



# Southeast Region Local Sub-State Monitoring Report Program Year 2021

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**Sub-State monitoring review was conducted by the Compliance  
Department of the Southeast Workforce Development Board.**

Monitoring Dates: July 2021 – June 2022

Report Issued Date: June 30, 2022

This Sub-State Monitoring Report will be presented to the  
Southeast Workforce Development Board on July 15th, 2022.

Any questions related to the content of this report should be directed to the  
Southeast Workforce Development Board Compliance Manager, Samantha Terry



# Southeast Workforce Development Board

## Local Sub-State Monitoring

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Program Year 2021

July 1, 2021 – June 30, 2022

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## Executive Summary

The purpose of this monitoring is to identify any potential eligibility issues, ensure compliance with program requirements, and report any findings to the Board and COO. Although no disallowed costs or eligibility concerns were identified in this monitoring, it does not guarantee that other problems do not exist. Local Sub-State monitoring is not a complete inventory on all files and is limited to the timeframe listed. At a minimum, each participant record is reviewed for:

Documentation of participant eligibility and/or priority for the programs and services received; Orientation to services and the participants rights under C&G procedures; Justification for the provision of Individualized Career Services or Training Services; Method of assessment and Employment Planning; Individual Training Accounts; Appropriateness and accuracy of participant payments (i.e., Supportive Services, Incentives); Appropriate data entry; Posting of outcomes, including the attainment of a degree or certificate and any supplemental employment data.

Department of Higher Education Office of Workforce Development (DHEWD or OWD) Programs:

- Adult/Dislocated Worker
- Youth
- MoWorks
- COVID Humanitarian Grant
- Sikeston School Pre-Apprenticeship

The Southeast Workforce Development Board Compliance Department performed the annual local Sub-State monitoring in fulfillment of requirements established under the Department of Higher Education and Workforce Development (DHEWD) Issuance 11-2021. For the WIOA and OWD Grants, each program year, board staff must monitor a separate statistically valid sample of participants enrolled in each of the following services under DHEWD Contracts:

- Classroom Training
- On-The-Job Training
- Work Experience
- Supportive Services
- Any other services that result in a direct payment being made to, or on behalf of, a participant.

The Adult and Dislocated Worker Programs were monitored based on funding service. The Youth, MoWorks, COVID, and Pre-Apprenticeship Grants were monitored at 100% within the Program Year and report pull timelines. The valid sample size is dependent upon the number of participants enrolled in each service. The sampling size allows for a 90% confidence level and an 8% margin of error.

The Southeast Workforce Development Board monitors FSD Contracts in line with FSD requirements and those are not included in this report but can be provided upon request.

## **WIOA Adult and Dislocated Worker Sub-State Monitoring and Enrollment Summary**

The Southeast Workforce Development Board monitored the Adult and Dislocated Worker Program by Services. Each service was monitored based on the OWD required sample size compared to the number of people enrolled into that service. These participants were enrolled and/or had fundable services between the dates of January 1, 2021 and May 12, 2022.

- Classroom Training (ITA) – 85 Individual Accounts were monitored, this included initial monitoring and follow-up on training progress for selected accounts.
- On the Job Training (OJT) – 3 Individual Accounts were monitored, 100% of Adult and Dislocated Worker OJT services for the region based on the last service report from MoJobs.
- Work Experience Training (WE) – 1 Individual Account was monitored 100% of WE services for the region based on the last service report from MoJobs.
- Supportive Services (SS) – 49 Individual Accounts were monitored, 100% of Adult and Dislocated Worker Supportive Services this included initial monitoring and follow-up on training progress for selected accounts. Service Reports from MoJobs showed 43 total for the year, 49 were monitored based on being pulled from the previous year and follow-up on progress for selected accounts.

\*Files that have more than one fundable service could have been selected in both services but are only counted once in the total listed here.

During the PY2021 Year, there were none of the following services provided to Adult/Dislocated Worker Program Participants within the Southeast Region:

- Apprenticeships, the only apprenticeship within these funding streams had been MoRap and that grant was fully monitored in PY2019.
- AEL services, this service would have a requirement to be in conjunction with an ITA if we would have been able to provide this service to any participants who needed it.
- Incumbent Worker Services, incumbent worker services is defined as a participant who has an established employment history with the employer for six or more months. Incumbent Worker Training means training by an employer or training provider that is provided through WIOA funding.

### **Monitoring Summary**

Reports were sent out for corrections to be completed based on the local monitoring of files. All corrections were submitted by the deadline.

- Minor corrections were completed. Minor Corrections can include: elements reviewed, not completed appropriately but not related to program eligibility or financial payments.
- Corrections were completed. Corrections can include: elements reviewed, not completed appropriately and related to program eligibility or financial payments. These corrections have been completed and did not result in action beyond system changes and/or training.
- No eligibility or disallowed costs identified.

### Regional Comments for Areas of Strength:

- Other programs or resources with funding are being utilized before a request to consider WIOA funding is being made.
- Coordination with Youth, State, and Partner staff is evident in dual enrollments and braiding of funds.
- Relationships built between case manager and participant is evident with case notes and outcomes.

### Regional Comments for Areas of Improvement:

- Case noting Initial Enrollment Requirements and contact with participant throughout enrollment,
- Barriers from Assessments and initial case notes to the Employment Plan strategy, and
- Fully answering/explaining the required federally mandated training appropriateness questions, to explain how and why this participant is appropriate for services.
- Closing training activities correctly with outcomes documented such as credentials and MSGs.

A total of 138 files were monitored from the Adult and Dislocated Worker Program.

## **Adult and Dislocated Worker Enrollment Summary**

The Annual Agreement signed between OWD and the Southeast Region set enrollment goals for each region based on the total number of enrollments completed throughout the Program Year. This Program Year was July 1, 2021 – June 30, 2022. The tables below are from the OWD Dashboard Data Team. These tables show the goals established for all Regions in Missouri based on each individually signed Annual Agreement compared to the attained percentage.

The Baseline Goal is the minimum set by the state the Tier 3 Goal allows the Region to access incentive levels based on Baseline, Tier 1, Tier 2, and Tier 3. The Enrollment numbers are based on Local and Statewide WIOA Program Adult and Dislocated Worker Participant Enrollments.

Based on the OWD Dashboard ending in 6/20/2022.

