

Section 5:

Compliance





Oversight, Monitoring, and Corrective Action

The Workforce Innovation and Opportunity Act (WIOA) promotes service integration and coordination of services among and between required and additional partner programs. The VCCS Office of Title 1 acts on behalf of the Governor to administer and oversee the implementation of WIOA. At the local level, the NRMWDB is responsible for both fiscal and programmatic oversight of WIOA Title 1 programs.

The four primary objectives of monitoring are:

- **Compliance:** Compliance monitoring is conducted to ensure that program activities and expenditures are allowable and meet, or do not exceed, spending thresholds and to ensure that local board and service provider practices comply with federal, state and local - laws, regulations and policies.
- **Program Management:** Review of program management involves an in-depth examination of program activities. It is intended to ensure that the delivery of employment and training services is effective and meeting the needs of diverse groups of customers. For example, checking to identify whether a participant's skills and abilities were assessed checking whether assessment results are used to inform development of the individual's employment and training plan and used to help the individual make informed employment and training decisions, is one method of in-depth program management review.
- **Performance:** Performance reviews occur throughout the year and allow the reviewer to gauge whether minimum levels of performance are being met. Reviewers assess and identify issues that may affect attainment of negotiated levels of performance, such as employment outcomes and credential attainment rates.
- **Ongoing Evaluation** is a comparison of planned versus actual activity and results. The State reviews spending and service levels (planned number of participants in each program category expected to receive career and/or training services and/or exit the program) on a quarterly basis. Reviewing proposed progress and spending throughout the program year allows time to adjust and incorporate strategies that will ensure planned service goals are met. In addition to quarterly reporting, specific evaluation activities may be conducted that focus on a service expectation; such as, reviewing and comparing outcomes between participants receiving only basic and individualized services against those who received occupational training services.

In addition to satisfying federal mandates for oversight and assurance that statutes regulations, and policies are being followed, monitoring is critical to ensuring a continuous

improvement cycle in which advanced strategies and worthy practices are promoted and technical assistance and staff training needs are identified and addressed.

Monitoring identifies how well service provider staff understand:

1. How to use operating systems to document participant progress, track services and expenditures, report outcomes and validate eligibility and other service delivery requirements;
2. The makeup and design of the local one-stop system and how they are expected to interact with required and additional partners to streamline service delivery across multiple programs on behalf of shared participants;
3. The overarching goals of WIOA, which include increased access, for all individuals, particularly those with barriers to employment, education and training and about the many resources and support services they may access to help them succeed in the labor market; and
4. Implementation requirements and local service delivery methods outlined in the State and local area plans, and more.

The NRMWDB receives regular performance information about WIOA operators through the state system (VOS).

All NRMWDB WIOA program operators are monitored annually by program element. All evaluation is patterned after the state format and follows the contracts established with each operator. The evaluator reviews a sampling of records including client records, financial documents, and program policies. Using standardized assessment, the evaluator provides a report back to the operator regarding deficiencies, positive elements, and overall key performance elements. The WDB works with the operators who have deficiencies and areas of improvement to bring all programs into compliance and elevate performance of the WIOA program in the most effective manner.



Sunshine Provisions

The NRMRWDB conducts business in accordance with the Sunshine Provisions of WIOA: The schedule of the NRMRWDB and CB meetings are posted on the NRMRWDB website. A few days before each meeting the full meeting packet is also posted and after the meeting, the meeting minutes are posted. All meetings are open to the public. In addition, during each WDB and CB meeting, there is a public comment period (no prior sign-up is required).

During COVID, the meetings have been virtual using Zoom. Notice has been given of these meetings in the following ways: Meeting information which includes the link, times and how to sign-up for public comment on the Boards' website and on Facebook. Regional partners (including chambers of commerce, education and other workforce partners are notified of meetings via email).

