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Agreement # TC-26470-14-60-A-29

Dear Pamela,

The Junior College District of Metropolitan Kansas City, MO (Metropolitan Community College), as the lead for the consortium is providing the following response to the Monitoring Report:

Finding #1 – Scope of Work Not Fully Implemented  
Core Objective: 4.11 Operating Systems

The reviewers examined forty-five participant files at The Junior College District of Metropolitan Kansas City, Missouri, (MCC), North Central Missouri College (NCMC), and State Fair Community College (SFCC) for evidence of incorporating soft skills training, providing interview assistance, and resume reviews to participants as indicated in the grantee’s SOW (p.31 of 45). All of the participant files contain no evidence of participants receiving soft skills training, interview assistance, or resume reviews. Interviews with grant staff at the three colleges indicated they were unaware of the requirements to incorporate these activities as a part of the participant’s career path. All program staff stated these activities will be implemented in all future career advising activities. Soft skills training, interview assistance, and resume reviews are all key factors in ensuring participants have the skills necessary to obtain employment. The lack thereof of these activities incorporated in the participant’s pathway may significant effect the performance outcomes in employment and retention after program study completion. Failure to meet the terms of the grant agreement puts the grant in jeopardy. Federal regulations, at 29 CFR 95.25(b), require a grantee to report deviations from program plans.

Applicable Citation(s):  
Grant agreement (Attachment D—Statement of Work)  
29 CFR 95.25 Revision of budget and program plans.
**Required Action:** The Junior College District of Metropolitan Kansas City, Missouri, North Central Missouri College, and State Fair Community College must develop a corrective action plan that addresses incorporating soft skills training as well as providing interview assistance and resume reviews to participants as indicated in the grantee’s SOW. The plan must contain specific and measurable steps the each college will take to ensure the activities are implemented and associated outcome goals are achieved. A copy of the corrective action plan must be transmitted to the Regional Office as part of the response to this finding. Alternatively, the grantee may seek a modification to the grant agreement via request letter to the Regional Office. Submission of a statement of work modification does not guarantee relief from providing these services as described in the grant agreement. The discretion to modify the approved statement of work resides with the awarding grant officer in the National Office.

**Grantee Response:** We do not concur with this finding. Evidence was provided during the monitoring review in support of core services being rendered to each student and processes are in place. The grant SOW (page 31) commits that each college will provide these services and ensures the processes are in place. The evidence provided during this monitoring visit included each student advisor, navigator, grant lead, and grant staff members’ interviews describing how the services were being delivered, which may vary between institutions. It is our understanding that each college has the opportunity to provide these services in various ways, so long as there is clear documentation as to how each participant was served. In the finding, it suggests that a written procedure documenting the manner in which these processes would be delivered is required as well as specific recommendations on how to document the services via sign-in sheets. A written procedure and student sign-in sheets for these services was not a requirement of the grant SOW as a specific grant deliverable. Given that, each college has approved providing these services in various ways as follows:

- All participants are required to be registered with jobs.mo.gov as part of the Missouri Workforce System. Each college has formal signed Memorandum of Understandings (MOUs) with each of their Workforce Development Boards which provides the employment service processes and roles for each partner, formalized referral and reverse referrals, job placements, etc. shared services. Attached is an MOU from Metropolitan Community College (see F1-A) that serves as the College’s and WIB’s plan for rendering these types of services by each partner and by registering with the state system, the participants have access to the services provided by the local WIBs.

- The use of the soft skill assessment tool (Career Ready 101) is documented in the student files either at the WIB location or the college or both. This varies based on each respective MOU or college approach.

- Some colleges embed this training within the program of studies’ curriculum and some in formal portal, intake module workshops.

- All participants do, at some time in their academic pathway, take the National Career Readiness Certification assessment (WorkKeys) to further support soft skills are being addressed.

- Each college has been provided professional development regarding the Art of Case Notes, which was approved by the former DOL Federal Project Officer and highlights the manner to document areas of concern regarding soft skills as part of the student case files which is done by all of the institutions.
• Students at all of the colleges are provided a real time online web-based exit survey upon completion to validate the services rendered at each college. Within the survey students are self-assessing the attainment of not only soft skills, but also employment placement, technical industry skills, and others (see attachment F1-B) as a result of the program.

The consortium does not believe a grant modification is necessary to request relief from providing these core services as outlined in the grant SOW given each institution is providing these services and plans to continue to do so. The consortium believes it demonstrated how it complies with the grant SOW deliverables during the monitoring visit; however, as the consortium lead, MCC will request each institution document their approach to providing these services to the participants and incorporate individual documentation into each student case file.

**Individual College Responses:**

**North Central College:** Grant staff was aware of the importance of incorporating soft skills training, interview assistance, and resume reviews to program participants. Those specific topics and others are included in a specific college course required for a majority of our participants. For those participants not required to take the college course as part of their program of study, future dates will be scheduled with the academic instructor to allow for time to discuss these specific topics in grant related courses. Attendance sheets will be signed and placed in participant files.

Additional career workshops dates have also been scheduled for the fall and will be for future semesters going forward. The specific topics listed above will be covered and participants will sign documentation demonstrating their attendance. These workshops will allow for supplementary and reinforcement instruction of the topics as well as allow for make-up days for participants. Evidence of the fall career workshops is attached (Career Workshop Flyer F1-C, Career Workshop Attendance Sheet F1-D, Career Topics Checkoff Sheet F1-E).

**Metropolitan Community College:** The MCC MoSTEM grant incorporates a twenty-hour “Employability Soft Skills” component within each cohort (see attachment F1-F). Class rosters, with attendance, are maintained which ties soft skills training to each individual and to document completion. In addition to cultivating soft skills, students create resumes, cover letters, practice interviewing skills and write thank you letters as part of this training. MCC utilizes lesson plans created with employer feedback, which include hands-on student activities.

The most sought after and popular soft skills, noted by our employers, include problem solving, thinking inventively, the ability to compromise, negotiate and persuade, the ability to mentor, teach, communicate, network, and perform public speaking. Other skills include the ability to follow directions; understanding what needs to be done and doing it, having good manners and being courteous, seeking out opportunities for continuing education, doing a job thoroughly and correctly, and having the ability to admit and correct mistakes. Training for these soft skills are embedded within the MCC MA curriculum (see attachment F1-F).

MCC’s CSIS Supplemental Instruction (SI) shares with students how to transfer technical skills learned in the classroom to the real life work experience. The SI course leads to a credential which verifies employability skills.
**State Fair Community College**: State Fair Community College has provided soft skills training to grant participants through Career Services, the participants’ Navigator, and in the classroom by their instructors. Attached are copies of two PowerPoint presentations that career services uses with the students in the classroom. They are also available online for student references (see Effective Interviewing F1-G, Smart Resumes F1-H). In the finding, it was stated that we were not aware that we needed to provide this training. We believe that it should have stated that we were not aware that evidence of the training should be provided in each student file. Signoff sheets will be used in the future.

**Finding #2 – No PII Policy and Procedures**

Core Objective: 4.2 Participant Files

The reviewers interviewed program staff at MCC, NCMC, and SFCC regarding compliance with safeguarding data including Personally Identifiable Information (PII) contained in participant files. All three colleges have policies on information-sharing relative to the TAACCCT National Evaluation Plan, as described in Condition 2 of Award and Section V.D.1 of the Solicitation for Grant Applications (p 77), which is incorporated into the grant agreement.

