



Mississippi Valley Workforce Development Board

Executive Committee Agenda

Tuesday, December 6, 2022, at 5:00 p.m.

Join Zoom Meeting

<https://us02web.zoom.us/j/89984623069?pwd=NDVsVzN4bzN5anRpUExrVG5PcmV0dz09>

Meeting ID: 899 8462 3069 Passcode: 899588

One tap mobile: <tel:+13126266799>.,89984623069

Called to Order	Dennis Duke
Roll Call	Mandy Tripp
*Excused Absences	Dennis Duke
*Approval of Agenda	Dennis Duke
*Approval of Previous Minutes	Dennis Duke

Standing Reports

Finance Committee Report (Page 5)	Lori Bassow
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New Business

*Modification TJB Policy (Page 6)	Matthew Nichol
*Modification WEP Policy (Page 10)	Matthew Nichol
*Monitoring Policy Modification (Page 16)	Matthew Nichol
*Youth Space Update	Miranda Swafford
*Logo Options (Page 24)	Mandy Tripp
*License Screening Policy (Page 25)	Matthew Nichol
*Iowa <i>WORKS</i> Cultural Analysis	Andrea Taylor
Subrecipient Update	Miranda Swafford
Board Newsletter/Meetings (Page 28)	Miranda Swafford
Staff Updates	Miranda Swafford

Other Business

Public Comment

Adjourn	Dennis Duke
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*Items Requiring a Vote ** Items Requiring a Roll Call Vote

Accommodations

Accommodations are available upon request for individuals with disabilities. If you need accommodation, please contact: Miranda Swafford at director@mississippivalleyworkforce.org or at 319-759-8980



Mississippi Valley Workforce Development Board

Executive Committee Meeting Minutes

Tuesday, October 11th, 2022, at 5:30 p.m.

Members Present: Dennis Duke, Mathew Nicol, Lori Bassow, Kirby Phillips, and Cindy Whalen,

Members Absent: Jacob Nye

CEOs Present: Jack Willey and Jim Irwin

Staff Present: Miranda Swafford, Executive Director and Andrea Taylor, Associate Director

One Stop Operator: Robert Ryan

Guests: Michelle McNertney (IWD), Kathy Anderson (IWD) and Kathy Leggett (IWD)

CALLED TO ORDER

Duke called the meeting to order at 5:32 p.m.

QUORUM

The committee had a quorum to conduct business.

EXCUSED ABSENCES

Phillips made a motion to approve Nye's absence, seconded by Nicol, the motion carried.

APPROVAL OF AGENDA

Phillips made a motion to accept the agenda as presented, seconded by Nicol, the motion carried.

APPROVAL OF MINUTES

Phillips made a motion to approve the previous meeting minutes, seconded by Nicol, the motion carried.

IWD PRESENTATION

Leggett and Anderson discussed their roles with the new IWD Business Division. They discussed how they envisioned the relationship between the new division and local areas. They are still figuring out how sector boards/partnerships will be convened with the move from DOE to IWD.

COMMITTEE REPORTS

OPERATIONS COMMITTEE

Tabled until the next meeting

FINANCE COMMITTEE

Tabled until the next meeting

YOUTH COMMITTEE

Tabled until the next meeting

NEW BUSINESS

OSO KPI REPORT

Ryan reviewed the 16 key performance indicators for the last quarter. Bassow made a motion to approve the report as presented, seconded by Nicol, the motion carried.

RFP COMMITTEE RECOMMENDATION

Nicol reviewed the proposals received from TAG, OnDemand and Amplified Digital. The RFP Committee consisted of Matthew Nicol, Carolyn Farley, Angela Rheingans, and Regina Matheson. Scoring sheets were shared with the executive committee. Phillips made a motion to approve the RFP committees recommendation of awarding the contract to Amplified Digital, seconded by Bassow, the motion carried.

BUSINESS SERVICES PLAN

Taylor presented a PPT covering all aspects of the Business Services Plan that incorporated the Local Plan, MOU and One Stop Certification requirements, previous requests of the board and local center staff. The asset mapping and integration tool was also shared. Nicol made a motion to approve the plan as presented, seconded by Phillips, the motion carried.

ANNUAL REPORT

Swafford shared the draft annual report that still needs the executive summary and a review of grammar and formatting to be posted by November 1st. Nicol made a motion to approve the annual report as presented, seconded by Bassow, the motion carried.

Nicol made a motion to table the remaining agenda items until the next meeting, seconded by Bassow, the motion carried.

TJB POLICY MOD

Tabled until next meeting.

WEP POLICY MOD

Tabled until next meeting.

MONITORING POLICY MOD

Tabled until next meeting.

OTHER BUSINESS

Swafford announced that Mandy Tripp the new executive assistant will be starting October 18th. She also announced that registration will be coming soon for the December 1st annual board training to be held in Muscatine at the Merrill hotel.

PUBLIC COMMENT

There was no public comment.

