



Adult Education and Literacy

Business Meeting
December 3rd, 2024

Adult Education and
Literacy

Overview/Agenda

- Welcome and Roll Call
- Discussion and Consideration: AEL Contracted Measures
- Recognition of PY 23-24 Best in Class and Co-enrollment
- Sub Recipient Monitoring
 - Monitoring Process-What To Expect
 - Data Validation

Welcome and Roll Call



Workforce Division Director – Mary York



AEL Contracted Measures

Discussions and Considerations



Current Contracted Measures

- Enrollments
 - Total Enrollments (Both Grants)
 - Integrated Education and Training (Both Grants)
 - Intensive Services (231 Only)
- Measurable Skills Gain
- Exit Based Measures
 - Credential Attainment
 - Enrolled or Employed Qtr 2
 - Enrolled or Employed Qtr 2-4

Reference: AEL Performance Guide:

<https://www.twc.texas.gov/sites/default/files/wf/docs/ael-performance-guide-twc.pdf>

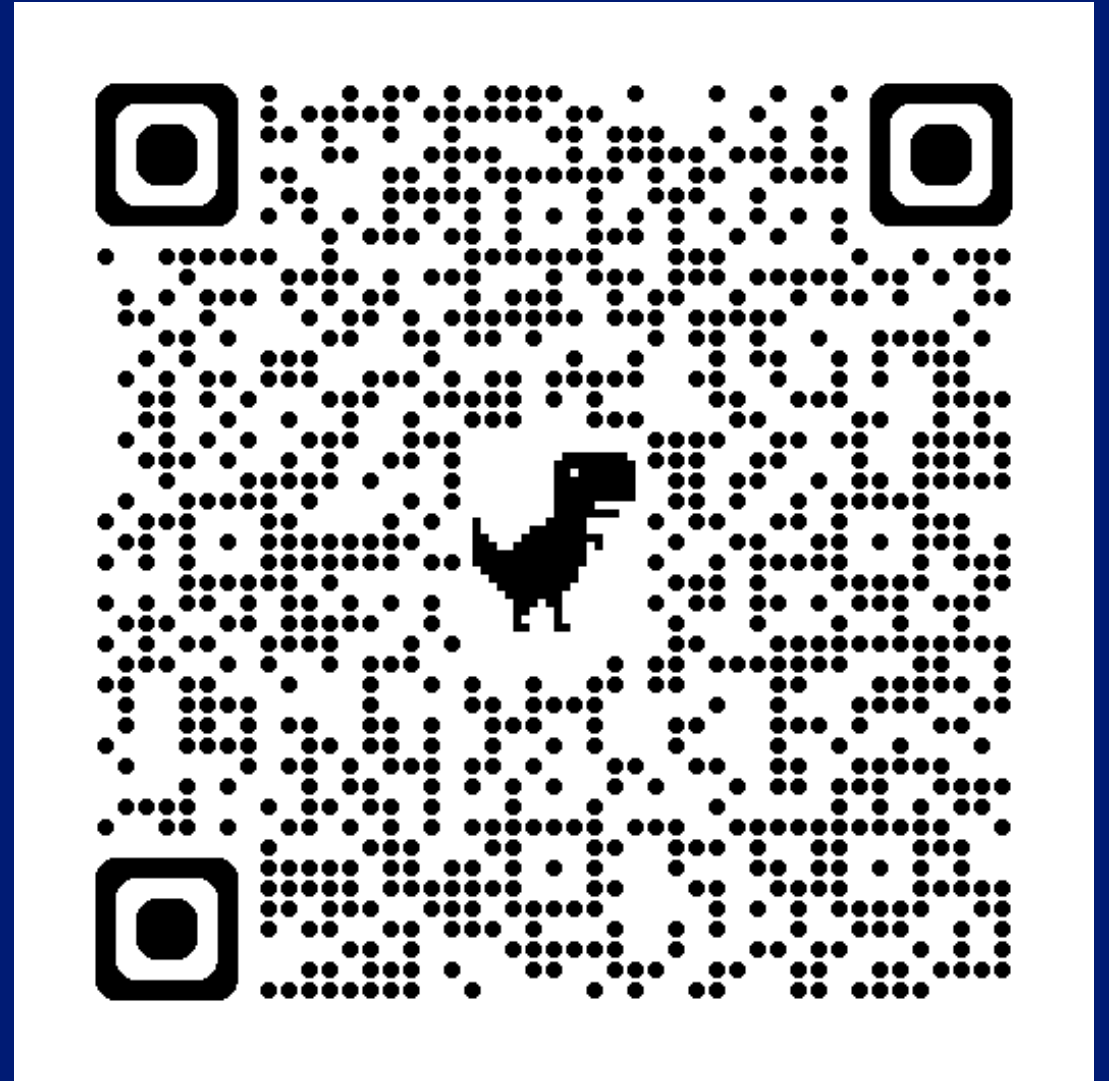
Identified Limitations

- Doesn't tell the 'whole story'
- Students with less than 12 direct hours are not represented at all
- Little consideration for specialized activities
- No comparison of goals to outcomes
 - One size fits all approach

Guiding Principles

Recommendations Need To Be:

- Quantifiable and Measurable
- Focused on Strategic Goals
- Aligned to Existing Measures (Outcomes based)
- Aligned to HB 1602 (Increase HSE and PSE credentials)



Buckets

- Student Outreach, Assessment and Intake
 - Ex: Enrollments- #, % Targeted Demographics or ABE Levels
 - Ex: % with Planned Goal of HSE or Transition to PSE
 - Ex: % of RIPs that become POPs (Retention)
- Student Services and Activities
 - Ex: Retention (# of Days, Hours of Instruction, or Outcome based)
 - Ex: % Receiving Career Pathway Services
 - Ex: % of GED students passing above 145
 - Ex: % of GED students who passed all exams within 90 days of first past test
- Student Outcomes
 - Ex: Post Test Rate
 - Ex: X % of Students connected to industries they trained in (IET specific)
- Staff / Instruction
 - Ex: % of Instructors with X % of students with MSG before end of PY or end of POP
 - Ex: % of Instructors trained In X,Y, Z
 - Ex: % of Students enrolled in Distance Learning curriculum