The reviewers learned that NCMC and SFCC have forms or procedures instructing staff how to handle PII specifically related to TAACCCT participants. However, the reviewers also learned that MCC does not have any policies or procedures instructing staff how to handle PII related to TAACCCT participants. The grant agreement requires safeguarding of PII in the Condition of Award, Item 9.c., and Solicitation for Grant Application (SGA, p 10) which is incorporated into the grant agreement. PII policy guidance is also found in Training and Employment Guidance Letter (TEGL) 39-11, issued June 28, 2012. It requires that grantees must have policies and procedures in place for grantee employees and other personnel, before their persons are granted access to PII. Such staff must acknowledge their understanding of the confidential nature of the data and the safeguards with which they must comply in handling such data. The grantee must take the steps necessary to ensure the privacy of all PII obtained from participants and/or other individuals and to protect such information from unauthorized disclosure.

**Applicable Citation(s):**
Grant agreement  
Solicitation for Grant Applications, SGA/DFA PY-13-10  
TEGL 39-11

**Required Action**: MCC must develop written policy and procedures for employees handling personally identifiable information of TAACCCT participants. A copy of the policies and procedures must be transmitted to the Regional Office as part of the grantee’s response to this finding.

**Grantee Response**: We concur with this finding and are aware of the written policies and procedures to safeguard our student records may need to be more specific and we need to document that employees have been trained on these policies and procedures.

All of the colleges’ student records and grant participant records are currently meeting FERPA compliance. These policies can more clearly state that students’ “Personally Identifiable Information” is to be protected and employees trained accordingly. It will take each college some time to develop, review and adopt these clarifications as well as additional time to implement personnel training and
certifications of said new policy. Additionally, MCCA is providing technical assistance to college IT Departments to address cyber security threats to PII as shared at a June 16, 2016 meeting with a presentation from the State Auditor (see attachment F2-A). Arrangements have been made to bring in national speakers to present at MCCA’s upcoming annual convention in November to aid in providing all the colleges’ quality professional development in support of cyber security issues and policies.

Meanwhile, the Grant Consortium will prepare a draft policy for the MoWINs Consortium Executive Advisory Committee to consider at their next meeting, in August 2016, to share with all consortium colleges’ grant staff members who work with grant participant student records.

**Individual College Response:**

**Metropolitan Community College:** MCC has a policy that addresses the handling of both student and employee confidential information. This policy is more general and does not specifically call out student “personally identifiable information” and therefore, this policy will be reviewed to be more specific and comprehensive. MCC’s Grants Finance & Compliance Department has developed a Procedure for Protecting Personally Identifiable Information (see attachment F2-B) and a Non-Disclosure Agreement to Protect PII for all grant employees to sign (see attachment F2-C) that will be implemented immediately for all TAACCCCT grant staff/faculty (see signed copy-attachment F2-D) and for all staff/faculty working on grant funded programs.

**Finding #3—Promotional Materials Lack Disclaimer**
Core Objective: 4.1 Operating Systems

The reviewers examined TAACCCCT brochures of MCC, NCMC, and SFCC regarding compliance with public announcements when issuing statements, press releases, and other documents describing project or programs funded in whole or part with federal funds. All awardees receiving federal funds, shall clearly state the percentage of the total cost of the program and the dollar amount awarded. Although all three colleges’ brochures contain a disclaimer stating the project is funded by the U.S. Department of Labor, the disclaimer does not identify 1) the percentage of the total cost of the program and project financed with Federal money, or 2) the dollar amount of Federal funds for the project or program. This disclaimer is a requirement outlined in the grant agreement under Grant Terms and Conditions of the Administrative Requirements, item 9.1.

**Applicable Citation(s):**
Grant agreement (Grant Terms and Conditions)

**Required Action:** Future promotional materials developed with grant funds must contain the funding disclaimer. To resolve this finding, the grantee must transmit to the Regional Office revised copies of promotional materials demonstrating compliance of the proper funding disclaimer.

**Grantee Response:** We concur with this finding. While all consortium members have been using a disclaimer, it did not note the percentage funded by TAACCCCT and the total award. New disclaimer guidance was developed as required and sent to all consortium members on July 5, 2016. (See MSW Required Disclaimer F3-A and copies of documents with revised disclaimer from MCC F3-B, NCMC F3-C, and SFCC F3-D.) In addition, the MSW Required Disclaimer has been posted to the MCCA MoWINs Website at [http://mccatoday.org/mohealthwins/technicalassistance/educationoutreach/](http://mccatoday.org/mohealthwins/technicalassistance/educationoutreach/).
Finding #4 – Veterans Priority of Service Not Implemented
Core Objective: 4.1 Operating Systems

The reviewers examined participant eligibility determination and orientation procedures of MCC, NCMC, and SFCC. The reviewer learned that NCMC and SFCC have no policies and procedures to implement the veteran’s preference requirements. The reviewers interviewed program staff of the colleges and confirmed that establishing veteran status and preference are not part of the intake and eligibility determination process at NCMC and SFCC, because staff were unaware of the requirement. Item 11b, under the Grant Terms and Conditions of Public Policy of the grant agreement states grantees are to provide priority of service to veterans, and spouses of certain veterans, for the receipt of employment, training, and placement services in any job training program directly funded, in whole or in part, by DOL, consistent with the Jobs for Veterans Act (Pub.L. 107-288). Veterans priority of service procedures are outlined in TEGL 10-09, issued November 10, 2009.

Applicable Citation(s):
Grant agreement (Grant Terms and Conditions)
Jobs For Veterans Act
TEGL 10-09

Required Action: NCMC and SFCC must fully implement the veterans’ priority of service provisions applicable to the grant. Evidence of this implementation, in the form of a written procedure for veterans’ priority of service, must be transmitted to the Regional Office as part of the response to this finding. In addition, the grantee must conduct an audit of all active participants to determine the priority of service status of each individual. Covered individuals must be notified of their status and provided with the appropriate priority of service as necessary. A report of the audit results and evidence of participant notification must be transmitted to the Regional Office as part of the response to this finding.

Grantee Response: We do not concur with this finding. The monitoring report concludes that NCMC and SFCC have no policies and procedures to implement the veteran’s preference requirements. In the attached Grant Participant Eligibility Tool (F4-A), MoSTEMWINs leadership provides clear guidance to all consortium colleges on the Veterans Priority of Service. In addition to this written policy guidance, yearly training is provided to MoSTEMWINs grant staff by the Missouri Division of Workforce Development Veterans Program Manager. Training for 2016 is scheduled on August 5th at the MoSTEM Retreat and will be presented by USDOL’s William Benzel.

In addition to Priority of Service, Veterans and Eligible Spouses comprise an eligibility category under MoSTEMWINs. This means that even if a Veteran or Eligible Spouse does not meet the other eligibility requirements of being TAA, unemployed, underemployed or low-skilled, they may automatically be enrolled into a MoSTEMWINs program based on the merit of their Veteran or Eligible Spouse status. Because of this, MoSTEMWINs Leadership provides further guidance to consortium colleges by providing a sample registration form (see attachment F4-B) that most colleges adapt and use and that directly ask if a participant is a Veteran or a Veteran Spouse. MoSTEMWINs Leadership has also issued Participant Documentation Guidance (see attachment F4-C) that lists the eligible documentation sources to verify Veteran and Eligible Spouse status pursuant to TEGL 10-01.
All of the consortium colleges have implemented Veterans Priority of Service policies and provided written guidance and training to employees. Given that, we believe we are in compliance with the grant requirements, but the responses noted in the employee interviews does indicate the need to continue training and document our efforts with each participant as part of the student file.