Meeting information can be found here:

The New River/Mount Rogers Workforce Development Area Consortium Board: [Consortium Board - New River/Mount Rogers Workforce Development Board \(vcwnewrivermtrogers.com\)](http://vcwnewrivermtrogers.com)

The New River/Mount Rogers Workforce Development Board: [Workforce Development Board - New River/Mount Rogers Workforce Development Board \(vcwnewrivermtrogers.com\)](http://vcwnewrivermtrogers.com)

All NRWRWDB job vacancies are posted on the Virginia Workforce Connect system. Resumes are evaluated using a "pre-set" evaluation criteria by an evaluation team (staff and/or board members). Potential candidates are invited to attend a panel job interview and the same questions are offered to each person and evaluated by the panel.



Expenditure Methods and Strategies

To ensure WIOA funds are being expended in a timely manner both the WDB and Elected Officials review Financial Reports at their regular meetings. Staff ensure that both Boards are updated on all financial matters allowing them the opportunity to implement any additional action necessary to correct any projected deficiencies in our financial process.

The New River Valley Regional Commission is the Fiscal Agent for Area 2. The New River Valley Regional Commission, Fiscal Agent, prepares and distributes checks bi-monthly on the 15th and last day of the month. All WIOA bills are paid at one of the above noted payment dates. Program Operators delivering services under WIOA are paid on a reimbursement basis. Payment to Program Operators is made after the funds have been requested from the State by way of the Cash Payment Schedule and received by the Fiscal Agent. Payment is made on a monthly basis.

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Area 2 requires all Program Operators to leverage WIOA funds with other Federal, State and local funds to insure we achieve the maximum level of resource sharing and provide the highest level of services. Area 2 also continually applies for non-WIOA grants to insure additional funding options for our area increasing our ability to provide and deliver additional services to both local business and citizens that we serve.

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Competitive Procurement

All local contracts for activities under Title I of WIOA as well as the selection of our One Stop Operator are awarded utilizing a competitive procurement process. A Request for Proposals process, approved by the Workforce Development Board, is utilized in this endeavor. A non-mandatory bidder's conference is advertised in local newspapers for three (3) consecutive days. All potential bidders contained on our local bidders list are sent a written notice of the date and time of the bidder's conference. The Request for Proposals package is reviewed, explained and distributed during the bidder's conference. Those prospective bidders that do not attend the bidder's conference may request a RFP package, which will be provided after the bidder's conference.

The competitive procurement process initially starts with the development of a written Request for Proposals package approved by the Workforce Development Board and Elected Officials Consortium Board. A bidder's conference is scheduled for the issuance of the RFP. Thirty (30) days prior to the bidder's conference, all potential bidders, contained on the Board's bidders list, are sent a letter notifying them of the bidder's conference. Also, the non-mandatory bidder's conference is advertised in local newspapers for a minimum of three (3) consecutive days. Any prospective bidder that did not attend the bidder's conference can request a RFP package by phone, e-mail, fax, mail or in person. The entire RFP package is reviewed in detail during the bidder's conference and attendees are allowed to ask questions. Once the RFP package has been issued, all potential bidders are provided a minimum of thirty (30) days in which to complete the proposal and submit it for funding consideration. Once all proposals are received, they are reviewed by a panel of WDB/Elected Officials, who do not have a vested interest in the process. All proposals are evaluated using an evaluation criteria contained in the RFP package. Scores are tabulated, averaged, and proposals are ranked based on their average proposal evaluation score. Once the evaluation process had been completed, negotiations begin with the proposer with the highest ranking in order to negotiate an acceptable contract, to be approved by the Workforce Development Board and Elected Officials Consortium Board. This negotiation process is utilized for all bidders proposing to deliver services in the same jurisdictional area(s). If an acceptable contract cannot be negotiated with the highest ranking proposer, efforts will then be made to enter into negotiations with the second highest ranking proposer. All proposed contracts and funding levels resulting from procurement negotiations are subject to final approval by the Workforce Development Board and the Elected Officials Consortium Board.