- The Baseline Goal set for the Southeast Region was 213 enrollments.
- The Tier 3 Goal set for the Southeast Region was 256 enrollments.
- The Southeast Workforce Development WIOA Program Goal was set at 260 enrollments.
- Currently being reported from the Dashboard listed above are 246 Enrollments.
- 106 of those enrollments entered into a training related activity.
- A finalized reporting number will be available from OWD in July 2022.

The Southeast WIOA Program has attained the Baseline Goal by 115.5%, they are currently at 96.1% of the Tier 3 Goal, and 94.6% of the Program Goal. This will be monitored throughout the finalized number for this program year. The Program has a 90% finish acceptance similar to the State Performance acceptable percentages. They have attained the 90% range and based off projected enrollments will continue to trend upward through the last day of the program year.

**Baseline Workforce Innovation & Opportunity Act Progress**

Region	Goal	Actual # Enrolled	Actual % Baseline
Ozark	164	1,748	1065.9%
Southwest	117	292	249.6%
West Central	116	233	200.9%
St. Louis County	153	261	170.6%
St. Louis City	99	165	166.7%
Northwest	139	219	157.6%
St. Charles County	49	73	149.0%
Central	267	330	123.6%
Jefferson/Franklin	122	149	122.1%
<b>Southeast</b>	<b>213</b>	<b>246</b>	<b>115.5%</b>
South Central	146	168	115.1%
Northeast	73	75	102.7%
East Jackson	188	70	37.2%
KC & Vicinity	463	149	32.2%

**Tier 3 Workforce Innovation & Opportunity Act Progress**

Region	Goal	Actual # Enrolled	Actual % Baseline
Ozark	197	1,748	887.3%
Southwest	140	292	208.6%
West Central	139	233	167.6%
St. Louis County	183	261	142.6%
St. Louis City	119	165	138.7%
Northwest	167	219	131.1%
St. Charles County	59	73	123.7%
Central	320	330	103.1%
Jefferson/Franklin	147	149	101.4%
<b>Southeast</b>	<b>256</b>	<b>246</b>	<b>96.1%</b>
South Central	175	168	96.0%
Northeast	88	75	85.2%
East Jackson	226	70	31.0%
KC & Vicinity	556	149	26.8%

SOUTHEAST	PY21 YTD
WIOA Enrollment - AD & DW (Region only)	246
WIOA Training - AD & DW (Region only)	106

For more information, please see the Dashboards available and/or the Annual Agreement. The Dashboards can be available upon request. The current Annual Agreement is posted to the Southeast Workforce Development Board website under the Resources Tab.

Enrollment Summary – Local Enrollments; SE WDB Case Managers

In the Southeast Region, the WIOA Adult and Dislocated Case Managers have enrolled 212 participants with more to be entered through the last day of the program year. Enrollments require multiple customer service and program element services. This year, the Southeast Region had an enrollment review process completed in collaboration with OWD Compliance to streamline enrollments and remove any unnecessary documentation and/or processes. Please note, Case Managers work with many different customers and backgrounds. All of their work and time is not a representation of these numbers. The Case Managers all take an active role in assistance to all customers and employers at the Job Center, events, and within their communities.

212 Total Participants, as of 6/30/2022

- 36 Cape
  - 4 Dislocated Worker Enrollments
  - 32 Adult Enrollments
- 50 Kennett
  - 7 Dislocated Worker Enrollments
  - 43 Adult Enrollments
- 71 Park Hills

- 29 Dislocated Worker Enrollments
- 42 Adult Enrollments
- 55 Sikeston
  - 7 Dislocated Worker Enrollments
  - 48 Adult Enrollments

As of June 29<sup>th</sup>, 2022 the current enrollments are active or exited based on need and participation in the program. Please note, this does not accurately document caseloads. Caseloads can have participants enrolled during a previous program year that are not counted in these outcomes listed below. These outcomes are based solely on the enrollment numbers and how many of those participants are working through the program or have exited from the program. Participants Exit when they are employed and/or no longer need Job Center Services, cease contact and appointments with their case manager, or by going 90 days without a countable service entered in by their case manager.

212 Total Participants, based on participation status, as of 6/30/2022

- 36 Cape
  - 17 Exited
  - 19 Active
- 50 Kennett
  - 23 Exited
  - 27 Active
- 71 Park Hills
  - 16 Exited
  - 55 Active
- 55 Sikeston
  - 17 Exited
  - 38 Active



## WIOA Youth Participant Review - Sub-State Youth Monitoring Summary

The Southeast Workforce Development Board monitored 100% of the Youth Program Participant files. These participants were enrolled between the dates of January 1, 2021 – March 1, 2022.

62 WIOA Youth files were monitored:

- 7 In-School files
- 55 Out-of-School files

### Monitoring Summary

Reports were sent out for corrections to be completed based on the local monitoring of files. All corrections were submitted by the deadline.

- Minor corrections were completed. Minor Corrections can include: elements reviewed, not completed appropriately but not related to program eligibility or financial payments.
- Corrections were completed. Corrections can include: elements reviewed, not completed appropriately and related to program eligibility or financial payments. These corrections have been completed and did not result in action beyond system changes and/or training.
- No eligibility or disallowed costs identified.

### Regional Comments for Areas of Strength:

- Coordination with AD/DW, Youth, and Partner staff is evident in dual enrollments and braiding of funds.
- Youth Case Managers have taken the lead on dual enrollments with Work Experiences and their efforts and established relationships with the participants and employers have assisted the entire team with minimal issues while being able to providing the services with different funding streams to best assist the participant.
- Relationships built between case manager and participant is evident with case notes and outcomes.

### Regional Comments for Areas of Improvement:

- Individual Service Strategies, everything on the objective assessment must be pulled over to the employment plan these two things together create the plan of service strategies.
- Case noting monthly contact.
- Fully answering/explaining the required federally mandated training appropriateness questions, to explain how and why this participant is appropriate for services.

### Program limitation outcomes:

- 5% limit on in-school youth enrolled with NAA Barrier; one participant was enrolled with this barrier, after talking with the State OWD Compliance Team this one enrollment is within the limitations and accepted with no concerns.
- 5% over-income enrollment exception; No Enrollments
- 20% Work-Based Learning – Please see Financial Summary report section.
- Out-of-School Percentage expenditure requirement. Policy limits expenditures to 25/75 for in-school and out-of-school funding. The Southeast Region has been

approved for a waiver that changes the expenditures to 50/50 ending June 30<sup>th</sup>, 2023. Please see Financial Summary report section.