To ensure proper documentation, a notification of veterans’ priority status for participant files will be implemented. Attached is a draft form (see F4-E) that will be vetted by all consortium colleges and then proposed to the MoWiNS Executive Advisory Committee for adoption. Upon adoption, this form will be required and included in all student files.

Finally, all colleges also identify and track participants who are Veterans or Eligible Spouses. Attached is the requested audit (see F4-D) of all MoSTEMWiNS participants receiving Veterans Priority of Service.

**Individual College Responses:**

**North Central Missouri College:** Veteran status is a question asked on our initial participant registration form. Three of our forty-two participants to date have indicated veteran’s status. All declared participants have received service. We have reviewed TEGL 10-09 and developed a new document that will increase awareness of veteran’s priority of service. This document will be shared with current and future participants with a signed version placed in the file (see attachment F4-F).

**State Fair Community College:** SFCC was using the Priority Population Source Verification Form (see attachment F4-G) to identify veterans, and it did not outline and describe the veterans’ priority. A new Veteran’s Priority of Service Form (see attachment F4-H) will be filled out by each participant and placed in their file. The form will give each participant the opportunity to register as a veteran or the spouse of a veteran, and will explain the veterans’ priority for employment, training and placement services in the job training programs directly funded, in whole or in part, by DOL, this is consistent with the Jobs for Veterans Act. This will ensure veterans and nonveterans understand the terms and conditions of the Jobs for Veterans Act. We have modified our Student Folder Checklist (see attachment F4-I) to include the Veterans Priority of Service Policy requirement.

**Finding #5—No Review of SAM.gov**

Core Objective: 2.7 Procurement

The reviewers examined NCMC’s and SFCC’s procurement policies and learned they lack a review of SAM.gov to ensure that sub-awardees and contractors for goods and services have not been debarred or suspended from receiving Federal funds. Review of the procurement supporting documents for goods and services purchased also verified that NCMC and SFCC are not performing this action during their procurement processes.

Any procurement action performed by a grantee of Federal funds must perform its due diligence and ensure that it is not doing business with any sub-awards and contracts that have been “debarred, suspended, or otherwise excluded from or ineligible for participant in Federal assistance programs or activities.” All recipients of Federal funds must use SAM.gov to determine whether a grantee should enter into a valid transaction with a sub-awardee and/or contractor.

**Applicable Citation(s):**
29 CFR 95.13 Debarment and suspension.

**Required Action:** The lead consortium college must provide copies of all of the consortium members’ updated procurement policy and procedures to the Regional Office. The procurement policies and procedures must include a review of SAM.gov for all procurement actions.

**Grantee Response:** We concur that North Central Missouri College’s (NCMC) and State Fair Community College’s (SFCC) procurement policies along with other consortium colleges lack a review of SAM.gov in their written policies and procedures. We have requested from all consortium colleges their written procedures, documenting the review of SAM.gov in compliance with 29 CFR 95.13. As the consortium lead college, we performed a sample review of NCMC’s and SFCC’s vendor purchases and found no debarment and suspension compliance issues in our tests.

We understand that as a condition of receiving federal funds of any type, the requirement of ensuring all goods and services have not been procured with entities that have been debarred applies to all purchases not just those related to the grant. We were unaware of the need to maintain the specific documentation in the project files related to this grant.

In collaboration with NCMC’s CFO, we have recommended to the consortium colleges the following policy/procedural change be made to ensure verification and documentation of eligibility for payments to sub-awards, contracts and vendors based on information available on SAM.gov and maintain the information in the supporting documentation file.

“All activities paid with federal funds require a review of eligibility on SAM.gov. The Title of the Responsible Person will review SAM.gov to ensure that sub-awardees and contractors for goods and services have not been debarred or suspended from receiving Federal funds (29 CFR 95.13 Debarment and suspension also, UG 200.212). The SAM.gov verification form will be downloaded and saved on file as supporting documentation.”

We will continue to monitor receipt of all updated policies or procedures, and will forward them to the Regional Office as requested. Attached are NCMC (see F5-A) and SFCC (see F5-B) policies and procedures.

**Finding #6 –Lack of Accrual Reporting**
**Core Objective:** 3.7 Financial Reporting

The reviewers examined the ETA 9130 Financial Report and learned the lead consortium college is underreporting accruals on the grant’s quarterly financial status report by not collecting and reporting the payroll accrual from the consortium on a timely basis. To ensure that expenditures are accurate, current and there is complete disclosure, DOL-ETA requires reporting on an accruals basis on the quarterly financial status report and that accruals should be reported timely.

In order to gather all grant expenditure information from the entire consortium, MCC, the lead consortium, utilizes a reimbursement form to assist them in completing the quarterly financial status report (ETA 9130 form). The “Consortium Sub-grantee Reimbursement Request” form is used to not only report the consortium member’s grant expenditures but also leveraged resources, indirect costs charged to the grant, and accruals.
During the review of a consortium member, the reviewers identified that SFCC did not report its payroll accrual for the quarter ending March 31, 2016. The Project Director at SFCC signed off on the quarterly request form acknowledging that all expenses, including accruals are properly supported and is accurately reflected on the request form. The Project Director signed off on the form without consulting a SFCC accountant about any potential payroll accruals to be reported. As the lead consortium college, MCC is responsible to ensure that all individuals certifying a financial report are educated about financial terms and concepts such as accruals.

Applicable Citation(s):
29 CFR 95.21(b)(1) Standards for financial management systems.

Required Action: MCC must ensure that it reporting all of the grant’s accruals and expenditures on a timely manner. It must update its latest ETA 9130 financial status report to ensure that all accruals are report. In addition, MCC must educate all consortium staff assigned to completing the quarterly reimbursement forms about financial and accounting terms. To evidence this, MCC must provide to the Regional Office, a copy of an updated financial reporting policy and procedure and evidence that this action has been communicated to all consortium members.

Grantee Response: We concur that SFCC did not report its payroll accrual for the quarter ending 3-31-2016. MCC has written and shared a MoWINs Financial Reporting Policy (see attached policy F6-A and notification email F6-B) that requires accrual information to be reported from the consortium colleges (sub-recipients) to the lead college (prime awardee). In the case cited by the review, there was an error made by the submitting institution.

To ensure this does not reoccur, we have requested a payroll schedule from all of the consortium colleges in order to be aware of potential missed payroll expenses on submitted reports to have them corrected prior to being finalized. Many of the consortium colleges who have a payroll period ending dates on the last day of the month and the payroll expenses are posted into their general ledger they have been reporting zero accrued expenditures accurately for payroll. To highlight the importance of accrual reporting, plus acknowledging that non-accountants may or may not have a complete understanding of accrual accounting, we also updated the “Consortium Sub-grantee Reimbursement Request form” (see attachment F6-C) to require an accountant, controller or CFO to initial the Accrued Expenditure line. We hope this additional review will ensure complete and thorough accrual accounting and reporting.

As requested, we will update our latest ETA 9130 financial status report to ensure that all accruals are reported.