ADJOURN

Nicol made a motion to adjourn, seconded by Bassow, the motion carried, and Duke adjourned the meeting at 7:00 p.m.



Mississippi Valley Workforce Development Board

Finance Committee Report Prepared for December 6th, 2022, Executive Committee Meeting

Financial Updates

- Submitted Rapid Response funding request in the amount of \$10,000.
- Waiting on NDWG contract extensions from IWD.

August Invoices Approved

- Adult \$60,647.53
- DW \$68,631.85
- Youth \$91,267.38
- NDWG \$1,289.67
- OSO \$8,388.42
- CIJDC \$4,592 for a total of 41.75 hours

NON-WIOA Financial Summary

Stream	Expended	% Of Total Available Spent	Total Available	Remaining Balance
TTW	\$640.73	1.50%	42,647.00	\$42,006.27
Clinton Econ Dev	\$0.00	0.00%	1,000.00	\$1,000.00

WIOA Financial Summary

Expenditures through 10/31/2022 (Approximately 33.3% through Program Year)

Stream	Expended	% Of Total Available Spent	Total Available	Remaining Balance	Funds That End 6/30/2023
Admin	\$102,359.99	20.75%	493,239.02	\$390,879.03	\$167,124.02
Adult	\$340,765.71	28.25%	1,206,299.97	\$865,534.26	\$212,751.97
Dislocated Worker	\$249,032.09	29.24%	851,657.99	\$602,625.90	\$180,288.99
Youth	\$388,698.81	20.15%	1,929,200.47	\$1,540,501.66	\$659,066.47
Nat. DW Grant	\$5,693.94	2.43%	234,163.40	\$228,469.46	\$234,163.40
Total	\$1,086,550.54		4,714,560.85	\$3,628,010.31	\$1,453,394.85



Mississippi Valley Workforce Development Board

Transitional Jobs Policy

Approved Date: December 28, 2020

Effective Date: July 1, 2020

Amended Date: April 25, 2022

Purpose

The purpose of this policy is to detail the requirements and eligibility for the WIOA Adult and Dislocated Worker Transitional Job (TJB) work-based learning program to serve the untapped labor pool in the Mississippi Valley Workforce Area. The goal of TJB is to help eligible Adults and Dislocated Workers from the untapped labor pool to gain practical work experience and sharpen their workplace skills while getting paid and working to improve their chances of achieving suitable long-term employment.

Policy

Mississippi Valley Workforce Development Board's (MVWDB) Service Providers shall adopt this TJB Policy and develop written procedures and forms to be approved by the MVWDB.

- TJB is a type of work-based learning and is considered an individualized career service.
- TJB is time-limited and wage-paid work-based learning that is subsidized up to 100%.
- TJB targets populations with multiple employment barriers or limited work experience. These programs provide a participant with work experience and an opportunity to develop critical workplace skills.
- TJB must be combined with other career and supportive services, including any of the supportive services currently identified by the Board, which are allowed with documentation on need by the Service Provider.
- Where possible, TJB will be combined with job readiness training. These jobs must be designed to establish a work history with the program participant showing success in the workplace and developing the skills that lead to entry into and retention in unsubsidized employment.

TJB may be used to assist individuals to:

- Learn the expectations of the workplace.
- Address barriers to work.
- Establish a work history and references.
- Demonstrate success in a work environment.
- Develop skills and experience that lead to entry into and retention in unsubsidized employment.
- Create linkages to further education and training opportunities.

General Provision

All TJB participants must meet program eligibility requirements, be enrolled in the respective WIOA program, and have received an assessment resulting in the development of an Individual Employment Plan that documents the participant's need for and benefit from a TJB. A TJB opportunity may be provided as work-based learning to enrolled adults and dislocated workers who have met the priority of service requirements.

Requirements

Under Section 134 (d)(5) of WIOA and 20 CFR 680.195 of the Final Rule, Local Workforce Development Boards (LWDB) may use up to 10 percent of their combined total of adult and dislocated workers funds to provide TJB to individuals with one (1) federally defined barrier to employment or chronic unemployment or inconsistent work history (as defined below).

A TJB agreement at one worksite can be written for a maximum of 13 calendar weeks unless the agreement is for a part-time TJB of fewer than 520 hours, then the TJB activity period can be extended to a maximum of 26 weeks.

TJB is subject to a maximum of \$12,500 per program participation.

Participants enrolled in a TJB shall not be compensated at a rate that is higher than the employer's entry-level wage for an equivalent position.

TJB placements should contribute to the occupational development and upward mobility of the participant. Unlike on-the-job training (OJT), there is no requirement that the employer retains the individual upon completion of the TJB; however, employment opportunities where appropriate, are preferred for the benefit of the worker and employer.

