

# WIOA Fiscal Policies

Priority Level	Policy Name	(WIA) Policy Number	Notes	Status May 2018	Status June 2018
-	Funding Allocations for WIA Title I Adult and Youth Programs	OWIB Policy	Required in WIOA to be an OWIB Policy- Current one incorrect	Done and Posted	Done and Posted
-	Dislocated Worker Funding Formula	OWIB Policy	Required in WIOA to be an OWIB Policy- Current one incorrect	Done and Posted	Done and Posted
1	Transfer of Funds between Adult and Dislocated Worker Grants	589-20.5	Procedures on the transfer of funds between the Adult and DLW Programs	Done and Posted	Done and Posted
2	WIA Financial Reporting	589-10.9	Mandatory financial reporting instructions for LWB's ( <i>need to add new elements and definitions that apply to the LWB's</i> )	Posted - Comments rec'd from WDB Finance Managers - OWI Review	Comments incorporated - revised version posted
3	Equipment and Supplies	589-10.12	Requirements for the management and inventory of equipment and supplies	HECC Fiscal review copies received by OWI for finalization	Review copy posted and distributed to Finance Managers and POCs
4	Procurement	589-10.11	Guidance on the procurement of goods and services	HECC Fiscal review copies received by OWI for finalization	HECC Fiscal review copies received by OWI for finalization
5	Program Income	589-10.5	Guidance for LWB's on earning, expenditure, and reporting of program Income	HECC Fiscal review copies received by OWI for finalization	Review copy posted and distributed to Finance Managers and POCs
6	Allocations- Recapture and Re-Allotment of Local Area Funds	589-10.1	Reallocation and Re-capture of local area allocations	Draft version of policy sent to HECC fiscal for questions and finalization	Draft version of policy sent to HECC fiscal for questions and finalization
7	Cash Management	589-10.4	Requirements for grant payments and	HECC Fiscal review copies received by	Review copy posted and distributed to

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			procedures for the CCWD draw system	OWI for finalization	Finance Managers and POCs
8	Financial Management Standards	589-10.16	Minimum requirements of subrecipient of WIA Funds	Draft version of policy sent to HECC fiscal for questions and finalization	Draft version of policy sent to HECC fiscal for questions and finalization
9	WIA Title I Monitoring System	589-40.1	Establishes state's monitoring system to comply with WIA Requirements	OWI staff	OWI staff
10	State Review of Sub Recipient Level Grievance	589-40.3	Policy and procedure for appealing a grievance or complaint to the state	Initial draft completed - OWI	Initial draft completed - OWI
11	Records Retention	589-40.4	Guidance on records retention for LWB's	Draft version of policy sent to HECC fiscal for questions and finalization	Draft version of policy sent to HECC fiscal for questions and finalization
12	Subrecipient Monitoring	589-40.6	Guidance on annual subrecipient and contractor monitoring		
13	Implementation of National Emergency Grant and Additional Assistance Project/GAP Fill	589-30.13	Guidance for implementation of NEG's and Gap Fill Funds		
14	WIA Cost Principles and Allowable Costs	589-10.6	General cost principles and allowable costs	Draft version of policy sent to HECC fiscal for questions and finalization	Draft version of policy sent to HECC fiscal for questions and finalization

## Other Identified Topics:

	Policy Name	(WIA) Policy Number	Notes	Status
?	WIA Transmittal System	589-00.0	Deals with how to disseminate policies, procedures, OARs, DOL TEG-L-TENS and General Material	General info is posted at: <a href="https://www.wioainoregon.org/policies-and-guidance.html">https://www.wioainoregon.org/policies-and-guidance.html</a> (No additional policy need identified under WIOA)

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	Policy Name	(WIA) Policy Number	Notes	Status
?	On-the-Job Training Contract Reimbursement Documentation	589-10.19	Guidance on the OJT policies and procedures as well as the acceptable documentation needed	DOL/Workforce GPS has recently released guidance on OJTs. Staff feel there may be a need for State-level differentiation/guidance between federally-funded and general funded OJTs.
?	WIA Title 1B Employer Workforce Training Fund	589-20.4	Guidance on WRT Funds to the LWB's	Currently we do not distribute WRT Funds. Proposed changes to OAR 589-020-0225, regarding the EWTF, can be reviewed <a href="#">here</a> .
?	Distribution of WIA Rapid Response and Additional Assistance Funds	589-20.10	Procedures regarding the distribution and use of WIA Rapid Response and Additional Assistance Funds	TEGL 19-16 encourages states to establish policies or procedures. Current Oregon procedure mirrors the DW Grant application process and forms. More state-level guidance can be developed, according to need.
?	Incident Reporting, Investigation and Resolution	589-40.2	Policy and Procedures for prompt resolution of fraud, misapplication of funds, gross mismanagement, employee/participant misconduct, or other criminal activity	OWI could not find a regulatory citation that indicated that "the state" needed to have an incident reporting process or policy. 683.620 requires that complaints and reports of criminal fraud and abuse be reported directly to DOL OIG via DOL's Incident Reporting System.  The state <i>is</i> required to have an established grievance procedure (683.600) – see #10.
?	WIA 1B Data Collection, Transmission and Reconciliation	589-50.1	Guidance on data collection and validation	DOL has suspend data validation until further notice.
IP	Close-out Policy			In Process

**Legend:**

**Green** = posted

**Yellow** = an OWI internal process is occurring

**Red** = waiting on external/HECC Fiscal process

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## **Fiscal Policy Process:**

- (1) Need for Fiscal policy or guidance is identified.
  
- (2) Draft Fiscal policy or guidance is developed by state staff.
  - a) OWI Program staff research and draft policy.
  - b) Policy sent to HECC Fiscal for review and feedback.
  - c) OWI staff review HECC Fiscal changes and finalize draft.
  
- (3) Draft Fiscal policy or guidance is posted online for public review and comment. Public comment is received for approximately 30 days. Review period may be shorter or longer depending on business need.
  
- (4) Public comment is evaluated by state staff and any required changes to the draft Fiscal policy or guidance are incorporated.
  
- (5) Finalized Fiscal policy goes to OWI Director and HECC Operations for co-signing.
  
- (6) Approved Fiscal policy or guidance becomes effective and is posted online and distributed to the workforce system as appropriate.

**(NOTE:** In cases where the Office of Workforce Investments feels that time is of the essence, a signed/authorized review copy of the policy may be posted initially, effectively combining steps 3-6, above. Even after a policy is finalized, subsequent public comments will be considered for future revisions.)