Finding #7 – No Internal Controls of Time and Effort Reports
Core Objectives: 2.1 Administrative Controls and 3.6 Internal Controls

The reviewers identified that the Project Director at SFCC was approving her own time and effort reports rather than her direct supervisor.

Internal controls such as having time and effort reports reviewed and signed by supervisors prevents individuals from over or under reporting their time and payroll costs. Circumventing the internal control
makes the internal control not effective and doesn't hold any individuals within the organization accountable.

Applicable Citation(s):
29 CFR 95.21(b)(3) Standards for financial management systems.
2 CFR 220, Appendix A(C)(4)(d)(2)

Required Action: The lead consortium must provide the latest time and effort report from the Project Director at SFCC to evidence that her supervisor is reviewing and certifying her time on the grant. MCC must also update and provide the consortium's policy and procedures in regards to the recording and approving of time charged to the grant and communicate this to all consortium colleges.

Grantee Response: We concur that the Project Director at SFCC did not have her supervisor sign her time and effort report and are attaching her most recent time and effort as requested (see F7-A) . To ensure this error does not reoccur, we will provide additional Time and Effort Guidance (see attachment F7-B) to the Consortium at our August 4-5, 2016 retreat. An example of our Time and Effort Sample Form (see attachment F7-C) was shared, most recently, with consortium partners in a July 5th, 2016 reminder email. The TAACCCT MoSTEM financial manager provided Time and Effort forms and high level financial reporting and compliance training at the March 2015, TAACCCT Round IV Kick-Off meeting. The MoSTEM, financial manager continues to review consortium documentation and fields various financial questions including proper time and effort reporting.

Individual College Response:

State Fair Community College: A new form for Time and Effort (see attachment F7-A) will be used for Lori Blalock and signed by her supervisor, Mark Kelchner.

Finding #8: Lack of Reporting Unrecovered Indirect Costs
Core Objective: 3.7 Financial Reporting

The consortium is not claiming the unrecovered portion of indirect costs as leveraged resources to the grant. The consortium members are not charging the grant the full amount of its indirect costs as directed by their approved indirect cost rate agreement.

According to the grant agreement, there is a ten percent limitation on administrative costs on funds awarded under the grant. MCC and its members agreed that indirect costs at each of the consortiums will be limited to ensure that the grant's administrative expenses are below the administrative threshold. MCC is to retain a majority of the administrative expenses due to its role as lead consortium of the TAACCCT grant.

The treatment of indirect cost rate between the consortium members and the lead recipient is inconsistent as the consortium members are only able to charge up to seven percent of its indirect costs to the grant, however, MCC is able to charge more of its indirect costs to the grant. Treatment of costs should be consistent between all members of the consortium, including the lead recipient. One of the factors affecting allowance of costs includes consistent treatment of these costs. The rate of recovery for indirect costs should be consistent for all consortium members to be allowable costs to the TAACCCT grant.
In addition, the amount of indirect costs that are not charged to the grant by the consortium should be reported as leveraged resources to the grant on the quarterly narrative as well as the quarterly financial status report (ETA 9130 form).

**Applicable Citation(s):**
TEGL 13-12, ETA-9130 Quarterly USDOL ETA Financial Report Instructions
2 CFR 220, Appendix A(C)(2)

**Required Action:** The lead consortium and its members must report the unrecovered indirect costs as leveraged resources to the grant on the quarterly financial status report. Also, the grantee must consistently treat indirect costs for the entire consortium to be allowable costs to the grant. The grantee must provide to the Regional Office an updated ETA 9130 form and project narrative that accounts for the unreported leveraged resources. In addition, the grantee must provide to the Regional Office a corrective action plan on how they will consistently charge indirect costs among all the consortium members as well as updated “Consortium Sub-grantee Reimbursement Request” form to inform the consortium members of the change.

**Grantee Response:** We concur that most of the consortium members were not reporting unrecovered indirect costs as leverage resources. However, as we discussed with the reviewers we had not provided direct guidance to the consortium members because of limitations imposed by the 10% threshold for administrative expenses.

Effective June 30, 2016 all consortium members will be reporting unrecovered indirect costs based on the difference of the amount charged to the grant currently at 8% and the total indirect rate approved by their cognizant agency (these amounts vary by institution). By requiring consortium members to report unrecovered indirect cost as leverage, they will be reporting their rates of recovery for indirect costs consistent with the lead recipient. We will provide, to the Regional Office on August 15, 2016, our most current ETA 9130 and project narrative, as of June 30, 2016, which will reflect all leveraged amounts including unrecovered indirect costs. See attached email guidance (F8-A) and example of the Unrecovered Indirect Cost Rate spreadsheet calculator (F8-B) that is supported by the amount of Leverage reported on the “Consortium Sub-grantee Reimbursement Request” (see attachment F6-C) that we provided to each consortium member with current calculations as of March 31, 2016. A schedule will be maintained going forward and the MoSTEM financial manager will review to ensure accurate ETA 9130 reporting.

**F. AREAS OF CONCERN**
**Area of Concern #1—No Individual Service Plan**
Core Objective: 4.2 Participant Files

The reviewers learned that 45 of 45 participant files did not contain any Individual Service Plan strategy or evidence that program staff at MCC, NCMC, and SFCC discuss assessment results or develops with the participant any short and long term employment goals. The reviewer interviewed the program staff at the three colleges and learned they provide academic advising to the students through the ETO system. The ETO system does not prompt them to assess participant’s soft skills or barriers that may affect their employment or career path.
An Individual Service Plan can serve as a strategy to address employment goals, achievement objectives, and identify resources to assist participants with obtaining or advancing within the workforce industry. The lack of implementation of this plan could result in the inability to identify potential barriers or challenges preventing participants from obtaining employment or advancing in their current position.

**Recommended Action:** MCC, NCMC, and SFCC should consider developing an Individual Service Plan for each participant that assesses and meets the specific needs of each individual participant’s employment and career goals.

**Grantee Response:** We do not concur that this should have been cited as an area of concern. The monitoring report states that “The reviewer interviewed the program staff at the three colleges and learned they provide academic advising to the students through the ETO system. The ETO system does not prompt them to assess participant’s soft skills or barriers that may affect their employment or career path.” While it is true that MoSTEMWINs colleges use the ETO system to track and manage participant data and case notes, each college maintains their own internal policies for Individual Service Plans that may be recorded in ETO, or may be recorded in internal case files. Attachments AC-1, AC-2, and AC-3 are examples of the plans that each college maintains in participant files. At the consortium level, MoSTEMWINs leadership has provided guidance, training, and monitoring on documenting individual service plans.

At the MCCA website, [http://mccatoday.org/programmatic-documents/](http://mccatoday.org/programmatic-documents/), many best practices for individual service plans are featured. Although St. Louis Community College was not monitored by DOL, their Career Blueprint (available for download at the above website) should be viewed as a model that has been presented to consortium college members (and many colleges across the country) as a standard by which to design individual service plans. All consortium colleges are allowed to adopt and adopt their own version of an individual service plan that best fits that college’s needs.

MoSTEMWINs Leadership will continue to monitor consortium colleges for compliance in the areas of participant case files, case notes, and individual service plans.

**Individual College Responses:**

**North Central Missouri College:** NCMC uses a Career/Education Plan document (see attachment AC1-A) that each participant initially completes during intake. That document allows participants to list their academic and career goals. Our program recruiter and retention specialist reviews this document with the participant and advises accordingly. Career and education aspirations are also discussed multiple times during routine conversations, regular check-ins with participants, and as part of the college success course. Such discussions are recorded, as appropriate, in the participants’ case notes.