Federally Defined Barrier to Employment

- Displaced homemakers
- Low-income individuals
- American Indians, Alaska Natives, and Native Hawaiians
- Individuals with disabilities
- Older individuals (age 55 or older)
- Ex-offenders
- Homeless individuals
- Individuals who are English language learners, individuals who have low levels of literacy, and individuals facing substantial cultural barriers
- Eligible migrant and seasonal farmworkers
- Single parents (including single pregnant women)
- Long-term unemployed individuals (unemployed for up to 27 or more weeks)
- Recipients of public assistance

Individuals with “chronic unemployment” or an “inconsistent work history” are those who:

- Have been unemployed for 13 weeks or longer; or
- Were unemployed for at least 26 of the past 52 weeks; or
- Have held three or more jobs in the past 52 weeks.

Employer Eligibility

For an employer to qualify for TJB under the program guidelines, they must:

- Be a private-for-profit business, private non-profit organization, or public sector employer.
- Provide a quality work experience for participants to gain valuable skills; and,
- Provide a safe environment for participants to gain skills.

An Employer will not be eligible to participate as a Host Employer site if:

- The employer has any other individuals on layoff from the same or substantially equivalent position.
- The TJB would infringe upon the promotion or lead to the displacement of any currently employed worker or result in a reduction in their hours.
- The same or substantially equivalent position is open due to a hiring freeze.

Transitional Jobs Agreement Requirements

WIOA TJB is provided based on a formal, written agreement with a private, non-profit, or public sector employer that is completed and signed by all parties before the initiation of training with a copy given to the employer.

In determining an employer’s viability for TJB contracts, local areas should consider the employer’s history with OJT, customized training, or other TJB agreements, financial stability, layoffs, and labor disputes, as well as the occupational and industry outlook.

TJB participants are authorized to work voluntary overtime up to 10 hours a week. Service providers will not knowingly place participants in TJB where mandatory overtime is required.

A TJB work-based learning agreement must address:

- The TJB agreement must identify the length and wages to be paid. In TJB situations, the WIOA Title I service provider is the employer of record. TJB participants must always be paid for time worked and must not be paid for any scheduled hours they failed to attend without good cause.
- Each participant in TJB must be covered either by Workers' Compensation by state law or by adequate on-site medical and accident insurance. Participants in TJB are exempt from unemployment compensation insurance. Therefore, unemployment compensation costs are not allowable. In addition to the guidelines listed here, other state and federal regulations governing employment situations apply to TJB as well.

- The employer will assure that all overtime will be offered to current employees before being covered by a TJB.
- A job description, skill(s), and competencies to be provided and learned.
- Performance outcome requirements.
- A training plan (with a rating scale for skills at hire and the completion of the TJB) that defines the successful completion of training.
- A provision addressing termination for lack of funds or recapture of funds, lack of participant attendance, or failure of the employer to comply with initial or upgraded work-based learning requirements.
- A provision for maintaining and providing records for the MVWDB, Iowa Workforce Development, and federal monitoring and review.
- Service providers must ensure all proper documentation is scanned into the IowaWORKS case management system.

Payroll Requirements/Payments

Pay periods will be indicated on the WIOA Trainee Time Sheet forms provided to the worksites. WIOA service provider staff processes all payments after receiving appropriate documents from the WIOA case manager.

WIOA service provider also maintains a Payment Tracking Sheet on each participant enrolled in TJB to record payments made and to track durational hour limits per participant.

This record is available for the WIOA case manager's review at any time. At the end of the activity, the WIOA case manager is provided with a copy of the finalized form.

Monitoring

TJB monitoring will be completed to ensure compliance with federal, state, and local policy and follow the procedures outlined in the local Monitoring and Oversight Policy.

Exceptions

Any exceptions to this policy must be approved by the MVWDB Executive Director in consultation with the Operations Committee Chair and must be documented in both the participant's and TJB Employer's files.

Related Information

[Section 134 \(d\)\(5\) of WIOA and 20 CFR 680.195 of the Final Rule, Local Workforce Development Boards \(LWDB\)](#)

Equal Opportunity Programs/Employer – Auxiliary aids and services available upon request for individuals with disabilities



Mississippi Valley Workforce Development Board

Youth Work Experience Policy

Amendment Date: March 28, 2022

Approved Date: February 15, 2021

Effective Date: January 1, 2021

Purpose

To provide policy direction for the implementation of Work Experiences (WEP) for WIOA-eligible youth in the Mississippi Valley Workforce Development Area (MVWA).

Policy

WIOA Youth WEP is defined in Interim 20 CFR Section 681.600 as a planned, structured learning experience that takes place in a workplace for a limited period of time. WEP may be paid or unpaid, as appropriate.

A WEP may take place in the private for-profit sector, the non-profit sector, or the public sector. Labor standards apply in any WEP where an employee/employer relationship, as defined by the Fair Labor Standards Act or applicable state law, exists.

WEP provides the youth participant with opportunities for career exploration and skill development. WEP must include academic and occupational education.

- The educational component may occur concurrently or sequentially with the work experience.
- Further academic and occupational education may occur inside or outside the work site.

When due to the rural nature of a local area or during times of a pandemic (such as COVID-19), if it is not possible to provide WEP on a work site, it may be acceptable to provide remote or virtual WEPs for youth.

