

2009

ARRA Adult & Dislocated Worker  
Monitoring Guide

Area

**Workforce  
Investment  
Board**

9/8/2009

# Area 7 ARRA Adult & Dislocated Worker Monitoring Guide

## **General Information**

County Name:

One-Stop System Name:

One-Stop Operator:

Contact Name:

Phone:

Email:

Review Period:

Dates Monitored:

Monitor Name(s):

## **Desk Review**

Prior to the on-site review, the following information was reviewed and initial comments/observations have been noted. If resolution is ongoing from previous monitoring reports, ask for an update.

Items Reviewed	Dated	Comments
BIS/PPS Expenditure reports Vendor(s) Special grants Prior monitoring reports Outstanding audits Other (specify)		

## **Entrance Conference**

Attendees	Title/Position	Comments/Concerns

## **Outreach, Access, and Referral**

- 1) Describe outreach efforts for veterans and spouses of veterans (TEGL 14-08 focus).
- 2) Describe strategies for recruiting adults and dislocated workers for the stimulus program. Provide examples of outreach materials, if available. Do outreach strategies include:
  - \_\_\_ Billboards, radio/television ads, flyers, etc.
  - \_\_\_ Coordinated outreach with partner/community organizations
  - \_\_\_ Other (specify):
- 3) Describe the One-Stop's policy on referrals of adults and dislocated workers interested in stimulus programs to other partner/community agencies for service. Do local strategies include:
  - \_\_\_ Assessments
  - \_\_\_ Co-enrollment in regular/formula WIA youth or adult program (not required)
  - \_\_\_ Other (specify):

## **Program Design and Miscellaneous**

- 1) Has the One-Stop submitted a current BIS/PPS to Area 7?
- 2) Do the BIS/PPS "actual" match fiscal over/under reports?
- 3) Have the One-Stop or vendors operated and special projects using ARRA funds?
- 4) **Is at least 30% of ARRA adult and dislocated worker funds used for training services?**
- 5) Does the One-Stop or the One-Stop system have any ARRA-specific policies? Provide copies
- 6) Did the One-Stop contract out any elements of the stimulus adult or dislocated worker program, including payroll?
- 7) If the program was contracted out, was it procured? If not, explain:
- 8) **If any adult or dislocated worker participants are concurrently enrolled in the regular WIA program AND stimulus program, describe the One-Stop's process for separate reporting and documentation for activities and expenditures under each program.**
- 9) **Does the program design ensure the ARRA funds "supplement", but do not "supplant", regular WIA formula funds?**
- 10) Describe the intake and orientation process for ARRA-only participants.
- 11) Is program income generated as a result of ARRA-funded adult/DW activities? Describe.
- 12) Are supportive services available to adults/DWs participating in ARRA only?
- 13) What is the salary for adults/DWs participating in stimulus-funded work experience? Is this salary different from participants employed through the regular/formula WIA program?
- 14) Are incentive payments made in addition to or in lieu of a wage? If so, describe:
- 15) Are the participants paying in to PERS or Social Security (work experience)? If not, explain:
- 16) Did the One-Stop encounter any problems implementing its adult or dislocated worker ARRA programs?

- 17) Is priority given to veterans and second priority given to spouses of veterans?
- 18) Is this county currently operating on a waiting list for either adults or dislocated workers? If so, what is the reason? If the reason is lack of funding, have additional funds been officially requested from Area 7?

### **Core and Intensive Services**

- 1) Are any **core services** not available to the universal customer? (eligibility determination, outreach, intake, orientation, assessment of skills, job search, placement assistance, labor market information, training provider information, information on supportive services, unemployment compensation information, etc.)
- 2) How long does a new customer wait before they can be provided an orientation? enrolled in WIA?
- 3) Does staff ensure the customer has received at least one core service before offering intensive services?
- 4) Does the staff perform eligibility determination, including the self-sufficiency test if the participant is employed, prior to offering intensive services?
- 5) Which of the following intensive services are available through the One-Stop?
  - a. Comprehensive and specialized assessments
  - b. Development of an Individualized Employment Plan (IEP)
  - c. Group counseling
  - d. Individual counseling and career planning
  - e. Case management
  - f. Short-term pre-vocational services
  - g. Out-of-area job search assistance
  - h. Literacy activities related to basic workforce readiness
  - i. Relocation assistance
  - j. Internships
  - k. Work experiences
  - l. Supportive services
  - m. Other: \_\_\_\_\_

### **Supportive Services**

- 1) Are supportive services provided to adults and dislocated workers only if they have been made eligible for WIA?
- 2) Are the supportive services provided in compliance with Area 7 policy?
- 3) Is "need" for supportive services identified in files (in order for the customer to participate in WIA training or employment activity)?

- 4) Does the One-Stop offer Needs-Based Payments (NBP) with ARRA funds? If so, what methodology is used to determine “need”?
- 5) Does the One-Stop have a cap on supportive service? If so, what is it? Is this policy/cap in line with the other counties in the One-Stop system?
- 6) Is there a specific list of supportive services available to this One-Stop’s customers?

