Identified**  **NO, Unable to Validate**   * The participant was *in need of training to obtain or retain*   *employment leading to economic self-sufficiency* or wages  comparable to or higher than wages from previous employment: *[20 CFR 680.210(a)(2)]*  **YES, No Issues Identified**  **NO, Unable to Validate**   * The participant had the *skills and qualifications* to participate   successfully in training: *[20 CFR 680.210(a)(3)]*  **YES, No Issues Identified**  **NO, Unable to Validate**   * Training is linked to *in-demand employment* opportunities in local area or area in which they are willing to commute or relocate: *[20 CFR 680.210(b)]*   **YES, No Issues Identified**  **NO, Unable to Validate**   * Date participant enrolled in training is documented in the file:   *(TEGL 7-18)*  **YES, Validated by one of the following:** *(TEGL 7-18)*  Copy of enrollment record  File documentation with notes from program staff  School Records  Transcript or report cards  **No, Unable to Validate**   * Evidence of participant’s satisfactory progress in training is in the file: *(WIOA Final Rule, narrative page 56177; ESD Policy 5601, Rev. 1)*   **N/A-training not started/progress not yet provided**  **YES, No Issues Identified**  **NO, Could Not Locate**   * If the participant withdrew from training, the reason for withdrawing and the revision to the participant’s employment and training plan is documented: *(WIN 0088)*   **N/A, participant did not withdraw from training**  **YES, reason for withdrawal is documented and revision to**  **participant’s employment and training program is**  **documented.**  **NO, could not locate documentation for reason for**  **withdrawing from training and/or revision to plan** | No Issues Identified  Items to Address  Questioned Cost  Data Validation Issues  Observation | No Action Required  Action Required:  Recommendation: |
| **3-C. Occupational skills training***, continued…*   * **ESD Policy 1020 Data Integrity and Performance Policy and Handbook:**   + Services within the WorkSource Service Catalog are the source data for performance and outcome measurements across the WorkSource system.   + **Stakeholders within the system must review the Services Catalog on a regular basis to ensure their knowledge of available services and definitions is maintained.** | * Evidence of training outcome is in the file:(*20 CFR 677.235)*   **N/A-still active in service**  **YES,** Documented on one of the following: *(TEGL 7-18)*  Copy of credential  Copy of school record  Follow-up survey from program participants  **Case notes** documenting information obtained from  education or training provider  **NO, Could Not Locate**  **Reporting:**   * Date withdrew/completed training is recorded in MIS:   *(TEGL 22-15; WIN 0088)*  **N/A-still active in service**  **YES, No Issues Identified**  **NO, Unable to Validate if the participant is still in training**  **NO, date withdrew/completed training is not recorded in MIS**   * Date participant began training is accurately recorded in MIS *(ETA PIRL 9170)*   **YES, No Issues Identified**  **NO, Unable to Validate** |  |  |
| **3-C(a). Consumer Choice**   * **20 cfr 680.340:**   **(a)** Training services, whether under ITAs or under contract, **must be provided in a manner that maximizes informed consumer choice in selecting an eligible provider**.  **(b)** Each Local WDB, through the one-stop center, **must make available to customers the State list of eligible training providers** required in WIOA sec. 122(d). | **N/A, not participating in applicable training service**  **FILE REVIEW:**   * Eligible Training Provider List (ETPL) was made available to the participant*: [20 CFR 680.340(b)]*   **YES, No Issues Identified**  **NO, Unable to Validate**   * Training was outside of WA State and met the requirements of local policy and ESD WIOA Policy 5611, Rev. 1:   **N/A**  **YES, No Issues Identified**  **NO, Unable to Validate** | No Issues Identified  Items to Address  Questioned Cost  Data Validation Issues  Observation | No Action Required  Action Required:  Recommendation: |
| **3-C(b). Financial Aid; Other Grant**  **Assistance**   * **ESD Policy 5601:**    + Local areas **must consider the availability of other sources of grants**, excluding loans, to pay for training costs so that WIOA funds are used to supplement but not supplant other sources.   + WIOA funds are intended to provide training services in instances when there is **no grant assistance (or insufficient assistance) from other sources** (i.e., TANF, BFET, Title IV Programs and State-funded grants) to pay for those costs.   + The use of WIOA funds to pay down a loan of an otherwise eligible participant is prohibited; however, **the mere existence of a federal loan must not impact eligibility determinations.** | **N/A, not participating in applicable training service**  **FILE REVIEW:**   * Availability of non-WIOA funds, excluding loans, was explored and outcome of efforts was documented:   *(20 CFR 680.230)*   * FAFSA/other resources were explored:   **YES, No Issues Identified**  **YES, evidence training provider was not**  **eligible for Aid**  **NO, Could Not Validate**   * Outcome of FAFSA/other resources explored was documented:   **N/A**  **YES, No Issues Identified**  **NO, Could Not Locate**   * If applicable, Dept. of Veterans Affairs training funds were exempt from the “other sources of training grants” requirement: *(WIOA Final Rules)*   **N/A**  **YES, No Issues Identified**  **NO, Unable to Validate** | No Issues Identified  Items to Address  Questioned Cost  Data Validation Issues  Observation | No Action Required  Action Required:  Recommendation: |