- Waiver was approved for In-School Tuition Assistance or ITA. No participants used this waiver in PY21. It is important to note, this waiver approval was within the last 3 months of the program year and the schedule for school did not allow participants to begin by the waiver deadline of June 30, 2022. The Southeast Region will request the waiver again if it is made available by DOL and OWD for PY2022. Please see Financial Summary report section.

A total of 62 files were monitored from the Youth Program.

## Youth Enrollment Summary

The Annual Agreement signed between OWD and the Southeast Region did not include enrollment goals this Program Year for the Youth Program. The tables below are from the OWD Dashboard Data Team. These tables show the total number enrolled based on local and statewide grants for the Southeast Region. This Program Year was July 1, 2021 – June 30, 2022.

Based on the OWD Dashboard ending in 6/20/2022.

- The Southeast Region has a total of 68 enrollments.
- 27 of those enrollments entered into a training related activity.
- A finalized reporting number will be available from OWD in July 2022.

For more information, please see the Dashboards available and/or the Annual Agreement. The Dashboards can be available upon request. The current Annual Agreement is posted to the Southeast Workforce Development Board website under the Resources Tab.

SOUTHEAST	PY21 YTD
WIOA Enrollment - Youth (Region only)	68
WIOA Training - Youth (Region only)	27

### Enrollment Summary – Local Enrollments; SE WDB Case Managers

In the Southeast Region, the WIOA Youth Case Managers have enrolled 73 participants as of June 30<sup>th</sup>, 2022 and more could be entered through the last day of the program year. Enrollments require multiple customer service and program element services. This year, the Southeast Region had an enrollment review process completed in collaboration with OWD Compliance to streamline enrollments and remove any unnecessary documentation and/or processes. Please note, Case Managers work with many different customers and backgrounds and barriers, especially in the Youth Program. All of their work and time is not a representation of these numbers. The Case Managers all take an active role in assistance to all customers and employers at the Job Center, events, and within their communities.

73 Total Participants, as of 6/30/2022

- 9 Cape
  - 1 In-School Enrollment
  - 8 Out-of-School Enrollments

- 13 Kennett
  - 4 In-School Enrollment
  - 9 Out-of-School Enrollments
- 31 Park Hills
  - 2 In-School Enrollments
  - 29 Out-of-School Enrollments
- 20 Sikeston
  - 3 In-School Enrollments
  - 17 Out-of-School Enrollments

As of June 29<sup>th</sup>, 2022 the current enrollments are active or exited based on need and participation in the program. Please note, this does not accurately document caseloads. Caseloads can have participants enrolled during a previous program year that are not counted in these outcomes listed below. These outcomes are based solely on the enrollment numbers and how many of those participants are working through the program or have exited from the program. Participants Exit when they are employed and/or no longer need Job Center Services, cease contact and appointments with their case manager, or by going 90 days without a countable service entered in by their case manager.

73 Total Participants, based on participation status, as of 6/30/2022

- 9 Cape
  - No Exited
  - 9 Active
- 13 Kennett
  - 2 Exited
  - 11 Active
- 31 Park Hills
  - 6 Exited
  - 25 Active
- 20 Sikeston
  - 2 Exited
  - 18 Active

Enrollments are divided by the County and the assigned Job Center. Case Managers are not bound by Job Center Counties. The current County assigned Case Managers can be found on the Southeast Workforce Development Board Website, [www.job4you.org](http://www.job4you.org) under the about and Youth Case Managers Tab.

- Cape Job Center includes the counties: Cape Girardeau, Bollinger County, and Perry County.
- Sikeston Job Center includes the counties: Scott County, New Madrid County, and Stoddard County, Mississippi County.
- Kennett Job Center includes the counties: Pemiscot County and Dunklin County.
- Park Hills Job Center includes the counties: Ste. Genevieve County, St. Francois County, Iron County, and Madison County.

## **Southeast WIOA Programmatic Monitoring Summary**

All monitoring comments were reviewed through Zoom conference calls with the individual staff members. This allowed time for one-on-one training and questions for each staff. Overall, the calls were good with information provided both ways during the monitoring process. Anything that was able to be resolved during the call was not included in the correction sheets sent to the case managers. Based on the monitoring the region will move back to monitoring 100% of all files instead of monitoring Adult and Dislocated Worker files by fundable service. Monitoring will be based in stages to follow the participant from eligibility through other services and exit. A plan for monitoring will be submitted to the staff in July 2022.

General Comments covered in all Monitoring Calls with Staff include but are not limited to:

- Initial Case Note Requirements and Template – Specifically the Funding Source and Amount.
- Attestations are required for any Youth enrolled as Needs Additional Assistance due to a deceased parent or alternative school enrollment.
- Sunshine laws allow case notes to be requested.
- Training end date should be the last date a participant attended class or the date of the certificate of completion. Activities should not be closed or extended out based on date for credential.
- Initial Case Note and/or Comprehensive and Objective Assessments require all barriers and needs to be included in the Employment Plan as a strategy of service.
- Trade participants and case managers are not required to validate the Date of Dislocation, however, this is a required data validation element in Adult, Dislocated Worker, Dislocated Worker Grants, and Youth Programs.
- Adult – Using Work Experience under the Adult Program should be restricted to those truly in need of Work Experience and/or be within the ultimate employment path. Transitional Jobs should be looked at vs. Work Experience as they are both different types of Work Experiences but have separate definitions and requirements.
- Documents uploaded – when a program is selected it is only show to other staff members with that program access.
- Anytime an Applicant Statement is used as a last resort, this must be recorded in case notes as the last resort to prove family size, income, and/or individual status.
- Resumes must remain active and online during participation. If the participant is not actively looking for a job, the resume can be offline or inactive but a case note must explain why and when it will be reviewed and made available again.

## **Additional OWD Grants – Sub-State Monitoring Summary**

Local WDB's must conduct quarterly Programmatic Monitoring Reviews (PMR) to test compliance in every funding stream for which the Local WDB has a contract with OWD. Samples should include records enrolled in the current program year; however, monitors may pull samples from the previous quarter if needed to meet sample size

## **MoWorks Participant Review**

The MoWorks Together Grant is a Disaster Recovery Dislocated Worker Grant, implemented as a result of the U.S. Department of Health and Human Services' (HHS) public health emergency declaration regarding the opioid crisis.