Virtual or remote work experiences must have prior approval from the MVWDB executive director and the Youth Committee chair. A waiver must be submitted with justification for providing a virtual or remote work experience.

WEP must be used for individuals who have limited work experience or have been out of the labor force for an extended period of time including, but not limited to, students, school dropouts, and individuals with disabilities.

WEP must be limited to career exploration and persons who need assistance to become accustomed to basic work requirements, including basic work skills, to successfully compete in the labor market.

A WEP must not be used as a substitute for Public Service Employment (community service) activities as a result of court adjudication. WEP may be used to provide:

- Instructions concerning work habits and employer and employee relationships
- An improved work history and work references
- An opportunity to actively participate in a specific field

WEP employers provide a participant with the employability skills and knowledge of employer expectations required for unsubsidized employment, as well as the specific skills or knowledge needed to perform the daily duties and tasks of a specific career.

Each measurable skill to be learned is listed in the WEP Agreement under Participant Training Plan when applicable.

The type and length of WEP training should be based on an objective assessment and service strategy identified in the youth's Individual Service Strategy (ISS) (i.e., youth exploring careers may be interested in shorter WEP than youth needing to learn good work habits). WEPs must be based on the identified needs of the individual youth but are not required to be tied to the youth's career or employment goal.

Types of Work Experience

WEPs may include the following types:

- Summer employment opportunities, and other employment opportunities available throughout the school year.
- Pre-apprenticeship programs.
- Internships and job shadowing; and
- On-the-job training opportunities (Procedures outlined in the MVWDB OJT Policy)

WIOA Expenditure Requirements

WIOA prioritizes WEPs with the requirement that local areas must spend a minimum of twenty (20) percent of local area funds on WIOA youth WEPs. WIOA youth program funds spent on paid and unpaid WEPs, including wages and staff costs must be tracked and reported monthly as part of the local WIOA youth financial reporting. Allowable expenditures include:

- Wages/stipends paid for participation in a WEP.
- Staff time working to identify and develop a WEP opportunity, including staff time spent working with employers to identify and develop the WEP.
- Staff time working with employers to ensure a successful WEP, including staff time spent

managing the WEP.

- Staff time spent evaluating the WEP.
- Participant in WEP orientation sessions.
- Employer WEP orientation sessions.
- Classroom training or the required academic education component directly related to the WEP.
- Incentive payments directly tied to the completion of WEP; and
- Employability skills/job readiness training to prepare youth for a WEP.

Worksite Agreement

Every WEP opportunity will include a written, signed WEP agreement between the authorized youth services provider representative and an authorized employer representative before the start of work.

A WEP Agreement provides the roles and responsibilities of the WIOA youth services provider and the employer relating to the provision of WEPs.

A WEP agreement will assure that participants enrolled in a paid WEP shall not be compensated at a rate that is higher than the employer's entry-level wage for an equivalent position.

WIOA requires WEP employers to provide certain assurances as part of the agreement, including an assurance that placement of a participant will not result in a reduction of hours or displacement of employed workers, impairment of existing contracts or collective bargaining agreements, and/or infringement upon the promotional opportunities of current employees. WEP participants are authorized to work voluntary overtime up to 10 hours a week. Service providers will not knowingly place youth in work experiences where mandatory overtime is required. Additionally, the employer will assure that all overtime will be offered to current employees before being covered by a WEP.

The WEP Agreement contains a Participant Training Plan to document the occupation, skills, and competencies to be learned and the length of time the training will be provided (WIOA Section 194(1)). In addition, the WEP Agreement contains a participant Evaluation Form that documents the participant's progress at the mid-point and completion of the WEP. Work readiness evaluation (other than the mid-point and the final evaluation) is conducted in a way preferred by the employer. These evaluations will be documented as case notes in the case management system.

A WEP program is not intended for long-term continued training within the occupation. A WEP contract must be limited to the period of time required for a participant to gain employability skills and knowledge of employer expectations required for unsubsidized employment, as well as the specific skills or knowledge needed to perform the daily duties and tasks of a specific career. In determining the appropriate length of the contract, consideration should be given to the skill requirements of the occupation, the academic and occupational skill level of the participant, prior

work experience, and the participant's ISS. All determinations must be documented.

Procedural Guidance

WEP participants must meet WIOA program eligibility requirements, be enrolled in the WIOA youth program, and have received an assessment resulting in the development of an ISS that documents the participant's need for a WEP. The WIOA youth services provider and participant mutually review and determine the feasibility of utilizing a WEP activity. The activity must focus on the development of appropriate work habits and ethics to include an understanding of employer/employee relationships.

The selection of a worksite for a paid or unpaid WEP is determined by the needs of the participant and the WEP employer. When a youth services provider identifies a potential worksite match between a participant and employer, the service provider staff will review the WEP opportunity with the participant and evaluate the participant's interest. For the WEP, the youth provider will:

- Arrange worksite interview(s) with the employer
- Complete a WEP Agreement
- Submit, update, and/or modify the ISS
- Ensure that the justification for the WEP is in the participant's file and case notes (i.e., describe how the WEP matches the participant's needs and interests).

