AGENDA
(Hybrid Meeting
Monday, September 25, 2023
1:30 pm
809 Copper Avenue NW
https://us06web.zoom.us/j/89521286349?pwd=VlJOVFM4RnVrdXVyanNIL0xRaEdKZz09
Passcode: 624618

John Mierzwa, Chair   **Krista Kelley, Chair-Elect**

AGENDA

☐   **Call to Order**
☐   **Roll Call -** Determination of Quorum

Carl Adams, Youth Standing Committee Chair
Doug Calderwood – Operations Standing Committee Chair
Honorable Gregg Hull, WCCNM Chief Elected Official
Krista Kelley – Chair-Elect, Sandoval County Rep
John Mierzwa - Chair
Debbie Ortiz-, Torrance County Rep.
Stacy Sacco - Bernalillo County Rep
Jerry Schalow, Past Chair
Michael Voegerl – Valencia County Rep.
Vacant, Treasurer
Vacant, Economic Development Standing Committee, Chair

         Approval of Monday, September 25, 2023, Agenda
             Motion
             Second
             Action
Tab 1   **Approval of Minutes: June 5, 2023**
             Motion
             Second
             Action

ACTION ITEMS

Tab 2   **Approval of WCCNM Treasurer**
             Motion
             Second
             Action
Tab 3   **Approval of MP-305 WCCNM Data Validation Policy - New**
             Motion
             Second
             Action
Tab 4   **Approval of OP-410 Supportive Service Policy, Change 11**
             Motion
             Second
             Action

Tab 5 **Approval of OP-422A Participation & Co-Enrollment Policy, Change 1**
       Motion
       Second
       Action

INFORMATION & DISCUSSION ITEMS

Tab 6 **WIOA Updates**

PUBLIC COMMENT/ADJOURNMENT

- □ **Public Comments -** Anyone who wishes to address the Board must register with the secretary of the Board
- □ **Adjournment**

NOTES

Next Meeting: November 20, 2023, 1:30 pm

Anyone requiring special accommodations please notify the MRCOG office at
247-1750 seven (7) days prior to the meeting.
"Equal Opportunity Program"

Tab 1

MINUTES

Workforce connection of central new mexico

Executive Committee

Monday, June 5, 2023
1:30 pm
Mid-Region Council of Governments
809 Copper Ave. NW, Albuquerque, N M
Hybrid

Call to Order – 1:35 pm – John Mierzwa

Member
Carl Adams, Youth Standing Committee Chair
Beth Barela, Treasurer
   ✓ **Doug Calderwood** – Performance & Monitoring Chair
   ✓ **Honorable Gregg Hull**, CEO
   ✓ **Krista Kelley** – Sandoval County Rep
   ✓ **John Mierzwa** - Chair-Elect .
   ✓ **Debbie Ortiz**- Past Chair, Torrance County Rep.
Diane Saya - Bernalillo County Rep
   ✓ **Jerry Schalow**, Chair
   ✓ **Mark Zientek,** Economic Development Chair
Vacant – Valencia County Rep

Approval of Thursday, December 22, 2022, Agenda

    Motion : Debbie Ortiz
    Second : Jerry Schalow
        No Discussion
    Action: Passed unanimously by Roll Call Vote

	Yes	No	Abstain	No Vote
Doug Calderwood	X			
Gregg Hull	X			
Krista Kelley	X			
John Mierzwa	X			
Debbie Ortiz	X			
Jerry Schalow	X			
Mark Zientek	X			

Tab 1: PY21 Audit Report by Kory Hoggan, CPA Moss Adams
- Mr. Hoggan presented the PY21 Audit Report from Moss Adams.
- He stated that Moss Adams issued an unmodified opinion of the Workforce Connection of Central New Mexico's financial practices.
- They also noted that this was a smooth audit with no audit findings and the management of the organization is well established.
- The WCCNM financial audit was submitted to the Office of the State Auditor on December 1, 2022, and was accepted on December 9, 2022.

Tab 2: Approval of WCCNM Minutes for December 22, 2022

        Motion: Mark Zientek
        Second: Mayor Gregg Hull
              No Discussion
        Action: Passed unanimously by Roll Call Vote

	Yes	No	Abstain	No Vote
Doug Calderwood	X			
Gregg Hull	X			
Krista Kelley	X			
John Mierzwa	X			
Debbie Ortiz	X			
Jerry Schalow	X			
Mark Zientek	X			

ACTION ITEMS

Tab 3	**Approval of WFCP-05-22, PY22 BAR #4**
	
	By: Jesse Turley, WIOA Fiscal Program Manager
	
	• Mr. Turley presented PY22 Bar #4.
	• He stated this is based on the PY22 Bar #3 totaling $14,984,673.
	• PY22 Bar #3 budget transferred $850,000 additional monies from the Dislocated Worker into Adult & added $300,000 additional youth monies redistributed to Central Area.
	• PY22 Budget BAR #4 adds an additional $81,216 to the Central Area by NM DWS 4-3-23. This is 79,094 Dislocated Worker and with it 10% admin of $8,122.00.
	• PY22 WCCNM new budget totals $15,065,889.
	Discussion
	
	    Motion: Jerry Schalow
	    Second: Krista Kelley
	    No Discussion
	    Action: Passed unanimously by Roll Call Vote.

	Yes	No	Abstain	No Vote
Doug Calderwood	X			
Gregg Hull	X			
Krista Kelley	X			
John Mierzwa	X			
Debbie Ortiz	X			
Jerry Schalow	X			
Mark Zientek	X			

Tab 4	**Approval of Policy OP-427 Parameters for Utilization of "Unrestricted", Non-WIOA Funds**
	
	By: Art Martinez, WCCNM Administrator
	
	• Mr. Martinez explained we are requesting modification of Policy OP-427 Parameters for Utilization of "Unrestricted", Non-WIOA Funds.
	• Mr. Martinez stated this policy was first approved around 2021.
	• Within the current policy it was only reference Ticket to Work funds. There are additional monies available, which include $300,000 revenue from a sale of a lease in 2002.
	• We are asking for approval to identify additional funds as unrestricted.
	Questions
	
	    Motion: Jerry Schalow
	    Second: Krista Kelley
	    No Discussion
	    Action: Passed unanimously by Roll Call Vote.

	Yes	No	Abstain	No Vote
Doug Calderwood	X			
Gregg Hull	X			
Krista Kelley	X			
John Mierzwa	X			
Debbie Ortiz	X			
Jerry Schalow	X			
Mark Zientek	X			

Tab 5

Approval of Authorizing Budget Allocation to Establish Non-Profit 501C3 (amount to be determined and to most likely exceed $10,000)

- Mr. Martinez presented the Approval for Authorizing Budget Allocation to Establish Non-Profit 501C3.
- Approval of this will utilize unrestricted funds for the development and creation of a non-profit arm of the WCCNM. The current Operational Policy No. OP-427 dictates that WCCNM Full Board or WCCNM Executive Committee approval is required prior to expenditure of funds that exceed $10,000.00.
- The WCCNM recommended a non-profit arm of the WCCNM to be established to seek funding from foundations and community-based organizations.
- Krista Kelley, Vice Chair, and chair of the committee stated New Mexico has a highly productive workforce. With local workforce boards, staff and research on the labor shed, the development of New Mexico Workforce Connection 501c3 is a visionary strategy to convene statewide leaders and experts to further support and address gaps that exists for employers and workers across the state of New Mexico. The development of 501c3 is to continue the work of creating economically vibrant and healthy communities across the state.
- With the support of a consultant, this committee will be tasked with creating a vision and mission statement, signing, and filing the articles of incorporation for the non-profit with the help of a local CPA firm, as well as approve bylaws that are put in place to justly govern the operation of the New Mexico Workforce 501c3. The time commitment of participating committee members should be more than 2-4 hours over a six-month period. Local staff will help support the project in the initial implementation and timeline management of this project.
- Unrestricted funding will be needed for consultant services, legal services, CPA services and staff support costs.

Questions, Comments & Discussion

   Motion: Krista Kelley
   Second: No Second
   Action: Item failed for lack of second

For more detailed information for the discussion on Tab 5, you may request a copy of the zoom meeting recording from the Board Secretary of the Workforce Connection of Central New Mexico, Nicole Giddings.

INFORMATION & DISCUSSION ITEMS

Tab 6   WIOA Updates

- Mr. Martinez stated that allocation for funds has been sent out and waiting for NMDWS to send us our allocation.
- USDOL will be here in August.

PUBLIC COMMENT/ADJOURNMENT

Public Comments – None
Adjournment – 2:38 pm

Next Meeting: July 17, 2023, at 1:30 pm.

A more detailed account of the meeting and discussions are available for review at the MRCOG offices at:
809 Copper NW, Albuquerque, NM 87102

Approved at the WCCNM Executive Committee Meeting on July 17, 2023

_____
John Mierzwa, WCCNM Chair

ATTEST:

_____
Secretary

"Equal Opportunity Program"

Tab 2

Workforce Connection of Central New Mexico

First Year Term for Treasurer

Action Requested:

Approval of Treasurer to begin new officer terms.

Treasurer – Herb Crosby

Background:

Based on Article 6 – Officers, the Workforce Connection of Central New Mexico's (WCCNM) Bylaws, Section 6.06 requires officers to serve a term of one year. Elected officers may only serve two consecutive terms in the same position.

Recommendation is to approve the Treasurer for a term beginning July 1, 2023, to June 30, 2024.

Financial Impact:

None

Do Pass: _____

Do not Pass: _____

Tab 3

Workforce Connection of Central New Mexico
Data Validation Policy

Action Requested:

Approval of MP-305 Data Validation Policy and implementation of the required Data Validation Program.

Background:

Data Validation is mandated by the USDOL Employment and Training Administration (USDOL) and requires WIOA grant recipients to implement a series of internal controls or quality assurance techniques established to verify the accuracy, validity, and reliability of data. The establishment of a shared data validation framework that requires a consistent approach across programs ensures that all program data consistently and accurately reflect the performance of each grant recipient.

Financial Impact:

None

Do Pass: _____

Do not Pass: ____

Monitoring and Oversight Policy NO. MP - 305
Subject: **Data Validation**
Effective: **PY23 – 09/25/2023 (New Policy)**

PURPOSE:
To define the USDOL Employment and Training Administration (USDOL) mandated data validation requirements; to provide guidance to WCCNM Administrative Entity; Adult, Dislocated Worker, Youth, and CHANCES grant Service Providers; and to begin the WCCNM Data Validation Program implementation process.

The following policy sets the foundation for the WCCNM Data Validation Program process and provides the service providers the framework needed to develop Data Validation procedures that help ensure the performance reporting data submitted to NMDWS is valid and reliable.