### **Training Services**

- 1) Does staff ensure the customer has received at least one core and at least one intensive service prior to offering a training service?
- 2) Does staff perform suitability determination, including family sufficiency test if the participant is unemployed, prior to offering training services?
- 3) Which of the following services are made available?
  - a. Occupational skills training (including issuance of an Individual Training Account)
  - b. On-the-job training (OJT)
  - c. Entrepreneurial training (including use of the capitalization waiver)
  - d. Job readiness training
  - e. Adult education & literacy activities
  - f. Customized training
  - g. Incumbent worker training
  - h. Other: \_\_\_\_\_
- 4) Are the services to train adult and dislocated workers provided by vendors always checked to ensure they are on the state’s Eligible Training Provider Online (ETPO) list?

### **Individual Training Accounts (ITA)**

- 1) Does the One-Stop have a joint policy with the One-Stop system?
- 2) What is the One-Stop’s ITA cap?
- 3) Is this the same cap as the other counties in the One-Stop system?**
- 4) Does the cap include supportive services?
- 5) If so, do the other counties in the system also include supportive services in the ITA cap?
- 6) Does the One-Stop have a time limit cap different than the one specified by Area 7 policy?
- 7) If so, is it the same as the other counties in the One-Stop system?
- 8) Does the One-Stop offer ITAs to adults whose residence is not in this county?
- 9) Does the One-Stop offer ITAs to dislocated workers whose residence is not in this county?
- 10) Has the One-Stop prohibited ITAs at any ETPO-eligible training institutions? If so, what is the reason? Are customers notified of the rule?

## **Work Site Development**

- 1) Is the One-Stop providing work experience for adults and dislocated workers under ARRA? If not, skip to next section (Complaints, Grievances, and Work Site Accidents).
- 2) Does the One-Stop maintain a list of work sites and which participants are located at each?
- 3) Describe any efforts made to develop internships.
- 4) What criteria did the One-Stop use in selecting work sites?
- 5) Does criteria exist to determine if a work site should no longer be used?
- 6) Are private sector employers used? If so, has effort been made to ensure the primary benefit is to the participant as a learning experience, rather than as profit for the employer?
- 7) Does the One-Stop assign WIA participants as crew leaders/supervisors or did they hire for these positions?
- 8) Are any participants placed at work sites prohibited in TEGL 14-08 (pools, aquariums, zoos, golf courses, or gambling establishments)?**
- 9) Did the One-Stop encounter any problems securing work sites?
- 10) Did the One-Stop encounter any problems obtaining concurrence from organized labor for work sites covered by a collective bargaining agreement?

## **Complaints, Grievances, and Work Site Accidents**

- 1) Have there been any grievances or discrimination complaints filed? If so, how many? Have the grievances been reported to Area 7?
- 2) Have any work site accidents been reported? If so, how many?
- 3) Have participants and supervisors/crew leaders been given safety training?

## **Work Site Reviews**

If the One-Stop is not providing work experience with ARRA funds, skip to the next section (Follow-Up and Post Placement Services).

Work Site	# of Participants	Date(s) Visited	Observations

## **Supervisor Interviews**

*Add more sections for each supervisor interview completed.*

- 1) Name of work site:
- 2) Name of Supervisor:
- 3) Date of visit:
- 4) As the supervisor, how do you see this program benefiting the WIA participants?
- 5) Is there a signed work site agreement on-site?
- 6) Is there a first aid kit on-site?
- 7) Have there been any accidents?
- 8) Is there any indication of Labor Law violations (monitor's observations)?
- 9) Are the working conditions safe and appropriate (monitor's observations)?

### **Participant Interviews**

*Add more sections for each participant interview completed.*

- 1) Name of work site:
- 2) Name and age of participant:
- 3) Date of visit:
- 4) Are your supervisors available when needed?
- 5) Did you have an orientation into the program and/or at the work site?
- 6) Did you attend safety training?
- 7) Have you had any problems getting your paycheck?
- 8) Where is the first aid kit?
- 9) Do you receive help from others when you need it?
- 10) Do you know what to do if you are unable to come to work?
- 11) What skills are you learning on the job?
- 12) Does your supervisor talk to you about your progress?
- 13) What are your plans for the future in terms of school and career goals?
- 14) Do you have any suggestions to improve the program?

### **Work Site Compliance and Documentation**

- 1) Adequate work site supervision and supervisor's knowledge of work site agreements
- 2) Timely and accurate payment to participants
- 3) Work Site Agreement – are these kept in individual files and do the agreements include:
  - a. Safe working conditions
  - b. Sufficient and meaningful work
  - c. Safety and other equipment, when appropriate
  - d. Time and attendance records

- e. Payment only for time worked
  - f. Prohibition of political and sectarian activities
  - g. Estimated end date for the work experience
  - h. Other (specify):
- 4) Emergency contact name/number for each participant

### **Follow-up and Post Placement**

- 1) What is the frequency of contact with exited participants?
- 2) Are supportive services provided to exited participants? If so, which services are available?
- 3) Are any follow-up services specific only to ARRA customers?

### **Recommended Actions and Compliance Findings**

List any issues identified above, or otherwise, that result in recommended actions or compliance findings. If any compliance findings are noted, the One-Stop must submit a Corrective Action Plan for approval by Area 7 within 30 days of the issuance of the monitoring report.

### **Best Practices, Exemplary Work Sites, and Success Stories**

Briefly describe any sites, activities, or practices considered unique or exemplary.

### **Technical Assistance**

Describe any technical assistance requested by One-Stop staff or recommended by the monitor(s).