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| **3-D. Adult Education & Literacy**  **Activities**  **MIS**   * **WIN 0077, Change 6; WorkSource Services Catalog:**   + **Training, Adult Education and Literacy with Training (2.0):**     - Adult education and literacy instruction is intended to upgrade basic skills in order to prepare the individual for further training, future employment, or retention in present employment. Includes remedial reading, writing, mathematics, literacy training, study skills, English for non-English speakers, bilingual training, and GED preparation (including computer assisted competency training, and school to post-secondary education transition).     - This group must be offered in combination with other allowable training services (not including transitional jobs or customized training).     - If not in combination with training, this group must be recorded as a career service. * **ETA 9170 (PIRL)**: If the participant received services under WIOA Title II defined as academic instruction and education services below the post-secondary level that increases an individual’s ability to-   + Read, write, and speak in English and perform mathematics or other activities necessary for the attainment of a secondary school diploma or its recognized equivalent;   + Transition to post-secondary education and training; and   + Obtain employment   **TRAINING REQUIREMENT**   * **20 cfr 680.350:**    + **WIOA funds may provide adult education and literacy activities if they are provided concurrently or in combination with one or more of the following training services**:   **(a)** Occupational skills training, including training for nontraditional employment;  **(b)** OJT;  **(c)** Incumbent worker training;  **(d)** Programs that combine workplace training and related instruction, which may include cooperative education programs;  **(e)** Training programs operated by the private sector;  **(f)** Skill upgrading and retraining; or  **(g)** Entrepreneurial training.  **REPORTING/MIS DATA ENTRY REQUIREMENTS**   * **WIN 0082:**    + Services must be entered at the point in time they are delivered;   + If services cannot be entered at the time they are delivered, services must be entered **within 14 calendar days** of service delivery and the **service date entered must always reflect** ***the date the service was delivered***. * **ESD Policy 1023 :**   + All services must be linked to an Active Program Enrollment. * **ESD Policy 1020 Data Integrity and Performance Policy and Handbook:**   + Services within the WorkSource Service Catalog are the source data for performance and outcome measurements across the WorkSource system.   + **Stakeholders within the system must review the Services Catalog on a regular basis to ensure their knowledge of available services and definitions is maintained.** | **N/A, no documented evidence this service was**  **planned or provided**  **FILE REVIEW:**   * If WIOA funds were used for the Adult Education & Literacy Activities, they were provided in concurrence with any of the training activities in WIOA sec. 134(c)(3)(D)(i)–(vii) and 20 CFR 680.350.   **YES, No Issues Identified**  **NO, Unable to Validate** | No Issues Identified  Items to Address  Questioned Cost  Data Validation Issues  Observation | | No Action Required  Action Required:  Recommendation: | |
| **work-based training** | | | | | |
| **3-E. On-the-Job Training (OJT)**  **MIS**   * **WIN 0077, Change 6; WorkSource Services Catalog:**   + **Training, On-the-Job Training (2.0):**     - Training provided by an employer to a paid participant while engaged in productive work in a job that improves knowledge or skills essential to the full and adequate performance of the job;     - Provides reimbursement to the employer of up to 75% of the wage rate of the participant, for the extraordinary costs of providing the training and additional supervision related to the training;     - Limited in duration as is appropriate to the occupation for which the participant is being trained, taking into account the content of the training, the prior work experience of the participant, and the service strategy of the participants, as appropriate.   **ojt definition & design**   * **WIOA Sec. 3(44):**The term “**on-the-job training” means** training by an employer that is provided to a paid participant while engaged in productive work in a job that-  1. Provides knowledge or skills essential to the full and adequate performance of the job; 2. Is made available through a program that provides reimbursement to the employer of up to 50% of the wage rate of the participant, except as provided in section 134(c)(3)(H), for the extraordinary costs of providing the training and additional supervision related to the training; and 3. Is limited in duration as appropriate to the occupation for which the participant is being trained, taking into account the content of the training, the prior work experience of the participant, and the service strategy of the participant.   **OJT Wages & benefits**   * **20 CFR 683.275:**   **(a)** Individual in OJT must be compensated at the same rates, including periodic increase, as trainees or employees who are similarly situated in similar occupations by the same employer and who have similar training, experience, and skills.  **(c)** Individuals in OJT must be provided benefits and working conditions at the same level and to the same extent as other trainees or employees working a similar length of time and doing the same type of work.  **ojt contracts**   * **20 CFR 680.710: *OJT*** contracts may be written for *eligible employed workers when:*   **(a)** The employee is not earning a self-sufficient wage or wages comparable to or higher than wages from previous employment;  **(b)** The requirements of sec. 680.700 are met; and  **(c)** The OJT relates to the introduction of new technologies, introduction to new production or service procedures, upgrading to new jobs that require additional skills, workplace literacy, or other appropriate purposes identified by the Local WDB.   * **WIOA Final Rules, page 56149:**   + OJT contracts *must be continually monitored* so that WIOA funds provided through OJT contracts are providing participants the training to retain employment successfully. | **N/A, no documented evidence this service was planned or**  **provided**  **FILE REVIEW:**   * The participant’s work experience and existing knowledge and skills were considered when developing the OJT: *[WIOA Sec. 3(44)]*   **YES, No Issues Identified**  **NO, Unable to Validate**   * Contracts, time sheets, performance evaluations, and similar documentation supporting the OJT was on file for the participant: *(DOL, State guidance)*   **YES, No Issues Identified**  **NO, Could Not Locate**   * Knowledge and skills essential to the full and adequate performance of the job was documented: *[WIOA Sec. 3(44)]*   **YES, No Issues Identified**  **NO, Unable to Validate**   * The length of the OJT was appropriate to the occupation for which the participant was trained. *[WIOA Sec. 3(44)]*   **YES, No Issues Identified**  **NO, Unable to Validate**   * The participant was compensated at the same rate and provided benefits and working conditions as other employees in similar occupations by the same employer: *(20 CFR 683.275)*   **YES, No Issues Identified**  **NO, Unable to Validate**   * The OJT did not displace or partially displace other employees of the employer: *[WIOA Sec. 181(b)]*   **YES, No Issues Identified**  **NO, Unable to Validate**   * Written concurrence of the labor organization and employer was obtained, if applicable: *[WIOA Sec. 181(b)]*   **N/A**  **YES, No Issues Identified**  **NO, Unable to Validate**   * The OJT was developed with an employer who does not continuously fail to provide long-term employment with equal benefits and wages: *[WIOA Sec. 194(4)]*   **YES, No Issues Identified**  **NO, Unable to Validate**   * The service provider confirmed the employer had not relocated less than 120 days prior to the OJT and did not lay off employees at the prior location: *[WIOA Sec. 181(d)]*   **YES, No Issues Identified**  **NO, Unable to Validate**   * Factors were documented if employer was reimbursed above 50% and up to 75%: *[20 CFR 680.730(b); TEGL 19-16]*   **N/A**  **YES, No Issues Identified**  **NO, Unable to Validate**   * OJT contract was regularly monitored: *(WIOA Final Rules, page 56149)*   **YES, No Issues Identified**  **NO, Unable to Validate** | | No Issues Identified  Items to Address  Questioned Cost  Data Validation Issues  Observation | | No Action Required  Action Required:  Recommendation: |

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| **3-F. Customized Training**  **mis**   * **WIN 0077, Change 6; WorkSource Services Catalog:**   + **Training, Customized Training:**     - Training customized to meet employer needs with a commitment by an employer or group of employers to employ the individual upon successful completion of the training and for which the employer pays a significant portion of the cost of training as determined by local policy.   **eligibility, definition & design**   * **ESD WIOA Policy 5616, Rev. 1:**    + Individuals considered for customized training *must meet eligibility requirements for Adult and Dislocated Worker programs.* * **WIOA Final Rules, page 56156:**    + Customized training is used to train *individuals who are not employed with the participating employer at the start of participation.* * **20 CFR 680.760**:   **(a)** Training designed to meet the special requirements of an employer(s);  **(b)** Conducted with a *commitment by the employer to employ an individual upon successful completion of the training;* and  **(c)** Employer pays for the *significant cost of the training.