REFERENCES:
- NMDWS Workforce Guidance Letter: DWS 21-001, *Data Validation Policy*
- Workforce Innovation and Opportunity Act (WIOA), July 22, 2014: §116.
- Workforce Innovation and Opportunity Act (WIOA), July 22, 2014: §503.
- WIOA Final Rules – U.S. Department of Labor (Title I): 20 CFR §677, §677 and §678.
- Training and Employment Guidance Letter (TEGL) WIOA No.7-18, *Guidance for validating Jointly Required Performance Data Submitted under the Workforce Innovation and Opportunity Act (WIOA)*
- Training and Employment Guidance Letter (TEGL) WIOA No. 23-19, *Guidance for Validating Required Performance Data Submitted by Grant Recipients of U.S. Department of Labor (DOL) Workforce Programs*
- 2 CFR 200.303 Internal Controls
- 2 CFR 200.328 Performance Monitoring and Reporting

BACKGROUND:
In addition to the WCCNM Administrative Entity's annual Adult/Dislocated Worker, and Youth Program Monitoring, and the routine Quality Assurance/Quality Control conducted by the WCCNM's Adult/Dislocated Worker and Youth service providers, data validation provides a series of internal controls or quality assurance techniques established to verify the accuracy, validity, and reliability of data. The establishment of a shared data validation framework that requires a consistent approach across programs ensures that all program data consistently and accurately reflect the performance of each grant recipient. To that end, the purposes of validation procedures for both DOL-only and jointly-required performance data are to:
- Verify that the performance data reported by grant recipients to DOL are valid, accurate, reliable, and comparable across programs;
- Identify anomalies in the data and resolve issues that may cause inaccurate reporting;
- Outline source documentation required for common data elements; and
- Improve program performance accountability through the results of data validation efforts.

The USDOL issued its first data validation Training and Employment Guidance Letter (TEGL) 7-18 on December 19, 2018. This guidance letter was developed pursuant to WIOA section 116(d)(5) to "provide States with a general framework for data validation."

On June 18, 2020, USDOL issued TEGL 23-19, *Guidance for Validating Required Performance Data Submitted by Grant Recipients of U.S. Department of Labor Workforce Programs.* This guidance is specific to grant recipients of DOL workforce programs and aligns with and expands on the USDOL Department of Education Joint Guidance in Training and Employment Guidance Letter (TEGL) 7-18, *Guidance for Validating Jointly Required Performance Data Submitted under the Workforce Innovation and Opportunity Act (WIOA).* TEGL 23-19 provides specific data validation guidance for the WIOA core programs and other DOL-funded programs not addressed in TEGL 7-18.

On August 17, 2021, New Mexico Department of Workforce Solutions (NMDWS) issued a draft Workforce Guidance Letter: *DWS 21-001, Data Validation Policy.* This draft was provided to New Mexico's four Regional Workforce Development Boards for review and comment. Feedback provided to NMDWS included unanimous concern related to the requirement for data validation to be conducted quarterly, which is perceived by the LWDB's to be too frequent and a burdensome reporting requirement. Please see **Attachment I** for NMDWS's draft *Workforce Guidance Letter: DWS 21-001 Data Validation Policy.*

As of September 20, 2023, NMDWS has not provided any final guidance, including but not limited to their required frequency of the Data Validation reporting, or whether or not the random sample will be limited to exited participants only, which is indicated by the Participant Individual Record Layout (PIRL) Data Elements USDOL requires grant recipients to validate. In addition, the NMDWS has not provided any guidance on the specific programs responsible for conducting and providing Data Validation reports for the required USDOL programs that the WCCNM does not directly manage or oversee. Please see **Attachment II**, *Program Specific Instruction* for the list of USDOL programs that require routine Data Validation Programs.

In lieu of NMDWS guidance, the USDOL TEGL guidance referenced above is definitive and the WCCNM is required to implement a routine Data Validation Program for, at a minimum, the programs it directly manages. The USDOL suggests as a Best Practice that Data Validation be conducted on a quarterly basis; however, they also state that the grant recipients have the flexibility to develop Data Validation Policies and Procedures that meet the USDOL requirements while at the same time meeting the grant recipient's preference in the process design and frequency of Data Validation activities (to be conducted at least once each program year).

DATA VALIDATION POLICY:
The WCCNM Data Validation Policy and service provider Data Validation Procedures are subject to change upon receipt of NMDWS guidance, which may add State managed programs and additional data collection/validation and reporting requirements.

Pending NMDWS guidance regarding *all* programs WCCNM is required to perform data validation on, random participant sample selection criteria (e.g. participant program status - active vs. exited), or any report submission details, the WCCNM will begin implementation of its USDOL mandated Data Validation Program in January 2024 (PY23 Q3) as follows:

- Beginning in January 2024 and bi-annually thereafter, the Administrative Entity support staff (AE) will conduct Data Validation on the WCCNM Adult, Dislocated Worker, and Youth participant files. This includes incorporating the 25 USDOL mandated Data

Elements into the annual service provider monitoring process. For each of the two annual Data Validation Program activities, the WCCNM Administrative Entity support staff (AE) will randomly select 10% of each Adult, Dislocated Worker, and Youth participants who have been exited from their respective programs and/or have entered Follow-Up Status (the 12-month period after exit) within the previous two quarters.

- The Data Validation Program also requires the inclusion of the Pathway Home 3 (CHANCES) grant, which will be conducted by the AE support staff in the same manner described herein for the Adult, Dislocated, and Youth programs. The AE will coordinate directly with the CHANCES subrecipient contractor (YDI) to complete the Data Validation Program for the CHANCES grant.

- For each participant from the random participant sample, the AE support staff and annually contracted Adult/Dislocated Worker monitors will perform the USDOL cross-walk of case manager WCOS data entry compared to the required Source Documentation to validate that case manager WCOS entries match the required Source Documentation Requirements. For each randomly selected participant, the AE and monitoring support staff will check to ensure that each of the 25 required PIRL Data Element validation requirements match the corresponding participant WCOS entries (see **Attachment III**, *Source Documentation DOL-only Data Element Validation*).

- The AE and monitoring staff will identify and document in a report any required Source Documentation data element requirements that do not exactly match the data the case manager entered into the WCOS and will forward the report to the service provider.

- For the Data Validation conducted separately from the annual monitoring process, the AE support staff will send the service provider the report documenting the needed corrections no later than 15 days after the end of the 6-month Data Validation period (e.g. the January 2024 Data Validation report will cover the period from July 1, 2023 through December 31, 2023).

- Upon receipt of the report from the AE documenting needed corrections, the service provider will have 15 days (e.g. until the end of the Data Validation month) to correct and/or provide the documentation required and/or provide details on the actions taken to correct the Data Validation issue. The service provider will provide a resolution report to the AE staff, including any missing documentation, and an explanation of how and the date the issue was resolved.

- Any corrective action required as a result of the Data Validation that takes place during the annual service provider monitoring process will follow the standard 45-day period for service providers to provide a separate Data Validation specific resolution report as mentioned above and submit it along with their annual monitoring response and corrective actions.

- In some cases, for example participants who specifically state they do not want to participate in follow-up services, or Gig/contract workers whose employment and wage information is not available through the NMDWS UI Employment/Wage database, the service provider should document in detailed case notes and in their Data Validation Report how they have attempted to obtain the needed documentation or data by utilizing each of the Data Element Source Documentation options as listed in **Attachment III,** *Source Documentation DOL-only Data Element Validation.*

- The AE will ensure the 25 required Data Elements are incorporated into the annual A/DW and Youth Monitoring Checklists in addition to the current checklist requirements.

- The A/DW and Youth Service Providers will ensure the 25 required Data Elements are included in their routine QA/QC procedures; develop case manager procedures, and conduct trainings to ensure all WCOS fields are populated, detailed WCOS case notes are provided, and the 25 Data Elements/Source Documentation Requirements are addressed and/or met.

- The AE will submit the completed Data Validation reports to the WCCNM Operations Committee to be considered as a Committee agenda item, and to the NMDWS upon request.

- This policy is subject to change based on the receipt of NMDWS Data Validation Policy guidance.

APPLICABILITY:

WCCNM AE Support Staff and Service Providers

INQUIRIES:

WIOA Manager 505-724-3658

Attachment I

New Mexico Department of Workforce Solutions (NMDWS) Workforce Innovation and Opportunity Act (WIOA) State Administrative Entity (SAE)	Workforce Guidance Letter: DWS 21-001
	Subject: Data Validation Policy
	Date: August 17, 2021

PURPOSE

To issue data validation policy and guidance for local workforce development board implementation. This policy provides a data validation framework to the local workforce development boards (LWDB) and pertains to the Workforce Innovation and Opportunity Act (WIOA) core partners and programs.
The data validation framework ensures the data submitted for performance reporting are valid and reliable.

REFERENCE(S).

- Workforce Innovation and Opportunity Act (WIOA), July 22, 2014: §116.
- Workforce Innovation and Opportunity Act (WIOA), July 22, 2014: §503.
- WIOA Final Rules – U.S. Department of Labor (Title I): 20 CFR §677, §677 and §678.
- Training and Employment Guidance Letter WIOA No. 7-18, *Guidance for validating Jointly Required Performance Data Submitted under the Workforce Innovation and Opportunity Act (WIOA)*
- Training and Employment Guidance Letter WIOA No. 23-19, *Guidance for Validating Required Performance Data Submitted by Grant Recipients of U.S. Department of Labor (DOL) Workforce Programs*
- 2 CFR 200.303 Internal Controls
- 2 CFR 200.328 Performance Monitoring and Reporting

BACKGROUND

The U.S. Department of Labor (USDOL, Employment and Training Administration (ETA)), requires States to conduct validation of data submissions for federally-funded employment and training programs, including the Workforce Innovation and Opportunity Act (WIOA) programs.

Data validation is a series of internal controls or quality assurance techniques established to verify the accuracy, validity and reliability of data. Establishing a data validation framework will ensure that all program data is consistent and accurately reflects the performance of each core program.

While local workforce development boards have been responsible for ensuring that data entered into the Workforce Connection Online System (WCOS) (electronic records) and/or paper files are accurate and valid, USDOL recommended that State issue policy to clarify data validation requirements and ensure consistency among local areas.

DATA VALIDATION FRAMEWORK:
Data validation helps ensure the accuracy of the quarterly and annual statewide performance reports, safeguards, data integrity, and promotes the timely resolution of data errors, anomalies and inaccuracies. As such, it is required that local workforce development boards incorporate data validation policy/procedures into their internal controls, which is required by 2 CFR §200.303, as well as performance monitor and reporting protocols as established in 2 CFR §200.328.

The data validation framework is defined by identified roles and responsibilities of the State and each LWDB as detailed below:

The State will:

- Policy:
  Establish written data validation policy (this policy)
- Training and Guidance:
  Provide data validation guidance, technical assistance or training to local workforce development boards and program partners as needed, at least annually.
- Monitoring and Reporting:
  Follow monitoring protocols consistent with 2 CFR §200.328, to ensure that local workforce development boards are following data validation policy and procedures on a quarterly basis.
  - o Monitor data validation for compliance among a random sample selection of records verifying allowable source documentation are utilized and measuring each data element for pass/fail.
  - o Provide the local workforce development board(s) a random record sampling methodology and sample selection on a quarterly basis.
- Assessment:
  - o State monitoring team will analyze data validation results each quarter and provide the LWDB a quarterly State Data Validation Report of the State level data validation.
    - ▪ The quarterly State Data Validation Report will provide a summary of the data validation for the quarter and identify each failed data element that is in need of correction.
  - o Regular assessment of the effectiveness of the data validation process (e.g., at least annually) and revisions to that process as needed.

