TN Department of Labor & Workforce Development
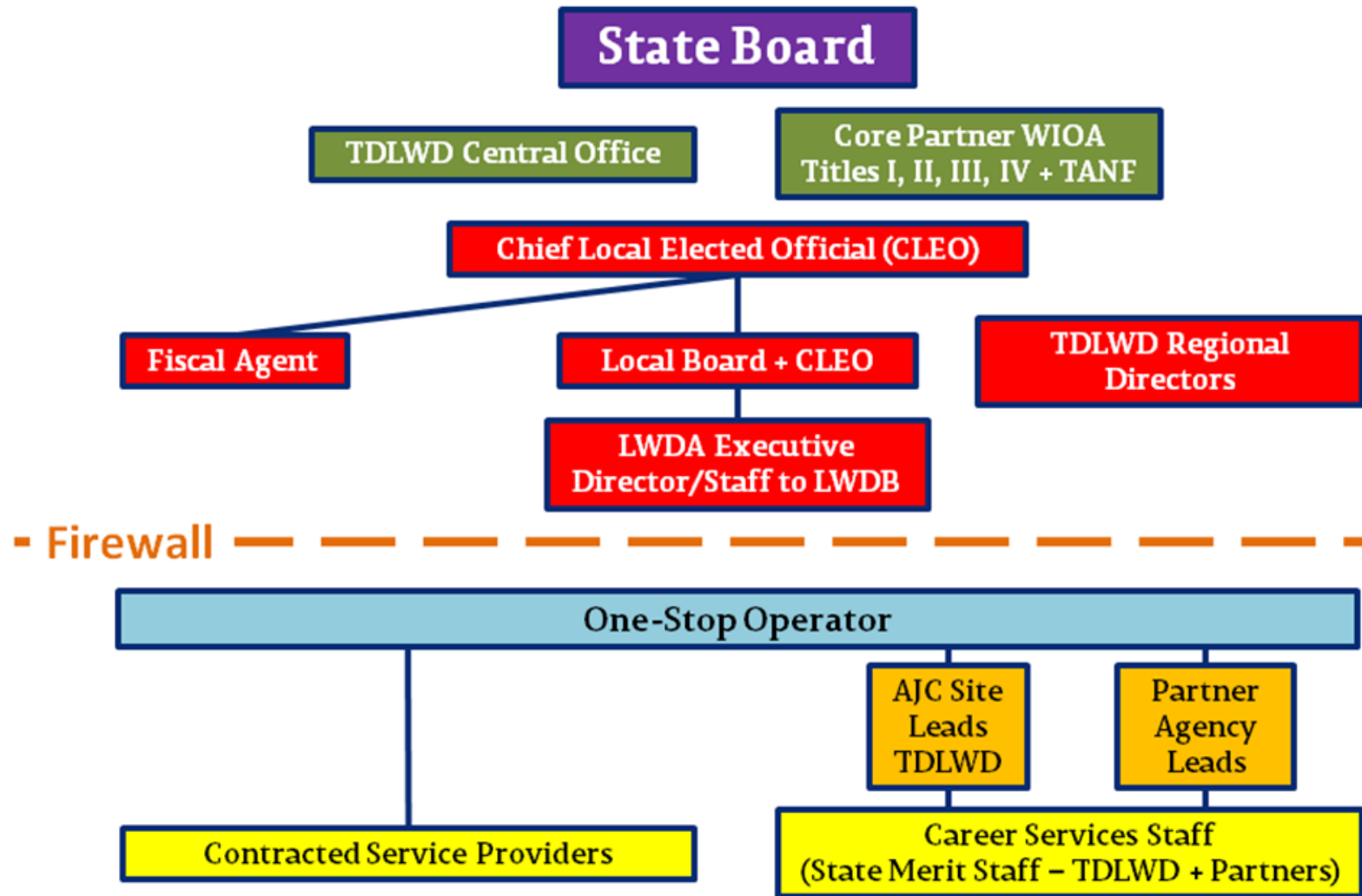
Data Management and Oversight- April 2018 Systems Training

Nicholas Bishop-Director of Compliance & Policy-WFS Division
Nicholas.Bishop@TN.Gov

Workforce System Structure

Roles within Workforce System

Local Workforce Development Board:
- Develop a budget for Local Board activities
- Conduct oversight of the adult, dislocated worker, and youth programs
- Negotiates and reaches agreement on performance measures for subrecipients