*  **REPORTING/MIS DATA ENTRY REQUIREMENTS**   * **WIN 0082:**    + Services must be entered at the point in time they are delivered;   + If services cannot be entered at the time they are delivered, services must be entered **within 14 calendar days** of service delivery and the **service date entered must always reflect** ***the date the service was delivered***. * **ESD Policy 1023 :**   + All services must be linked to an Active Program Enrollment. * **ESD Policy 1020 Data Integrity and Performance Policy and Handbook:**   + Services within the WorkSource Service Catalog are the source data for performance and outcome measurements across the WorkSource system.   + **Stakeholders within the system must review the Services Catalog on a regular basis to ensure their knowledge of available services and definitions is maintained.** | **N/A, no documented evidence this service was**  **planned or provided**  **FILE REVIEW:**   * Participant met the eligibility of the Adult program:   *(ESD WIOA Policy 5616, Rev. 1)*  **YES, No Issues Identified**  **NO, Unable to Validate**   * Participant met the unemployed or employed status:*(WIOA Final Rules, page 56156 and 20 CFR 680.770)*   **YES, No Issues Identified**  **NO, Unable to Validate**   * The service provider confirmed the employer had not relocated less than 120 days prior to the training and did not lay off employees at the prior location:   *[WIOA Sec. 181(d)]*  **YES, No Issues Identified**  **NO, Unable to Validate**   * Training met the special needs of the employer:   *[(20 CFR 680.760(a)]*  **YES, No Issues Identified**  **NO, Unable to Validate**   * Employer’s commitment to employ the participant was met: *[(20 CFR 680.760(b)]*   **YES, No Issues Identified**  **NO, Unable to Validate**   * Employer is committed to pay or did pay a significant cost of training: *[(20 CFR 680.760(c)]*   **YES, No Issues Identified**  **NO, Unable to Validate** | No Issues Identified  Items to Address  Questioned Cost  Data Validation Issues  Observation | No Action Required  Action Required:  Recommendation: |

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| **3-G. Registered Apprenticeship**  **mis**   * **WIN 0077, Change 6; WorkSource Services Catalog:**   + Training that is provided through a Registered Apprenticeship training system that combines paid learning on-the-job and related technical and theoretical instruction in a skilled occupation.   **RA Reporting and Data Validation Requirements:**   * **TEGL 13-16:**    + For data validation purposes, *staff are required to flag whether or not a WIOA participant is either in a RA program at the time of program enrollment or whether they enter a RA during program participation.*   **POINT OF EXIT**   * **TEGL 13-16:**    + The point of exit should be based on when the participant is *successfully moving through the RA program and is no longer receiving services from WIOA*.   + The following two factors **should be considered when determining an appropriate exit policy**:     - **Wage Increases**: Apprentices receive progressive increases in pay as their skills and knowledge increase-this is a core element of all Registered Apprenticeships. A wage increase may be an appropriate point of exit from WIOA, as it means that apprentices have passed a milestone in their training, improved their skills, and increased their earnings-signaling that support through WIOA may no longer be needed.     - **Credential Attainment**: Many RA programs offer interim occupational credentials that can be attained by apprentices during their program. The attainment of a credential is another aspect that could be factored into the determination of an appropriate exit point from WIOA, given that this marks an important milestone in the RA program. Attainment of a credential signals that apprentices have successfully advanced along a career pathway and increased their skills in the field, and potentially moved beyond the point of needing WIOA support.   **REPORTING/MIS DATA ENTRY REQUIREMENTS**   * **WIN 0082:**    + Services must be entered at the point in time they are delivered;   + If services cannot be entered at the time they are delivered, services must be entered **within 14 calendar days** of service delivery and the **service date entered must always reflect** ***the date the service was delivered***. * **ESD Policy 1023 :**   + All services must be linked to an Active Program Enrollment. * **ESD Policy 1020 Data Integrity and Performance Policy and Handbook:**   + Services within the WorkSource Service Catalog are the source data for performance and outcome measurements across the WorkSource system.   + **Stakeholders within the system must review the Services Catalog on a regular basis to ensure their knowledge of available services and definitions is maintained.** | **N/A, no documented evidence this service was**  **planned or provided**  **Reporting:**   * Service *(as documented in* ***case notes*** *or other documentation in the file*) is correctly recorded in MIS*: (20 CFR 677.235; WIN 0082)*   **YES, No Issues Identified**  **NO, the service is not recorded in MIS**  **NO, the service is incorrectly recorded in MIS** | No Issues Identified  Items to Address  Questioned Cost  Data Validation Issues  Observation | No Action Required  Action Required:  Recommendation: |