Each local workforce development board will establish and follow:

- LWDB Policy:
  Establish written policy/procedures for data validation that contain a description of the process
  for identifying and correcting errors or missing data, which may include electronic and/or paper
  file data checks;
- Training and Guidance:
  Provide regular data validation training for appropriate program staff
  (e.g., at least annually);
- Monitoring and Reporting:
  Conduct and maintain monitor and reporting protocols consistent
  with 2 CFR 200.328, to ensure that program staff are following the written data validation

procedures and take appropriate corrective actions if those protocols are not followed accurately.

- o The LWDB may utilize the random sample selection of records provided by the State each quarter, or may utilize its own random sample methodology to derive a sample of records. (Reference 'Sample Selection' section for sample selection requirements.)
- o Provide documentation for missing and erroneous data identified during the review process which have been corrected. This documentation will be included with the LWDB Data Validation Report. Remaining and unresolved errors after the report submission must be addressed within 30 days of the report submission date.

- Assessment:
  - o LWDB will analyze data validation results each quarter and provide the State with a quarterly LWDB Data Validation Report of the LWDB level data validation.
  - o The quarterly LWDB Data Validation Report will provide a summary of the data validation for the quarter and detail each failed data element that is in need of correction, LWDB should review/analyze the results of data validation each quarter.
    - ▪ Identify and correct errors or missing data in electronic or hard copy/paper records as required by the LWDB, as indicated by each boards policy.
    - ▪ Adjust the LWDB program policy/procedures as needed to mitigate recurring data validation errors.
  - o Regular assessment of the effectiveness of the LWDB data validation process (e.g., at least annually) and revisions to that process as needed.

SAMPLE SELECTION

The State will query the Workforce Connection Online system for participant activity across the WIOA core programs in order to establish a sample selection in which data validation will be performed within 30 days of the close of a calendar quarter. The sample selection will be sorted by Local Workforce Development Board and WIOA core program.

If a LWDB wishes to utilize a separate sample selection methodology for data validation, the proposed methodology should be forwarded to the State Administrative Entity prior to implementation.

SOURCE DOCUMENTATION

The WIOA core programs are required to adhere to allowable source documentation for available Participant Individual Record Layout (PIRL) data elements. *Attachment II-Source Documentation for WIOA Core/Non-Core Programs* lists the allowable source documentation, which local workforce development boards, providers and program staff may utilize. (NOTE: *Attachment II-Source Documentation for WIOA Core/Non-Core Programs* is required by USDOL, some State level core partner/program source documentation may vary from *Attachment II,* please reference '*Attachment I-Program Specific Instructions'* for any core partner/program source documentation variations imposed by State policy).

LWDBs, core partners and programs may also:
- Maintain supporting source documentation for program-specific data elements that are not included in this guidance;
- Conduct source document/data validation for additional data elements; and/or
- Require additional source documentation in their procedures.

Conflicts in Source Documentation Data:

- If the data reported in the PIRL file are in conflict with source documentation for a given data element, provided electronically or in hard copy files, the data element 'fails'.
- If multiple sources are listed for the same data element and the sources conflict, the most reliable source is used to determine if the element passes or fails. For example, for Education Status at Participation, copies of records from an educational institution are a more reliable source than participant self-attestation.
  - The data provided by the most reliable source available must match the data provided for the PIRL file for a given data element. Non-matching data for a given data element results in 'fails'.

Refer to *Attachment I-Program Specific Instructions* for program specific information regarding data validation policies or source documentation specific to individual WIOA Core Partners or programs.

Types of Source Documentation for WIOA Core Programs:

For most data elements, the validation guidelines provide multiple means of acceptable source documentation.

Source documentation types include:

1. **Cross-Match:** A cross-match requires validators to find detailed supporting evidence for the data element in a database. An indicator or presence of a Social Security Number (SSN) in administrative non-WIOA database, i.e., a database not maintained by a WIOA core program such as data from the States Department of Motor Vehicles, is not sufficient evidence for a cross-match. Validators must also confirm supporting information such as dates of participation and services rendered. States must have data sharing agreements in place as appropriate.

2. **Self-Attestation:** Self-attestation (also referred to as a participant statement) occurs when a participant states his or her status for a particular data element, such as pregnant or parenting youth, and then signs and dates a form acknowledging this status. The key elements for self-attestation are:

   a. The participant identifying his or her status for permitted elements, and
   b. Signing and dating a form attesting to this self-identification.

   The form signature can be on paper or in the State Management information system, with an electronic signature or scanned copy of the signed paper self-attestation statement.

3. **Case Notes:** Case notes refer to either paper or electronic statements by the case manager that identify, at a minimum the following:

   a. a participant's status for a specific data element,
   b. the date on which the information was obtained, and the case manager who obtained the information

4. **Electronic Records:** Electronic records are participant records created, stored or transferred in a form that only a computer can process and maintained in the States management information system. Records can be numeric, graphic, or text. They can also include magnetic storage media such as tapes or disks.

DATA VALIDATION PROCESS

STATE and STATE MONITORING
Within 30 days of the close of the quarter, the State will run the sampling methodology for the WIOA core programs.

The sample selection will be provided to the State Monitoring team no later than 30 days at the close of a quarter. The State monitoring team will perform data validation for each region. Each LWDB must make source documentation (electronic or hard copy) available to state monitors upon request.
*   State Monitors will provide each region with a summary of data validation findings for the quarter and provide a detailed report of errors identified via the State Data Validation Report.
*   State Data Validation Report submission deadline is 90 days after the close of a quarter to the State Administrative Entity

LOCAL WORKFORCE DEVELOPMENT BOARD
The State sample selection will be provided to each LWDB no later than 30 days after the close of a quarter.

Each LWDB is responsible for performing data validation on a quarterly basis utilizing the State sample selection or its own LWDB sample selection, either is allowable. If the LWDB chooses to utilize it's own sample selection methodology, the methodology must first be reviewed by the State Administrative Entity prior to utilization of the sample.

LWDB will submit a quarterly LWDB Data Validation Report which are submitted to the State from each LWDB.
*   The LWDB Data Validation Report should provide a summary of the data validation results for the quarter and provide a detailed report of each data validation error identified and if the error has been corrected at the submission of the report.
*   Data errors found and corrected during the data validation process should be noted as so in the LWDB Data Validation Report and documentation of all corrections is required with the submission of the report.
*   LWDB Data Validation Report submission deadline is 90 days after the close of a quarter to the State Administrative Entity

State Data Validation Reports and LWDB Data Validation Reports are due 90 days from the close of the quarter in which data validation is being performed and should be submitted to the State Administrative Entity.
All unresolved data validation errors at the time of the State Data Validation Report and LWDB Data Validation Report must be resolved with 30 days of the submission of the report.

ACTION(S) REQUIRED.
*   The local boards are required to establish written data validation policies and procedures which adhere to this guidance.

ATTACHMENT(S).
Attachment I-Program Specific Instructions
Attachment II-Source Documentation for WIOA Core/Non-Core Programs

_____

Margarito Aragon, WIOA, State Administrative Entity (SAE)
New Mexico Department of Workforce Solutions

Attachment II

Program-Specific Instructions

1. **Adult, Dislocated Worker, Wagner-Peyser Act Employment Service, and Youth.** Adult, Dislocated Worker, Wagner-Peyser Act Employment Service, and Youth programs are required to follow all data validation policies and procedures set forth in this guidance. This also includes validating all elements indicated by "X" (Required for Data Element Validation) with supporting documentation outlined in Attachment II, by program. States and outlying areas must summarize their data validation methodology, policies, and procedures in their annual narrative performance reports.

1.a. **Trade Adjustment Assistance (TAA).** TAA Programs are required to follow all data validation policies and procedures set forth in this guidance. This also includes validating all elements indicated by "X" (Required for Data Element Validation) with supporting documentation outlined in Attachment II, by program. Section 239(j)(3) of the Trade Act of 1974, as amended, requires states to ensure that the data reported to DOL is valid and reliable, consistent with guidelines issued by DOL. In addition, section 239(i) requires states to establish control measures designed to ensure the accuracy and verifiability of reported data. Therefore, states are advised that additional review of state validation methodologies will be conducted by the Office of Trade Adjustment Assistance. For participants served by separate agent and liable states under 20 CFR 618.824, the state that collects the data must maintain the source documentation.

2. **Indian and Native American Program (INAP).** INAP grant recipients are encouraged to fully implement the data validation framework outlined in section 4.b of TEGL 23-19, Change 1. DOL recommends grant recipients administer quarterly reviews of their performance outcomes to compare them against expected outcomes, to ensure timely data entry, and to ensure reported outcomes are accurately reflected with supporting documentation. Additionally, grant recipients should work to develop a policy for periodic monitoring of source documentation. This may include random file selections scheduled on a quarterly basis to ensure the required source documentation reflects the outcomes reported. Grant recipients should implement policies that align with the goals of this TEGL, where possible, to ensure adequate documentation is collected, and maintained. These efforts will help protect grant recipients from incurring disallowed costs or being cited for other compliance findings by identifying and correcting potential issues prior to reporting. The case management system for the INAP program is consistent with and supports the data validation framework outlined in section 4.b of TEGL 23-19, Change 1.

3. **Job Corps.** Job Corps employs a source documentation validation process through its case management system. In its policy guidance, Job Corps establishes specific source documents required for all student-related data entry and publishes a Program Instruction Notice when changes are made to any measure definition and related documentation requirement. Job Corps' data portals list out all required documents in drop-down menus, and all the contractors are required to select the correct and specific documents in support of entering students' data during application, enrollment, center training, and post-separation placement phases. In the data entry portals, Job Corps uses edit check functions to protect data integrity; outliers or errors in data

entry are red flagged or rejected until corrected. In addition, Job Corps conducts routine data integrity audits to identify deviations and errors in documentation for student information and takes contractual and administrative actions to mitigate the damages and correct mistakes. The Job Corps' Data Center extracts, processes, and sends the Participant Individual Record Layout (PIRL) data to the Workforce Integrated Performance System (WIPS) following another quality review.

3.a. **Job Corps Demonstration.** Job Corps Demonstration grant recipients engage in data validation activities on a quarterly basis to ensure data accuracy and correct errors so that data properly and accurately reflects the program participants, services, and outcomes. Before developing and uploading the Demonstration grant recipients' PIRL report in WIPS, Job Corps also conducts a quarterly quality review of their data for consistency and missing data.

4. **National Farmworker Jobs Program (NFJP).** NFJP grant recipients are required to develop and implement data validation policies and procedures using the data validation framework outlined in section 4.b of TEGL 23-19, Change 1. At a minimum, DOL recommends that grant recipients run periodic reviews of their performance outcomes to compare them against expected outcomes, ensure that timely data entry is being done, and to ensure reported outcomes are accurately reflected with supporting documentation. Additionally, grant recipients should work to develop a policy for periodic monitoring of source documentation. This may include random file selections scheduled on a quarterly basis to ensure the required source documentation reflects the outcomes reported. Please note the Federal sources listed in this TEGL are the generic, federally recommended source documentation. It is possible that an acceptable source document is not captured on the data validation source document list. Where that might be the case, NFJP grant recipients should submit requests to use other sources of eligibility documentation to their Federal Project Officer. Grant recipients should implement policies that align with the goals of this TEGL, where possible, to ensure adequate documentation is collected, and maintained.

Grant recipients are encouraged to collect source documentation when it is available and practical. Self-attestation or case notes may be used for many of data elements as noted in this TEGL's Attachment II. To meet the needs of migrant and seasonal farmworkers and their dependents, grant recipients' policies and procedures should incorporate the use of self-attestation or case notes to meet their customers' needs and increase access to program services. For the definitions of self-attestation and case notes refer to Attachment II.