Activity 1: Table or Breakout Room

Talk About Measure Options for:

- Student Outreach, Assessment, Intake
- Student Services and Activities

Pick a Reporter

Prepare for a Report Out

20 mins



REPORT OUTS

Activity 2 : Table or Breakout Room

Talk About Measure Options for:

- Student Outcomes
- Staff/Instruction

Pick a Reporter

Prepare for a Report Out

20 Mins



REPORT OUTS



Recognition of PY 23-24 Best in Class & Co-Enrollment

Top 3

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Break Time – 15 mins

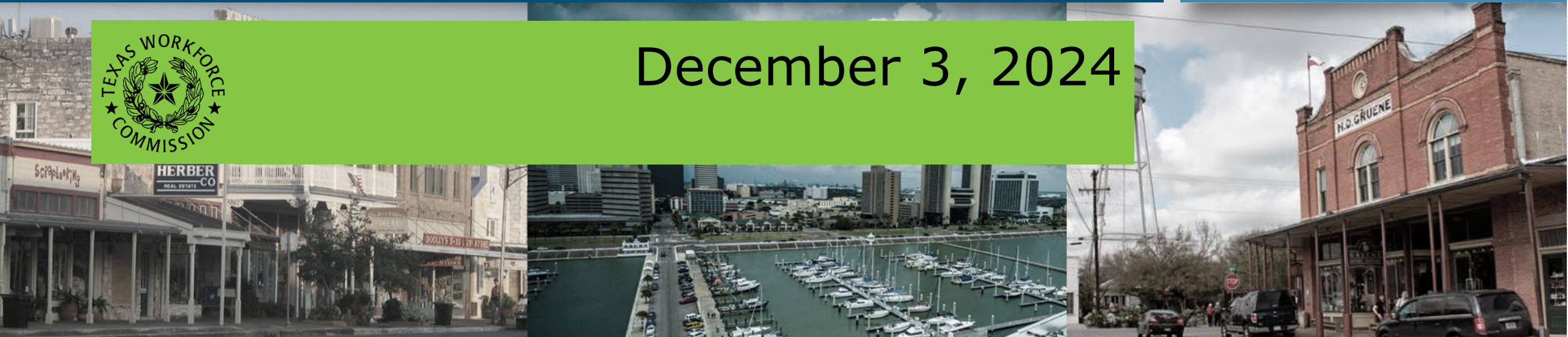




Subrecipient Monitoring



December 3, 2024



Presenter Contact Information

- Alma González
- Program Specialist VII/SRM
Monitoring/TA Monitoring Trainer
- Email: alma.gonzalez2@twc.Texas.gov
- Phone: 512-755-5546

Agenda

- Background
- Monitoring Process
 - Fiscal and Program Monitoring
 - Financial Manual for Grants and Contracts
 - Tools
 - Reports
- SharePoint
 - AEL Regular Review and Data Validation
 - File Setup
- On-site vs. Remote Reviews
- AEL Data Validation
 - AEL Data Validation Elements

Background

- In accordance with 40 TAC §802.62, monitoring activities should ensure that all programs achieve intended results, resources are efficiently and effectively used for authorized purposes, and resources are protected from waste, fraud and abuse.
- Note that monitoring function requirements are applicable to the Contractors/Grantees (and their subcontractors).

Monitoring Process

- Risk Assessment
- SRM Teams
 - 3 – Austin
 - 1 – Houston
- Monitoring Schedule
 - Our monitoring schedule runs from September 20XX–August 20XX.

Engagement Letter & Confirmation Page

Texas Workforce Commission
A Member of Texas Workforce Solutions

DATE, 2021

Mr./Ms. Name, Title
Grantee
Address
City, Texas Zip

Bryan Davis, Chairman
Commissioner Representing
the Public

Julian Alvarez
Commissioner Representing
Labor

Aaron Demerson
Commissioner Representing
Employers

Edward Serna
Executive Director

Dear Mr./Ms. Name:

We plan to conduct a review of your [Program/Funding Stream], grant agreement(s) #[contract number(s)] during the week of **Date**. The monitoring team will review fiscal and programmatic operating systems to ensure that administrative, organizational, and managerial elements exist to support effective program management.

Concerns or issues will be discussed with management throughout the review. A report will be issued containing any findings or areas of concern resulting from the review.

Indicate your concurrence with the date of the review and return the signed document electronically to Tony Johnson, Project Manager, at Tony.Johnson@twc.texas.gov. You may also reach him at (512) 463-8296, if you have any questions or need additional information. Please list a contact person for your organization and his or her telephone number and e-mail address. We will contact this person before the review to request information that will assist us in our review preparation. We would appreciate receiving your confirmation by **DATE**.