Criteria utilized to award funds to contractors of WIOA Title I Adult, Dislocated Worker and Youth services are outline on Proposal Evaluation Criteria sheets contained in the Request for Proposal package. Copies of Proposal Evaluation Criteria sheets can be found in Attachment F.

Names of contracted organizations for PY'20 and duration of each contract is as follows:

People Incorporated of Virginia

- o Adult Contract: 7/1/20-6/30/21, DLW and One-Stop Operator Contract: 7/1/20 – 6/30/21, Youth Contract 7/1/20-6/30/21

Goodwill Industries of the Valleys, Inc.

- o Adult Contract: 7/1/20-6/30/21 and Youth Contract: 7/1/20-6/30/21



The New River Valley Regional Commission is the contracted Fiscal Agent for the NRMRWDB and NRMRCB for PY20. They are responsible for distribution of grant funds (all accounts payable and payroll functions). This contract is reviewed annually by the NRMRCB. If all parties are agreeable, a new contract is drafted and approved by the NRMRCB.

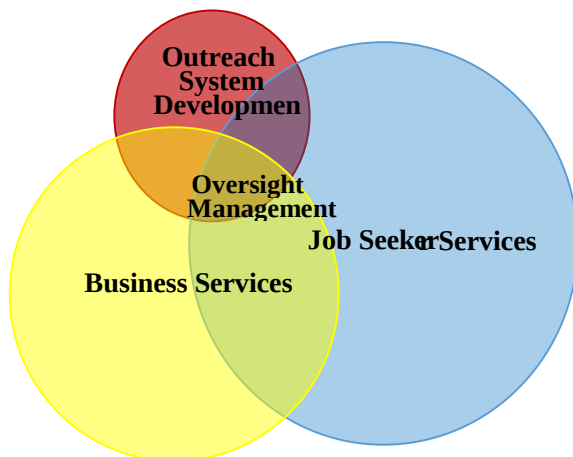


The New River/Mount Rogers Workforce Investment Area Consortium Board and the New River/Mount Rogers Workforce Development Board have long acknowledged the limitations of WIA/WIOA funding to meeting regional workforce development needs. Board and Program Operator staff continually seek out other sources of funding to broaden the range of programs and activities beyond WIOA. Since 2009, the NRMRWDB has participated in multi-workforce area projects. We have long recognized the interdependency of the region.

All funding the NRMRWDB sources is to leverage activities that support the mission and vision of the Boards. Funds fall in the four programmatic elements: Job Seeker Services, Business Services, Outreach and System Development and Administrative (Oversight/Management). The Overlap between programmatic and administrative elements in the workforce system are represented in the graphic below. The overlap between elements is not only efficient, it is valuable to access and integration of our workforce efforts. Often, programs that are directed at job seekers are influenced by the needs of our business partners and vice versa. Additionally, all our outreach and system development directly supports job seeker and business services.

While the elements are not equally funded (shown here by size of the circle), the shared edges allow our workforce partners to provide a more comprehensive and integrated system and to adjust as needs and strategic focus shifts resources and collaborative energies over time.

NRMRWDB Funding Alignment and Integration



Also, there is a strong emphasis on “partnership/alignment” in serving both the region’s business and job seeker customers. The NRMRWDB also recognizes the impact of collaborating with its One-Stop Partners to further the mission of each partner and, to positively change, how the “system” functions. The following is a tool the region uses (and frequently updates to show what services are offered by what organization). This tool enables workforce partners to limit duplication of services and increase the ability to leverage and braid funding.