| **3-H. Transitional Jobs**  **mis**   * **WIN 0077, Change 6; WorkSource Services Catalog:**   + **Individualized, transitional Job:**     - A transitional job is a training service that is a subsidized, time-limited work experience with a public, private, or nonprofit employer for individuals with barriers to employment who are chronically unemployed or have an inconsistent work history to establish a work history that will lead to retention in unsubsidized employment. This service must be provided in combination with career services and/or support services. If it is not, it must be recorded as a work experience and/or internship.   **Program Design and Eligible Participants**   * **20 CFR 680.190**:   + A transitional job is one that provides a time-limited work experience that is wage-paid and subsidized, and is in the public, private, or not-for-profit sectors for those *\*****individuals with barriers to employment******who are chronically unemployed or have inconsistent work history****,* as determined by the Local WDB.   + Transitional jobs*must be combined with comprehensive career services and supportive services.* * **TEGL 19-16:**    + This service *must be combined with career and supportive services.*   **\*Individuals with a barrier to employment:**   * **WIOA sec. 3(24):**   **(1)** Displaced homemakers;  **(2)** Low-income individuals;  **(3)** Indians, Alaska Natives, and Native Hawaiians;  **(4)** Individuals with disabilities;  **(5)** Older individuals, i.e., those aged 55 or over  **(6)** Ex-offenders;  **(7)** Homeless individuals;  **(8)** Youth who are in or have aged out of the foster care system;  **(9)** Individuals who are English language learners, individuals who have low levels of literacy, and individuals facing substantial cultural barriers;  **(10)** Eligible migrant and seasonal farmworkers, defined in WIOA sec. 167(i);  **(11)** Individuals within 2 years of exhausting lifetime eligibility under TANF;  **(12)** Single-parents (including single pregnant women);  **(13)** Long-term unemployed individuals;  **(14)** Other groups determined by the Governor to have barriers to employment. | **N/A, no documented evidence this service was**  **planned or provided**  **FILE REVIEW:**   * Participant met the definition of **“individual with barrier to employment”** as described in WIOA Sec. 3(24) and was chronically unemployed or had inconsistent work history as determined by the LWDB: *(20 CFR 680.190)*   **YES, No Issues Identified**  **NO, Unable to Validate**   * The Transitional Job was combined with comprehensive career services ***and*** supportive services: *(20 CFR 680.190 and TEGL 19-16)*   **YES, No Issues Identified**  **NO, Unable to Validate**   * The service provider confirmed the employer had not relocated less than 120 days prior to the training and did not lay off employees at the prior location:   *[WIOA Sec. 181(d)]*  **YES, No Issues Identified**  **NO, Unable to Validate** | No Issues Identified  Items to Address  Questioned Cost  Data Validation Issues  Observation | No Action Required  Action Required:  Recommendation: |

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| **4. OUTCOMES** | | | |
| **4-A. Date of Most Recent**  **Measurable Skill Gains**  *-In-Program Performance Measure*  **REPORTING/MIS data entry requirements:**   * **Recording MSG in ETO- training provided on 8-21-19, instructions included Training 12 Meeting Minutes sent via email from Lynn Aue (ESD) on 8-7-19:**   + **Test and Results Page**   + **Progress Report Page**     - Element titled “Associated Program Enrollment” with a dropdown of cross-referenced active program enrollment values     - **Required field:** Element titled **“Progress Report Type”** with a dropdown of the following values: “Apprenticeship”, “OJT” and “WEX”.     - **Required field:** Element titled **“Is the progress satisfactory?”** with response values of “Yes” and “No”.     - Element titled “Documentation” with the option to upload documents.     - Element titled “Notes” with a free form text field that allows 1200 characters.   + **Report Card or Transcript page:**     - Element titled “Associated Program Enrollment” with a dropdown of cross referenced active program enrollment values.     - **Required field:** Element titled **“Credits or Units”** with a free form text field that only allows numeric characters.     - **Required field:** Element titled **“Does this meet the state unit’s academic standards?”** with response values of “Yes” and “No”.     - Element titled “Documentation” with the option to upload documents.     - Element titled “Notes” with a free form text field that allows 1200 characters   + Skill gains must be counted using the **date on which they occur**, **not the date on which they are recorded** **or documentation is received.** * **WIN 0098:**   + The State has established the academic standards as a grade of “C” or better.   + 14-day requirement for real-time data entry does not apply | **N/A, individual is not participating in applicable**  **services or no measurable skill gain documented at the time of monitoring**  **SECONDARY Diploma or GED:**  **N/A**  **YES, Validated by one of the following:** *(TEGL 7-18)*  Certification of attainment of passing scores on  all parts of a state-recognized high school  equivalency test (GED)  Copy of HS diploma  **NO, Could Not Validate**  **pOST-SECONDARY PROGRESS:**  **N/A**  **YES, Participant is achieving the State unit’s**  **academic standards (grade “C” or better-WIN**  **0098),** v**alidated by one of the following:** *(TEGL 7-18)*  Transcript  Report card  **NO, Could Not Validate**  **EMPLOYER TRAINING MILESTONES (e.g., OJT):**  **N/A**  **YES, Validated by contract and/or evaluation from**  **employer or training provider** *(TEGL 7-18)*  **NO, Could Not Validate**  **Industry Exams or skills progression:**  **N/A**  **YES, Validated by one of the following:** *(TEGL 7-18)*  Results of knowledge-based exam or certification  of completion  Documentation demonstrating progress in  attaining technical or occupational skills  Documentation from training provider or  employer  Copy of credential that is required for a  particular occupation and only is earned after  the passage of an exam  **NO, Could Not Validate**  **REPORTING:**   * Measurable Skill Gains recorded in ETO:   **YES, No Issues Identified**  **NO, one or more issues identified** | No Issues Identified  Items to Address  Data Validation Issues  Observation | No Action Required  Action Required:  Recommendation: |

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| **4-B. Date attained & Type of**  **Recognized Credential**  *In-Program and Exit-Based Performance Indicator*  **Types of Acceptable Credentials:**   * **TEGL 10-16, Change 1**: The following are acceptable types of credentials that count toward the credential attainment indicator:   + Secondary school diploma or recognized equivalent   + Associate’s degree   + Bachelor’s degree   + Graduate degree for purposes of the VR program   + Occupational licensure   + Occupational certificate, including Registered Apprenticeship and Career and Technical Education educational certificates   + Occupational certification   + Other recognized certificates of industry/occupational skills completion sufficient to qualify for entry-level or advancement in employment.   **CERTIFICATES/CREDENTIALS NOT INCLUDED**   * **ESD Policy 1020 Data Integrity and Performance Policy and Handbook:** Credentials that do not count include, but are not limited to:   + First aid cards   + Food handler’s card   + Non-commercial driver’s license   + Completion of WEXs * **Evan Rosenberg, Division of Youth Services, DOL ETA, “WIOA Youth Eligibility Live Q&A Session” on WorkforceGPS October 24, 2017:**   + Even though DOL will not define what counts as a credential, Evan did state the following common trainings do not count as a credential or occupational skills training:     - CPR     - OSHA 10     - Work readiness     - Completion of assistive technology training program (screen reading software)     - Certificates related to hygiene and safety that are broadly required for entry level employment | **N/A not participating in applicable services, or no**  **credential documented at time of monitoring**  **FILE REVIEW:**   * Documentation of ***date and type*** of Credential Earned is located in the file: *(TEGL 7-18)*   **YES**, **Documented on one of the following:** *(TEGL 7-18)*  Copy of credential  Copy of school record  Follow-up survey from program participants  **Case notes** documenting information obtained  from education or training provider  **NO, Unable to Locate:**  Date credential earned  Type of credential  **Reporting:**   * Type of Credential Earned is recorded in MIS:   *(20 CFR 677.160)*  **YES, No Issues Identified**  **Yes, but on one or more occasion, the incorrect**  **credential is recorded**  **NO, on one or more occasion, no credential**  **recorded** | No Issues Identified  Items to Address  Data Validation Issues  Observation | No Action Required  Action Required:  Recommendation: |

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| **5. PROGRAM COMPLETION** | | | |
| **5-a. Date and Reason for**  **Program Completion**  **PROGRAM COMPLETION:**   * **ESD Policy 1020 Handbook:**    + **The date of program completion is the date of the final program-funded qualifying service**.   + In this sense, it is unlike the exit date, which is common across all programs rather than specific to a particular program.   + The program completion date may or may not be the same as the exit date. The program completion date will be equal to or less than the exit date.   **Program Completion vs System Exit**   * **ESD Policy 1020 Handbook:**    + **Exit dates** **are not the same as program completion dates**.   + A **system exit** date is the same as a **program completion date *only*** when participants do not receive a qualifying service from another program within 90 days.   **SYSTEM EXIT:**   * **ESD Policy 1020 Handbook:**    + **“Exit”** refers to a participant who has not received a qualifying service funded by any qualifying program in the WorkSource system **for 90 consecutive calendar days** and is not scheduled to receive future qualifying services. * **20 CFR 677.150(c)(1):**    + **Exit** is the last day of service. * **ETA 9170 (PIRL):**   + The last date the participant received services that are not self-service, information-only, or follow-up services.   + And only if there are no future services that are not self-service, information-only or follow-up services, planned from the program.   **REPORTING/MIS DATA ENTRY REQUIREMENTS**   * **TEGL 7-18**:   + Record the last date the participant received services that are not self-service, information only, or follow-up services.   + Record the last date of receipt of services only if there are no future services that are not self-service, information-only, or follow-up services planned from the program.   + For Titles I,II and III, record the last date of funded service(s).   **other reasons for exit:**   * **TEGL 7-18**:   + Incarcerated in a correctional institution or has become a resident of an institution or facility providing 24-hour support such as a hospital or treatment center during the course of receiving services as a participant.   + Medical treatment expected to last longer than 90 days and precludes entry into unsubsidized employment or continued participation in the program.   + Deceased   + Member of National Guard or other reserve military unit of the armed forces and is called to active duty for at least 90 days. | **N/A, there is evidence the participant has not**  **completed the program**  **file review:**   * Date of program completion is documented in the file:   **YES,** Validated by one of the following: *(TEGL 7-18)*  Copy of the letter sent to the individual  indicating that the case was closed.  WIOA Status/Exit Forms  Electronic records  Attendance Records  Review of service records identifying the last  qualifying service (and lack of a planned gap)  **NO, Unable to Locate**   * If program completion was due to “Other Reasons for Exit”, evidence is documented in the file:   **N/A**  **YES,** Validated by one of the following: *(TEGL 7-18)*  File documentation with notes from program  staff  Information from partner services  WIOA status/exit forms  Electronic Records  Attendance Records  Withdrawal form with explanation  Information from institution or facility  **NO, one or more issue identified**   * Case notes document the date and reason for program completion: *(WIN 0088)*   **YES, very detailed**  **YES, some detail**  **NO, could not locate case notes for:**  **Date of program completion**  **Reason for program completion**  **Reporting:**   * All durational services recorded in MIS are closed:   *(20 CFR 677.160)*  **YES, No Issues Identified**  **NO, One or More Issues Identified**   * Program Completion Date recorded in MIS matches the date of the last qualifying service recorded in MIS:   **YES, No Issues Identified**  **NO, One or More Issues Identified** | No Issues Identified  Items to Address  Data Validation Issues  Observation | No Action Required  Action Required:  Recommendation: |

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| **6. Data Validation, Data Integrity** | | | |
| **6-A. MIS**  **REPORTING/DATA ENTRY REQUIREMENTS:**   * **WIN 0082:** The minimal WIT data entry requirements are as follows:   + *Services must be entered at the point in time they are delivered;*   + If services cannot be entered at the time they are delivered, services must be entered *within* ***14*** *calendar days* of service delivery and the *service date entered must always reflect the date the service was delivered.*   + When a service is provided, the appropriate qualifying service must be identified, even if case notes are entered.   + *Qualifying services are identified in the WorkSource Service Catalog.*   + *Services should only be entered when delivered to a participant* and only actual services should be entered.   + Case notes should support, not contradict service entries.   + Case notes should not be entered to represent service delivery without also entering a qualifying service from the WorkSource Service Catalog.   + *Services should not be recorded if only a voice message was left or an email delivered* as they only represent the intent to provide service as opposed to the actual provision of services. * **ESD Policy 1023:**   + All services must be linked to an Active Program Enrollment. * **ESD Policy 1020 Data Integrity and Performance Policy and Handbook:**   + Services within the WorkSource Service Catalog are the source data for performance and outcome measurements across the WorkSource system.   + **Stakeholders within the system must review the Services Catalog on a regular basis to ensure their knowledge of available services and definitions is maintained.