Employer Eligibility

The WEP Employer:

- Must be a legal business/entity by all federal, state, and local laws.
- Every employer of employees subject to the Fair Labor Standards Act's minimum wage provisions must post, and keep posted, a notice explaining the Act in a place in all their establishments to permit employees to readily read it.
- Must have safe and healthy working conditions with no previously reported OSHA violations that have been reported but have not been corrected.
- Does not illegally discriminate in training or hiring practices because of race, color, sex, national origin, religion, physical or mental disability, political beliefs or affiliations, or age; WIOA Sec. 188(a)(2)
- Shall not terminate the employment of any of their current employees or otherwise reduce its workforce either fully or partially (such as reduction in hours or benefits) with the intention of filling the vacancy with a WEP participant or as the result of having a WEP participant; 20 CFR 683.270
- Shall not allow the WEP activity to result in the infringement of promotional opportunities of their current employees; 20 CFR 683.270

- Shall not allow the participant to be involved in the construction, operation, or maintenance of any part of any facility that is used, or to be used, for religious instruction or as a place for religious worship; WIOA Sec. 188(a)(3)
- The employer must not currently be involved in a labor dispute or have workers currently in layoff status. 20 CFR 680.840

Documentation

The Youth services provider will record all WEP activities in Iowa*WORKS*. Participant-scanned files must contain the required WEP documentation:

- WEP Agreement, including completed Participant Training Plan, WEP Training Evaluation Form (mid-point and Final)
- Participant's WEP Timesheets (which include work readiness evaluation by the employer)
- Any modifications to the WEP signed and dated by all parties before the effective date of the modification.

Duration and Limits

The participant may enter into more than one paid WEP activity before exiting from the WIOA youth program. A WEP agreement at one worksite can be written for a maximum of 13 calendar weeks unless the agreement is for a part-time WEP of fewer than 520 hours, then the WEP activity period can be extended to a maximum of 26 weeks.

WEP is subject to a minimum duration of 20 hours. When determining the duration of a WEP activity, the following should be considered:

- Objectives of the WEP.
- Length of time necessary for the participant to learn the skills identified in the ISS; and
- The employer has a sufficient quantity of meaningful work activities for the participant.

Wages

Wages are provided by the WIOA service provider and paid directly to the participant, developing an employer/employee relationship between the Mississippi Valley Workforce Development Board (MVWDB) youth services provider and the WEP participant. Labor standards apply where an employee/employer relationship exists, as defined by the Fair Labor Standards Act. Participants in WEP are exempt from unemployment compensation insurance. Therefore, unemployment compensation costs are not allowable. Employers are not monetarily compensated for worksite training services provided as part of the WEP.

Funding Limits

Youth may participate in multiple WEP opportunities with documented needs as outlined in the Individual Service Strategy. WEP is subject to a maximum of \$10,000 per program participation. Participants enrolled in a paid WEP shall not be compensated at a rate that is higher than the

employer's entry-level wage for an equivalent position. WEP participants are authorized to work voluntary overtime up to 10 hours a week. Service providers will not knowingly place youth in work experiences where mandatory overtime is required. WEP participants shall not be compensated for:

- Sick leave
- Vacation
- Lunch breaks or
- Holidays recognized by the service provider or employer as a "paid holiday"

Participants shall be paid wages for time worked during the WEP as documented on the participant's timesheet or for other activities incorporated into their WEP plan. Virtual Reality can be incorporated into a WEP if the VR training is related to the WEP placement. Up to 10 hours of related VR training can be paid as part of the WEP and if appropriate and justifiable more VR hours can be incorporated into the WEP.

Under certain conditions, participants in a wage-paying WEP may be paid for time spent attending other activities. Such payments may only be made if WEP participation is scheduled for more than 50 percent of the scheduled training time in all activities. Usually, the participant will be enrolled simultaneously in both the WEP activity and the other activity.

Monitoring

WEP monitoring will be completed to ensure compliance with federal, state, and local policy and follow the procedures outlined in the local Monitoring and Oversight Policy.

Exceptions

Any exceptions to this policy must be approved by the MVWDB Executive Director in consultation with the Youth Committee Chair and must be documented in both the participant's and WEP Employer's files.

Equal Opportunity Programs/Employer – Auxiliary aids and services available upon request for individuals with disabilities



Mississippi Valley Workforce Development Board

Monitoring Policy

Approved Date: January 11, 2021

Effective Date: January 1, 2021

Amended Date: N/A

Background

The Mississippi Valley Workforce Development Board (MVWDB) on behalf of the Chief Lead Elected Official (CLEO) for the Mississippi Valley Workforce Area (MVWA), must conduct monitoring of all contracts at least annually, or for contracts lasting less than one year, once during each contract term for financial and programmatic compliance.