Fiscal Agent:
- Maintains proper accounting records with adequate documentation
- Prepares financial reports for the Local Board
- Provides technical assistance to subrecipients regarding fiscal issues
- **Should not issue payment directly to or on behalf of participants (Should be at OSO/CSP level**)

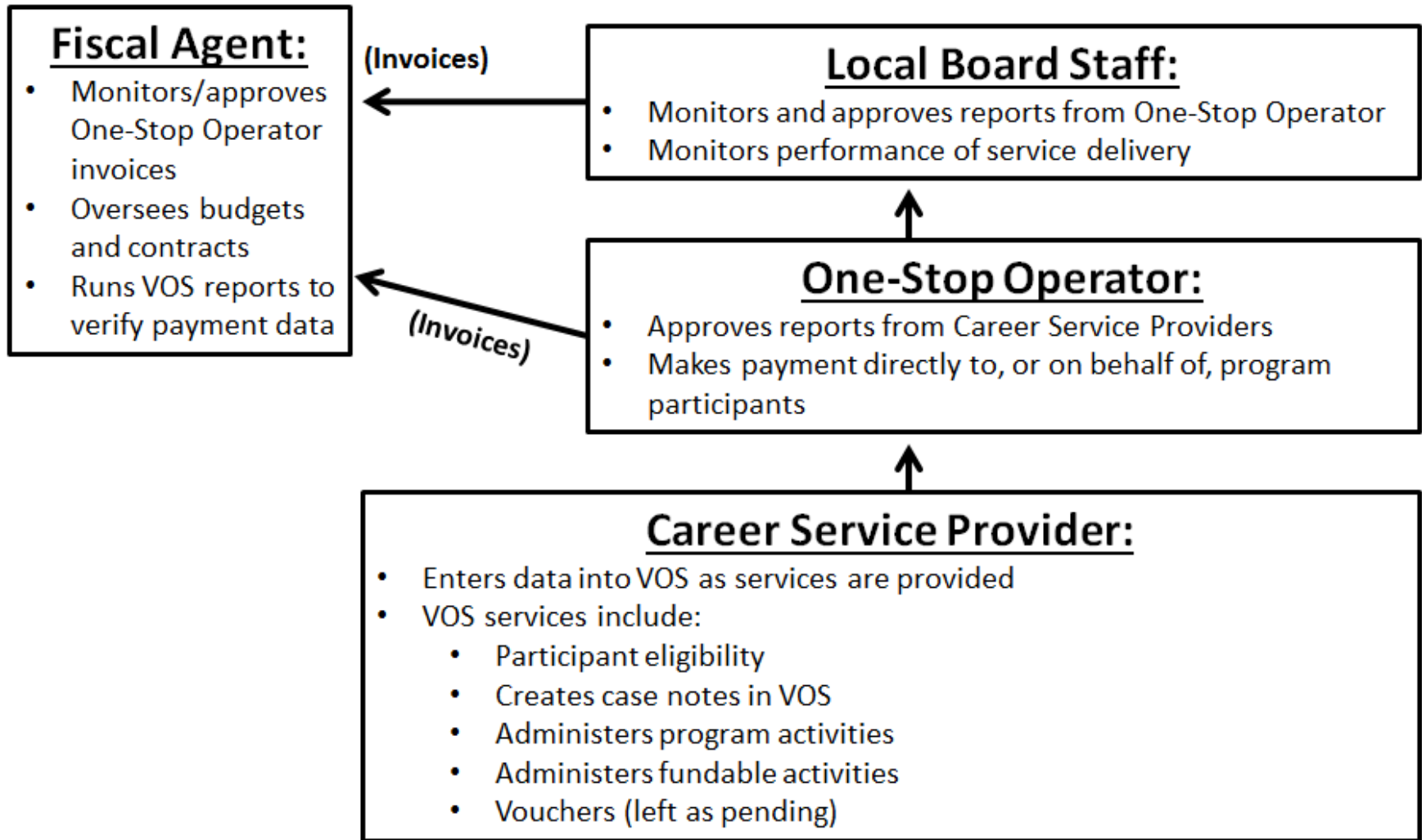**One-Stop Operator:**
- Manages services provided to individuals and businesses
- Reports to Local Board on operations, performance, and continuous improvement recommendations
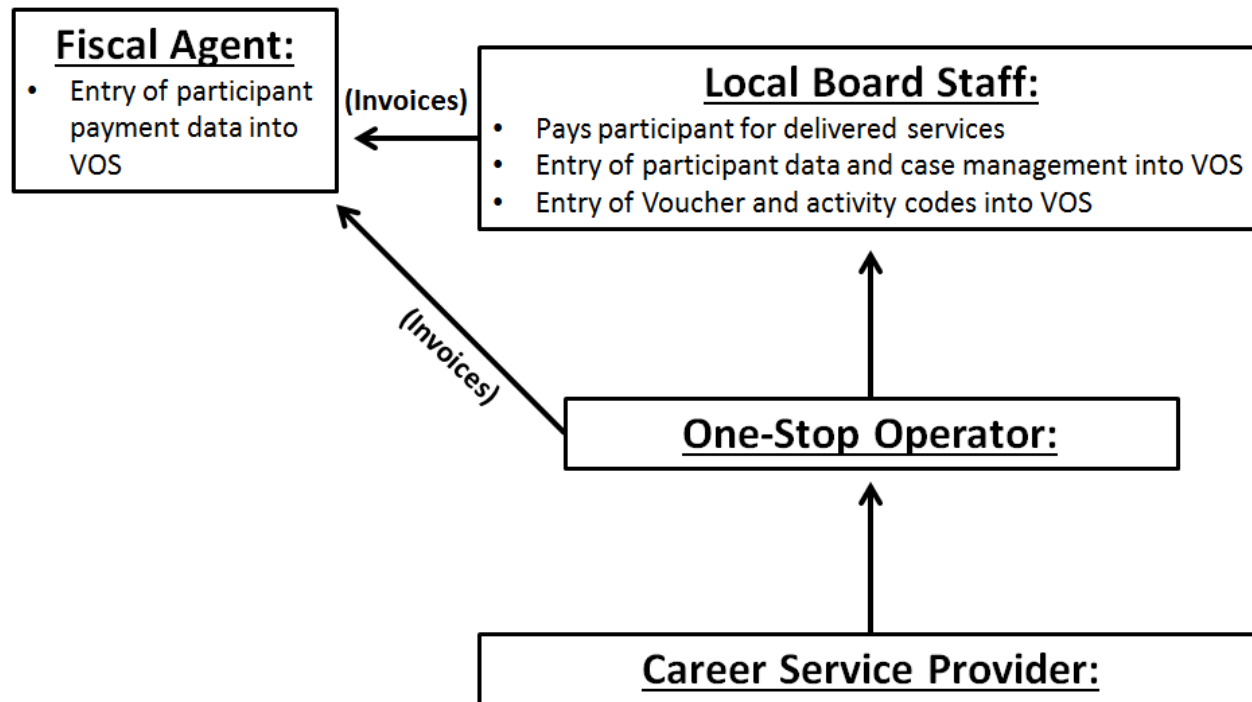- **Approval of participant data, to include fundable activities**