Though NFJP grantees are required to request participants' SSNs, participants cannot be denied services if they choose to not disclose their SSN. Grantees should refer to TEGL 14-18, *Aligning Performance Accountability Reporting, Definitions, and Policies Across Workforce Employment and Training Programs Administered by the U.S. Department of Labor (DOL)*, Attachment 7 on using Supplemental Wage Records.

Additionally, grant recipients are encouraged to incorporate the use of self-certification in their NFJP applications. Per 20 CFR 685.110, self-certification means an eligible MSFW's signed attestation that the information they submit to demonstrate eligibility for the NFJP is true and accurate. These efforts will help protect grant recipients from incurring disallowed costs or being cited for other compliance findings by identifying and correcting potential issues prior to reporting.

5. **YouthBuild.** YouthBuild grant recipients are encouraged to fully implement the data validation framework outlined in section 4.b of TEGL 23-19, Change 1. DOL recommends grant recipients administer quarterly reviews of their performance outcomes to compare them against expected outcomes, ensure that timely data entry is being done, and to ensure reported outcomes are accurately reflected with supporting documentation. Additionally, grant recipients should work to develop a policy for periodic monitoring of source documentation. This may include random file selections scheduled on a monthly or quarterly basis to ensure the required source documentation contained in this TEGL's Attachment II are provided for each participant file to which the data elements pertain. Grant recipients should implement policies that align with the goals of this TEGL, where possible, to ensure adequate documentation is collected and maintained. These efforts will help protect grant recipients from incurring disallowed costs or being cited for other compliance findings. The case management system for the YouthBuild program is consistent with and supports the data validation framework outlined in section 4.b of TEGL 23-19, Change 1.

6. **Reentry Employment Opportunities (REO).** REO grant recipients are encouraged to fully implement the data validation framework outlined in section 4.b of TEGL 23-19, Change 1. DOL recommends grant recipients administer periodic reviews of their performance outcomes to compare against expected outcomes and ensure that timely data entry is being done and to ensure reported outcomes are accurately reflected with supporting documentation. Additionally, grant recipients should work to develop a policy for periodic monitoring of source documentation. This may include random file selections scheduled on a quarterly basis to ensure the required source documentation reflects the outcomes reported. Grant recipients should implement policies that align with the goals of this TEGL, where possible, to ensure adequate documentation is provided. These efforts will help protect grant recipients from incurring disallowed costs or being cited for other compliance findings. The case management systems for the REO program are consistent with and support the data validation framework outlined in section 4.b of TEGL 23-19, Change 1.

   To meet the needs of individuals who are incarcerated or otherwise justice involved, grant recipients' policies and procedures should incorporate the use of self-attestation or case notes to meet their customers' needs and increase access to program services. For the definitions of self-attestation and case notes refer to Attachment II.

7. **H-1B Skills Training Grants.** H-1B grant recipients are encouraged to fully implement the data validation framework outlined in section 4.b of TEGL 23-19, Change 1 and use the supporting documentation indicated in Attachment II to validate H-1B-specific data elements in consultation with their assigned Federal Project Officer. DOL recommends that grant recipients conduct periodic reviews of their performance outcomes to compare them against expected outcomes, and to ensure reported outcomes are accurately reflected with supporting documentation and timely data entry. Additionally, grant recipients should work to develop a policy for periodic monitoring of source documentation. This may include random file selections scheduled on a quarterly basis to ensure the required source documentation reflects the outcomes reported. Grant recipients should implement policies that align with the goals of this TEGL to ensure adequate documentation is collected and maintained. These efforts will help protect grant recipients from incurring disallowed costs or being cited for other compliance findings by identifying and correcting potential issues prior to reporting.

8. **The Senior Community Services Employment Program (SCSEP).** SCSEP grant recipients have been and continue to be required to use the application incorporated into the SCSEP data collection system to validate data elements that relate to the performance measures, eligibility and essential program requirements. The SCSEP data validation application currently provides online validation worksheets, scoring, and reports for each grant recipient. For PY 2021, this application contains 46 data elements, 30 in the eligibility sample and 16 in the performance sample. In PY 2022, there will be 17 data elements in the performance sample due to the reinstatement of a data element that was inadvertently deleted in the PY 2020 data validation. SCSEP grant recipients are required to continue using this data validation application. SCSEP grant recipients must also continue to apply the source documentation requirements in Section IV of the latest SCSEP Data Validation Handbook instead of the Source Documentation Validation document attached to this TEGL (Attachment II). Section II of the SCSEP Data Validation Handbook contains a detailed explanation of the sampling procedure employed by the application.

9. **Apprenticeship Grants (OA-Managed).** Apprenticeship grant recipients are required to fully implement the data validation framework outlined in section 4.b of TEGL 23-19, Change 1. At a minimum, DOL recommends that grant recipients conduct quarterly reviews of their performance outcomes to compare them against expected outcomes, to ensure data entry is timely, and to ensure reported activities and outcomes are accurately reflected with appropriate source documentation. Additionally, grant recipients should develop a policy for periodic monitoring of source documentation. This may include random file selections on a quarterly or more frequent basis to ensure the required source documentation reflects the activities and outcomes reported. Grant recipients should implement policies and procedures that align with the goals of this TEGL to ensure adequate documentation is collected and maintained. These efforts will help protect grant recipients from incurring disallowed costs or being cited for other compliance findings by identifying and correcting potential issues prior to reporting.

10. **Jobs for Veterans State Grants (JVSG).** JVSG grant recipients are encouraged to implement the data validation framework outlined in section 4.b of TEGL 23-19, Change 1. A participant's self-attestation of eligibility is sufficient to receive Disabled Veterans' Outreach Program services. Establishing quarterly data reviews can help with identifying and correcting errors to improve performance reporting, as well as ensuring the data accurately reflects the program participants, services, and outcomes.

11. **National Dislocated Worker Grants (DWG).** DWG grant recipients are encouraged to fully implement the data validation policies and procedures set forth in section 4.b of TEGL 23-19, Change 1. Grant recipients should implement a data validation policy; DOL recommends aligning the data validation policy with the policy established for the WIOA core programs. Establishing quarterly data reviews is a promising practice for identifying and correcting errors to improve performance reporting, as well as ensuring the data accurately reflects the program participants, services, and outcomes.

The Common Reporting Information System (CRIS) provides DOL grantees a mechanism for verifying employment-based performance outcomes by conducting wage matching using Social Security Numbers (SSN). DWG recipients that use CRIS for employment-based outcomes must

report participant SSNs in the Participant Individual Record Layout (PIRL) data element 2700. To receive outcomes from CRIS, non-state DWG grant recipients must report participant SSNs.

State DWG recipients may collect participant SSNs to capture the employment-based outcomes, however, participant SSNs must not be included in files submitted to ETA in PIRL data element 2700 files.

DWG participants are not required to provide an SSN to receive services. All grantees may use supplemental data for employment-based outcomes if a participant does not provide an SSN.

Attachment III

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Source Documentation for Core/Non-Core Programs DOL-only Data Element Validation

Source Documentation Validation Instructions

The data element source documentation table lists the data elements that grantees are either required or encouraged to validate as part of the data validation framework discussed in Attachment I (please refer to Attachment I for program-specific guidance). The table displays the PIRL data element numbers, data element names, definitions/instructions, program specific requirements, and source documentation needed to perform data element validation on each data element. All grantees reporting performance data in accordance with section 116(d) of WIOA must use the same data element definitions in the PIRL. All programs required to conduct data validation, as outlined in Attachment I, must use the source documentation in Attachment II.

A. Understanding the Source Documentation Attachment layout/columns

1. Columns for "Data Element Number," "Data Element Name," and "Data Element Definitions/ Instructions" are not to be cited as the latest PIRL data elements. When seeking current PIRL related information, please visit ETA's performance website for current reporting requirements.

2. An "X" in the column represents the data elements applicable to a particular program for validation.

3. The "Source Documentation" column lists acceptable source documentation by each element. Programs may choose any of the acceptable source documentation from the list. Grantees may be more restrictive and authorize a smaller subset of allowable source documentation in their grantee policy. Grantees choosing to establish more restrictive source documentation policies should carefully consider the impacts (direct or indirect) those restrictions may have on providing equitable and accessible services to populations with barriers that can make obtaining certain source documents difficult.

4. The "Program Specific Parameters" column lists any special conditions or notes a program office may require. Source documentation requirements in this column, if any, will supplement or supersede those listed in the Source Documentation column as these requirements may limit acceptable source documentation.

B. Types of Source Documentation

For most data elements, the validation guidelines provide multiple forms of acceptable source documentation. If multiple sources conflict, the most authoritative source should be used to determine if the data element is valid and accurate.

The general categories of source documentation types include:

1. **Case Notes**: Case notes refer to either paper or electronic statements by the case manager that identify, at a minimum, the following: (a) a participant's status for a specific data element, (b) the date on which the information was obtained, and (c) the name of the case manager who obtained the information.

2. **Cross-Match**: A cross-match requires grantees to identify detailed evidence that confirms the data element in a secondary database. Grantees must also confirm supporting information such as dates of participation and services rendered. Grantees must have data sharing agreements in place as appropriate.

3. **Electronic Records which may include:**
   o **Participant Source Documents**: Participant source documents maintained in the grantee's management information system (MIS) or other official record keeping system.
   o **Grantee participant service record**: Grantee participant information generated and maintained by the grantee regarding the specific services received by a participant. The information may be generated and maintained through the grantee's MIS or other official recordkeeping system.

4. **Self-Attestation**: Self-attestation means a written, or electronic/digital declaration of information for a particular data element, signed and dated by the participant. DOL broadly interprets what is considered an electronic/digital signature. Electronic signatures or a submission from the participant such as an email, text, or unique online survey response is considered an electronic signature or verification; it must be participant generated and traceable to the participant. Grantees must retain documentation of the self-attestation.