MVWDB must also ensure that the use, management, and investment of funds for workforce development activities are consistent with 2 CFR 200 and maximize performance outcomes under section 116 of the Workforce Innovation and Opportunity Act (WIOA).

MVWDB Primary Responsibilities

Per IWD Chapter 9 Section: 2.1 the MVWDB must conduct oversight, which may include, but is not limited to:

- Administration and Governance
- Workforce Development Program Delivery
- Fiscal Management
- Performance and Reporting Management
- Additional review areas, as applicable

Monitoring Schedule

All Contracts shall be monitored by the staff of the MVWDB and/or fiscal agent for each program they operate at least annually for all WIOA-Related and certain non-WIOA-related operations in the MVWA.

The monitor will work with the sub-recipient to schedule a monitoring timeline that meets the needs of all parties involved.

Communications related to monitoring will be initiated at least thirty (30) days but no more than forty-five (45) days before the start date of the monitoring whenever possible.

Once monitoring has started the process should be completed within sixty (60) days unless extenuating circumstances arise.

The MVWDB reserves the right to conduct unscheduled monitoring in conjunction with or in response to investigations of misfeasance and/or malfeasance or previous monitoring findings.

On-Site Monitoring

MVWDB will conduct on-site monitoring visits on an annual basis. On-site monitoring visits may be conducted as a standalone review or incorporated into other monitoring reviews.

Onsite monitoring visits may include but are not limited to:

- Entrance and exit conference with Title I leadership and staff.
- A tour of the American Job Center
- Participant file reviews
- Interviews with contractors, customers, and employers who received services, center staff, and One-Stop Operator

Responsible Representatives

Designated board staff or monitoring staff will perform the programmatic monitoring of the sub-recipients, or designee, along with oversight of the fiscal agent.

The fiscal agent staff will be responsible for the oversight and monitoring of the sub-recipient's fiscal operations.

Oversight Methods

MVWDB will develop written oversight tools that assist the Local Area in conducting a thorough review of programs and activities. The varying requirements of each funding stream involved will be considered when designing the tools and determining the most effective activities to use. The tool used for each oversight activity will be included in the final monitoring report. Examples of oversight tools may include, but are not limited to:

- Risk Assessment Tool
- Monitoring Review Guide
- Corrective Action Tracker
- Correction Action Plan Template
- Monitoring Report Template

Monitoring Requirements

Programmatic, fiscal, and operational monitoring will be conducted to measure compliance with WIOA regulations, Iowa Workforce Development (IWD), and local policies.

Monitoring will include a comprehensive examination of compliance issues cited in prior state and local reviews and the determination of where corrective measures were taken to address and resolve those issues.

In accordance with IWD policy Chapter 9 Section: 2.2.2 program monitoring may include onsite reviews of policies, plans, and procedures governing all segments of the contracts program activities and operations at least once during the program year.

Additionally, monitoring may include reviewing services to participants for program accountability and to ensure sub-recipients perform by the terms, conditions, scope of work, and specifications of their contracts.

Participant's files may also be reviewed as part of program monitoring to include but are not limited to:

- Participant's eligibility and/or priority for the specific programs and services
- Orientation to services
- Signed acknowledgment from the participant that notification of complaint and grievance rights and procedures were received
- Justification for the provision of Individualized Career Services or Training Services
- Method of assessment
- Employment planning
- Individual Training Accounts
- Appropriateness and accuracy of participant payments (i.e., supportive services)
- Appropriate data entry and posting of outcomes, including attainment of a degree or certificate and any supplemental employment data
- Any other applicable Data Elements

A random sampling of files from every funding stream will be selected to test eligibility and compliance in every funding stream for which there is a contract with MVWDB. Programs funded by other Grantors will follow the monitoring requirements in the respective scope of work.

The monitoring staff may also review one or more personnel records of individuals paid through contracts with the MVWDB. The purpose of this review would be to ascertain if subcontractor staff:

- Possess the education and experience to perform the responsibilities of the position.
- Expend the time on contract-related activities charged against the contracts being monitored.
- Have signed complaint and grievance procedures on file.

Work Based Learning

Monitoring staff will include work-based learning monitoring in the annual required monitoring. The purpose of this is to:

- Evaluate compliance with the contract terms
- Help solve any concerns between the WIOA service provider (s), employer (s), and/or work-based learning participant

- Verify that the program participant is receiving the training, education, and other services contracted for in the agreement
- Verify that the participant is not required to engage in activities prohibited by WIOA

The monitor may also review the participant's attendance records to ensure that the participant is attending and succeeding in the training, and review employer records to assure that the participant is receiving proper wages and that the employer is withholding taxes and paying worker's compensation.

EEO and ADA Compliance

Monitoring staff may survey the subcontractor's hiring practices, promotion practices, facilities, and outreach and intake procedures to ascertain the sub-recipient's compliance with the Equal Employment Opportunities and the Americans with Disabilities Act.

