

Compliance Rubric

Our goal at DEED is to help our partners ensure compliance, be stronger, and continue to make a positive impact on the employment needs of Minnesotans. The purpose of the Employment and Training Program (ETP) compliance rubric is to provide examples and guidelines of when a grant issue may result in a finding during a monitoring visit. Corrective action plans are authorized as a path to correcting a grant violation.

Grantees may request technical assistance from the Employment and Training (ETP) Division at any time to help address compliance issues or for continuous improvement. The Monitoring Unit's vision is to provide consistent oversight and customize guidance to grantee partners to ensure compliance and to achieve successful outcomes for all.

Examples of Non-Compliance (This is not an exhaustive list.)

AREA OF NON- COMPLIANCE	CORRECTIVE ACTION	SANCTION PROCEDURE
Non-existent, incomplete, or inadequate Grantee monitoring of subrecipients/subawards in accordance with 20 CFR 683.410 , 2 CFR part 200 , MN OGM Policy 08-10 .	<ul style="list-style-type: none"> • Seek technical assistance to address grant deficiency. • Modification of policies, practices, and procedures which have been found to be non-compliant as specified by State and/or Federal requirements. 	<ul style="list-style-type: none"> • Warning of non-compliance. • Disallowance of costs in activities, or services. • Could lead to a reduction in funding. • Could lead to the elimination of funding.
Lack of internal fiscal controls, resulting in the mixing of varied grant funds. 2 CFR 200.302 (Fiscal Management) and 2 CFR 200.303 (Internal Controls).	<ul style="list-style-type: none"> • Seek technical assistance to address grant deficiency. • Modification of policies, practices, and procedures which have been found to be non-compliant as specified by State and/or Federal requirements. 	<ul style="list-style-type: none"> • Warning of non-compliance. • Disallowance of costs in activities, or services. • Could lead to a reduction in funding. • Could lead to the elimination of funding.

AREA OF NON- COMPLIANCE	CORRECTIVE ACTION	SANCTION PROCEDURE
<p>Administrative Costs exceed limitations per grant requirements.</p> <p>20 CFR 683.205(a) (State Formula Grants), 20 CFR 641.867 (SCSEP), 20 CFR 683.205 (b), and DEED Grant Award.</p>	<p>Modification of policies, practices, and procedures which have been found to be non-compliant as specified by State and/or Federal requirements.</p>	<ul style="list-style-type: none"> • Disallowance of costs in activities, or services. • Could lead to a reduction in funding. • Could lead to the elimination of funding.
<p>Reimbursement for Grantee staff bonuses.</p> <p>2 CFR 200.430 (Compensation)</p>	<p>Modification of policies, practices, and procedures which have been found to be non-compliant as specified by State and/or Federal requirements.</p>	<ul style="list-style-type: none"> • Disallowance of costs in activities, or services. • Could lead to a reduction in funding. • Could lead to the elimination of funding
<p>Charges billed to the grant, prior to the execution start-date of the grant.</p> <p>Refer to your DEED Grant Award</p>	<p>Modification of policies, practices, and procedures which have been found to be non-compliant as specified by State and/or Federal requirements.</p>	<ul style="list-style-type: none"> • Disallowance of costs in activities, or services. • Could lead to a reduction in funding. • Could lead to the elimination of funding

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<p>Lack of internal controls with the management and distribution of gift cards to participants.</p> <p>2 CFR Part 200 (Internal Controls), 20 CFR 681.640 (Youth Incentives), and 2 CFR 200.438 (Unallowable Entertainment Costs).</p>	<p>Modification of policies, practices, and procedures which have been found to be non-compliant as specified by State and/or Federal requirements.</p>	<ul style="list-style-type: none"> • Disallowance of costs in activities, or services. • Could lead to a reduction in funding. • Could lead to the elimination of funding
<p>Case notes that have medical or health information that are not marked “Private” in Workforce One (WF1).</p> <p>Minnesota’s Data Practices Act (Minnesota Statutes, Chapter 13)</p>	<p>Modification of policies, practices, and procedures which have been found to be non-compliant as specified by State and/or Federal requirements.</p>	<ul style="list-style-type: none"> • Warning of non-compliance. • Could lead to a reduction in funding. • Could lead to elimination of funding.
<p>Ineligible participant enrolled and receiving program services.</p>	<ul style="list-style-type: none"> • Disallowance of costs • Modification of policies, practices, and procedures which have been found to be non-compliant as specified by State and/or Federal requirements. 	<ul style="list-style-type: none"> • Warning of non-compliance. • Disallowance of costs in activities, or services. • Could lead to a reduction in funding. • Could lead to the elimination of funding.

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<p>Program services provided to an individual that occurred prior to enrollment.</p>	<ul style="list-style-type: none"> • Disallowance of costs • Modification of policies, practices, and procedures which have been found to be non-compliant as specified by State and/or Federal requirements. 	<ul style="list-style-type: none"> • Warning of non-compliance. • Disallowance of costs in activities, or services. • Could lead to a reduction in funding. • Could lead to the elimination of funding.
<p>Missing signed “Equal Opportunity is the Law/How We Use Your Personal Information” forms (paper or electronic) within the participant files.</p> <p>DEED Equal Opportunity Policy</p>	<p>Modification of policies, practices, and procedures which have been found to be non-compliant as specified by State and/or Federal requirements.</p>	<ul style="list-style-type: none"> • Warning of non-compliance. • Disallowance of costs in activities, or services. • Could lead to a reduction in funding. • Could lead to the elimination of funding.
<p>Lack of Individual Employment Plans (IEP) or Individual Service Strategy (ISS) in the participant file.</p> <p>DEED Individual Employment Plan/Individual Service Strategy Policy</p>	<p>Modification of policies, practices, and procedures which have been found to be non-compliant as specified by State and/or Federal requirements.</p>	<ul style="list-style-type: none"> • Warning of non-compliance. • Disallowance of costs in activities, or services. • Could lead to a reduction in funding. • Could lead to the elimination of funding.

AREA OF NON- COMPLIANCE	CORRECTIVE ACTION	SANCTION PROCEDURE
<p>An expenditure paid using an incorrect cost category.</p>	<p>Modification of policies, practices, and procedures which have been found to be non-compliant as specified by State and/or Federal requirements.</p>	<ul style="list-style-type: none"> • Warning of non-compliance. • Disallowance of costs in activities, or services. • Could lead to a reduction in funding.
<p>An advance cash grantee does not expend their cash balances within two to four business days.</p> <p>2 CFR 200.305 (Federal Payment), 20 CFR 683.200 (Fiscal Rules of WIOA Funds), and DEED Policy PPM523</p>	<p>Modification of policies, practices, and procedures which have been found to be non-compliant as specified by State and/or Federal requirements.</p>	<ul style="list-style-type: none"> • Warning of non-compliance. • Move grantee from advance cash to cost reimbursement. • Disallowance of costs. • Could lead to a reduction in funding.