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OMB Control Number 1205-0526					
Expiration Date: 05-31-2024			**Attachment III: Source Documentation DOL-only Data Element Validation**		ETA-9170
DATA ELEMENT NO.	**DATA ELEMENT NAME**	**DATA TYPE/ FIELD LENGTH**	**DATA ELEMENT DEFINITIONS/INSTRUCTIONS**	**CODE VALUE**	**SOURCE DOCUMENTATION REQUIREMENTS**
Section B - One Stop Center Program Participation Information					
900	Date of Program Entry	DT 8	Record the date on which an individual became a participant as referenced in 20 CFR 677.150 satisfying applicable programmatic requirements for the provision of services. Leave blank if this data element does not apply.	YYYYMMDD	One of the folowing: *Individual Plan for employment*Electronic Records *Program intake documents, such as eligibility determination documentation or program enrollment forms
901	Date of Program Exit	DT 8	Record the last date the participant received services that are not self-service, information-only, or follow up services. Record this last date of receipt of services only if there are no future services, that are not self-service, information-only, or follow up services, planned from the program. For Titles I, II and III, record the last date of funded service(s). For Vocational Rehabilitation programs, record the date when the participant's record of service is closed pursuant to 34 CFR 361.43 or 361.56. Leave blank if this data element does not apply to the participant.	YYYYMMDD	One of the following: *A copy of the letter sent to the individual indicatingthat the case was closed *WIOA status/exit froms *Electronic Records * Attendance Records *Review of servcice records identifying the last qualifying service (and lack of a planned gap)
923	Other Reasons for Exit	IN 2	Record 01 if the participant exits the program because he or she has become incarcerated in a correctional institution or has become a resident of an institution or facility providing 24-hour support such as a hospital or treatment center during the course of receiving services as a participant. Record 02 if the participant exits the program because of medical treatment and that treatment is expected to last longer than 90 days and precludes entry into unsubsidized employment or continued participation in the program. Record 03 if the participant is deceased. Record 04 if the participant exits the program because the participant is a member of the National Guard or other reserve military unit of the armed forces and is called to active duty for at least 90 days. Record 05 if the participant is in the foster care system as defined in 45 CFR 1355.20(a), and exits the program because the participant has moved from the area as part of such a program or system (Youth participants only). Record 06 if the participant, who was determined to be eligible, is later determined not a have met eligibility criteria. **NOTE:** This circumstance applies only to the VR program, in which participant eligibility is routinely revisited during the participation period. For titles I, II, and III program eligibility is determined at the time an individual becomes a participant. Record 07 if the participant is a criminal offender in a correctional institution under section 225 of WIOA. Record 00 if the participant meets none of the above conditions.	01 = Institutionalized 02 = Health/Medical 03 = Deceased 04 = Reserve Forces called to Active Duty 05 = Foster Care 06 = Ineligible 07 = Criminal Offender 00 = No	One of the following: *File documentation with notes from program staff *Information from partner Services *WIOA status/exit forms *Electronic Records *Withdrawal form with explanation *Information from institution or facility

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DATA ELEMENT NO.	**DATA ELEMENT NAME**	**DATA TYPE/ FIELD LENGTH**	**DATA ELEMENT DEFINITIONS/INSTRUCTIONS**	**CODE VALUE**	**SOURCE DOCUMENTATION REQUIREMENTS**
1303	Type of Training Service #1	IN 2	Use the appropriate code to indicate the type of approved training being provided to the participant. NOTE: If OJT or Skill Upgrading is being provided as part of a Registered Apprenticeship program, choose Code 09. NOTE: Code 06 should only be utilized when other codes are clearly not appropriate. Record 00 if the participant did not receive a training service. Leave blank if this data element does not apply to the participant.	01 = On the Job Training (non-WIOA Youth) 02 = Skill Upgrading 03 = Entrepreneurial Training (non-WIOA Youth) 04 = ABE or ESL (contextualized or other) in conjunction with Training 05 = Customized Training 06 = Occupational Skills Training (non-WIOA Youth) 07 = ABE or ESL (contextualized or other) NOT in conjunction with training (funded by Trade Adjustment Assistance only) 08 = Prerequisite Training 09 = Registered Apprenticeship 10 = Youth Occupational Skills Training 11 = Other Non-Occupational-Skills Training 12 = Job Readiness Training in conjunction with other training 00 = No Training Service	One of the following: *Copy of enrollment record *File documetnation with notes from program staff *Cross-match between dates of service and vendoe training information *Vendor trainin documentation *Electronic Records*Individual Training Account *Attendance Records
1310	Type of Training Service #2	IN 2	If the participant received a second type of approved training, record the appropriate code to indicate the type of approved training being provided to the participant. NOTE: If OJT or Skill Upgrading is being provided as part of a Registered Apprenticeship program, choose Code 09. NOTE: Code 06 should only be utilized when other codes are clearly not appropriate. Record 00 if the participant did not receive a second training service. Leave blank if this data element does not apply to the participant.	01 = On the Job Training (non-WIOA Youth) 02 = Skill Upgrading 03 = Entrepreneurial Training (non-WIOA Youth) 04 = ABE or ESL (contextualized or other) in conjunction with Training 05 = Customized Training 06 = Occupational Skills Training (non-WIOA Youth) 07 = ABE or ESL (contextualized or other) NOT in conjunction with training (funded by Trade Adjustment Assistance only) 08 = Prerequisite Training 09 = Registered Apprenticeship 10 = Youth Occupational Skills Training 11 = Other Non-Occupational-Skills Training 12 = Job Readiness Training in conjunction with other training 00 = No Training Service	One of the following: *Copy of enrollment record *File documetntation with notes from program staff *Cross-match between dates of service and vendoer training information *Vendor training documentation *Electronic Records *Individual Training Account *Attendance Records
1315	Type of Training Service #3	IN 2	If the participant received a third type of approved training, record the appropriate code to indicate the type of approved training being provided to the participant. NOTE: If OJT or Skill Upgrading is being provided as part of a Registered Apprenticeship program, choose Code 09. NOTE: Code 06 should only be utilized when other codes are clearly not appropriate. Record 00 if the participant did not receive a third service. Leave blank if this data element does not apply to the participant. Additional Note: If the participant receives more than three training services, record the last (or most recent) training services received by the participant in this field.	01 = On the Job Training (non-WIOA Youth) 02 = Skill Upgrading 03 = Entrepreneurial Training (non-WIOA Youth) 04 = ABE or ESL (contextualized or other) in conjunction with Training 05 = Customized Training 06 = Occupational Skills Training (non-WIOA Youth) 07 = ABE or ESL (contextualized or other) NOT in conjunction with training (funded by Trade Adjustment Assistance only) 08 = Prerequisite Training 09 = Registered Apprenticeship 10 = Youth Occupational Skills Training 11 = Other Non-Occupational-Skills Training 12 = Job Readiness Training in conjunction with other training 00 = No Training Service	One of the following: *Copy of enrollment record *File documetntation with notes from program staff *Cross-match between dates of service and vendoer training information *Vendor training documentation *Electronic Records *Individual Training Account *Attendance Records

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DATA ELEMENT NO.	**DATA ELEMENT NAME**	**DATA TYPE/ FIELD LENGTH**	**DATA ELEMENT DEFINITIONS/INSTRUCTIONS**	**CODE VALUE**	**SOURCE DOCUMENTATION REQUIREMENTS**
1332	Participated in Postsecondary Education During Program Participation	IN 1	Record 1 if the participant was in a postsecondary education program that leads to a credential or degree from an accredited postsecondary education institution at any point during program participation Record 0 if the participant was not in a postsecondary education program that leads to a credential or degree from an accredited postsecondary education institution during program participation, which includes if the participant was enrolled in a postsecondary education program that does not lead to a credential or degree from an accredited postsecondary education institution at any point during program participation. Note: This data element relates to the credential indicator denominator and those who are recorded as 1 are included in the credential rate denominator. This element is a subset of PIRL 1811. Do not record 1 if the participant was first enrolled in postsecondary education after exiting the program.	1 = Yes, Participated in Postsecondary Education 0 = No, Did Not Participate in Postsecondary Education	One of the following: *Data match with postsecondary data system *Copy of enrollment record *File documentation with notes from program staff *School records *Transcript or report card
SECTION C.05 -YOUTH PROGRAM SERVICES/ELEMENTS (Not Captured Elsewhere)					
1401	Enrolled in Secondary Education Program	IN 1	Record 1 if the participant was enrolled in a Secondary Education Program at or above the 9th Grade level. A Secondary Education program includes both secondary school and enrollment in a program of study with instruction designed to lead to a high school equivalent credential. Examples may include adult high school credit programs and programs designed to prepare participants to pass recognized high school equivalency exams such as the GED, HiSET, or TASC. Programs of study designed to teach English proficiency skills or literacy skills below the 9th grade equivalent are not considered Secondary Education Programs. States may use this coding value if the participant was either already enrolled in education or training at the time of application to the program OR became enrolled in an education or training program at or above the 9th Grade level at any point while participating in the program. Record 0 if the participant was not enrolled in a secondary education program at or above the 9th grade level.	1 = Yes 0 = No	One of the following: *Copy of enrollment record *File documentation with notres from program staff *School Records *Transcript or report card *Data match to State K-12 data system
1406	Date Enrolled in Post Exit Education or Training Program Leading to a Recognized Postsecondary Credential	DT 8	Record the first date after exit that the participant enrolled in or attended an education or training program that leads to a recognized postsecondary credential after program exit. Leave blank if this data element does not apply to the participant. NOTE: This element only applies to participants who exited secondary education and obtained a secondary school diploma or its equivalency per sec 116(b)(2)(A)(iii). This data element applies to the Credential Rate numerator. This element is not to be confused with PIRL 1811, Date Enrolled During Program Participation in an Education or Training Program Leading to a Recognized Postsecondary Credential or Employment, which encompasses all education and training program enrollment and captures those enrolled during program participation, not post-exit.	YYYYMMDD	One of the following: *Copy of enrollment record *File documentation with notes from program staff *School records *Transcript or report card *Data match with postsecondary data system
SECTION D -PROGRAM OUTCOMES INFORMATION					
SECTION D.01 -EMPLOYMENT AND JOB RETENTION DATA					
1600	Employed in 1st Quarter After Exit Quarter	IN 1	Record 1 if the participant is in unsubsidized employment (not including Registered Apprenticeship, or the military). Record 2 if the participant is in a Registered Apprenticeship. Record 3 if the participant is in the military. Record 0 if the participant was not employed in the first quarter after the quarter of exit. Record 9 if the participant has exited but employment information is not yet available.	1 = Yes 2 = Yes, Registered Apprenticeship 3 = Yes, Military 0 = No 9 = Information not yet available	One of the following: *UI wage data match *Follow-up survey from programparticipants *Pay chaeck stuvbs, tax records, W2 Form *Wage record match *Quarterlyt tax payment forms such as an IRS form 941 *Document from employer on company letterhead attesting to an individual's employment status and earnings *Self-employment worksheets signed and attested to by program participants *Detailed case notes verified by enployer and signed by counselor