The Missouri Works Together (MoWorks Together) grant is a collaborative effort to both:

- (1) Provide temporary disaster-relief employment and career and training services to workers impacted by the opioid crisis; and
- (2) Develop a stronger workforce provider professions network able to better address individuals needing substance abuse and counseling services.

### MoWorks Monitoring Summary

The Southeast Region has utilized training services under Track One of this Grant to assist participants in our region with training and temporary employment opportunities.

- 2 MoWorks files was monitored in PY2021.
- These were the only participants to cross into the PY2021 program year.
- Follow-Up monitoring on these account was completed.
- All other files – 100% of enrollments including this participant was monitored in PY19 and/or PY20

No corrections were completed – This file had been monitored through previous local monitoring and also through PY21 OWD Monitoring. There were no additional comments and this participant has exited from the Program.

## **COVID Humanitarian Grant Participant Review**

The COVID-19 Humanitarian Grant is a collaborative effort to: (1) provide temporary disaster-relief employment; (2) provide career and training services to workers impacted by the COVID-19 crisis; and (3) provide temporary disaster-relief employment and career and training services. To accomplish this, the Southeast Region submitted entered into a contract with the Missouri Department of Higher Education and Workforce Developments Office of Workforce Development in order to provide youth residents in our region with Temporary Disaster-Relief Employment. Those eligible individuals will be placed into temporary disaster-relief employment opportunities at participating worksites.

The southeast region was provided with 13 slots for participants, to date 16 participants have been enrolled. This contract ends at the end of this program year, June 30<sup>th</sup>, 2022, all accounts have been closed for this program. Participants were dual enrolled into WIOA as appropriate and may still be active under another program.

### COVID Humanitarian Monitoring Summary

- In PY2021, all 16 COVID files were monitored - 100% of all enrollments for this program. These participants were enrolled between the dates of August 2020 – February 2022.
  - Ten (10) of these participants were enrolled during PY20
  - Six (6) of these participants were enrolled during PY21.

- Thirteen (13) of these participants were placed on a job site and worked in the program.
- Three (3) participants enrolled but never began at a job site.

Reports were sent out for corrections to be completed based on the local monitoring of files. All corrections were submitted by the deadline.

- Minor corrections were completed. Minor Corrections can include: elements reviewed, not completed appropriately but not related to program eligibility or financial payments.
- Corrections were completed. Corrections can include: elements reviewed, not completed appropriately and related to program eligibility or financial payments. These corrections have been completed and did not result in action beyond system changes and/or training.
- No eligibility or disallowed costs identified.

#### Regional Comments for Areas of Strength:

- One case manager handled the majority of enrollments for this program; only two were enrolled by another case manager.
- These enrollments are being managed and handled according to policy.
- Participants are being placed in appropriate worksites and following duties along with the grant requirements and expectations.
- On-Site Monitoring was completed with OWD Compliance. Sites were selected by OWD and the OWD Grant coordinator and the Southeast Compliance Manager met the Case Manager and Participants, when possible, at the worksite to talk with the Employer about the program, duties, and any needs within the program. No concerns were identified during the on-site visits.

### **Sikeston School – Pre-Apprenticeship Participant Review**

The Southeast Workforce Development Board assisted with a Pre-Apprenticeship Grant in PY2021. The board was considered the sub-recipient for the Missouri Apprentice Ready Project for the Sikeston School District. The school district was to create and run the Pre-Apprenticeship Program. The Program allotted \$100,000 for the purpose of the Pre-Apprenticeship Opportunities through the school.

- The Project was from June 1, 2021 – May 31 2022.
- Training was provided for no more than \$1,500 per participant.
- The Scope of Work listed a minimum of ten (10) eligible individuals to be enrolled into the Project.
- The focus on participants was to encompass the underserved and unrepresented individuals in Pre-Apprenticeships who have barriers to employment.
- This project was focused on Youth ages 16-24 with proof of barriers to employment

#### Sikeston School – Pre-Apprenticeship Monitoring Summary

- There were 18 enrollments into this Pre-Apprenticeship Grant between October 2021 and April 2022.
- In PY2021, all 18 Pre-Apprenticeship files were monitored - 100% of all enrollments for this program. These participants were enrolled between the dates of October 2021 – April 2022.

- All participants had barriers to employment including but not limited to: Basic Skills Deficient, in the Foster Care System, Homeless, Ex-Offenders, High School Drop-outs, living in High Poverty Areas, and Receiving Free or Reduced Lunch Assistance.
- A hand-full of these students were dually enrolled into WIOA based on need, appropriateness, and eligibility.

Reports were sent out for corrections to be completed based on the local monitoring of files. All corrections were submitted by the deadline.

- Minor corrections were completed. Minor Corrections can include: elements reviewed, not completed appropriately but not related to program eligibility or financial payments.
- Corrections were completed. Corrections can include: elements reviewed, not completed appropriately and related to program eligibility or financial payments. These corrections have been completed and did not result in action beyond system changes and/or training.
- No eligibility or disallowed costs identified.

## Performance Measure Information

PY2021 Performance Measures were negotiated in September 2020, considerations could not be made for the COVID Pandemic that could affect outcomes. The following information explains what each performance measure is and the dates that performance measure is accounting for.

Employment Quarter 2 – The percentage of program participants who are in unsubsidized employment during the second quarter after exit from the program. Participants showing in the performance measure for PY21 Employment Quarter 2 exited the program between the dates of July 2020 – June 2021.

Employment Quarter 4 – The percentage of program participants who are in unsubsidized employment during the fourth quarter after exit from the program. Participants showing in the performance measure for PY21 Employment Quarter 4 exited the program between the dates of January 2020 – December 2020.

Credential – The percentage of those participants enrolled in an education or training program (excluding those in OJT and customized training) who attained a recognized postsecondary credential or a secondary school diploma, or its recognized equivalent, during participation in or within one year after exit from the program. Participants showing in the performance measure for the PY21 Credential measure exited the program between the dates of January 2020 – December 2020.