**Metropolitan Community College:** During the intake process, students meet with the MCC learning specialist to create a Student Success Plan (see attachment AC1-B). As part of the Student Success Plan, students are asked to explain their academic and career goals, including short-term and long-term goals. It is then discussed how their goals align with completing the MoSTEM course and what challenges or barriers may be present to prevent them from achieving their goals. This information is continually used as part of MCC’s intentional advising process. The learning specialist schedules two one-to-one follow-up sessions with each student as a means to ensure the Student Success Plan is being followed and to help with any barriers that might arise. In addition, flyers, websites, contacts, and other
pertinent industry-relevant information is shared with the student. These activities are all entered into the participants’ files as documentation.

**State Fair Community College:** SFCC has a Career Path Form (see attachment AC1-C) filled out by every grant participant and it is placed in their file. It outlines each grant participant’s:
1. Short Term Educational Plans
2. Long Term Educational Plans
3. Target Dates
4. Revisions to the Individual’s Plan
5. Career Goals
6. Salary Expectations
7. Job Security
8. Benefits
9. Location Considerations
10. Additional Comments

**Area of Concern #2: Allocating Costs for Option Two Activities**
Core Objective: 3.4 Cost Allocation

Separate from the consortium’s grant activities, the grantee received additional funds for “Cap Breaker” activities associated with Option Two of the grant. During Round four of the TAACCCT grants, recipients were able to apply for additional funds to exceed the maximum funding level by implementing one of the three types of regional or statewide capacity building activities: (1) advance state career pathway systems; (2) improve statewide data collection, integration, and use; (3) or create national recognized competencies and credentials. The consortium received an additional $4,731,900 to perform activities to improve statewide data integration and use.

These monies were given as part of the grant and are reported on the grant’s ETA 9130 report; however, a separate budget was created for Option Two activities separate from the grant budget. To ensure that costs associated with Option Two activities do not exceed the cap breaker’s budget, allowable cap breaker costs must be separately tracked by the consortium. In addition, the grantee is required to provide the Regional Office with quarterly update cap-breaker activities including costs and a summary of activities that is separate from grant activities.

Individuals who are working on TAACCCT grant activities will need to track their time separately if they are spending time on Option Two activities. If time and effort reports are being used to allocate a person’s time and costs, these reports should be adjusted to account for these separate activities.

**Recommended Action:** The Regional Office recommends the lead consortium communicates to all of the grant’s consortium members that Option Two activities are to be tracked separately from the TAACCCT grant.

**Grantee Response:** We do not concur that this should have been cited as an area of concern. From the beginning, we have been tracking and reporting costs associated with Option II activities separately to ensure they do not exceed the cap breaker budget.
At the June 10, 2015 DOL Success from the Start - TAACCCT Round 4 Convening, the Option II grantees met with Sharon Leu to discuss program and financial status. She informed us at this meeting that DOL would be requiring us to report the Option II activities quarterly. We immediately informed the consortium partners to report Cap-Breaker expenses in distinct general ledger accounts so they could easily update this information on an “Ad Hoc” quarterly financial report (see attached email AC2-A). This report includes progress narrative and financial quarterly activity specifically related to only Option II and is compared to the percent of progress for this component and as part of the overall grant performance. We submit our quarterly consolidated Option II, “Ad Hoc” report (see attachment AC2-B) to our FPO and the TAACCCT Team at TAACCCT@dol.gov.

We will clarify to the consortium that the individuals that spend time on both the TAACCCT grant activities and Option II will need to clearly track their time separately for inclusion in the appropriate reports.

Closing: As prime awardee, MCC works closely with consortium partners to ensure the project is in compliance and on target to meet the deliverables as stated in the SOW. Together with MCC, we foster a climate of continuous improvement that is evidenced in the responses of this document. We appreciate the time put into the review by the Department of Labor to help us identify areas for improvement as well as highlighting areas in which we are being successful. The grant has been of great benefit to thousands of individuals and is impacting their lives as well as providing a more qualified and trained workforce for our communities.

Should you need additional information or clarification on this response, please contact Daphne Lewis at daphne.lewis@mcckc.edu or 816-604-1086.

Sincerely,

Shelley Temple Kneuven
Vice Chancellor of Financial & Administrative Services
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F = Finding
AC = Area of Concern
ADDENDUM #3 TO THE
CONSORTIUM PARTNER MEMORANDUM OF UNDERSTANDING
Between
Metropolitan Community College
And
Full Employment Council

This Addendum #3 to the Consortium Partner Memorandum of Understanding effective July 1, 2012, is hereby made and entered into by and between the Metropolitan Community College ("MCC") and the Full Employment Council ("FEC").

Whereas, MCC is the prime awardee of the U.S. Department of Labor, Employment and Training Administration for the project, Trade Adjustment Assistance Community College and Career Training ("TAACCCT") grants program Award No. TC-26470-14-60-A-29 ("MoSTEMWINs"), and

Whereas, MCC desires to continue the partnership with the FEC whereby both parties by mutual agreement provide integrated workforce services for the target populations of two TAACCCT grant projects, for Award No. TC-22499-11-60-A-29 ("MoHealthWINs"), and Award No. TC-23785-12-60-A-29 ("MoManufacturingWINs"),

Therefore, the purpose of this Addendum #3 is to expand the Scope of Work and Period of Performance. The original Consortium Partner Memorandum of Understanding ("MOU") and subsequent Addenda shall remain in full force and effect.

Scope of Work
Both parties agree to expand the Scope of Work to include the MoSTEMWINs grant initiative. Further, both parties acknowledge and agree that the term "MoWINs" as it appears in the Scope of Work (Attachment A) delineating the work flow and cooperative efforts of both parties shall be defined to refer to all three grant initiatives, MoSTEMWINs, MoManufacturingWINs, and MoHealthWINs.

Period of Performance
The period of performance shall be expanded by twenty-four (24) months from the previous end date of September 30, 2016, to the revised end date of September 30, 2018.

Attachments
Two additional attachments are incorporated in this Addendum #3, as follows:
Attachment A - MoWINs Scope of Work
Attachment B - MoSTEMWINs Grant Award and Proposal
In Witness Whereof, the parties have executed this agreement as of the date last written below.

Metropolitan Community College

Mark S. James
Mark James, Chancellor and CEO

Date: 5/5/16

Full Employment Council

Clyde McQueen, President and CEO

Date: 5/3/16
ATTACHMENT A

MoWINs Scope of Work
EXHIBIT A

MoWINs Scope of Work

MCC

RECRUITMENT

Outreach materials and efforts

Disseminate information on MoWINs classes throughout the community including to FEC and Missouri Career Center clients via workshops, walk-ins, referrals and other communication processes. Do one workshop per week at each Career Center.