Insert updated matrix here



PY 20-21 Performance Measures

PERFORMANCE MEASURE	ADULT	DISLOCATED WORKER	YOUTH
<i>Employment Rate 2nd Quarter After Exit</i>	85.60%	85.00%	74.70%
<i>Median Earnings 2nd Quarter After Exit</i>	\$5,500	\$8,500	\$3,553
<i>Measurable Skill Gains</i>	71.50%	57.00%	57.00%
<i>Employment Rate 4th Quarter After Exit</i>	85.00%	90.00%	62.80%
<i>Credential Attainment Rate</i>	74.00%	70.00%	70.00%



Indicators of Performance

Fiscal Agent:

Services for the NRMRCB Fiscal Agent are reviewed by the elected officials and contracted annually. The Fiscal Agent Agreement, which outlines the scope of work and the Exhibit A, which details the scope of work are agreed upon by both parties. See Attachment G for the PY20 Fiscal Agent Agreement. The Fiscal Agent send a notice to the NRMRCB Finance Committee of all expenditures for their review and approval. They then prepare and distribute checks which are paid out bi-monthly on the 15th and last day of the month. All WIOA bills are paid at one of the above noted payment dates. Program Operators delivering services under WIOA are paid on a reimbursement basis. Payment to Program Operators is made after the funds have been requested from the State by way of the Cash Payment Schedule and received by the Fiscal Agent. Payment is made on a monthly basis.

Program Operators:

The NRMRCB 's WIOA Title I Program Operators are organizations that reach beyond WIOA and workforce development. While our partners and the programs they operate are targeted to the obvious partners and needs in the workforce system, it is critical that our programming and relationships ties reach beyond the usual suspects to include community and supportive services partners to undergird our core programs for businesses and job seekers. They are able to leverage WIOA funding by offering participants a vast array of other programs that their individual organizations have available.

People, Incorporated of Virginia provides a multitude of workshops and loans to the business customer, job seekers, and low income WIOA participants. They are contracted for One-Stop Operator and Dislocated Worker Programs for all of the NRMRCB for PY20 and that contract has a one-year extension option (that can be done twice). They are also the Adult and Youth Program Operator for the Mount Rogers Planning District (Bland, Bristol, Carroll, Galax, Grayson, Smyth, Washington & Wythe) and that contract has a one-year extension option (that can be extended twice).

Goodwill Industries of the Valleys is a large nonprofit agency dedicated to helping disadvantaged populations achieve their full potential. As such, Goodwill offers a variety of programs and services funded by federal, state, local, and private revenue streams. Additionally, Goodwill self-funds initiatives. They are the Adult and Youth Program Operator for the New River Valley Planning District (Floyd, Giles, Montgomery, Pulaski & Radford) and that contract has a one-year extension option (that can be extended twice).

One-Stop Delivery System:

The NRMRWDA covers over 4,300 square miles. In an effort to best meet the needs of jobseekers and businesses, the LWDA has a variety of “physical” entry points into the system as well as the NRMRWDB website, which offers a virtual entry point into the system. Each entry point offers access to basic career services as well as a “no wrong door” approach to business services. At the regional comprehensive One-Stop and affiliates, where multiple partners are present, roles are clearly defined (who does what).