\*Special Youth Credential Rule relating to Secondary School Diplomas and equivalents: participants who obtain a secondary school diploma or its recognized equivalent must also meet an additional condition before they are counted as a successful outcome and included in the numerator of the credential attainment indicator. These participants must be employed, or enrolled in an education or training program leading to a recognized postsecondary credential within one year following exit.

Skill Gains - The percentage of participants who, during a program year, are in an education or training program that leads to a recognized postsecondary credential or employment and who are achieving documented academic, technical, occupational, or other forms of progress, towards such a credential or employment. This is the only real-time indicator. Participants showing in the performance measure for the PY21 Skill Gains measure were in the program and in an activity or enrolled under a characteristic that triggered this measure to become active. This measure was calculated between the dates of July 2021 – June 2020.

Median Earnings - Quarter 2 - the median earnings of program participants who are in unsubsidized employment during the second quarter after exit from the program, as established through direct UI wage record match, Federal or military employment records, or supplemental wage information. This includes local and statewide WIOA enrollments. Accurate reporting to narrow down to local performance was not available at the time of this report, this measure is not included in the performance information below.



## WIOA Adult Program Performance - Southeast Region

Employment and Skill Gain goals were exceeded in the WIOA Adult Program for PY2021. The Adult Credential is within the state requirement of 90% achieved, we would need two more participants in that indicator to be changed from a negative outcome to a positive one to meet/exceed the measure goal.

Case Managers have been sent all negative participants in each measure for file review to ensure all positive participant outcomes are documented.

The Performance System will have updates to performance outcomes until it is finalized for End of the Year Reporting to DOL. Information was pulled from FutureWorks BI Performance System on 6/29/2022 showing the last data upload of 6/22/2022.

Indicator	Actual	SE WDB Goal	% of Goal Achieved
Employment Q2	136/171 79.53%	70.05%	113.5%
Employment Q4	160/207 77.29%	68.05%	113.6%
Credential	105/138 76.09%	77.5%	98.2%
Skill Gain	100/169 59.17%	55%	107.6%

\*Employment Q2 and Q4, Credential, and Skill Gain have been reduced to Local WDB Performance Only.

## WIOA Dislocated Worker Program Performance - Southeast Region

Employment and Skill Gain goals were exceeded in the WIOA Dislocated Worker Program for PY2021. The Dislocated Worker Credential is within the 80% attained rate. The Southeast Region has not attained the state requirement of 90% achieved.

In order to meet the 90% requirement, we would need two more participants and to meet/exceed the goal, we would need three more participants to be changed from a negative outcome to a positive outcome.

Please note, the low numbers in each measure indicator formula makes it harder to achieve the measure as more participants have to be successful in the measures with a low number of participants. Case Managers have been sent all negative participants in each measure for file review to ensure all positive participant outcomes are documented.

The Performance System will have updates to performance outcomes until it is finalized for End of the Year Reporting to DOL. Information was pulled from FutureWorks BI Performance System on 6/29/2022 showing the last data upload of 6/22/2022.

Indicator	Actual	SE WDB Goal	% of Goal Achieved
Employment Q2	30/38	75%	105.3%
	78.95%		
Employment Q4	46/51	73%	123.6%
	90.20%		
Credential	17/28	71%	84.7%
	60.17%		
Skill Gain	33/64	48%	107.4%
	51.56%		

\*Employment Q2 and Q4, Credential, and Skill Gain have been reduced to Local WDB Performance Only.

## WIOA Youth Program Performance - Southeast Region

All measure goals were exceeded in the WIOA Youth Program for PY2021 with the exception of the Credential Measure. The state recognizes meeting 90% of the goal as meeting state performance standards.

In the Credential measure, the region would need one more positive outcomes in order to meet the 90% range and five more positive outcomes to exceed the goal.

Please note, the low numbers in each measure indicator formula makes it harder to achieve the measure as more participants have to be successful in the measures with a low number of participants. Case Managers have been sent all negative participants in each measure for file review to ensure all positive participant outcomes are documented.

The Performance System will have updates to performance outcomes until it is finalized for End of the Year Reporting to DOL. Information was pulled from FutureWorks BI Performance System on 6/29/2022 showing the last data upload of 6/22/2022.

Indicator	Actual	SE WDB Goal	% of Goal Achieved
Employment Q2	54/76 71.05%	67%	106%
Employment Q4	62/83 74.70%	68.5%	109%
Credential	32/60 53.33%	60.5%	88.1%
Skill Gain	62/110 56.36%	34%	165.8%

\*Employment Q2 and Q4, Credential, and Skill Gain have been reduced to Local WDB Performance Only.

## Wagner-Peyser Program Performance - Southeast Region

The Wagner-Peyser Act of 1933 established a nationwide system of public employment offices. Under the Workforce Innovation and Opportunity Act, these employment offices are collocated nationwide with the Job Centers. The Employment Services seeks offered through the Wagner Peyser Program focus on improving the nation's labor markets by bringing together individuals seeking employment with employers seeking workers. The Wagner-Peyser Employment Service focuses on providing a variety of services including job search assistance, help getting a job referral, and placement assistance for job seekers. Additionally, re-employment services are available for unemployment insurance claimants, as well as recruitment services to employers with job openings. Services are delivered in one of three modes including self-service, facilitated self-help services and staff assisted service delivery approaches.

The Wagner-Peyser Program runs similar to a state an entitlement program in that anyone can walk into a job center an access these free services, unlike our WIOA Adult, Dislocated Worker, and Youth Programs which have eligibility and documentation requirements. The Southeast WDB is responsible for negotiating these target goals.