DATA ELEMENT NO.	DATA ELEMENT NAME	DATA TYPE/ FIELD LENGTH	DATA ELEMENT DEFINITIONS/INSTRUCTIONS	CODE VALUE	SOURCE DOCUMENTATION REQUIREMENTS
1601	Type of Employment Match 1st Quarter After Exit Quarter (WIOA)		Use the appropriate code to identify the method used in determining the participant's employment status in the first quarter following the quarter of exit. Wage records will be the primary data source for tracking employment in the first quarter after the exit quarter. If the participant is not found in wage records, grantees may then use supplemental data sources. If the participant is found in more than one source of employment using wage records, record the data source for which the participant's earnings are greatest. Record 0 if the participant was not employed in the first quarter after the quarter of exit.	Consistent with TEGL 26-16: • Cross-Match with State and Out-of-State UI Quarterly Wage Records (intrastate and interstate) • Federal Government Employment Records (such as military employment, Department of Defense, Office of Personnel Management, and US Postal Service) • Cross-Match with Federal Administrative Wage Record Databases (such as the National Directory of New Hires) • State New Hires Registry • Signed Follow-up Survey Response from Program Participants • Copy of Pay Check Stubs, Payroll Slip, or Leave and Earnings Statements (minimum of two per TEGL 26-16) • Income Tax Records, W-2 Form, or Other Records from the State Department of Revenue or Taxation • Railroad Retirement System • Quarterly Tax Payment Forms (such as IRS Form 941) • A Signed Letter from an Employer on Company Letterhead (attesting to an individual's employment status and earnings) • Self-Employment or Sales Commission Worksheets Signed and Attested to by Program Participants • Cross-Match with Partner Program Administrative Databases (such as TANF, SNAP or other public assistance programs)	This is a Joint Element with the Department of Education as outlined in TEGL 7-18: • UI wage data match • Follow-up survey from program participants • Pay check stubs, tax records, W2 form • Wage record match • Quarterly tax payment forms, such as an IRS form 941 • Document from employer on company letterhead attesting to an individual's employment status and earnings • Self-employment worksheets signed and attested to by program participants • Detailed case notes verified by employer and signed by the counselor The source documentation TEGL 23-19, Change 2 is a clarification for DOL funded grants and not a revision of the Joint guidance.
1602	Employed in 2nd Quarter After Exit Quarter	IN 1	Record 1 if the participant is in unsubsidized employment (not including Registered Apprenticeship, or the military.) Record 2 if the participant is in a Registered Apprenticeship. Record 3 if the participant is in the military. Record 0 if the participant was not employed in the second quarter after the quarter of exit. Record 9 if the participant has exited but employment information is not yet available.	1 = Yes 2 = Yes, Registered Apprenticeship 3 = Yes, Military 0 = No 9 = Information not yet available	Use One of the following: • UI wage data match • Follow-up survey from program participants • Pay check stubs, tax records, W2 form • Wage record match • Quarterly tax payment forms, such as an IRS form 941 • Document from employer on company letterhead attesting to an individual's employment status and earnings • Self-employment worksheets signed and attested to by program participants • Detailed case notes verified by employer and signed by the counselor

	Attachment III: Source Documentation DOL-only Data Element Validation				ETA-9170
Expiration Date: 05-31-2024					
DATA ELEMENT NO.	**DATA ELEMENT NAME**	**DATA TYPE/ FIELD LENGTH**	**DATA ELEMENT DEFINITIONS/INSTRUCTIONS**	**CODE VALUE**	**SOURCE DOCUMENTATION REQUIREMENTS**
1604	Employed in 3rd Quarter After Exit Quarter	IN 1	Record 1 if the participant is in unsubsidized employment (not including Registered Apprenticeship, or the military). Record 2 if the participant is in a Registered Apprenticeship. Record 3 if the participant is in the military. Record 0 if the participant was not employed in the third quarter after the quarter of exit. Record 9 if the participant has exited but employment information is not yet available.	1 = Yes 2 = Yes, Registered Apprenticeship 3 = Yes, Military 0 = No 9 = Information not yet available	Use One of the following: • UI wage data match • Follow-up survey from program participants • Pay check stubs, tax records, W2 form • Wage record match • Quarterly tax payment forms, such as an IRS form 941 • Document from employer on company letterhead attesting to an individual's employment status and earnings • Self-employment worksheets signed and attested to by program participants • Detailed case notes verified by employer and signed by the counselor
1606	Employed in 4th Quarter After Exit Quarter	IN 1	Record 1 if the participant is in unsubsidized employment (not including Registered Apprenticeship, or the military). Record 2 if the participant is in a Registered Apprenticeship. Record 3 if the participant is in the military. Record 0 if the participant was not employed in the fourth quarter after the quarter of exit. Record 9 if the participant has exited but employment information is not yet available.	1 = Yes 2 = Yes, Registered Apprenticeship 3 = Yes, Military 0 = No 9 = Information not yet available	Use One of the following: • UI wage data match • Follow-up survey from program participants • Pay check stubs, tax records, W2 form • Wage record match • Quarterly tax payment forms, such as an IRS form 941 • Document from employer on company letterhead attesting to an individual's employment status and earnings • Self-employment worksheets signed and attested to by program participants • Detailed case notes verified by employer and signed by the counselor
SECTION D.02 -WAGE RECORD DATA					
1704	Earnings 2nd Quarter After Exit Quarter	DE 8.2	Record total earnings for the second quarter after the quarter of exit. Record 999999.99 if data is not yet available for this item. Leave blank if data element does not apply to the participant.	000000.00	Use One of the following: • UI wage data match • Follow-up survey from program participants • Pay check stubs, tax records, W2 form • Wage record match • Quarterly tax payment forms, such as an IRS form 941 • Document from employer on company letterhead attesting to an individual's employment status and earnings • Self-employment worksheets signed and attested to by program participants • Detailed case notes verified by employer and signed by the counselor

Expiration Date: 05-31-2024			**Attachment III: Source Documentation DOL-only Data Element Validation**		ETA-9170
DATA ELEMENT NO.	**DATA ELEMENT NAME**	**DATA TYPE/ FIELD LENGTH**	**DATA ELEMENT DEFINITIONS/INSTRUCTIONS**	**CODE VALUE**	**SOURCE DOCUMENTATION REQUIREMENTS**
SECTION D.03 -EDUCATION AND CREDENTIAL DATA					
1800	Type of Recognized Credential	IN 1	Use the appropriate code to record the type of recognized diploma, degree, or a credential consisting of an industry-recognized certificate or certification, a certificate of completion of a Registered Apprenticeship, a license recognized by the State involved or Federal Government, or an associate or baccalaureate degree attained by the participant who received education or training services. Record 0 if the participant received education or training services, but did not attain a recognized diploma, degree, license or certificate. Leave blank if data element does not apply to the participant. NOTE: Diplomas, degrees, licenses or certificates must be attained either during participation or within one year of exit. This data element applies to both the Credential Rate indicator and the Measurable Skills Gain indicator for all programs.	1 = Secondary School Diploma/or equivalency 2 = AA or AS Diploma/Degree 3 = BA or BS Diploma/Degree 4 = Occupational Licensure 5 = Occupational Certificate 6 = Occupational Certification 7 = Other Recognized Diploma, Degree, or Certificate 0 = No recognized credential	Use one of the following: • Cross-Match • Copy of credential • Copy of school record • Follow-up survey from program participants • Case notes documenting information obtained from education or training provider
1801	Date Attained Recognized Credential	DT 8	Record the date on which the participant attained a recognized credential. Leave blank if the participant did not attain a degree or certificate.	YYYYMMDD	Use one of the following: • Cross-Match • Copy of credential • Copy of school record • Follow-up survey from program participants • Case notes documenting information obtained from education or training provider
1806	Date of Most Recent Measurable Skill Gains: Educational Functioning Level (EFL)	DT 8	Record the most recent date the participant who received instruction below the postsecondary education level achieved at least one EFL. EFL gain may be documented in one of three ways: 1) by comparing a participant's initial EFL as measured by a pre-test with the participant's EFL as measured by a participant's post-test; or 2) for States that offer secondary school programs that lead to a secondary school diploma or its recognized equivalent, an EFL gain may be measured through the awarding of credits or Carnegie units: or 3) States may report an EFL gain for participants who exit the program and enroll in postsecondary education or training during the program year. Leave blank if this data element does not apply to the participant.	YYYYMMDD	Use one of the following: • Pre-and post-test results measuring EFL gain • Adult High School transcript showing EFL gain through the awarding of credits or Carnegie units • Postsecondary education or training enrollment determined through data match, survey documentation, or program notes
1807	Date of Most Recent Measurable Skill Gains: Postsecondary Transcript/Report Card	DT 8	Record the most recent date of the participant's transcript or report card for postsecondary education who complete a minimum of 12 hours per semester, or for part time students a total of at least 12 credit hours over the course of two completed consecutive semesters during the program year, that shows a participant is meeting the State unit's academic standards. Leave blank if this data element does not apply to the participant.	YYYYMMDD	Use one of following: • Transcript • Report Card
1808	Date of Most Recent Measurable Skill Gains: Secondary Transcript/Report Card	DT 8	Record the most recent date of the participant's transcript or report card for secondary education for one semester showing that the participant is meeting the State unit's academic standards. Leave blank if this data element does not apply to the participant.	YYYYMMDD	Use one of following: • Transcript • Report Card
1809	Date of Most Recent Measurable Skill Gains: Training Milestone	DT 8	Record the most recent date that the participant had a satisfactory or better progress report towards established milestones from an employer/training provider who is providing training (e.g., completion of on-the-job training (OJT), completion of one year of a registered apprenticeship program, etc.). Leave blank if this data element does not apply to the participant.	YYYYMMDD	Use one of the following: • Documentation of a skill gained through OJT or Registered Apprenticeship • Contract and/or evaluation from employer or training provider documenting a skill gain • Progress report from employer documenting a skill gain

			Attachment III: Source Documentation DOL-only Data Element Validation		
Expiration Date: 05-31-2024					ETA-9170
DATA ELEMENT NO.	**DATA ELEMENT NAME**	**DATA TYPE/ FIELD LENGTH**	**DATA ELEMENT DEFINITIONS/INSTRUCTIONS**	**CODE VALUE**	**SOURCE DOCUMENTATION REQUIREMENTS**
1810	Date of Most Recent Measurable Skill Gains: Skills Progression	DT 8	Record the most recent date the participant successfully passed an exam that is required for a particular occupation, or progress in attaining technical or occupational skills as evidenced by trade-related benchmarks such as knowledge-based exams. Leave blank if this data element does not apply to the participant.	YYYYMMDD	One of the following: • Results of knowledge-based exam or certification of completion * Documetnation demonstrating progress in attaining technical or occupational skills *Documentation from training provider or employer *Copy of a credential that is required for a particular occupation and only is earned after the passage of an exam

Expiration Date: 05-31-2024			**Attachment III: Source Documentation DOL-only Data Element Validation**		ETA-9170
DATA ELEMENT NO.	**DATA ELEMENT NAME**	**DATA TYPE/ FIELD LENGTH**	**DATA ELEMENT DEFINITIONS/INSTRUCTIONS**	**CODE VALUE**	**SOURCE DOCUMENTATION REQUIREMENTS**
1811	Date Enrolled During Program Participation in an Education or Training Program Leading to a Recognized Credential or Employment	DT 8	Record the date the participant was enrolled during program participation in an education or training program that either 1) leads to a recognized credential, including a secondary education program; or 2) a training program that leads to employment; as defined by the core program in which the participant participates. States may use this coding value if the participant was either already enrolled in education or training at the time of program entry or became enrolled in education or training at any point while participating in the program. If the participant was enrolled in postsecondary education at program entry, the date in this field should be the date of Program Entry. This includes, but is not limited to, participation in Job Corps, YouthBuild, a Registered Apprenticeship program, Adult Education, or secondary education programs. Leave blank if the data element does not apply to the participant. NOTE: This data element applies to the Measurable Skill Gains Indicator, and specifically will be utilized to calculate the denominator. It encompasses all education and training program enrollment.	YYYYMMDD	One of the following: * Copy of enrollment record *File documentation with notes from program staff * School records * Transcript or report card *Data match with postsecondary data system
SECTION D.04 -ADDITIONAL OUTCOME DATA					
1900	Youth 2nd Quarter Placement (Title I)	IN 1	Record 1 if the participant is enrolled in occupational skills training (including advanced training). Record 2 if the participant is enrolled in postsecondary education. Record 3 if the participant is enrolled in secondary education. Record 0 if the participant was not placed in any of the above conditions.	1 = Occupational Skills Training 2 = Postsecondary Education 3 = Secondary Education 0 = No placement	One of the following: *Cross-match with other agencies *Copy of enrollment record *File documentation with notes from program staff*School records *Transcruipt or report card *Vendor/training provider training documentation
1901	Youth 4th Quarter Placement (Title I)	IN 1	Record 1 if the participant is enrolled in occupational skills training (including advanced training). Record 2 if the participant is enrolled in postsecondary education. Record 3 if the participant is enrolled in secondary education. Record 0 if the participant was not placed in any of the above conditions.	1 = Occupational Skills Training 2 = Postsecondary Education 3 = Secondary Education 0 = No placement	One of the following: *Cross-match with other agencies *Copy of enrollment record *File documentation with notes from program staff*School records *Transcript or report card *Vendor/training provider training documentation

Tab 4

ACTION REQUESTED:
Recommendation to approve the Operational Policy NO. OP- 410, Change 11,
Supportive Services Effective: PY23, September 25, 2023

BACKGROUND:
Supportive services include transportation, childcare, dependent care, housing, and needs-related payments that are necessary to enable an individual to participate in activities authorized under WIOA Title I. In the Federal Law, services for Adults and Dislocated Workers are defined in WIOA section 3(59) and 134(d)(2) and (3); youth supportive services also include those listed in WIOA section 129(c)(2)(G).