FEC

RECRUITMENT

Outreach materials and efforts

Provide marketing material developed collaboratively between FEC & MCC and provided by MCC, to potential students and employers

Refer clients interested in MoWINs courses to MCC's MoWINs Employment Development Coordinator

INTAKE/ASSESSMENT

Conduct formal (required) informational session for participants (location TBA; other data may be captured) and notify participants they will be participating in the MoWINs grant program

Administer participant applications, verifying social security numbers and collecting other MoWINs required data, and determine eligibility (Exhibit B) for MoWINs training

Provide financial counseling, in collaboration with FEC when appropriate, for participants including TAA, Veteran and Pell related benefits

Administer Key Trains® (when applicable)

TOOLBOX

Create Toolbox registry for participant registration

Enter MoWINs participant data into Toolbox registry

Provide Toolbox Information to MCC's MoWINs Employment Development and Assessment Coordinators as required by the MoWINs grant

WORKKEYS®

Provide Staffing to schedule and administer WorkKeys® at FEC or other designated location

MCC WorkKeys® licenses will be used when FEC would not otherwise administer the assessment

WORKKEYS®

Provide space, computers and software within the facility(ies) for MCC to administer WorkKeys®

FEC WorkKeys® licenses will be utilized only when FEC would normally administer the assessment
MoWINs Scope of Work

MCC

INTENSIVE SERVICES/ACADEMIC SUPPORT

Ф Refer clients to FEC for determination of eligibility for Intensive supportive services (Exhibit C)

Ф Determine participant placement in courses and deliver grant-funded basic and technical skills training as required by the MoWINs grant (Exhibit D)

Ф Provide tuition and applicable grant funded financial support (Exhibit D)

Ф Obtain signed “FERPA Release of Information” documents from participants so educational records can be shared with FEC (Exhibit E)

Ф MCC’s MoWINs Employment Navigators (MHW & MMW) will attend FEC internal and external meetings as collaboratively agreed upon by FEC and MCC

Ф Provide core services to all interested MoWINs participants (Exhibit C)

Ф FEC will determine eligibility for and provide intensive support services to MoWINs clients as warranted, and as FEC funding allows, including those MoWINs clients referred by MCC (Exhibit C)
MoWINs Scope of Work

EMPLOYER CONNECTIONS

DATA SHARE

- Share data from MCC employer advisory groups with FEC that may be of assistance as FEC determines training needs and job placement strategies

DATA SHARE

- Share labor market data with MCC that may be of assistance to MoWINs curriculum development and continuous improvement in order to prepare MoWINs students for successful job placement and persistence

- Provide data to the MoWINs Employment Development and Assessment Coordinators for MoWINs students as required for MoWINs reporting

EMPLOYMENT SERVICES

Collaborate with FEC as feasible and requested in support of FEC's delivery of employment services for MoWINs participants

EMPLOYMENT SERVICES

- Deliver employment services to MoWINs participants as required by the grant and as feasible, including support for job search and placement

- As feasible and based upon FEC's budget availability, and alignment with FEC's funding requirements, leverage business services, job placement and training assistance, such as OJT, WOTC tax credits, job orders, etc. for MoWINs participants

Share Information with FEC related to employer engagement in MoWINs curriculum development, evaluation, and continuous improvements related to employer workplace needs
MoWINs Scope of Work

EMPLOYER CONNECTIONS (continued)

ADVISORY/EMPLOYER GROUPS

- Invite FEC to participate in MoWINs employer advisory groups, meetings, and other outreach processes as feasible and of interest
- Partner with FEC to establish a MoWINs regional advisory committee to ensure timely execution of deliverables and to support successful achievement of MoWINs grant deliverables
- Partner with FEC as requested and feasible to engage in employer meetings, advisory groups, events and other employer events related to MoWINs

ADVISORY/EMPLOYER GROUPS

- Invite MCC to participate in employer events, meetings, advisory groups, and other employer outreach processes as feasible, are of interest, and related to MoWINs priorities
- Partner with MCC in establishing a regional advisory committee to ensure timely execution and successful achievement of MoWINs grant deliverables
MoWINs Scope of Work

MCC

REPORTING

TOOLBOX DATA

Support FEC as requested in processes related to Toolbox requirements for MoWINs participants

Provide FEC with other data necessary for MoWINs documentation requirements

Provide FEC copies of all credentials obtained by MoWINs participants (e.g. certificates, degrees, licenses), and other MoWINs-related information needed by FEC

OFFICE SPACE

The WINs Employment Navigators will be co-located at FEC and MCC. FEC will provide office space and phone to support that co-location.

FEC

TOOLBOX DATA

Enter MoWINs participant data into Toolbox as required by the MoWINs grants

Report data related to MoWINs participants to MCC’s MoWINs Employment Navigators and Assessment Coordinators. This data may include, but not be limited to:

*Core Services
*Intensive Support Services
*Job Placement
*Required DOL/MoWINs data (Exhibit F)

Continuous Improvement: Monthly Project Advisory Committee (PAC) Meeting: FEC and MCC leadership will meet monthly to review progress, identify issues and make adjustments as appropriate.
CONTRACT INTAKE FORM

Please note that contracts for $10,000 or more require Board approval. Contracts for $1,000 or more require the Chancellor’s signature.

Purpose: Please complete this Contract Intake Form for submission with each contract that you forward to Kathy Walter-Mack, Chief of Staff, for review. The Office of the Chief of Staff will review the contract as to form and legality. You should ensure that the terms and conditions of the contract are clear, accurate, complete, and will satisfy your business needs.

Date Intake Form Submitted: 4/13/1  Desired Date for return of approved draft: 4/20/16

Contract Title: MOU Addendum with Full Employment Council - #3 for MoSTEM

Purpose (e.g. testing, blood drive, speaker, entertainer, clinical agreement, etc.) Extend the original MOU for the TAACCCT grant - MoSTEMWINs

Approved Form: Is the contract an MCC approved form? Yes ☐ No ☐ Per phone call, KWM will provide contract. If no, please note the approval process may be longer if contract revisions are required.

MCC Initiator Contact Information:

   Campus/Department  BT/FT

   Name/Title of MCC individual responsible for initiation and handling of contract: Nancy Russell

   Phone No.  5237  Email: nancy.russell@mockc.edu

   (If different), direct questions to: Name Phone No. <enter phone #> Email

   Return completed documents to:

Contractor/Vendor/Other Party Contact Information:

   Contractor Name: Full Employment Council

   Mailing Address:

   Name of Contractor Contact: Clyde McQueen  Phone No: 471-2330  Email cmcqueen@feckc.org

Terms of Contract:

   Initial term of contract: Begin date: 4/1/15  End date: 9/30/18

   Total cost of contract or renewal: N/A

   Do you have any special concerns with the contract terms?  No

   Has MCC entered into a similar contract with this company before? Yes ☐  No ☐

If IT-related or Marketing-Related, Internal Approvals are needed: If this contract is for IT services, software, or hardware requiring Contractor access to MCC systems, indicate you have obtained IT approval below. If the contract is for marketing/ advertising, indicate you have obtained Marketing approval below.