Career Service Provider:
- Delivers services under the coordination of the One-Stop Operator
- **Entry of participant data, to include fundable activities**

Data Management: Best Practice

Fiscal Agent:
- Monitors/approves One-Stop Operator invoices
- Oversees budgets and contracts
- Runs VOS reports to verify payment data

(Invoices)

Local Board Staff:
- Monitors and approves reports from One-Stop Operator
- Monitors performance of service delivery

(Invoices)

One-Stop Operator:
- Approves reports from Career Service Providers
- Makes payment directly to, or on behalf of, program participants

Career Service Provider:
- Enters data into VOS as services are provided
- VOS services include:
    - Participant eligibility
    - Creates case notes in VOS
    - Administers program activities
    - Administers fundable activities
    - Vouchers (left as pending)

Data Management: Non-Compliance Example

Fiscal Agent:
- Entry of participant payment data into VOS

(Invoices)

Local Board Staff:
- Pays participant for delivered services
- Entry of participant data and case management into VOS
- Entry of Voucher and activity codes into VOS

(Invoices)

One-Stop Operator:

Career Service Provider:

**Correct Process-"The One-Stop Operator manages services provided to individuals and businesses. "**
Entry of participant data, case management, and voucher/entry codes into VOS are functions of the Career Service Provider. When the Local Board, or its staff, perform these functions it breaches the firewall to prevent direct oversight of services by the Local Board. Oversight of these functions are the responsibility of the One-Stop Operator and must not be carried out by the Local Board, its staff, or the Fiscal Agent.