Sincerely,

Mary B. Millan, Director of Field Operations
Subrecipient Monitoring
Division of Fraud Deterrence and Compliance Monitoring

Attachment

cc: Name, Executive Director, Workforce Solutions Board Area

101 E. 15th Street • Austin, Texas 78778-0001 • (512) 463-2222 • Relay Texas: 800-735-2989 (TDD) 800-735-2988 (Voice) • www.texasworkforce.org
Equal Opportunity Employer • Program

TEXAS
WORKFORCE SOLUTIONS

Attachment

PLEASE RETURN NO LATER THAN (Date) TO:

Tony Johnson, Project Manager
Texas Workforce Commission
Subrecipient Monitoring

tony.johnson@twc.texas.gov

Engagement Acceptance and Contact Information Form

RE: Monitoring Review – Project # 22.XX.XXXX
Grantee
Grantee address
Dates of review

I accept the date(s) of the engagement _____ **Date** _____

Title: _____

Contact Person: _____

Telephone number: _____ **E-mail Address:** _____

Document Request Packet (DRP)

- Approximately 9 weeks prior to the review a Document Request Packet is sent to the Contact person.
 - CC: Authorized Signee/School
President of the school
Workforce Solutions Executive Director for your area

Document Request Packet

Document Request List
Project # 21.21.1301

The following items must be provided to the monitoring team prior to the review of the Adult Education and Literacy Grant Agreement #2118ALA000. Items should be provided to Ernesto Cantú, Project Manager, by June 25, 2021.

- Please reference the location of the items on disk or USB drive. Ex: 1.OrgChrt.
- If materials are not provided, please indicate the reason in the last column, and contact the project manager.
- Please include this completed DRP list with the items.
- Please refer to the accompanying instruction sheet for specific details.

Please provide the requested information in electronic format, either *Microsoft Word* or *Excel* unless a specific format is requested.

Items Requested	Reference Location	If Not Provided, Please Explain
Organization Information: 1. Please provide a current, dated copy, of the Adult Education and Literacy (AEL) Subrecipient's organizational chart. Chart should include names, job titles, location, and telephone numbers specifically for AEL grant agreements. Also, please provide a copy of your facilities schedule which includes facility location, teacher's name, type of class.	1.OrgChrt [Redacted]	[Redacted]
Grant Agreements and Non-Financial Agreements: 2. Listing of all active grant agreements and non-financial agreements (e.g., Memorandums of Understanding) during the scope of the review (July 1, 2018, through May 31, 2021), with subrecipients, service providers, auditors, monitors, attorneys, other entities, etc. Include dollar amounts, amendments, and effective dates.	2.ConMem [Redacted]	[Redacted]
Cost Allocation: 3. Provide a complete, signed and dated copy of the approved cost allocation plan for the AEL Subrecipient applicable to the scope of the review, (July 1, 2018, through May 31, 2021). Include a copy of an approved indirect cost rate agreement if applicable. In addition, provide a copy of the budget or financial statement that accompanies the plan.	3.CostAlloc [Redacted]	[Redacted]
Accounting Records: 4. Detail of ALL (asset, liability, accruals, expenditures, revenue, etc.) general ledger (GL) entries during the scope of the review, (July 1, 2018, through May 31, 2021), for the AEL Subrecipient.	4.GL=CR [Redacted]	[Redacted]

Document Request List
Project # 21.21.1301

Items Requested	Reference Location	If Not Provided, Please Explain
At a minimum, the detailed general ledgers MUST include: <ul style="list-style-type: none"> • Grant • Funding Year • Account Type/Description • Payee/Vendor • GL Code/Description • Effective Date • Dollar Amount • Reference Invoice # • Cost Category (if applicable) Each Category listed above must be represented in a separate column within the Excel Document. Must be provided in EXCEL format (filterable). PDFs will not be accepted.		
5. Check register for all out checks during the scope of the review, (July 1, 2018, through May 31, 2021), detailed by funding source if possible. Include a register for any electronic transfers, direct deposits, etc., not included in the check register.	5.CR [Redacted]	[Redacted]
6. Provide the current chart of accounts for the AEL Subrecipient under the AEL grant agreements. Include a detailed account description that explains what each of the numbers represents. Each Category listed in the GL must be represented on the chart of accounts.	6.ChrtAccts [Redacted]	[Redacted]
7. Provide a full list of the AEL Subrecipient's bank accounts associated with AEL grant funding, including copies of the corresponding bank statements, bank reconciliations, and trial balances during the scope of the review, (July 1, 2018, through May 31, 2021).	7.BnkAccts [Redacted]	[Redacted]

Key Points of DRP

- General Ledger
 - Do not send the GL for the entire school, we only want the grant funded transactions.
 - GL needs to be sent in an EXCEL format that we can format to extract and analyze information.

Pre-Planning Meeting

- While grantees are gathering all the information to send to TWC, the team will also be holding pre-planning meeting with AEL staff, grant managers, fiscal department to determine if there is anything other than our normal audits that we would need to look at. TWC staff may want us to obtain a plan for meeting expenditures, or enrollments, may request that we obtain a missed monthly or quarterly report, follow-up on technical assistance provided.

Testing Samples

- All grantees will receive their testing samples the Tuesday before the Entrance Meeting
- Folders will be set up for the grantee to upload the information into SharePoint
- Project Manager or Lead will notify the Grantee that the samples are available in SharePoint

Questionnaire

- The questionnaire will be sent to the grantee with the samples (two-weeks before the Entrance Conference). It is important that the questionnaire is completed and uploaded to SharePoint before the day of the Entrance Conference.

Sample of Questionnaire



Grantee Name
Board Relationship and Comprehensive Assessment Questionnaire
Project:

Interviewee Name/Title	
Date:	

Workforce Development Board (WDB) Partnership

- Workforce Solutions Board Agreement (MOU/IFA):** Provide a copy of your Memorandum of Understanding (MOU) and/or Infrastructure Funding Agreement (IFA) with the relevant Workforce Development Board(s). List all WDB(s).
[Redacted]
- Addressing Concerns:** Is there an established process for addressing concerns with the Board? If services are provided to multiple Boards, describe the process for each. Include examples of how concerns were resolved in the past year.
[Redacted]
- AEL Representative and Service Delivery:** Is [there AEL](#) representation at Workforce Solutions Offices/One-stop Centers with WDB(s). List all service delivery methods (in-person, electronic, etc.) and describe the cross-reference process.
[Redacted]