Fiscal Monitoring

At least once during each program year, the MVWDB fiscal agent staff will conduct an on-site financial monitoring review of each sub-recipient's financial procedures and systems.

Monitoring will be conducted to comply with IOWA Section 184 (a) (4) [29 U.S.C. 3244 (a) (4)], annual MVWDB agreements, and 2 CFR Part 200 and Part 2900.

The financial monitoring will ensure the adequacy of internal controls and the reliability of the sub-recipient's financial management systems as they related to the administrative sub-award. This monitoring review will ensure that the sub-recipient meets the terms and conditions of the sub-award and the fiscal goal or requirement, and that amounts reported are accurate, allowable, and supported by documentation and properly allocated.

The fiscal agent will consult with the board before issuing any monitoring notifications to coordinate activities to be monitored.

The monitoring report will result in a written report to MVWDB identifying findings, areas of concern, approved corrective action plans, and recommendations.

The monitoring shall be completed using a standardized monitoring instrument, which may be customized to meet special contract provisions.

The review may include, but will not be limited to, reviewing the following processes and documentation, and will be adjusted as needed:

- Financial Reporting
- Internal controls
- Source documentation
- Cost allocation/indirect costs
- Cash management
- Procurement and inventory review
- A regular examination of expenditures to test transactions against cost categories and cost limitations

- Audit resolution/management decision
- An examination to determine if program income exists, is being accounted for a reported by the applicable requirements
- A review and interview to ensure that staff is following the proper guide for determining costs applicable to WIOA (OMB Circular) and WIOA procurement guidelines

Note: Depending on the finding or concern and the Risk Assessment, MVWDB may elect to monitor all or specific areas more frequently. Subsequent monitoring will review prior financial monitor reports and investigate any prior findings and their resolution.



Mississippi Valley Workforce Development Board

Monitoring Process

Approved Date: January 11, 2021

Effective Date: January 1, 2021

Pre-Monitoring Activities

The monitor will work with the sub-recipient to:

- Schedule a monitoring session timeline that meets the needs of all parties involved
- Determine the sample size to be used
- If needed, schedule entrance and exit conferences with the sub-recipient's leadership staff
- Send items listed above to the sub-recipient in a notification letter

The monitor will send the following to the sub-recipient to ensure efficient and effective monitoring processes:

- The list of documents to be monitored from the monitor
- Notification letter that includes the time frame for submission of documentation based on the type of monitoring method being conducted

Post-Monitoring Activities

The monitor will record any comments, findings, areas of concern, or recommendations on the monitoring report. The monitor will also add comments regarding Best Practices found during the review.

The monitor will review everything with the sub-recipient and submit the report to the sub-recipient along with any findings and/or recommendations within 30 days of the conclusion of the monitoring.

- If there are any findings, the sub-recipient will be required to submit a corrective action plan within 15 business days after the sub-recipient receives the written monitoring report.
- The monitor will either accept, provisionally accept with requested changes, or reject the corrective action plans within 20 days of receipt.
- Corrective action plans must be satisfactorily implemented within 3 months of the finding.
- If that is not possible, the sub-recipient must submit a request for an extension, along with justification, to the MVWDB executive director.

Once all corrective action plans have been resolved satisfactorily a final monitoring letter will be sent to the sub-recipient and submitted to the executive director for review. The report will outline, at a minimum:

- Type of monitoring and oversight tools used
- The activities which were monitored
- The systems which were monitored
- Monitoring findings
- If applicable individual participant files which were found to contain errors
- Recommended corrective action, including training and technical assistance
- Approved corrective action plan
- Subcontractor performance
- Areas of concern
- Best practices
- Recommendations

Submission of Monitoring Report(s) to MVWDB

The executive director will compile the annual reports of the sub-recipient, which will include performance measures, expenditure, contract performance, and fiscal and program monitoring reports.

The Operations and Youth Committee will review program monitoring reports and Finance Committee will review all financial monitoring reports and make recommendations to the Executive Committee if necessary.

The Committees will review the monitoring report, and the sub-recipient's response and may recommend to the MVWDB and CEOs:

- Accept the Reports
- Reject all or part of the report and/or require resubmission of the response
- Require additional corrective action
- Recommend the institution of sanctions against the subcontractor to the MVWDB

If the Executive Committee recommends sanctions, the MVWDB shall take up the recommendation at the next scheduled MVWDB meeting or the MVWDB Chairperson may call a special meeting of the MVWDB to consider the recommendation.

The MVWDB and CLEO may accept or reject the summary monitoring report or may request additional information regarding all or part of the report.

When the MVWDB and the CLEO are satisfied that the process has been satisfactorily completed, they will either accept the original, amended, or substitute summary report and move for the suspension of monitoring.

Note: As this report is considered a public document, the names of participants will not appear in the final report presented to the Board and Committees of the Board.