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Data Management: Bypassing the OSO (*Prohibited*)

Fiscal Agent: ← (Invoices) **Local Board Staff:**
- Monitors and approves reports from Career Service Provider
- Monitors performance of service delivery

(Invoices)

(Bypass One-Stop Operator)
See next slide

Career Service Provider:
- Enters data into VOS as services are provided
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This model assumes that the CSP and the OSO are not the same entity or that the CSP/OSO have separate contracts

"The One-Stop Operator reports to the Local Board on operations, performance, and continuous improvement recommendations."

The OSO should be managing services for individuals and businesses, as well providing and/or contributing to reports of AJC activities to the LWDB. In order to ensure services are being properly delivered and funds are being properly utilized, CSP invoices should pass through the OSO.

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Monitoring and Compliance

- WIOA Section 185 (c) :
- Each State, each local board, and each recipient (other than a subrecipient, subgrantee, or contractor of a recipient) receiving funds under this *title(1) shall make readily accessible such reports concerning its operations and expenditures as shall be prescribed by the Secretary.*
- *(2) shall prescribe and maintain comparable management information systems, in accordance with guidelines that shall be prescribed by the Secretary, designed to facilitate the uniform compilation, cross tabulation, and analysis of programmatic, participant, and financial data, on statewide, local area, and other appropriate bases, necessary for reporting, monitoring, and evaluating purposes, including data necessary to comply with section 188;*

- (3) shall monitor the performance of providers in complying with the terms of grants, contracts, or other agreements made pursuant to this title; and

- (4) shall, to the extent practicable, submit or make available (including through electronic means) any reports, records, plans, or any other data that are required to be submitted or made available, respectively, under this title.

Management Information Systems/Duties & Controls

- ***Management Information System/Duties and Controls:*** LWDBs must have a system in place to monitor and validate the data reporting within the American Job Center (AJC) system. AJC providers must utilize Jobs4TN.gov to ensure that participant data is maintained and entered timely in regards to: closing of services/activities in participant files, participant exits from programs, and follow-ups after exit if applicable to the program.

Monitoring of Local Contracts

- The LWDB is required to have a formal system in place for the monitoring of contracts - performed by the LWDB or their direct staff - to ensure compliance in regard to deliverables, performance, allowable expenditures, efficiency and effectiveness, and overall allowable activities. Oversight of contracts includes reviewing the performance of the One-Stop Operators (OSO), service providers, employers (e.g. On-the-Job Training, Incumbent Worker Training, etc.).

Quality Control

- **A. One-Stop Operator**:
- The 0S0 is the primary entity performing quality control;
- Responsibilities of the 0S0 include, but are not limited to:
  - Reviewing the Memorandum of Understanding, specifically to ensure WIOA compliance and that all parties have a mutual understanding of their roles within the One-Stop system;
  - Encouraging continuous improvement in the AJCs, such as increasing enrollment and amending business hours to meet customer needs;
  - Reviewing eligibility determinations of program participants to ensure that individuals enrolled are receiving the provided services; and
  - Ensuring access to services.