   IT approval obtained  Yes ☐  No ☐  Marketing approval obtained  Yes ☐  No ☐

(23sep13)

THANK YOU!
MoSTEMWINs Exit Survey Template

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<tr>
<th>Item</th>
<th>Question</th>
<th>Format</th>
<th>Answers</th>
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</thead>
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<tr>
<td>1</td>
<td>How much did your experience in this MoSTEMWINs program help you acquire information related to careers in science, technology, engineering, mathematics, or related fields?</td>
<td>Multiple Choice</td>
<td>Very much; Quite a bit; Not sure yet; Some; Very little</td>
</tr>
<tr>
<td>2</td>
<td>How much did your experience in this MoSTEMWINs program help you acquire information related to careers in science, technology, engineering, mathematics, or related fields?</td>
<td>Multiple Choice</td>
<td>Very much; Quite a bit; Not sure yet; Some; Very little</td>
</tr>
<tr>
<td>3</td>
<td>How much did your experience in this MoSTEMWINs program help you obtain a job in science, technology, engineering, mathematics, or a related field?</td>
<td>Multiple Choice</td>
<td>Very much; Quite a bit; Not sure yet; Some; Very little</td>
</tr>
<tr>
<td>4</td>
<td>How much did your experience in this MoSTEMWINs program help you speak clearly and effectively?</td>
<td>Multiple Choice</td>
<td>Very much; Quite a bit; Not sure yet; Some; Very little</td>
</tr>
<tr>
<td>5</td>
<td>How much did your experience in this MoSTEMWINs program help you think critically and analytically?</td>
<td>Multiple Choice</td>
<td>Very much; Quite a bit; Not sure yet; Some; Very little</td>
</tr>
<tr>
<td>6</td>
<td>How much did your experience in this MoSTEMWINs program help you write clearly and effectively?</td>
<td>Multiple Choice</td>
<td>Very much; Quite a bit; Not sure yet; Some; Very little</td>
</tr>
<tr>
<td>7</td>
<td>How much did your experience in this MoSTEMWINs program help you analyze mathematical or quantitative problems?</td>
<td>Multiple Choice</td>
<td>Very much; Quite a bit; Not sure yet; Some; Very little</td>
</tr>
<tr>
<td>8</td>
<td>How much did your experience in this MoSTEMWINs program help you use computing and information technology?</td>
<td>Multiple Choice</td>
<td>Very much; Quite a bit; Not sure yet; Some; Very little</td>
</tr>
<tr>
<td>9</td>
<td>How much did your experience in this MoSTEMWINs program help you work effectively with others?</td>
<td>Multiple Choice</td>
<td>Very much; Quite a bit; Not sure yet; Some; Very little</td>
</tr>
<tr>
<td>10</td>
<td>How did this MoSTEMWINs program meet your expectations?</td>
<td>Multiple Choice</td>
<td>Very much; Quite a bit; Not sure yet; Some; Very little</td>
</tr>
<tr>
<td>11</td>
<td>Thinking back on your MoSTEMWINs courses and instruction, how confident are you that you received the skills and knowledge to be successful in your chosen field?</td>
<td>Multiple Choice</td>
<td>Very confident; Somewhat confident; Neither confident nor unconfident; Somewhat unconfident; Very unconfident</td>
</tr>
<tr>
<td>12</td>
<td>Are you currently enrolled in college?</td>
<td>Multiple Choice</td>
<td>Yes; No</td>
</tr>
<tr>
<td>13</td>
<td>At what college are you currently enrolled?</td>
<td>Text</td>
<td>Yes, full-time/30 hours or more per week; Yes, part-time/fewer than 30 hours per week; No</td>
</tr>
<tr>
<td>14</td>
<td>Are you currently employed?</td>
<td>Text</td>
<td></td>
</tr>
<tr>
<td>15</td>
<td>What one thing about this MoSTEMWINs program helped you the most?</td>
<td>Text</td>
<td></td>
</tr>
<tr>
<td>16</td>
<td>Is there anything else you would like to share with us regarding your experience in this MoSTEMWINs program?</td>
<td>Text</td>
<td></td>
</tr>
</tbody>
</table>
CAREER WORKSHOPS

Please plan to attend ONE of the following dates! We will be discussing best practices for:

- Resumes
- Career Planning
- Interviewing
- Soft Skills

The following dates are scheduled. Choose ONE!

- **Attendance is MANDATORY!**
  - Monday, September 19\textsuperscript{th} from 1 p.m. – 2:30 p.m.
  - Wednesday, September 21\textsuperscript{st} from 2:30 – 4 p.m.
  - Thursday, September 22\textsuperscript{nd} from 2 p.m. – 3:30 p.m.

Please email/call me to let me know which one you will be attending! If you need to switch dates, that is fine, just let me know in advance so I know how to plan.

Thank YOU! 😊

Lori Holder
660.357.6360
LHolder@mail.ncmissouri.edu
CAREER WORKSHOP ATTENDANCE SHEET

Please initial the following items as you do them and then sign and date.

☐ I learned about proper resume writing today and was shown examples of good and bad resumes. I also started a basic resume for myself.
☐ I learned about proper interview etiquette, the dos and don’ts, and also participated in a mock interview.
☐ I learned about what ‘soft skills’ are and how they are important for future employment.
☐ I learned about various websites to go to for help in thinking about my future career path. I wrote down two possible career choices and researched salaries, education level required, barriers to get into the field, and etc. If I was undecided, I took a career assessment.

__________________________________    __________________
Student signature        Date

__________________________________    __________________
Instructor signature        Date
CAREER TOPICS CHECK OFF SHEET

Today in class, College Seminar, we discussed the following:

☐ Resumes
☐ Interviewing
☐ Soft Skills
☐ Career Planning

__________________________________________    __________________
Student signature        Date

__________________________________________    __________________
Instructor signature        Date

This document is 100% funded by the MoSTEMWiNs $19.7 million grant from the U.S. Department of Labor, Employment and Training Administration (TAACCCT). The product was created by the grantee and does not necessarily reflect the official position of the U.S. Department of Labor. The Department of Labor makes no guarantees, warranties or assurances of any kind, express or implied, with respect to such information, including any information on linked sites and including, but not limited to, accuracy of the information or its completeness, timeliness, usefulness, adequacy, continued availability, or ownership.

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<td>Orientation</td>
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<td>210</td>
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<td>9/15</td>
<td>9:00am - 1:00pm</td>
<td>4</td>
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<td>111</td>
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**S.M.A.R.T. Resumes**

Amy Schroeder  
Testing and Career Center  
State Fair Community College

**Why do I need a Resume?**

To obtain an interview

Communicate your unique knowledge, skills and values required for a selected job

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**Where to start?**

1. **Self-Assess:** What are your skills, interests, values?

2. **Identify specific career fields of interest:** Which are a good fit for you?

3. **Research the career fields**
   - Identify the specific language of the fields
   - Identify the skills of the fields: Job specific skills and transferable or adaptive skills

---

**Picking a resume style which best presents your qualifications**

- **Chronological**  
  Represents your experience in a date order with the most recent/relevant experience first.

- **Functional**  
  Emphasizes qualifications according to categories using job-related skills. Work experience is placed under different skill categories, not under specific positions. Used only for specific reasons.

- **Combination**  
  Mixes both, but more successful usually than true functional format.
Providing the employer with adequate contact information

- Minimal information
  - Full Name
  - Address
  - Home Phone Number
  - E-mail address (must be appropriate)

- Optional information
  - Cell Phone
  - Work Phone
  - Web Address

Using an objective

- An employer uses your objective to determine where you might fit within her/his department or organization

- Position based objective:
  \textit{Financial Analyst Position}

- Industry based objective:
  \textit{A position in a biological research department within a pharmaceutical firm.}

Do you have to have an objective?

Experience

List your past and present experiences.