Comprehensive Assessment

- Standard Operating Procedure (SOP) for Comprehensive Assessment and Orientation:** Provide a copy of the Comprehensive Assessment and Orientation SOP. Confirm it includes the following:
 - Enrollment Form/Signed Release of Information (student signatures and 16–18-year-old's Parent/Guardian signature or self-attestation, if applicable.)
 - Identity documentation
 - Digital Literacy and Equity Questionnaire
 - Individual Training Education and Career (ITEC) Plan
 - Testing and Placement procedures
 - Support Service Needs Determination

Who is responsible for conducting Comprehensive Assessment and Orientation.
[Redacted]



Grantee Name
Board Relationship and Comprehensive Assessment Questionnaire
Project:

If the program is a consortium, confirm all partners are using the same forms for Comprehensive Assessment. If not, provide copies of all forms used by each partner.
[Redacted]

2. Orientation:

- Attendance:** How does the Grantee ensure all participants attend an orientation?
[Redacted]
- Frequency:** How often are orientations conducted?
[Redacted]
- Accessibility:** Are orientations modified to accommodate individuals with disabilities or those who speak other languages? Provide details on the modifications offered.
[Redacted]
- Content:** What information is provided during the orientation?
[Redacted]
- Participant Handbook:** Is a Student Handbook distributed and reviewed during orientation? If so, please provide a copy.

3. Digital Literacy Assessment:

How are learners assessed for digital literacy during intake?
[Redacted]

4. Support Services:

How are student Support Service needs determined during comprehensive assessment?
[Redacted]
Describe the referral process to ensure students have access to the resources they need to successfully participate in services.
[Redacted]

Testing and Data Entry

- Alternative Placement:** Does the grantee use Alternative Placement options? If yes, describe available testing options and provide a copy of the grantee's Alternative Placement Policy.
[Redacted]
- Student Information on Testing:** How are students informed about the testing process, and what information do they receive?
[Redacted]
- Approved Testing Instruments:** List all National Reporting System (NRS)-approved testing instruments used for pre- and post-testing.
[Redacted]



Grantee Name
Board Relationship and Comprehensive Assessment Questionnaire
Project:

- Testing Accommodations:** What testing accommodations are available for individuals with disabilities?
[Redacted]
- Testing Score Sheets:** Where [are](#) the student's original test score sheets and/or electronic testing results maintained? [Redacted] Describe storage and retention procedures. [Redacted]
- Data Entry in TEAMS:** How does the grantee ensure timely and accurate data entry into the TEAMS System, including contact hours? [Redacted]

SharePoint

- TWC SharePoint Support will provide access to two grantee staff
 - Both staff will have the ability to upload information into SharePoint.
- Selected staff will receive an email from TWC SharePoint Support with a link to obtain access.
- When staff log into the SharePoint system they will see their folder only.


 Subrecipient Monitoring External Entities Library

 Home

 Documents

 Pages

SRM SharePoint Monit...

ERA Questions

Board Review Scopes a...

Child Care DFPS Testin...

DFPS Child Care Testin...

SharePoint Access Sou...

CC Data Validation Sa...

Open BPC Investigatio...

Project Tracking

Findings

New Project


Initial Report


Final Report


Observations


Project Resolution

+ New

 Upload


 Edit in grid view

 Sync

 Add shortcut to OneDrive

















 Export to Excel

 Power Apps

 Automate

...

Documents

 Name	Modified	Modified By	+ Add column
 AARP Data Validation	11/8/2021 11:14 AM	Gonzalez,Alma I	
 AARP Prog_Fiscal Review	11/8/2021 11:16 AM	Gonzalez,Alma I	
 AEL - ESC Region 17	5/18/2021 10:54 AM	Trevino,Rene	
 AEL - Laredo College	5/18/2021 10:54 AM	Trevino,Rene	
 AEL - Paris Junior College	6/21/2021 3:23 PM	McHazzlett Sanchez,Lanetti	
 AEL DV - Brazos Valley COG	9/13/2021 6:57 AM	Gonzalez,Alma I	
 AEL DV - Central Texas College	9/13/2021 6:58 AM	Gonzalez,Alma I	
 AEL DV - Denton ISD	10/8/2021 6:34 AM	Gonzalez,Alma I	
 AEL DV - ESC 17 South Plains & Permian Basin	9/13/2021 6:59 AM	Gonzalez,Alma I	
 AEL DV - Gulf Coast	9/13/2021 6:57 AM	Gonzalez,Alma I	
 AEL DV - Paris Junior College Northeast & North Central	9/13/2021 7:00 AM	Gonzalez,Alma I	
 AEL DV - Tarrant County	9/13/2021 7:01 AM	Gonzalez,Alma I	
 AEL DV - Temple College	9/13/2021 6:59 AM	Gonzalez,Alma I	
 AEL DV- Odessa	9/13/2021 6:59 AM	Gonzalez,Alma I	
 Alamo Community College	6/10/2019 3:56 PM	Banks,James C	

Document Request Packet (DRP)

Submission of Information and Database Setup

SharePoint Folder By FY

Documents > AEL - [REDACTED]



Name ▾



FY21

Documents > AEL - [REDACTED] > FY21



Name ▾



DRPs



Samples and Questionnaires

Documents > AEL - [REDACTED] > FY21 > DRPs



Name ▾



[REDACTED] ALA002





[REDACTED] ALA000

DRP Folders in SharePoint

Name
01. OrgCht
02. Agree
03. CostAlloc
04. GLnCR
05. CR
06. ChtofAccts
07. BnkAccts
08. PayRpt
09. MonSCh
10. MonReports
11. ClsSch
12.CAP.FUR

- Each folder will correspond to the “Reference Location” noted on the DRP.
- Any question regarding issues with uploading information needs to be addressed to the respective project manager or their lead.