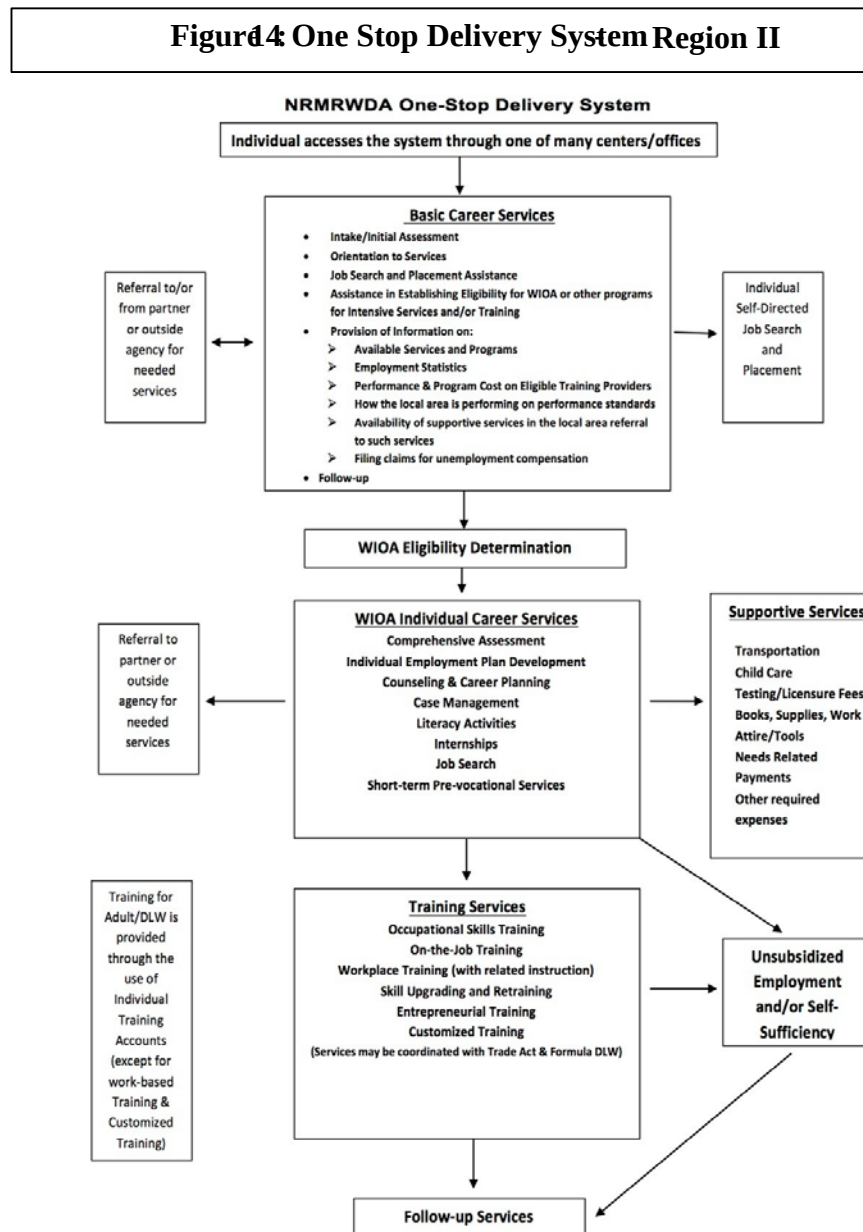
Through our partners the NRMRWDA One-Stop System provides the following services to our business customers: Applicant Screening & Referrals, Job Postings, Labor Market Information/ Economic Trends, Computerized Skills-Based Matching, Work-based Training supports/funding, Customized Training (incumbent worker), Interview and meeting rooms/space, UI Consultation, UI Tax Consultation, Job Fair Opportunities, Computers and/or Computer Lab space, Peer to Peer Networking opportunities, HR supports, Small Business supports and Business Requested Workshops.

Through our partners the NRMRWDA One-Stop System provides the following services to our job seeker customers: Job Listings, Resume and Cover Letter Writing assistance, Job Notifications and Referrals, Copier and Fax Services, Job Search Assistance, information/access to Job Fairs, High Speed Internet Access and Wi-Fi, Federal Bonding Letters, Specialized Supports for job seekers with Barriers (job seekers with disabilities, job seekers with a felony, etc.), Referrals to organizations that offer Supportive Services (e.g. child care, transportation, food assistance, housing assistance, etc.), Veteran Services, Occupational Skills Training opportunities/funding, Work-based Training opportunities, Various self-improvement Workshops, Entrepreneurship Training and/or Workshops and GED prep and basic skills upgrade. The region has had “system alignment” discussions between the four WIOA Titles, 13 Department of Social Services and three Community Colleges. The intent of this process to increase opportunities for leveraging of funds and to limit duplication of services. In addition, the NRMRWDB is staff devoted to creating an environment for increased co-enrollments and braiding of funding to ensure aligned job seeker and business supports and offerings. To aid in this process the NRMRWDB has the following staff positions:

Two Workforce System Navigators will work with job seekers, and other programs that support job seekers, to ensure smooth referrals and co-enrollments through the Integrated Resource Teams (see figure 8) and help develop a system for continual communication between partners about programs and policies that affect job seeker services. The Navigators will work throughout the region meeting with partners and job seekers.