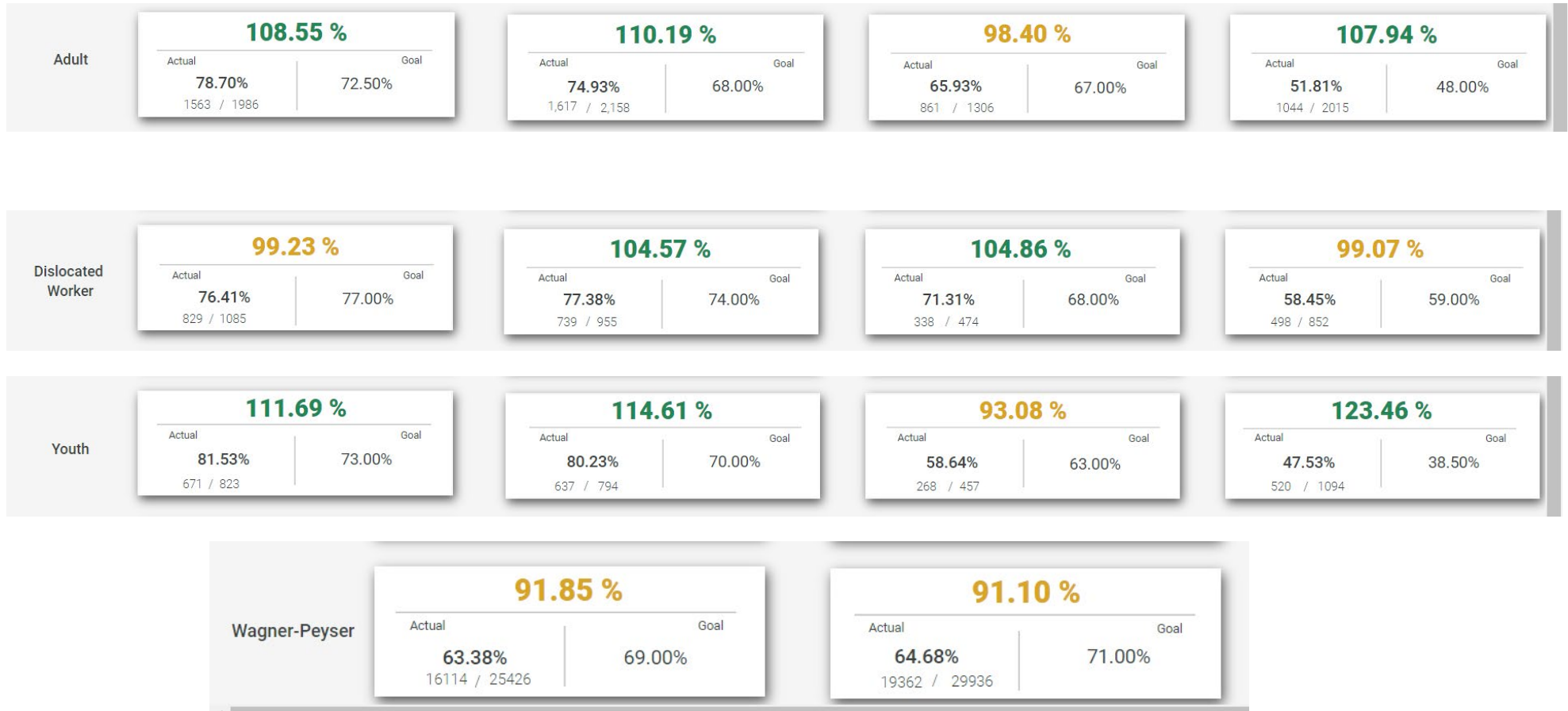
In PY2021, a change was made to where Wagner-Peyser enrollments were assigned case managers based on who completed the enrollment. This change will likely allow us to see better outcome results within this program.

The Southeast Region exceeded the goal for Employment Quarter 4. Employment for Quarter 2 is within the 90% range required by the state. The Performance System will have updates to performance outcomes until it is finalized for End of the Year Reporting to DOL. Information was pulled from FutureWorks BI Performance System on 6/29/2022 showing the last data upload of 6/22/2022.

Indicator	Actual	SE WDB Goal	% of Goal Achieved
Employment Q2	760 / 1195 63.60%	67%	94.92%
Employment Q4	1393 / 2071 67.26%	67%	100.39%

## Missouri State - Percent Achieved

The Percent Achieved by Missouri as a whole is based on Missouri's negotiated goals with DOL.



## **Southeast Workforce Development Board Region - Participant Services by County**

Due to system outages, the Participant Services by County reports are not available for reporting but can be provided upon request once the system is running again.

## **Enrollments by County**

Due to system outages, the Enrollment by County reports are not available for reporting but can be provided upon request once the system is running again.

## **Data Element Validation Review - Sub-State Monitoring Summary**

The Office of Workforce Development requires the local area to complete Data Element Validation Reviews (DEV). Each quarter, a report must be generated from our case management system that randomly selects active and exited cases to be monitored in each of the following funding streams:

- WIOA Adult
- WIOA Dislocated Worker
- WIOA Dislocated Worker Grant
- WIOA Youth
- Other funding streams are monitored by the state

The Data Element Validation Reviews are to verify that the performance data elements reported by the local region and the state are valid, accurate, reliable, and comparable across programs. The review helps to identify anomalies in the data or missing data, to resolve issues that may cause inaccurate reporting, and to improve performance accountability through the results of data validation efforts.

Each quarter's file pull is available by the 15<sup>th</sup> of the first month in the new quarter. So far, in PY21, we have completed monitoring for Quarters 1-3. Accounts are monitored for each reporting element and are reported as a pass or fail based on all elements within the account to be verified. When able, change requests have been submitted to correct data.

## **Quarterly Totals**

Quarter 4 records are not available to be pulled until after the 15<sup>th</sup> of July and monitoring of those records will begin with those reports being pulled.

### **Quarter 1**

- Adult – 32 total files, 12 files had one or more elements that failed the validation.

- Dislocated Worker – 7 total files, 3 files had one or more element that failed the validation.
- Dislocated Worker Grant – 1 total file, no elements failed the validation.
- Youth - 14 total files; 1 file had one or more elements that failed the validation.

#### Quarter 2

- Adult – 33 total files, 3 files had one or more elements that failed the validation.
- Dislocated Worker – 6 total files, 1 files had one or more elements that failed the validation.
- Dislocated Worker Grant – 1 total file, no elements failed the validation.
- Youth - 13 total files, no elements failed the validation.

#### Quarter 3

- Adult – 15 total files, 1 file had one or more element that failed the validation.
- Dislocated Worker – 15 total files, 1 file had one or more elements that failed the validation.
- Dislocated Worker Grant – 4 total files, no elements failed the validation.
- Youth - 15 total files, no elements failed the validation.

### **Monitored Quarters – Total DEV Summary**

- Adult – 80 total files, 16 files had one or more element that failed the validation.
- Dislocated Worker – 28 total files, 5 files had one or more element that failed the validation.
- Dislocated Worker Grant – 6 total files, no elements failed the validation.
- Youth - 42 total files, one file had one or more elements failed the validation.