DRP vs. Supporting Documentation

Items Requested	Reference Location	If Not Provided, Please Explain
<p>Organization Information:</p> <p>1. Please provide a current, dated copy, of the Adult Education and Literacy (AEL) Subrecipient's organizational chart. Chart should include names, job titles, location, and telephone numbers specifically for AEL grant agreements.</p> <p>Also, please provide a copy of your facilities schedule which includes facility location, teacher's name, type of class.</p>	<p>1.OrgCht [redacted]</p>	<p>[redacted]</p> <p> 1.OrgCht-[redacted].pdf</p> <p> 1.OrgCht-[redacted].pdf</p>

Samples and Questionnaires

Documents > AEL - [REDACTED] > FY21 > Samples and Questionnaires

 Name ▾

 Assessments and Eligibility

 Disbursements




 Internal Controls

 Monitoring and Oversight






 Procurement

 Security of Data (PII)



Documents > AEL - [REDACTED] > FY21 > Samples and Questionnaires > **Assessments and Eligibility**

 Name ▾	Modified ▾	Modified By ▾	+ Add column ▾
 From Grantee	7/20/2021 12:18 PM	McHazzlett Sanchez, Lanette	
 To Grantee	7/20/2021 12:18 PM	McHazzlett Sanchez, Lanette	

Documents > AEL - [REDACTED] > FY21 > Samples and Questionnaires > Assessments and Eligibility > From Grantee

 Name ▾	Modified ▾	Modified By ▾	+ Add column ▾
 Assessment Samples	8/10/2021 8:34 AM	[REDACTED]	
 Eligibility Enrollment Forms	7/30/2021 9:24 AM	[REDACTED]	
 01_Barrios_Attendance_[REDACTED]	7/27/2021 8:21 AM	[REDACTED]	
 01_Barrios_[REDACTED]	7/23/2021 4:54 PM	[REDACTED]	

Documents > AEL - [REDACTED] > FY21 > Samples and Questionnaires > Assessments and Eligibility > To Grantee

	Name ▾	Modified ▾	Modified By ▾	+ Add column ▾
	Eligibility and Assessment Sample.xlsx	8/9/2021 8:05 AM		
	FY21 [REDACTED] AEL Eligibility & Assessment Questionnaire.docx	7/14/2021 6:20 AM		
	FY21 [REDACTED] AEL Eligibility & Assessment Questionnaire.docx	7/14/2021 11:45 AM		

Key Points of SharePoint

- Once you receive the email, try logging into SharePoint and make sure that you're able to navigate. If you have any issues or concerns address them with your Project Manager.
- SharePoint is an approved and secured database used by TWC to share information with Boards and Grantees. **DO NOT** upload any information with passwords or encryption.
- Any person(s) with access to SharePoint will need to be available during our review to upload information, as needed.
- TWC will not allow monitoring staff to download any application onto our computers. We are not able to access or log into grantee systems. SharePoint is the only approved means to share information.

SharePoint – Cont.

- Once you upload all the information, the team will take account of the items to ensure all the requested information was received.
- If anything is missing, you will receive an email from the Project Manager identifying the missing documents.
 - Make sure that all information scanned is legible.
- During the progression of the review, the Project Manager will also identify any missing or pending documentation via debriefings.

Remote Review vs. On-site Review

- TWC is currently doing a hybrid approach to our reviews. You may have one to two staff onsite for only a few days to conduct PII walk-throughs or Property (if applicable).
- Most of the staff will conduct the Entrance, Interviews, Testing and Exit remotely using Microsoft TEAMS Meetings.

AI Generated Software

- During our TEAMS meetings we request that all meetings avoid using generative AI software, such as Read AI, or any similar platform for logging into our meetings. This is in line with TWC's guidance, which prohibits the use of GenAI technologies for summarizing meeting notes that involve agency-sensitive data.
- If such software is identified during a meeting, we will disconnect the software from the call.

Entrance Conference

- The Project Manager will contact the grantee to confirm a time for the Entrance Conference.
- Since our current reviews are conducted remotely, our Entrance Conference usually take place at 9:00ish AM.
- Grantee will need to provide the names and emails of staff that they would like to have in attendance.
- It is up to the Grantee to determine who will attend the meetings and/or debriefings.

Entrance Conference – Cont.

- The Entrance Conference Agenda will identify the purpose of the review, projected date of the exit, contact information, and areas that we will be testing.
- An Entrance Conference Agenda will be disseminated to all attendees.
- During the meeting as people log on, you will be asked to sign in with:

Name, Title, Name of your organization

(Alma Gonzalez, Program Specialist/Trainer, TWC)

This will be how we obtain attendance for all participants who attended the Entrance.

Points of Contact for Review

- During the Entrance Conference we will obtain contact information (Name, phone number, email) for the staff we will work with for:
 - Eligibility
 - Assessment
 - Financial/Accounting
- Staff will contact their POC to set up meetings
- We will work with staff to obtain, or update processes the grantee uses to determine a client's eligibility, assessment, or processing billing.

Testing

- Testing will commence.
- Throughout the week staff will either email or set up Microsoft TEAMS meetings with the grantee to request information and/or share information.

Testing Tools

- TWC testing tools are available to any grantee to use or incorporate into their monitoring.
- To obtain a copy, you can contact me:
Alma.gonzalez2@twc.texas.gov

Student Services Testing

					Do the TWC Approved Test scores in the file match the scores entered in TEAMS?	All Direct hours are entered in TEAMS and are supported with documentation.	Workforce Training hours are documented and Supported in TEAMS for those participating in an IET.	HSE Voucher recipients meet eligibility criteria.	An Orientation is recorded under Career Services in TEAMS.
	Participant Name (last name, first name)	Last four digits of the SSN	Document Number	Age	A	B	C	D	E
1									
2									
3									
4									
5									

Comprehensive Assessment Testing

Age Verified: 16, 17 and 18 year olds (as applicable).	Is there Proof of Identity in the case file.	Release of Information signed and dated (as applicable).	Completed, signed, and dated enrollment form.	A TWC Approved Test (NRS approved or Alternative Placement) used to determine if eligibility requirements were met prior to first contact hour.	There is an identified MSG for the participant in the ITEC plan.	There is documentation to determine need for support services on file.
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Financial Manual for Grants and Contracts (FMGC)

- TWC contracts are designed to be in compliance with rules and regulations, and the FMGC.