A Business Service Coordinator will be the point person to assist the four Business Solution Teams to develop actions and activities to engage and support the region's businesses and will communicate relevant business staffing needs/requirements (of businesses) to the Workforce System Navigators, partner career counselors and other frontline job seeker support staff.

The following chart (Figure 14) shows the flow of efficient and effective service delivery system for the job seekers of the NRMRWDA One-Stop System





Replicated Cooperation, Collaboration, and Coordination Efforts

The One-Stop System MOU is executed between the New River/Mount Rogers Development Board New River/Mount Rogers (LWDB), the VA Career Works system Partners (Partners), and the Chief Elected Official (CEO), New River/Mount Rogers Workforce Development Area Consortium Board. The MOU is developed to confirm the understanding of the Parties regarding the operation and management of the VA Career Works Centers and system in the New River/Mount Rogers Region (LWDA). The LWDB provides local oversight of workforce programming for the LWDA.

The Executed MOU can be found in Attachment H.



A **high-performing board** includes individuals who can provide broad strategic perspective while also bringing their specific experience and expertise to bear on regional workforce issues. It is also important to bring in guest speakers to offer insight and perspective on a variety of topics and issues that impact the regional workforce and workforce system.

The NRMWDB is designed to have a board range of expertise from members and to have guest speakers at each meeting providing additional information/perspective that impact the work that is before the board.

Role and Focus:

As the region's convener of the workforce system the board clearly understands that they play an important role in facilitating and coordinating workforce initiatives that enable economic growth and increase the standard of living in our region. At each board meeting, workforce partners bring updates to the board about the focus, concerns and happenings in their specific programs (this includes economic development). Updates on special workforce programs that are being led by board staff are also reviewed and discussed at every meeting. This process keeps board members informed and alerted to any issues that may need to be addressed. Business reps are chairs of every committee, ensuring that the board is truly "business led."

Each new board member has the opportunity to attend an Orientation to the workforce system and the board prior to their first meeting. They are given the opportunity to let the Board Chair know their preference for committee assignments (every board member sits on at least one committee).

Effective Chairperson:

The chairman sets the board's tone and direction as well as its performance and as Board Chair, chairs the Strategic Planning Committee to ensure consistency of board vision. S/he creates the appropriate environment for full engagement by all members of the board, drawing out opinions and shaping discussions of sensitive issues. To ensure the effectiveness of our chairperson, we will have two vice-Chairs that have the opportunity to lead meetings and committees, gaining the necessary experience to become Board Chair if they so desire.

Balanced Team:

A board is only as good as its members, who bring the outside perspective and judgment on which the board's oversight function is predicated. To have active members who can

provide broad strategic perspective while also bringing their specific experience and expertise to bear. The NRMRCB has the responsibility of appointing NRMWDB members. They ensure that all members appointed are “decision makers” in their organizations. Business representatives are nominated by the locality they will be representing and are from a business that is in an industry that is economically important to that locality. This process allows for a broad representation on the board.

Culture of Trust and Respect:

A board is not a collection of individuals and talents but a team. For it to function as such, candid communication and mutual respect are critical. Having open discussions and mutual respect ensures that probing questioning, constructive criticism and challenging debate can take place. To create a culture of trust and respect, every member is given an opportunity to serve on at least one committee and all members are encouraged to provide input during and after the meetings.



Strategic Plan Input

The NRMRWDB Strategic Plan was developed with the involvement and guidance from a variety of stakeholders, including board members, community members, staff, and regional partners. The NRMRWDB has a standing Strategic Planning Committee made up of board members from both the WDB and the New River/Mount Rogers Workforce Investment Area Consortium Board (CLEOs). The Strategic Planning Committee is charged with developing and overseeing the boards' various plans.