OBJECTIVE: Local Boards are required to develop policy on supportive services that ensures resources and service coordination in the local area. This policy reduces the allowable incentive amounts to be paid to youth participants. This reduction is needed to increase WIOA Youth ITA funding.

Financial Impact: None

Do Pass   _____
Do Not Pass   _____

BACKGROUND:
Supportive services include transportation, childcare, dependent care, housing and needs-related payments that are necessary to enable an individual to participate in activities authorized under WIOA Title l. In the Federal Law, services for Adults and Dislocated Workers are defined in WIOA section 3(59) and 134(d)(2) and (3); youth supportive services also include those listed in WIOA section 129(c)(2)(G).

OBJECTIVE: Local Boards are required to develop policy on supportive services that ensures resource and service coordination in the local area. This policy defines the process for the use of supportive services to eligible adult, dislocated worker, and youth participants.

POLICY:
Supportive services may only be provided to individuals who are: (a) participating in Basic Career Services or Individual Career services; and (b) are unable to obtain supportive services through other programs providing such services. (Note: due to Supportive Services being a youth "element", they are available for all WIOA youth participants). They may be provided only when determined necessary to enable individuals to participate in Title I activities. Participants in "HOLD" status are not eligible to receive supportive service payments. Staff shall determine the supportive service needs of each individual to be enrolled based on the comprehensive assessment along with the documented justification and approval of supportive services as outlined in the participant's Individual Educational Plan (IEP) or Individual Service Strategy (ISS). Service Providers shall periodically review the need for supportive services. Participants shall demonstrate denial of supportive services from all other available community resources and documentation shall be kept in the participant's file.

The State and Local Board policy has established 104 weeks as the time limit for the provision of supportive services to participants. In certain cases, a written waiver request may be submitted to the WCCNM Board which may grant exceptions to the time limitations in consideration of extenuating circumstances. Approval shall be granted prior to the actual extension date.

The waiver request must include: (1) a description of the circumstances justifying the request; (2) the certificate/degree/training plan pursued and the courses completed to date; (3) A copy of grades and/or transcripts. (4) start date of the request, and (5) the anticipated end date.

Transportation and Temporary Shelter Assistance may be provided to eligible participants who require such assistance in order to participate in a WIOA activity and whose need has been identified in their IEP/ISS. Supportive services payments do not include payment of membership, club and/or activities fees or dues.

Transportation Mileage: The WCCNM Board will allow:
- Participants residing in and traveling to/from a training or work experience site within Bernalillo County, will only be allowed supportive services in the form of public transportation bus passes.
- Participants residing in and traveling to/from a training or work experience site, within Sandoval, Valencia or Torrance Counties, will only be allowed supportive service payments if public transportation is not available. If public transportation is available, those costs may be incurred by WCCNM.
- Participants traveling between twenty-five (25) and seventy-five (75.0) miles, round-trip, to/from a training or work experience site to receive a maximum of $10.00/day—not to exceed $50.00/week--based upon need and as verified by participant attendance report.
- Participants traveling seventy-six (76.0) miles or more, round-trip, to/from a training or work experience site to receive $15.00/day—not to exceed $75.00/week— based on need and as verified by participant attendance report.
- Participants traveling to/from Sandoval or Valencia counties for training or work experience can receive funding toward Rail Runner passes, not to exceed $15/day, for each day they attend training and/or work experience, not to exceed $75.00/week—based on need and as verified by participant attendance and/or class or work schedule.

Temporary Shelter: Contingent upon funding, in lieu of transportation, participants who choose to attend training institutions with shelter arrangements outside of their local community may receive Temporary Shelter of $40.00/day based upon need and as verified by participant attendance report as verified by participant attendance report.

Financial assistance for transportation or temporary shelter is not authorized to any participant who receives 100% support for transportation or temporary shelter from another source, or for a participant who is absent (entirely or in part) from his/her regularly scheduled training activity.

Child Care: Contingent upon funding, assistance may be provided to eligible participants who require such assistance in order to participate in a WIOA activity and whose need has been identified in their IEP or ISS. Participants must have legal responsibility for custody of the children thirteen (13) years of age or younger and must furnish documentation that they do not have another source of support for care (including family members) available to him/her. Participants must also be providing at least fifty percent (50%) of the children's support per the U.S. Internal Revenue code. The WCCNM Board authorizes:

Childcare reimbursements of $30.00 per day for each child up to three children—not to exceed $90.00 per day or $450.00/week- based on need and as verified by participant records.

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Childcare payments shall not be authorized when the individual is receiving 100% of needed child care payments from another source or the participant is absent, entirely or in part, from his/her regularly scheduled training activity, including holidays.

NEEDS RELATED PAYMENTS (NRP): Needs related payments are payments which may be used to provide payments to adults, dislocated workers and out-of-school (OSY) youth who are unemployed and do not qualify for (or have ceased to quality for) unemployment compensation for the purpose of enabling individuals to participate in programs of training services under section 134(d)(4) for adults and dislocated workers and 20 CFR 681.570 for out-of-school youth (OSY). Only WIOA adult, dislocated worker and OSY youth funds may be used to fund needs related payments. Needs related payments to participants shall be provided based on the following:

A. Criteria. Needs related payments are not intended to meet all needs of an individual enrolled in training. Needs related payments provide financial assistance to adults, dislocated worker and OSY youth workers for the purpose of helping individuals participate in training. A needs related payment allows a participant to have the means to pay living expenses while receiving training. The frequency of needs related payment approval (must include aligning the payment with case management contact) is limited to once a fiscal year. NRPs should be provided when it is determined that ongoing resources and income from all other sources are insufficient to support participants in WIOA-funded training. Weekly payment levels must be adjusted to reflect changes in total family income as established through local policy. Local boards may provide needs related payments up to 30 days prior to the start of training, as long as the adult, dislocated worker and OSY youth participant is enrolled in training.

B. Eligibility

(1) Adults and OSY Youth. In order to be eligible to receive needs related payments, adults and OSY youth shall meet the following criteria.

(a) Be unemployed.

(b) Not qualify for, or have ceased qualifying for, unemployment compensation.

(c) Be enrolled in a program of training services.

(2) Dislocated Workers and Dislocated Worker OSY Youth. In order to be eligible to receive needs related payments, a dislocated worker or Dislocated Worker OSY youth shall meet the following criteria.

(a) Be unemployed.

(b) Not qualify for or have ceased to qualify for unemployment compensation or trade readjustment assistance under Trade Adjustment Act.

(c) Be enrolled in a program of training services by the end of the 3th week after the most recent layoff that resulted in a determination of the worker's eligibility as a dislocated worker, or if later, by the end of the 8th week after the worker is informed that a short-term layoff will exceed 6 months.

c. Payments. Payments may be provided if the participant is waiting to start training classes and has been accepted in a training program that will begin within 30 calendar days.

    (1   Adults and OSY Youth. For adults and OSY youth, payments shall not exceed the greater of either of the following levels:

        (a)   For participants who were eligible for unemployment compensation as a result of a qualifying dislocation, the payment may not exceed the applicable weekly level of the unemployment compensation benefit.

        (b)   For participants who did not qualify for unemployment compensation as a result of the qualifying layoff, the weekly payment may not exceed the poverty level for an equivalent period. The weekly payment level shall be adjusted to reflect changes in total family income as determined by local board policies.

    (2   Dislocated workers and Dislocated worker OSY Youth. For dislocated workers and OSY Youth, payments shall not exceed the greater of either of the following levels:

        (a)   For participants who were eligible for unemployment compensation as a result of a qualifying dislocation, the payment may not exceed the applicable weekly level of the unemployment compensation benefit.

        (b)   For participants who did not qualify for unemployment compensation as a result of the qualifying layoff, the weekly payment may not exceed the poverty level for an equivalent period. The weekly payment level shall be adjusted to reflect changes in total family income as determined by local board policies.

    (3)   Verification. Local boards ensure that appropriate staff verifies unemployment insurance claimants have ceased to qualify for unemployment insurance benefits before providing a needs-based payment. [1 1.2.8.15 NMAC, 8-14-2018]

NOTE: Needs related payments will be approved on a case-by-case basis by provider and AE staff NRP's will only be used for special circumstances.

Supportive Services Computed at an Hourly Rate: Supportive services computed at an hourly rate may be paid directly to participants identified as belonging to a targeted group (e.g., a Rapid Response, board-approved special program, etc.). Hourly-computed rates include:

    (a) Educational Development/Enhancement: Post-testing, academic remediation, academic and/or career counseling, tutorial assistance and related enhancement skills training;

    (b) Occupational Life Skills Training: Financial planning, job search skills, resume and job application development, consumer education, personal health and hygiene instruction; or

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(c) Occupational-Related Training. GED preparation, computer literacy and related office/technical skills, test preparation, and other similar short-term training activities.

Payment of Supportive Services Computed at an Hourly Rate: Participants enrolled in a concurrent WE/Training activity may be paid supportive services at a fixed rate of not less than the equivalent of the current minimum federal hourly wage rate, and in lieu of any other allowable paid supportive services. Such payments shall be made to a participant only for actual hours of attendance, not including holidays, and as reflected in Time and Attendance reports. Payments will not exceed 80 hours within a two-week time period, and no overtime will be paid.

Basic Supportive Services available to Dislocated Workers enrolled in Basic Readjustment Services (BRS): This payment will cover the total of any other supportive service needs a Dislocated Worker may have while participating in any BRS activities (below), and is to be provided in lieu of any other supportive service payments for which the participant would be eligible. Contingent upon funding, participants may receive a maximum of $50.00/day in attendance--not to exceed $500.00 per individual—based on need and as verified by attendance reports for the following set of services:

- Outreach, intake, early readjustment assistance and orientation;
- Participant assessment and development of Individual Educational Plans (IEPs) and Individual Service Strategy (ISSs);
- Job search workshops;
- Dislocated worker support group activities;
- Supervised job search activities;
- Placement activities;
- Referral to other possible supportive service providers;
- Referral to retraining services; or
- Programs conducted in cooperation with labor unions to provide early intervention services

Relocation Assistance: Contingent upon funding, a one-time maximum of $500.00 per family may be made for relocation assistance to a dislocated worker in order to obtain employment. Verification by the case manager of a job offer and evidence the employment is of long duration (at least 6 months) is required. Need must be documented in the IEP, and prior approval obtained from WCCNM. Documentation shall certify the participant is unable to obtain employment within the individual's commuting area.