[General Administrative, Cost & Audit Requirements for Grants - Texas Workforce Commission](#)

Disbursement Testing

Reasonable & Necessary	Adequately Documented (Goods & Services Received)	Allocated Correctly	Allowable	Properly Recorded	Micro- Purchase: Appropriate Basis for Award	Small Purchase: Appropriate Basis for Award
A	B	C	D	E	F	G

Debriefing Meetings

- Debriefing Meetings occur as often throughout the review period as the Grantee wants.
- The only days we will not conduct a debriefing is the first day of our review (Monday) and the day of the exit.
- Debriefing Meetings are designed to keep the Grantee abreast of the progress of the review. We will notify management of any potential issues/concerns that we identify or pending information so that management can intervene and provide further information or discuss the issue with staff.

Debriefing Meetings – Cont.

- After the meeting, the Project Manager will send the contact person a copy of the items discussed.
- Grantee will have until the day before the exit to provide any information to clear an issue or concern.

Exit Conference Meeting

- The Exit Conference Meeting will be conducted at the end of the review.
- The Project Manager will send a meeting notification via Microsoft TEAMS to all attendees noted on the Entrance Conference.
- The Exit Conference Report will be sent to the Point of Contact/Management prior to the exit conference.

Exit Conference Report

- The Exit Conference Report will identify one of the following:
 - Management Letter
 - Potential issues noted during the review

Management Letter

- A Management Letter indicates that the grantee has strong internal controls, and no or minor findings which we call Areas of Concern, and no question costs were noted.

Findings/Question Cost

- Not all potential findings noted will have question cost;
- Potential findings on the Exit Conference Agenda may not be on the final report.
- All potential findings noted on the Exit Conference Report will have been discussed with management during the week.

Findings/Question Cost – Cont.

- We will not surprise Grantees with issues.
 - NOTE: If a finding is noted on the Exit Agenda, it may have a potential question cost in the final report.
 - If a finding is not noted in the Exit Conference Agenda, it will not be in the final report.

SRM Quality Assurance Dept.

- Once TWC monitors complete their work papers, the project is reviewed by the SRM Quality Assurance Unit to ensure that all findings noted have sufficient supporting documentation, and accurate citations.

Final Report

- When the final report is generated, it will go through a 48-hour review, so TWC AEL and other departments can review the report before it's released.

Final Report - Cont.

- After the 48-hour review, the report will be released.
- Any findings noted on the final report will be resolved with Audit Resolution section of SRM.

Reporting Process

- The Executive Director (or appropriate representative for non-Board reviews) will be provided a courtesy copy of the final report twenty-four (24) hours prior to its dissemination. If the review results in no findings are identified, a management letter will be issued, and the review closed (40 T.A.C. 802.65(a)).

Resolution Process

- After issuance of the monitoring report, TWC Audit Resolution will issue you an Initial Resolution Notification regarding administrative findings and questioned costs noted in the report. The monitored entity will have 45 calendar days from the issuance of the Initial Resolution Notification to respond. (40 T.A.C. 802.65(b)(1) and (2)).

Administrative Findings

- If administrative findings are resolved based on the responses to the Initial Resolution Notification, a monitoring closure letter is issued (40 T.A.C. 802.65(b)(1)(A)).
- Unresolved administrative findings remain open; TWC's Audit Resolution Department will continue to work with the monitored entity until the next scheduled review to ensure follow-up. (40 T.A.C. 802.65(b)(1)(B)).

Questioned Cost

- If questioned costs are resolved on the responses to the Initial Resolution Notification, a monitoring closure letter is issued. 40 T.A.C. 802.65(b)(2)(A)).
- Unresolved questioned costs will result in the issuance of an Initial Determination (40 T.A.C. 802.65(b)(2)(B)).

Special Requests

- Special requests for any of the following areas can be facilitated by the Subrecipient Monitoring Department with other departments.
 - Monitoring Technical Assistance
 - Fiscal Technical Assistance
 - Program Technical Assistance

Monitoring Technical Assistance

- For monitoring tools, procedures, and training informal or formal:

Alma Gonzalez, Training Coordinator/Monitoring TA

Fiscal Technical Assistance

- For answers to financial questions, you may email TWC Fiscal technical assistance at Fiscal-TA@twc.Texas.gov

Program Technical Assistance

- For answers to any contractual questions, you can always contact your Grant Manager.

Customer Service Survey

- The Subrecipient Monitoring Department strives to continually improve our process and procedures. As such, a Customer Satisfaction Survey will be provided to the Executive Director. We would greatly appreciate your time in completing the survey and returning it to our Division Director.

QUESTIONS AND ANSWERS



BREAK

AEL Data Validation

AEL Letter 04-21

- AEL Letter was issued June 7, 2021, and the purpose of this letter was to provide AEL grantees information and guidance on the data elements and documentation they must gather on an individual prior to enrollment in AEL services and data validation procedures, which grantees must have in place to ensure data integrity.

Federally Required Data Elements for AEL

- Workforce Innovation and Opportunity Act (WIOA) §116 supports performance reporting, which includes common definitions and data elements across WIOA workforce, Vocational Rehabilitation (VR), and AEL Core Programs.
 - Core Programs is AEFLA program, authorized under WIOA Title II and administered by ED.