To prepare for this Strategic Plan, the Strategic Planning Committee met to reflect on the NRMRWDB's vision and mission, which underpins the approach to our work, and to review the current strategic plan as well as other regional initiatives. These meetings helped to establish the strategic direction and define the important work to be done in order to fully realize our charge in the region's workforce development system as well as how our work impacts the workforce system in the Commonwealth.

Regional partners, economic development, the business community and elected officials were engaged via an on-line survey, roundtable discussions and an email invite to provide comments on the posted Draft Strategic Plan. The general public and participants were engaged via an on-line survey and public notice to read and comment on the draft Strategic Plan. Public Notice was given via notice in the region's two large newspapers (see Attachment I) and in an email blast to all regional partners.



Professional Development

Professional Development is critically important and matters to the overall success of the Workforce System. Besides providing career training for staff and partners to develop new skills and stay up-to-date on current trends, it also provides opportunities for career advancement. In an effort to advance the skills of our staff and partners, provide value to the workforce system, and deepen our relationships with partners, the NRMWDB sponsors an ongoing series of professional development, provided each month, free to all. Sessions, ranging from topics such as Adverse Childhood Experiences to Labor Market Information, have been well attended with upwards of 40 participants. We firmly believe this effort is a win-win for everyone.

Regional partner training not only improves understanding of policy and programs, it builds the relationships between partners and allows sharing of best practices and creative program solving opportunities that is not always possible in the day to day implementation of programmatic elements.

In addition to specialized training offered for programmatic implementation and improvement, the Title I Program operators provide on-boarding and regular training and evaluation of staff and programs throughout the year. Included in this regular training and evaluation are the following:

At hire, staff received a minimum of four days of initial classroom training in the areas of WIOA eligibility, assessment procedures, development and implementation of individual employment plans, occupational skills and supportive procedures, VaWC data entry requirements, labor market information, file maintenance general case management practices, and Virginia Workforce Letters and local policies. Staff spend a considerable amount of time shadowing a senior staff member in a variety of areas such as intake/eligibility, client interaction, VaWC data entry, job development and general services provision. Also, staff is certified to administer the Test for Adult Basic Education through Virginia Commonwealth University, Adult Learning Resource Center and many are certified to administer the ACT WorkKeys assessments. All staff receive a training manual at the onset of employment.

All WIOA Title 1 staff are encouraged to complete their Certified Workforce Development Professional training and certification as soon as possible.

Other programs offered:

How to Conduct a GoTo Meeting, VaWC COVID-19 Topics, Updates, and Review with Brian Long. VaWC COVID-19-Topics Review with Beverly Suthers, Whole Family Approach Presentation-GoTo Meeting, Implementing Section 188-Equal Opportunity Provisions. Online Career Scope Review

WIOA Title I Regional Training, EmpowOR Referral Training, WIOA Title 1 Statewide Training, Part II WIOA Statewide Training VWL 20-06, Family Centered Coaching, OSS/IEP (Electronic), Brand 101, WIOA Activity Codes in VOS, Empower Referrals – making, receiving, following up, Careerscope training, EEO Part I, II, & III, Case Mgmt/Dr. Beverly Ford (multiple sessions), Family Centered Coaching (multiple sessions), VWL 20-07: VaWC System of Record and Electronic Case Files, Financial Empowerment Facilitator Training, Employment of Youth who are Blind Vision Impaired, or Deafblind, WIOA Form Review, Youth COVID-19

Additional staff professional development is provided through Workforce GPS, the National Association of Workforce Development Professionals (webinars), and through other local training providers such as Fred Pryor Seminars, Dale Carnegie, and other training programs.

Finally, an annual performance evaluation. As part of this evaluation, professional development goals are discussed and progress toward those goals is monitored.