Special Support Services: Special supportive services will be allowed upon availability of funding. Individuals receiving special supportive services must have prior approval through staff use of form WIOA 6, with documented need.

Special Support Services pertaining to clothing (related to general professional and/or regular business/office attire dress codes, including shoes), uniforms, safety boots/items, or tools needed to complete training, work experience, or an OJT component, may not exceed $300.00, for any participant, during their permitted period of WIOA funding. Duplication of these items will not be authorized for reimbursement. Please note, that back-up documentation, such as the participant's syllabus or employer written notification, must be provided indicating the items

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requested for reimbursement are required by the training provider or employer to complete the activity. Receipts for items to be reimbursed will also be required prior to payment approval.

Medical and Health Care Supportive Services: Minor medical and health care services that may be provided include but are not limited to:
- Physical examinations;
- Eye and/or ear examinations;
- Filling of eyeglass prescriptions;
- Purchase of hearing aids;
- Purchase of orthopedic devices; and
- Other minor medical or health care services not listed here-in that are necessary in order for the individual to participate in the program.

Contingent upon funding, a one-time maximum of four hundred dollars ($400.00) for minor health or medical care services may be provided to those who require such assistance in order to participate in the program. The participant must provide proof of need and demonstrate he/she is unable to obtain such services from other resources.

Group Supportive Services: Group supportive services are limited to transportation, meals and lodging for targeted groups to be served in a specially designed program or project as approved by WCCNM. The cost for such services must be reasonable and necessary as verified by the service provider.

Other Supportive Services: Contingent upon funding, and as determined by the Case Manager, other types of supportive services may be provided based on the need of the participant. The need for such services must be necessary and the cost reasonable to the purposes of the program, such as drug and alcohol abuse, counseling and referral, individual and family counseling, special services and materials for individuals with a disability, job coaches, dependent care, financial counseling, out-of-area job search assistance, relocation assistance, internships and other reasonable expenses required for participants in the training program.

Lease payments, insurance or vehicle repairs are not authorized by WCCNM as a supportive service.

INCENTIVES: An incentive is a payment to a WIOA Youth participant for the successful participation and achievement of expected outcomes. The incentive must be linked to an achievement and must be tied to training and/or education. Such achievements must be documented in the participant files as the basis for an incentive payment.

Incentives are a way to encourage workforce participants' participation or to reward participants for achieving specific elements and are not considered income for WIOA eligibility purposes.

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Incentive payments may be awarded for the following goal accomplishments or activities, pertaining to Measurable Skills Attainment, for WIOA YOUTH participants:

- Assessment/MeasurabIe Skills Attainment Incentive $~~200~~100.00

  Participants who successfully complete all TABE retesting requirements each program year they are enrolled in the WIOA program, and who increases his/her TABE score in Math and/or English by 2 Grade Level Equivalencies or 1 Education Functioning Level (EFL) can receive, while enrolled in the program, an incentive, each program year, not to exceed $~~2~~100.00 (Reading $~~100~~50.00 incentive and/or Math $~~100~~50.00 incentive or both). A maximum payment of $~~2~~100.00 will be made for retesting and achieving an EFL increase for math and reading ($~~100~~50.00 each) each program year the participant is enrolled in WIOA.

  A copy of the TABE level increase must be included in the participants file and scanned into ~~VOSS.~~ WCOS.

- Secondary School/Measurable Skills Attainment Incentive $~~250~~150.00

  Participants are eligible for this one-time incentive following the submission of the HSE or High School Diploma and/or an official document from the test site verifying the participant passed.

  To qualify for this incentive, students must not possess their HSE or its Equivalent, at the date of WIOA enrollment.

  Documentation must be maintained in the participant file.

  *Note — Attainment of HSE or High School Diploma may only be obtained once per incentive per participant.

- Training Milestone Incentive — On the Job Training (OJT), Customized Training (CT) and/or Apprenticeship/Measurable Skills Attainment Incentive $100.00

  Participants who complete an OJT, CT or Apprenticeship ~~Mile Stones~~ Milestones are eligible for this incentive. Must be supported by the OJT Timesheets that reflects such milestones in relationship to the job description. Pre-apprenticeships are not included in this incentive. CT milestone completion must be supported with Exhibit I — Final Progress Report of the CT Agreement.

- Post-Secondary School Enrollment, Individual Training Accounts (ITA)/Measurable Skills Attainment Incentive $100.00 (May only be offered once per program year)

  Participants attending Post-Secondary education are eligible for this incentive if they provide a copy of a full semester (does not have to be first semester only), full time course schedule (may be less than 12 semester hours for participants with a disability), and unofficial transcript upon completion of a semester, while enrolled in WIOA, proving the attainment of at least a "C" average.

  Documentation must be maintained in the participant file and scanned into Voss.

- Skill Progression/Measurable Skills Attainment Incentive $100.00 (May only be offered once per ~~program~~ program year)

  Participants are eligible for this incentive following the submission of an examination certificate or verification of examination on occupational or progress of knowledge-based examinations. Official documentation from the test site verifying the participant passed is required and such documentation must be maintained in the participant file and scanned into NMWCOS.

NOTE: Incentives may be given once per category, per program year, per participant. Participants may qualify for several categories per program year but are limited to only ~~three~~ <u>two</u> categories per program year.

Time Limitations: <u>For Adults Dislocated Workers and Youth</u> - Supportive services may be provided for a period of time required to complete the IEP/ISS objectives but shall not exceed the participation time limitation allowed by local board policy.

<u>APPLICABILITY:</u>

All WCCNM service providers.

<u>INQUIRIES:</u> WIOA Manager 505-724-3629

This Policy has received approval by the Workforce Connection of Central New Mexico Board and rescinds any policy previously in effect.

WCCNM Board Chair

Tab 5

**Workforce Connection of Central New Mexico
Participation and Co-Enrollment**

Action Requested:

Request of approval of the OP-422A, Participation and Co-enrollments, Change 1, Policy, effective PY 2023, on Monday, September 25, 2023.

PURPOSE
To provide guidance to the Workforce Connection of Central New Mexico (WCCNM) on integrating and participating in Co-enrollments to enhance service delivery for all participants using WCCNM services.

BACKGROUND
This policy includes guidance on the benefits of participating in co-enrollments to leverage limited resources across programs and services.

The Workforce Innovation Opportunity Act (WIOA) is designed to encourage coordination across partner agencies to help job seekers and business customers with a wide range of services. The expectation of this policy is that the WCCNM service providers will participate in co-enrollments where appropriate to provide and promote a seamless service delivery. This coordination among partners ultimately enhances performance outcomes across individual programs and facilitates positive synergy across programs and the overall workforce system.

Financial Impact:

None

Do Pass: _____

Do not Pass: ____

Operational Policy NO. OP- 422A Change 1

Subject: **Participation and Co-Enrollment**
Effective: **PY23- 9-25-2023**

PURPOSE:
The USDOL strongly endorses and recommends fostering collaboration and integrated service delivery, shared data and leveraged resources that leads to positive employment and training outcomes for participants. This policy provides background, instruction, and guidance regarding co-enrollments across funding streams and serves to encourage greater coordination with the workforce system partners.

REFERENCES:

- Training and Employment Notice (TEN) 13-20: Advancing a *OneWorkforce* Vision and Strategy
- Training and Employment Guidance Letters (TEGL) No. 21-00, *Co-Enrollment in a One-Stop Environment Attachment A*
- Training and Employment Guidance Letter (TEGL) No. 16-16, *Training and Employment Guidance Letter One-Stop Operating Guidance for the Workforce Innovation and Opportunity Act*
- Training and Employment Guidance Letter (TEGL) No. 4-20, *Guidance on Integrating Service for Trade-Affected Workers Under the Trade Adjustment Assistance Program (TAA Program) with the Workforce Innovation and Opportunity Act (WIOA) Title I Dislocated Worker (DW Program*
- New Mexico Workforce Innovation Opportunity Act (WIOA) Combined State Plan: Program Years 2022-2023

BACKGROUND:
The Workforce Innovation Opportunity Act (WIOA) is designed to encourage coordination across partner agencies to help job seekers and business customers with a wide range of services. In 2014, the vision of WIOA workforce system was redesigned to increase program collaboration at the three levels of government, federal, state, and local. The Workforce Connection of Central New Mexico (WCCNM) One-Stop Center provides a single location for customers to access these services and enrollment in more than one program at a time provides a comprehensive menu of services and activities to help an individual obtain and keep a job.

Leveraging these resources and funding sources from other programs helps partners provide a more holistic approach to participants. Given that all partner programs throughout the One Stop Centers have varied eligibility and participation requirements and may have unique performance outcome goals—a collaborative effort and participation, within an integrated system helps streamline not only the participant's training and employment goals but helps support the programs performance.

Providing greater and comprehensive access to multiple employment and training resources facilitates the leverages and interconnects resources across systems to strengthen partnerships to provide seamless workforce services.

CO-ENROLLMENT POLICY:

Co-enrollment under the federal definition means enrollment in more than one core WIOA program. WCCNM emphasizes and extends the definition to all partner programs within WCCNM's workforce system. Strategic co-enrollment provides workforce partners and service providers an array of services across multiple funding streams to share accountability for that individual. Such co-enrollment advances a *One Workforce* system approach that integrates multiple programs to holistically meet the needs of workers and businesses. To deliver these integrated services there should be a data tracking and sharing system in place.

Data Tracking and Sharing:

Through data sharing, an integrated referral system such as the New Mexico Workforce Connection of Central New Mexico MyHub Intranet, Co-enrollment forms, shared case notes, and other communication methods will facilitate the co-enrollment process. This helps streamline the process of the participants workforce and training needs and avoids duplication of services. Through the WIOA governance structures of state, regional, and local planning and the WCCNM Once stop should create a formal process required for Memorandums of Understanding (MOU) and joint policies to continue to facilitate this collaboration among partners both located and co-located within and outside the One-Stop.

Leveraging Resources:

Leveraging resources is not just an opportunity but an economic and social responsibility in the current and projected funding environment. The state administrative entity considers co-enrollment a strategic necessity in the context of limited and diminishing resources and is especially important depending on the time of the program year. Co-enrollment necessitates a greater level of communication and coordination and can involve staff from different offices and with specialties in different disciplines. Coordination of services in a participant-focused manner minimizes the possibility of subsequent reentry into the system in cases where needed services were not provided or possible barriers not addressed. The case managers that help jobseekers should have access to partner information that helps them provide holistic services as they create their Individual Employment Plan (IEP).

Benefits of Co-Enrollment for WCCNM Participants and Programs:
- Additional resources to provide training and income support
- Improving participant outcomes and enhancing service delivery to WCCNM participants
- Strengthening partnerships and building further capacity for leveraging resources among local partners

The expectation of this policy is that the WCCNM service providers will participate in co-enrollments where appropriate to provide and promote a seamless service delivery. This coordination among partners ultimately enhances performance outcomes across individual programs and facilitates positive synergy across programs and the overall workforce system.

APPLICABILITY:

All WCCNM Service Providers.

INQUIRIES:

WIOA Manager 505-724-3645