Collection of Participant Information for Cross-Matching

- Cross-matching involves comparing participant information in one data system with participant information in other state or federal data systems. The data includes widely used federal or state identifiers, such as SSNs, Texas driver's license numbers, and Texas ID numbers, which are not PIRL elements or required for program participation. However, these elements are vital to support performance accountability.

TxCHSE Attainment

- TWC AEL staff verifies TxCHSE attainment by cross-matching TWC participant records against Texas Education Agency (TEA) records using the participant's name, date of birth, and SSN. Complete and accurate collection of these identifiers results in more complete data matching

Employment Attainment

- TWC uses SSNs to validate employment and earnings. In instances when employment information cannot be verified through SSN matching to the unemployment insurance (UI) system (for example, if an individual is self-employed), federal guidance allows for states to capture supplemental wage information.
 - Refer to: 6 OCTAE Program Memo 17-6, "Guidance on the use of Supplemental Wage Information to implement the Performance Accountability Requirements under the Workforce Innovation and Opportunity Act," <https://www2.ed.gov/about/offices/list/ovae/pi/AdultEd/octae-programmemo-17-6.pdf>

Social Security Numbers

- Without an SSN, it is impossible for automated data matching to determine whether a participant has met all the requirements to be considered successful in the exit-based WIOA measures for post-exit employment, post-exit credential attainment, and post-exit enrollment in postsecondary education and training. The grantee must conduct significant follow-up with the participant during the four calendar quarters following exit if the SSN is not captured.

Consequences

- Failure to fully report performance outcomes
 - whether through automated data matching or provider follow-up – puts TWC at risk of failing to meet state and federal performance standards and could subject the agency to sanctions, including reduction of federal funding.

Data Validation Framework

- As part of having a quality validation framework, AEL grantees are required to capture source documentation for 24 joint PIRL data elements.

Data Validation Process

Initial Contact

- The Project Manager or Lead will confirm dates for the review
- An Engagement Letter and Confirmation Page will be sent to the Point of Contact.

Samples

- The Tuesday before the Entrance Conference the TWC PM or Lead will upload the testing samples into SharePoint.
- The PM or Lead will send you an email advising you that the samples are now available.

SharePoint Access Notification

- TWC Staff will provide access to the Point of Contact(s) (POC).
- Always check your spam or junk email for our emails.

Key Points of SharePoint

- Once you receive the email, try logging into SharePoint and make sure that you're able to navigate, any issues or concerns address them with your Project Manager.
- SharePoint is an approved and secured database used by TWC to share information with Boards and Grantees. **DO NOT** upload any information with passwords or encrypted.
- Any person(s) with access to SharePoint will need to be available during our review to upload information, as needed.
- TWC will not allow monitoring staff to download any application onto our computers. We are not able to access or log into grantee system. SharePoint is the only approved means to share information.

Subrecipient Monitoring External Entities Library

+ New
Upload
Edit in grid view
Sync
Add shortcut to OneDrive
Export to Excel
Power Apps
Automate

Documents

Name	Modified	Modified By	+ Add column
AARP Data Validation	11/8/2021 11:14 AM	Gonzalez,Alma I	
AARP Prog_Fiscal Review	11/8/2021 11:16 AM	Gonzalez,Alma I	
AEL - ESC Region 17	5/18/2021 10:54 AM	Trevino,Rene	
AEL - Laredo College	5/18/2021 10:54 AM	Trevino,Rene	
AEL - Paris Junior College	6/21/2021 3:23 PM	McHazlett Sanchez,Lanette	
AEL DV - Brazos Valley COG	9/13/2021 6:57 AM	Gonzalez,Alma I	
AEL DV - Central Texas College	9/13/2021 6:58 AM	Gonzalez,Alma I	
AEL DV - Denton ISD	10/8/2021 6:34 AM	Gonzalez,Alma I	
AEL DV - ESC 17 South Plains & Permian Basin	9/13/2021 6:59 AM	Gonzalez,Alma I	
AEL DV - Gulf Coast	9/13/2021 6:57 AM	Gonzalez,Alma I	
AEL DV - Paris Junior College Northeast & North Central	9/13/2021 7:00 AM	Gonzalez,Alma I	
AEL DV - Tarrant County	9/13/2021 7:01 AM	Gonzalez,Alma I	
AEL DV - Temple College	9/13/2021 6:59 AM	Gonzalez,Alma I	
AEL DV- Odessa	9/13/2021 6:59 AM	Gonzalez,Alma I	
Alamo Community College	6/10/2019 3:56 PM	Banks,James C	

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Testing Samples

Example of Samples

participant_id	first_name	last_name
	Maranda	
	DARLIN	
	JANE	
	Karen	
	ALEJANDRO	
	LEONIE	
	Maria	
	SHERRY	
	FANY	
	IRIDIAN	
	ANA MARIA	
	ELIZABETH	
	MATTHEW	
	TAYLOR	
	RILEY	
	ROBERTO	
	JAVIER	
	HOAN	
	Mia	
	RUBINA	

Example of Sample

AEL All Records Report		
PY 2022 All Data Validation		
Participant ID:		
Name:		
Replacement: False		
Attribute	Value	Comments
Date Attained Recognized Credential (WIOA)	9/2/2020	
Type of Recognized Credential (WIOA)	Occupational Certification	
Date of Most Recent Measurable Skill Gains: Training Milestone (WIOA)	8/6/2020	
Participant ID:		
Name:		
Replacement: False		
Attribute	Value	Comments
Date Attained Recognized Credential (WIOA)	4/22/2021	
Type of Recognized Credential (WIOA)	Occupational Certificate	
Date of Most Recent Measurable Skill Gains: Educational Functioning Level (EFL) (WIOA)	4/22/2021	

Documentation

- Samples should be an average of 20.
- Staff will allow the grantee up to the date of exit to submit any information.
- If documentation is not provided the attribute will fail.