### **Equal Opportunity Review - Sub-State Monitoring Summary**

The Local Equal Opportunity Officer (EO) is responsible for coordinating a recipient’s obligations under 29 CFR Part 38, Section 188 of WIOA, and the Missouri Nondiscrimination Plan. The EO Officer completes these requirements in part by ensuring compliance and monitoring demographic data. Responsibilities include but are not limited to:

#### **Program Analysis Report**

- Annually, a Program Analysis Report is required to be submitted to the OWD EO Unit. The Program Data Analysis Report looks at the Job Centers in the Region, Programs and Services Provided, Outcomes of those Programs and Services, and the associated demographics. The data is analyzed through a 2.0 Standard Deviation Test and an 80% Rule Test to look for adverse impact in any demographic group. The Program report covers PY2019, since we are looking at the outcomes of those programs and services, the report cannot be generated or analyzed until the performance measures have been completed for exited

participants. The full current reports can be found on the Resources page of the Southeast Workforce Development Board website.

- While there were a few areas flagged for adverse impact that required further investigation, there were not policies, staff members, or specific actions found to be the cause. Adverse impact does not mean there is discrimination; however, it does require a further investigation into the data and circumstances. All areas flagged were justified by the Southeast population data, civilian labor force data, and/or participant data.

### Staffing Analysis Report

- Annually, a Staffing Analysis Report is required to be submitted to the OWD EO Unit. This report reviews the hiring, employment, and outreach practices of the Board and any Sub-recipients. The data is analyzed through the 80% Rule to look for adverse impact in any demographic group. The full current reports can be found on the Resources page of the Southeast Workforce Development Board website. The Staffing Analysis Report covers PY2020 and is completed each October on the previous year's practices.
- While there were a couple areas flagged for adverse impact that required further investigation, there were not policies, staff members, or specific actions found to be the cause. Adverse impact does not mean there is discrimination; however, it does require a further investigation into the data and circumstances. All areas flagged were justified by the Southeast population data or the hiring applicant pool. The hiring process and outreach plan were reviewed and both revised.

### Eligible Training Provider Monitoring

- This year, schools that were assigned to be monitored by each region was provided through OWD EO Unit. Schools with more than 14 participants who have been funded through WIOA Grants are required to be monitored. The Southeast Region has had to monitor the following schools based on the amount of participants attending the schools through WIOA funding.
  - Cape Career and Technology Center
  - Mineral Area College
  - Southeast Missouri Truck Driving School
  - Renaissance Beauty Academy
  - Missouri Welding Institute
- Minor corrections have been resolved with the school, all reports schools are responsive and prompt to monitoring. Comments have shown progress in compliance as new regulations and requirements under CFR 29 Part 38 have been implemented. Each school was provided with the final report.
- Reports can be provided upon request.

### Sub-Recipient Monitoring

- The SE WDB holds the staffing and program contracts to operate the program. The Administration operates as the Recipient and the Program staff operate as the Sub-Recipient. Please see the Equal Opportunity Staffing and Program Report for more information.



### On the Job Training/Work Experience Monitoring

- No Employers met the definition as a large provider under 29 CFR Part 38 for additional monitoring requirements. Under the updated OWD Sub-State Issuance and EO Guidance small recipients were required to be monitored beginning in PY2021. A form was produced by the OWD EO Unit.
  - Large Recipient – 15 or more participants in a program year
  - Small Recipient – 14 or less participants in a program year
- With this being the first year, letters were set to all Small Recipients making them aware of the requirements as a Small Recipient of federal funding. All letters provided information to contact the Local EO Officer for more information and included a note that the required posters can be delivered to them at no charge.
- At this time, we have had no requests for posters or more information
- As EO Monitoring for Small Recipients becomes routine, on-site visits, interviews, and phone conference calls can be required to ensure all recipients are aware of the regulations and compliance with WIOA Section 188.

### On-Site Reviews

- All WE and OJT participants do have on-site monitoring completed by case manager as required/needed through program compliance.
- Eligible Training Providers do not require on-site visits every year, desktop monitoring was completed this year as well as visits by staff based in a closer location to the provider.
- Job Center Certifications were completed during PY2020 – All Job Centers were audited on various topics including EO and ADA Compliance. All centers within the Southeast Region went through the certification process and have been certified.
- Job Center Assessments/EO Reviews were conducted throughout the 2021 Program Year by OWD Coordinators, WDB Staff, and SE WDB Case Managers if requested.

### Job Center Staff Training

- As a requirement, staff training is conducted each month by the Southeast WDB Local EO Officer. This training is provided to all SE WDB Admin Staff, WDB Staff, OWD Staff, One-Stop Operator Contracted Staff, Partner Staff, and Grant Staff who work in the Southeast Region under one of our contracted grants or through one of the Southeast Job Centers. Training is conducted on Section 188, EO related topics, other relevant current trend needs, or available training opportunities.
- Training topics for PY2021 include but are not limited to:
  - Confidentiality and Disability Related Information in Case Notes/Sunshine Records and Requests
  - Equity vs. Equality
  - International Accessibility Signs and Meanings
  - Data and Information Collection – Medical and Confidential
  - COVID Mandates, EEOC, ADA, and Reasonable Accommodations
  - Accessibility LEP

- Vaccine Accommodations
- Age Discrimination
- Biases and Blind spots
- LGBTQ and Customer Service
- Refugee Assistance Programs

## **One-Stop-Operator - Sub-State Monitoring Summary**

The Southeast Workforce Development Board utilized the Office of Workforce Development's One-Stop-Operator Monitoring tool. To assess the compliance to contract, adequacy of assessments, planning of activities and services, and coordination with one-stop delivery system partners to meet comprehensive needs of customers and customer outcomes. MERS is operating within compliance of the current contract. A new job description was approved this year by the SE WDB COO/President and DeAnn Briggs with MERS to ensure the One-Stop Operator position is operating in better compliance with the WIOA regulations for that contracted position and duties. There were no concerns found with this monitoring. Previous EO monitoring's have been completed on MERS with them holding this contract, MERS/Goodwill is included in the Equal Opportunity Staffing Analysis Report.