Quality Control Continued

- These quality control activities differ from the monitoring conducted by TDLWD because they provide early, proactive intervention opportunities to avoid noncompliance findings during annual reviews. These day-to-day quality control activities provide context to engage in training activities and form stronger working relationships between the TDLWD and One-Stop Operators.
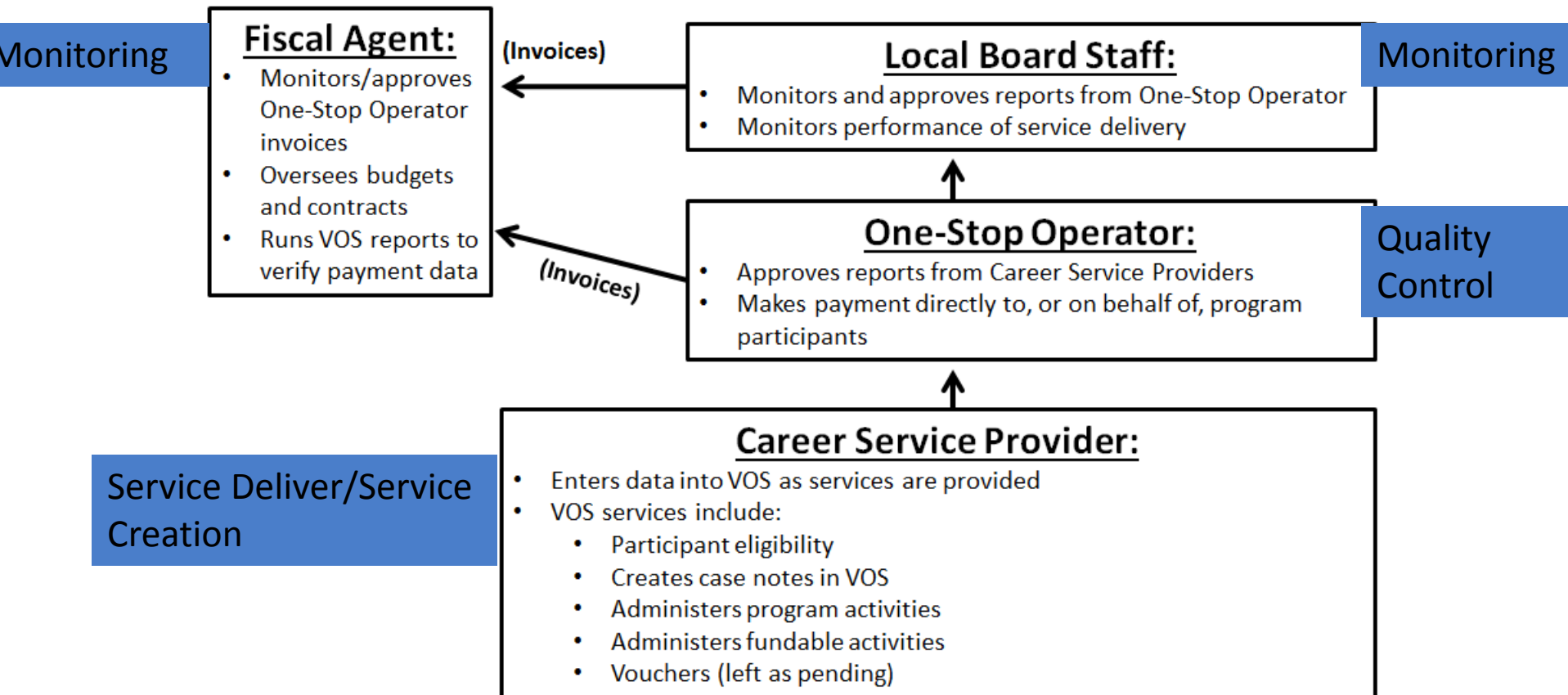
Effect of Quality Control on Fiscal Operations

- Regular quality control performed at the local level, and within the AJCs, can help alleviate problems with disallowed costs. For example, if funds are regularly analyzed then issues arising from disallowed costs can be resolved before they compile and become unmanageable. Another example where quality control is important is tracking the forty percent (40%) minimum participant cost rate and eighty percent (80%) program allotment rate. Regular oversight, or quality control, will ensure that the LWDA remains on track to achieve these measures. Both instances represent a proactive approach to program management.

Effect of Quality Control on Fiscal Operations

- Regular oversight of program (CSP>OSO) and administrative (OSO>LWDB) expenses will ensure that the daily operations of the program are functioning properly. Although Workforce Services program staff conducts regular quality control reviews this is not to be confused with the annual review performed by PAR; PAR is responsible for formal oversight, which is considered a monitoring function.

System Management (Quality Control/Monitoring)

Monitoring

Fiscal Agent:
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(Invoices)

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Monitoring

(Invoices)

One-Stop Operator:
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- Makes payment directly to, or on behalf of, program participants

Quality Control

Service Deliver/Service Creation

Career Service Provider:
- Enters data into VOS as services are provided
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Data Drives Decisions and Impacts Funding Amounts

- What is the busiest day and busiest time of day for the AJC? Why?

- What are your stats on serving/enrolling priority populations?

- How much do you spend per participant?

- Are you adequately aligning your fiscal resources amongst LWDB staff, OSO staff, CSP's? (**Admin $ to OSO)

- As an OSO or LWDB, what would you do/say if I told you that your LWDA title 1 enrollment rate for UI claimants is less than 5%?

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Data Drives Performance

- How many youth are you serving?

- How many youth *are you not serving and have the potential to reach?* What are you doing to reach out?

- How many dislocated workers reside in your LWDA? How many have made contact with the system?