Documents > AEL DV [REDACTED]

📁 Name ▾

📁 Castro, [REDACTED]

📁 De Maldonado, [REDACTED]

📁 Flores, [REDACTED]

📁 Franco, [REDACTED]

📁 Frias, [REDACTED]

📁 Garza De Leon, [REDACTED]

📁 Granillo, [REDACTED]

📁 Hesson-Loffler, [REDACTED]

📁 Montanez, [REDACTED]

📁 Ochoa, [REDACTED]

📁 Sanchez, [REDACTED]

📁 Tavarez, [REDACTED]

📁 Vasquez, [REDACTED]

📁 Wagnon, [REDACTED]



Debriefing

- It will be up to the POC and TWC PM or Lead to determine the frequency of the debriefing, if any.
- As each TWC monitor completes their testing we will debrief the POC of any errors noted and allow staff to provide information the resolve the concerns.

Exit Conference Report

- The Project Manager will inform the grantee when the exit Conference will occur (date/time).
- The Exit Conference Report will be completed by the PM or Lead and will identify any failed attributes or all attributes passed.

Office Work

- Once the team returns from the field or remote review. They will complete the database, print out all supporting documentation and attach it to the testing coversheet
- The information is submitted to management for review and verification.

Final Report

- Once TWC Management has reviewed the documentation a final report will be issued.

Data Validation Results Report

PY2021 Data Validation Results for [REDACTED]



WIOA Adult

Assessment

Field Description	Records Tested	Records Unmet	Unmet Percentage
Type of Recognized Credential (WIOA)	11	0	0%
Date Attained Recognized Credential (WIOA)	11	0	0%
Type of Recognized Credential #2 (WIOA)	8	0	0%
Date Attained Recognized Credential #2 (WIOA)	8	0	0%
SUB TOTALS	38	0	0.00%

Characteristics

Field Description	Records Tested	Records Unmet	Unmet Percentage
Date of Birth (WIOA)	13	0	0%
Employment Status at Program Entry (WIOA)	7	0	0%
Low Income Status at Program Entry (WIOA)	5	4	80%
SUB TOTALS	25	4	16.00%

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Education

Field Description	Records Tested	Records Unmet	Unmet Percentage
Highest Educational Level Completed at Program Entry (WIOA)	12	0	0%
School Status at Program Entry (WIOA)	13	0	0%
SUB TOTALS	25	0	0.00%

Service Tracking

Field Description	Records Tested	Records Unmet	Unmet Percentage
Type of Training Service #1 (WIOA)	13	0	0%
SUB TOTALS	13	0	0.00%

Training

Field Description	Records Tested	Records Unmet	Unmet Percentage
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Data Validation Elements Tested



Type of Training 1, 2, or 3

- Allowable Source Documentation
 - 01 = On the Job Training
 - 02 = Skills Upgrade
 - 03 = Entrepreneurial Training (non-WIOA Yth)
 - 04 = ABE or ESL (contextualized or other) in conjunction with Training
 - 05 = Customized Training
 - 06 = Occupational Skills Training (non-WIOA Yth)

Type of Training - Cont.

- 07 = ABE or ESL (Contextualized or other) NOT in conjunction with training (funded by TAA 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

Enrolled Postsecondary Education in Period of Performance

- Allowable Source Documentation:
 - Copy of enrollment form
 - File documentation with notes from program staff
 - School Records
 - Transcripts or Report Card

Date Enrolled in Post Exit Education or Training Program Leading to a Recognized Postsecondary credential

- Allowable Source Documentation
 - Copy of enrollment record
 - File documentation with notes from program staff
 - School records
 - Transcript or report card

Type of Recognized Credential

- Acceptable Source Documents
 - Secondary School Diploma/or equivalent
 - AA or AS Diploma/Degree
 - BA or BS Diploma/Degree
 - Occupational Licensure
 - Occupational Certificate
 - Other Recognized Diploma, Degree, or Certificate

Date Attained Recognized Credential

- Acceptable Source Documentation:
 - Copy of credential
 - Copy of school record
 - Case note documenting information obtained from education or training provider

Date of Most Recent Measurable Skills Gains: Educational Functioning Level (EFL)

- Acceptable Source Documentation:
 - Pre- and post-test results measuring EFL gains
 - Postsecondary education or training enrollment determined through data match, survey documentation, or program notes.

Date of Most Recent Measurable Skills Gains: Secondary Transcript/Report Card

- Acceptable Source Documentation
 - Transcript
 - Report Card

Date of Most Recent Measurable Skills Gains: Training Milestone

- Acceptable Source Documentation:
 - OJT or Registered Apprenticeship
 - Contract and/or evaluation from employer or training provider

Date of Most Recent Measurable Skills Gains: Skills Progression

- Acceptable Source Documentation:
 - Results of knowledge-based exam or certificate of completion
 - Documentation demonstrating progress in attaining technical or occupational skills
 - Documentation of training provider or employer
 - Copy of credential that is required for a particular occupation and only is earned after the passage of an exam.

Date Enrolled During Program Participation in Education or Training Program Leading to a Recognized Credential or Employment

- Acceptable Source Documentation
 - Copy of enrollment record
 - File documentation with notes from program staff
 - School records
 - Transcript or report card

Cross-Matched Elements

Element	Data Element Name
1600,1602, 1604, 1606	Employed in 1st, 2 nd , 3 rd , 4 th Quarter After Exit Quarter
1601,1603, 1605, 1607	Type of Employment Match 1st, 2 nd , 3 rd , 4 th Quarter After Exit Quarter
1703,1704, 1705 1706	Wages 1 st , 2 nd , 3 rd , and 4 th Quarter After Exit Quarter