Overall the one-stop centers in the Southeast Region are running efficiently with the customer being the focus of staff, strategy, and services. While some centers operate better in specific identifiers than others, we have the ability to share best practices within the region to allow them all to operate a little better. With the threat of the COVID Pandemic lessening, staff are able to again make connections with other agencies and partners in a way that has shown it was vital to the community resources working together.

One concern found during this monitoring was the feeling of lacking the power to make changes. This year, we are required to go out for a Request for Proposal (RFP) on our One-Stop Operator. During this process and selection, the ability for the position to feel like they more power to make necessary changes within their abilities will be a highlight for the new contract. Please see the OSO Report for more information.

## **Fiscal Monitoring – Sub-State Monitoring Summary**

The Southeast Workforce Development Board does not operate with a sub-recipient for the contract with programs and staffing or for fiscal manager. The Workforce Development Board Staff are separated into Administration/Oversight and Program related duties. Financial Accounting operates off a shelf-life of two years. The Program Years (PY) for Programmatic Calendars can sometime cross over financial accounting years and/or contracts. The Program Year for WIOA runs from July – June, the Financial Year (FY) for the SE WDB Contracts run October – September.

### **Regional Funding:**

In the State of Missouri a requirement for all funds averaging a 60/40 began in PY20, this required at least 40% of the funds to be spent on participants with no more than 60% being spent on operational costs. This 60/40 has now been changed to 70/30 based on an approved waiver request.

- PY20 is showing at 54% operation rate with a 46% participant rate. Meeting the required 60/40 split.
- PY21 is showing 54% % operation rate with a 46% participant rate. Meeting the required 60/40 split without the waiver approval.
- Both of these are confirmed on the Quarterly Progress Report for PY21-Q3, Issued June 1, 2022.

### **Adult/Dislocated Worker Program Funding**

Adult and Dislocated Worker Money is coded as PY20/FY21 and PY21/FY22. As listed in the State Financial System and confirmed through the Quarterly Progress Report for PY21-Q3, issued on June 1, 2022:

Adult and Dislocated Worker PY20/FY21:

- Adult money was expended 100% as of March 2022.
- Dislocated Worker money has been expended up to 99%.

Adult and Dislocated Worker PY21/FY22:

- Adult money was expended 92% as of March 2022.
- Dislocated Worker money has been expended up to 39%.
  - Low Expenditures for PY21 have been reported for the Dislocated Worker Program. The money has the two year shelf-life and expenditures will continue though the full amount of money and/or the end date.

### **Youth Program Funding**

The Fiscal Department for the Southeast Workforce Development Board provided documentation from the State FRS System in the form of a CPR Archive Report for PY2020 money beginning with a start date of April 1, 2020 and an end date of June 30, 2022 as well as for PY2021 money beginning with a start date of April 1, 2021 and an end date of June 30, 2023.

Federal WIOA Regulations require at least 75% of Youth Program funds to be spend on Out-of-School Youth Participants with no more than 25% being spend on In-School Participants. On April 7<sup>th</sup>,

2022 the Board was approved for a waiver request to change the In-School/Out-of-School expenditure rate. The Out of School required expenditure of 75% was reduced to 50%.

The reports document the following Youth expenditure rates. As of a report with the ending month May 2022, pulled on June 30, 2022:

PY20

- Out-of-School Expenditure rate of 72.8%.
- Out-of-School Work Experience Expenditures report 27.47%

Based on the end date of June 30, 2022 for PY20

- The Southeast Region was close to attaining the 75% requirement and with the waiver approval, have over attained the 50% waiver requirement.
- The PY20 report shows that the 20% requirement was met.

The PY21 report shows that this money just began being used. Expenditures for PY21, based on the end date of June 30, 2022:

- Out-of-School Expenditure rate of 24.63%
- Out-of-School Work Experience Expenditures report 2.94%
- Low Expenditures for PY21 have been reported for the Youth Program in the Southeast Region, as reported through the Quarterly Progress Report for PY21-Q3 issued on June 1, 2022.
- The PY money has the two year shelf-life and expenditures will continue though the full amount of money and/or the end date of June 30, 2023.

The Southeast Workforce Development Board applied and was approved for a Department of Labor Waiver. Approval for his waiver was April 7, 2022. This waiver that was approved for use in Missouri changed the rates from a 25/75 split to a 50/50 split. This will change the requirement from at least 75% being used on Out-of-School Youth to at least 50% being used on Out-of-School. As mentioned, spending in this budget just began a couple of months ago and the final numbers are not completed with close out for the budgets happening over the next month.

The waiver request to change the split from 25/75 to 50/50 was made in anticipation of being approved for a separate DOL Waiver that was approved for use in Missouri that allowed the use of tuition funds to be used on participants who were enrolled under an In-School Status. This status, determined at enrollment, does not change through participation. Under the regulations, without the waiver, any participant enrolled under an In-School Status was not eligible for funding assistance. This included High School Students, Alternative Enrolled Students, and Post-Secondary Students who would not be eligible for funding assistance for the tuition without this waiver. At this time, based on being approved for the waiver in the last quarter of this program year, we had no participants who were assisted financially through this waiver. The State of Missouri and the Southeast Region will have to apply and be approved for the waiver, if extended through DOL.

Even with the Expenditure waiver, the Southeast Fiscal Department shows as of May 2022, the expenditure rate between the In and Out of School expenditures of 85% for Out-of-School and 15% for In-School.

For more financial information, please see the Financial Audit Reports completed by our contracted Certified Public Accountant, Stanley, Dirnberger, Hopper, and Associates, LLC and the Fiscal Audit Report completed by the OWD State contracted company Wipfli. More information can be found in both those reports that include the scope of the financial monitoring, findings, documents of importance, suggestions, and other financial details for the Southeast Workforce Development Board.

## **PY2021 Report Conclusion**

The purpose of this monitoring is to identify any potential eligibility issues, ensure compliance with program requirements, and report any findings to the Board and COO. This report satisfies that requirement and the presentation of information will be held during the full board meeting for open questions and to deliver information on the programs, monitoring, and performance outcomes.

The Southeast Region will continue to work with co-workers across the region and state to institute better procedures, adopt similar policies when able, and streamline services for residents throughout our state.

Overall the programs are being operated efficiently with all team members working together to find new ways to assist other community resources and our own staff to meet customer needs. Customers continue to be the most important focus in all of our programs and services. Comments within the monitoring were all minor in nature and were corrected with prompt attention.