MVWDB Responsibilities in Consultation with Iowa Workforce Development (IWD)

MVWDB will submit the annual approved monitoring report and resolutions to IWD for review at the time of issuance. MVWDB will electronically submit new or updated documents, monitoring reports, and resolutions to: iwd.WIOA@iwd.iowa.gov

Process for Addressing Disagreements

Should the sub-recipients disagree with any findings from the monitors they have the right to submit a formal request in writing for a review to the executive director, along with justification and documentation in support of their request.

- The executive director will provide a written response within 10 business days of the date the request was submitted
- If a satisfactory decision cannot be agreed upon the sub-recipient has the right to file a grievance with the Executive Committee
- The Executive Committee will perform a review of all party's documentation and ask any clarifying questions
- The Executive Committee will provide MVWDB's final decision on the issue within 20 business days of the sub-recipient's formal request.





Participant License Screening Policy

Approved:

Effective Date:

Purpose

The purpose of this policy is to outline the initial screening requirements for WIOA participants before being placed in a training program on the ETPL that requires a driver's license. For all occupations that require a driver's license, the participant must be able to prove the ability to obtain that license after training before funds will be spent to enroll a participant in any training course.

General Information

The service provider must consider as much information about the participant's driving experience as is reasonably available. This would include all known violations, whether or not they are part of an official record maintained by a State, as well as any other information that would indicate the participant has shown a lack of due regard for the safety of the public. Violations of traffic and criminal laws, as well as the participant's involvement in motor vehicle accidents, are such indications and must be considered.

Screening Process

1. Discuss with the participant circumstances which would disqualify them from obtaining the required license for their desired occupation.
2. Inform the participant that they may be required to speak to the Career Navigator about any issues identified before being placed in a training program where a driver's license is required.
3. The participant will need to provide a copy of their non-certified driving record by going to:
<https://mymvd.iowadot.gov/Account/Login?ReturnUrl=%2fDrivingRecord%2fNonCertified>.

The participant may either take a picture or print out the results to share with their Career Navigator.

4. The Career Navigator will review the participant's driving record and determine the likelihood of the individual obtaining a driver's license to meet the training program standards and save a copy of the non-certified driving record in the participant's IowaWORKS file.
5. Charges such as but not limited to drug offenses, suspension of driver's license, speeding

tickets, narcotics distribution, felonies, or driving under the influence may result in the inability to obtain employment and therefore may stop a participant from moving forward with training.

Standards for Commercial Truck Drivers

This is a list of basic standards held by area employers about hiring individuals as commercial truck drivers. Many of the standards are based on insurance regulations and cost that companies incur when hiring individuals who are deemed to be a risk to the company or a safety risk.

BARRIER	IMPACT	EXCEPTIONS
Felony	Typically, employable	Consider not being employable in the industry if there are sexual offenses or serious violent crimes.
Drug Offenses	Employable	Typically, a five-year lapse before hire for trucking companies: more likely employable driving dump trucks, cement trucks, etc. until there is a five-year lapse.
Suspension of driver's license	Employable	Not employable if the suspension is due to careless/reckless driving or a DUI/OWI within the last 3-5 years. There are second-chance companies that may look at the violation differently.
Speeding Tickets	Employable	Generally, no more than two in the last three years or two in the last twelve months.
Narcotics distribution	Not Employable	No Exceptions
Human Trafficking	No Employable	No Exceptions

Types of Felonies Prohibiting CDLs

The types of felonies which typically will automatically prohibit an individual from being able to earn a CDL include:

- Using a commercial vehicle in the commission of a felony
- Manslaughter in the first or second degree with a motor vehicle

- Misconduct with a motor vehicle
- Causing a fatality through negligent/reckless vehicle operation
- Operating a vehicle with a BAC of .08% or higher
- Extortion
- Bribery
- Smuggling
- Arson
- Treason
- Assault with intent to murder
- Human trafficking

Other criminal history barriers that will prevent getting a CDL

- Current driving license is suspended
- Warrant for arrest
- Being on parole (possible exception depending on circumstances or parole terms that would prohibit you from performing your responsibilities as a driver)

Possible Quarterly Newsletter

We are trying to think of ideas to streamline information to the board and free up some time in the quarterly full board meetings so that more meaningful discussions can be conducted instead of just reviewing reports that provide numbers that are not actionable. We still want to ensure that the board is receiving the information and providing the proper amount of oversight of all programs as required under WIOA. At the board meetings members can ask any specific questions regarding the quarterly newsletter but each program would not report out as done in the past. We would move more toward a consent agenda style to save time.

Title I Adult/DW and Youth and the One Stop Operator would still continue to provide their detailed reports to their respective committees.

Ideas for Newsletter Sections

- Partner Announcements
- Upcoming Events
- MVWA Unemployment Rate, Labor Force and Participation Rates
- Average Daily Center Traffic
- MVWA Customer Satisfaction
- Workshops Attended
- Job Candidates Served by Program
- Program Referrals
- Business Services
- Rapid Response Services
- Hiring Events & Job Fairs
- Performance
- Success Stories
- The Board Corner