** | **summary of MIS observations:**   * Participant’s demographic information is accurately recorded in MIS*: (20 CFR 677.235)*   **YES, No Issues Identified**  **NO, One or Two Issues Identified**  **NO, Several or More Issues Identified**   * All services provided to the participant *(as identified in case notes or other documentation in the file)* are recorded in MIS: *(20 CFR 677.240; WIN 0082)*   **YES, No Issues Identified**  **NO, One or Two Issues Identified**  **NO, Several or More Issues Identified**   * For services recorded in MIS, services are attached to the appropriate programs: *(ESD Policy 1023)*   **YES, No Issues Identified**  **NO, One or Two Issues Identified**  **NO, Several or More Issues Identified**   * For services recorded in MIS, services are recorded correctly: *(20 CFR 677.240; WIN 0082)*   **YES, No Issues Identified**  **NO, One or Two Issues Identified**  **NO, Several or More Issues Identified**   * For services recorded in MIS, services are recorded within the allotted timeframes: *(WIN 0082)*   **YES, No Issues Identified**  **NO, One or Two Issues Identified**  **NO, Several or More Issues Identified**   * For services recorded in MIS, appropriate outcomes are recorded: *(20 CFR 677.240; WIN 0082)*   **N/A**  **YES, No Issues Identified**  **NO, One or Two Issues Identified**  **NO Several or More Issues Identified** | No Issues Identified  Items to Address  Data Validation Issues  Observation | No Action Required  Action Required:  Recommendation: |

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| **6-B. Case Notes**  **dol definition**   * **TEGL 22-15**: 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.   **reporting**   * **ESD Policy 1020:**    + Case notes should support and not contradict service entries.   + Case notes should not be entered to represent service delivery without also entering a qualifying service from the Services Catalog. * **WIN 0088:**   + Recording case notes is critical because it weaves each service element into a comprehensive service plan.   + Individualized case notes provide a complete, accurate, and concise explanation of frequency and type of contact with participants, including the types of services provided and the outcomes associated with those services.   + Case notes are a tool to help service providers organize and analyze the information gathered on participants and to plan case management strategies.   + It is imperative that Local Workforce Development Boards (LWDBs), their Title I sub-contractors, one-stop system partners, and federal and state monitors/auditors, be able to recognize and discern each service and expenditure provided to, and made on behalf of, a one-stop system customer.   + Case notes should not be entered to represent service delivery without also entering a qualifying service from the WorkSource Services Catalog (see WIN 0082).   **Confidential information**   * **WIN 0023; WIN 0088**:   + Any case notes containing confidential information, such as medical information, must be kept in a separate file and in a secure location apart from the participant’s regular program file. | **Summary of case note observations:**   * Eligibility and justification for enrollment:   **YES, very detailed**  **YES, some detail**  **NO, could not locate case notes describing the**  **participant’s eligibility for services and/or**  **justification for enrollment**   * Planned services: *(WIN 0088; WIN 0089)*   **YES, very detailed**  **YES, some detail**  **NO, could not locate case notes describing the**  **planning of services**   * Actual delivery of services: *(WIN 0082; WIN 0088; WIN 0089)*   **YES, very detailed**  **YES, some detail**  **NO, on one or more occasions, could not locate**  **case notes describing the delivery of services**  **as recorded in MIS**   * Progress of services: *(WIN 0088; WIN 0089)*   **YES, very detailed**  **YES, some detail**  **NO, on one or more occasions, could not locate**  **case notes describing the progress of services**   * Outcomes of services: *(WIN 0088; WIN 0089)*   **YES, very detailed**  **YES, some detail**  **NO, could not locate case notes describing the**  **outcome of one or more services**   * Case management services:   **YES, very detailed**  **YES, some detail**  **NO, could not locate case notes describing on-**  **going provision of case management**   * Significant gaps in case notes (more than 60 days):   **NO**  **YES, gaps occurred on one or two occasions**  **YES, gaps occurred on more than three occasions**   * Documentation of case notes was in compliance with local policy, if applicable:   **N/A, No local policy or procedure**  **YES, No Issues Identified**  **NO, one or two issues identified**  **NO, three or more issues identified** | No Issues Identified  Items to Address  Data Validation Issues  Observation | | No Action Required  Action Required:  Recommendation: |
| **7. Miscellaneous Observations** | **determination & COMMENTS** | | **action required/ recommendations** | |
| This element covers all other observations not accounted for on this tool. Examples of “miscellaneous observations” may include, but are not limited to:   * Loose, unattached documents located in a hard file * Medical references in the file * Names of other program participants located in the file * Other “miscellaneous observations” | **N/A** | | No Action Required  Action Required:  Recommendation: | |