- How are you reaching and serving the re-entry population and needs of your LWDA? (ex: overcrowding in jails)

The AJC Product (Manufacturing Example)

- **MAYSEE Technology Ltd.**
- MAYSEE is an integrated manufacturer covering the business scope of both LED display screen and LED lighting. With a strong research and development team devoted to product technical innovation and design innovation, and its professional and standard production management, MAYSEE has successfully established itself **a dependable supplier to _meet the demands _ of high-end markets all over the world.**

Guiding Principles

- **Our Recipe For Success**
- -Innovative production and technology
  -Commitment to excellent quality and reliability
  -Continuously promote and enhance strategic partnerships with suppliers and customers
  -Competitive pricing

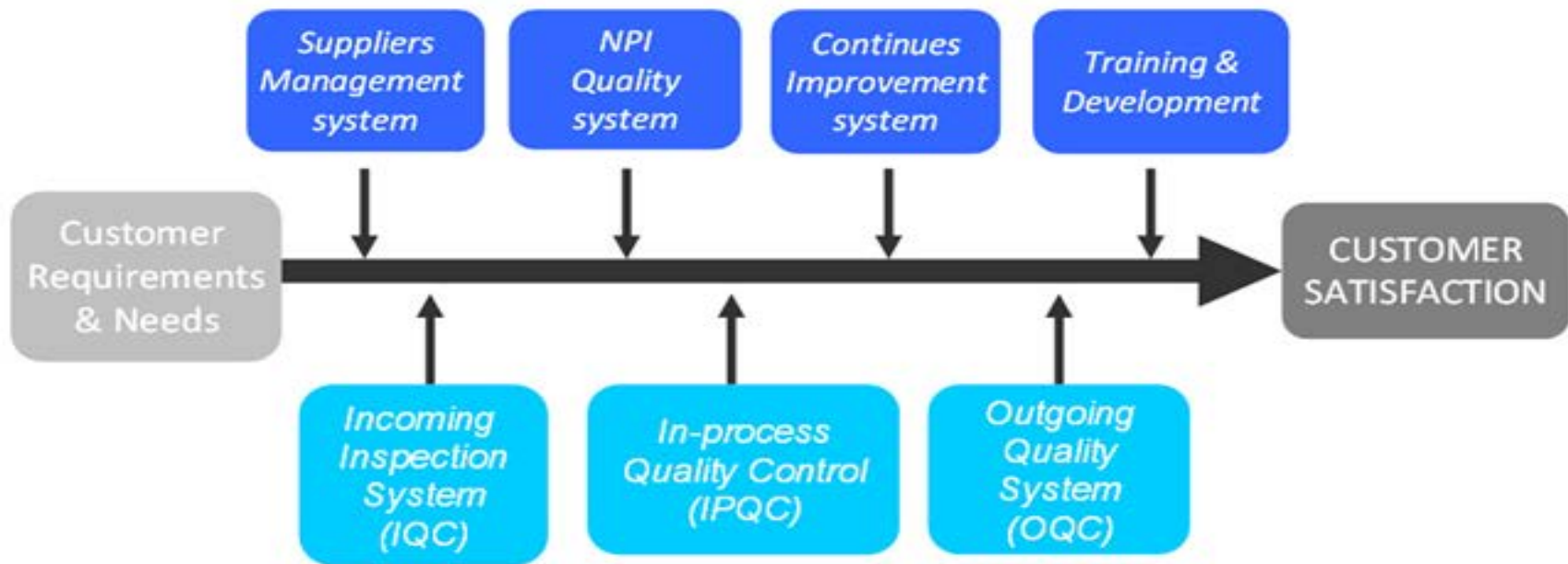- How do these concepts translate to the AJC system?

Values

- **Company Values**
  -Consistent quality
  -Simplicity and harmony
  -Exploration and innovation
  -Excellent service
  -Loyalty and responsibility
  -Advanced technology
  -Practicality and high efficiency

- *How can we apply these to the AJC/Workforce System?*

- *Think back to the best practice flow chart for data/fiscal management and apply these concepts.*

Production and Quality Control

AJC Production Flow Chart

Jobs4tn/Grants4 TN/ Data Management

LWDB/CLEO and Partner engagement
- LWDB/CLEO and Partner engagement
- Regional partnership meetings

Partners

- LWDB Monitoring
- Efficient/Effective measuring
- Dashboard

Customer Requirements and Needs

Customer Satisfaction = Employment

Initial Common Intake/Assessment

- Referrals to partners
- Enrollments
- Follow-ups
- Service delivery

- Data validation
- OSO quality control review of CSP services
- Follow-ups

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