- Jobs
- Volunteer positions
- Appointments
- Assistantships
- Internships
- Scholarships

Developing your descriptions

Answer the journalistic questions:

\begin{itemize}
\item \textit{Who...With whom did you work?}
\item \textit{What...What duties did you perform?}
\item \textit{Where...Where did your job fit into the organization?}
\item \textit{Why...What goals were you trying to accomplish?}
\item \textit{When...What timelines were you working under?}
\item \textit{How...What procedures did you follow?}
\end{itemize}
Proving your effectiveness

1. Describe what you actually DID; not just what was on the original job description

2. Include what IMPACT or CONTRIBUTION your actions provided (the results)

3. Provide details
   - Supervised WHO (positions not names) and HOW MANY?
   - Analyzed WHAT? HOW?
   - Improved quality, efficiency, productivity HOW?
   - Major accomplishments

Using strong action verbs

- Avoid starting phrases with "Handle...", "Work with...", "Duties included...", "Responsible for..."

- Start each bulleted statement with a descriptive action-oriented verb and combine with accomplishment statement
  - (Not this) Handled incoming telephone calls
  - (This) Directed up to 40 customer calls per hour to appropriate service departments throughout company

Organizing information efficiently

- Suggestions for headings:
  - Education
  - Internships
  - Academic Projects/Coursework
  - Computer Skills
  - Relevant Experience
  - Honors
  - Language Skills
  - Leadership Experiences

- Suggestions for headings (continued):
  - Professional Affiliations
  - Skill Summary
  - Licenses and Certifications
  - Military experience
  - Technical Skills
  - Community service or activities
  - Publications and Presentations
Increasing the effectiveness of your resume/cover letter

- Maintain 100% error free
- Tailor both resume and cover letter to each position and employer
- Lead with most relevant information first
- Avoid items that might promote negative bias
- Do not use abbreviations
- Keep to one page
  - unless you have relevant experience

Reference Page

Remember to select individuals who can attest to your work ethic, academic performance, skills and abilities. Unless you have worked for them as an employee, do not ask friends or family members to be references for you.

Always ask individuals to serve as references prior to listing on your reference page.

- Include the following information for each of your references:
  - Name
  - Organization/Company
  - Phone Number
  - Title
  - Street Address
  - E-mail (optional)

Maximizing Your Marketing Power

- Style/Format
  - Font size = 10–11–12
  - Even Margins=.5 inch –1 inch
  - Font style = Palantino, Times New Roman, Helvetica, Arial
  - Well-organized, attractive & easy to read
  - Consistent formatting

Maximizing Your Marketing Power

- Style/Format continued
  - Understated paper color = white, ivory, light gray
  - 20–24 lb. paper
  - unfolded and mailed in a large flat envelope
Technology and Your Resume

- Scanner friendly
  
  DO use:
  - Industry specific 'key' words

  Do NOT use:
  - *italics*, fancy scripts, *underlining*
  - Graphics or shading
  - Complex layouts and columns
  - Design or tool lines of any kind

Next Steps

- Create a draft of your resume
  - Look at Resume writing books
  - Use samples as guidelines
  - Attend Resume workshops

- Get resume critiqued:
  - Program Advisor or TRIO Advisor
  - Parent/Trusted Family member
  - Instructors
  - Career Counselor
An interview is a *conversation* between you and a prospective employer about your skills and how they meet the organization's needs.

**EMPLOYER GOALS OF AN INTERVIEW:**

- Confirm the positive impression you made with your resume
- Develop a better understanding of your abilities
- Find out where or if you “fit” inside their organization.

**INTERVIEWEE GOALS:**

- To help the employer achieve their goals
- Generate a job offer
- Collect information to determine if you wish to accept or decline any offers made.
WHAT YOU CAN “CONTROL” IN AN INTERVIEW

- Your knowledge about the company
- Knowledge of the interview plan
- Questions (yours at least, anticipate theirs)
- Your answers
- Your appearance
- Timing

KNOW ABOUT THE COMPANY

- Become familiar with the website if they have one
- Look up any magazine or newspaper references
- Speak with people who work there
- Understand the company’s mission/vision statement
- If possible read a strategic or tactical plan if published.

KNOW THE INTERVIEW PLAN

- Confirm who will be meeting and/or interviewing you
- Understand their role in the organization
- Find out how long the interview is expected to take; this will help you better anticipate questions

ANTICIPATE AND ASK QUESTIONS

- Based on your knowledge of the field what are you likely to be asked
- What should you ask that demonstrates your interest in the field?
- What questions can you ask that show you have interest in this position specifically?
- What questions can you ask that will help you determine if this job is right for YOU?
QUESTIONS THAT YOU MIGHT HEAR

- Tell me about yourself.
- Why are you interested in this position? Working for our firm?
- What are your strengths and weaknesses?
- What are your long-range career goals?
- Tell us about a time when you
  - made a mistake on the job (focus on what you've learned)
  - worked as part of a team (focus on both your individual and collective contributions)
- Why should I hire you?

QUESTIONS YOU MIGHT ASK

- How might the results of the upcoming election impact the funding for this project?
- How does this position/division fit in the organization's strategic plan?
- I understand that the person previously in this position was promoted; what role did you play in facilitating their promotion?
- What training do you provide for new hires?
- What is your protocol for inclement weather?

YOUR ANSWERS TO QUESTIONS

- Know what points to make about yourself
- You are trying to show them how you meet their needs
- Get used to saying POSITIVE things about yourself
- If you have a hard time with this practice in the mirror, with your best friend, with your teddy bear.

PICKING OUT YOUR UNIFORM

- Dress appropriately for the field
  - This can mean a suit for men and a dress for women
- Usually one step above daily dress for work
- Whatever you choose make sure it is clean and pressed the night before.
- Also be choosy for any employment testing that may not be on the same day as your interview
**BEING ON TIME**

- Make sure you know how long it takes to get to the location of your interview
- Factor in parking, walking up flights of stairs, getting lost in an office building, etc.
- It is NEVER okay to be late to an interview

**WHEN THE INTERVIEW IS WINDING DOWN**

- Ask your questions if you haven't already done so
- Summarize your key qualifications for the job
- Express your enthusiasm for the position
- Confirm what happens next and when
- Confirm correct spelling and titles of your interviewers

**AFTER YOU LEAVE... YOU'RE NOT DONE**

- Write thank you notes to each person with whom you interviewed
- Follow-up to learn the status of your candidacy if you've not heard back within the time frame established during your interview
- Reflect on your interview practicing things you'd like to do differently

**MOCK INTERVIEW**

- Work with your faculty advisor, your TRiO advisor, Career Services, your best friend, and any one else who will give you constructive feedback for possible interview questions and answers.
- The more you practice you have, the more comfortable you will be conversing with your perspective employer.
State Auditor’s Office Cybersecurity

KERI WRIGHT, CPA
DEPUTY STATE AUDITOR

JEFF THELEN, CPA, CISA
AUDIT MANAGER

Agenda

- About the Missouri State Auditor’s Office
- Types of Audits
- Current Initiatives
- General Audit Process
- Common Data Security Findings
- Recent School District Data Security Audits
- Resources

Missouri State Auditor’s Office

- Nicole Galloway, CPA, CFE
- The 38th State Auditor of Missouri
- Staff of 85 auditors
- 4 locations
  - Jefferson City
  - Springfield
  - St. Louis
  - Kansas City
- We are Missouri’s independent watchdog agency
  - Proper use of public funds
  - Improve efficiency and effectiveness in Missouri’s governments

Types of Audits

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<td>County/County Financial Stmts.</td>
<td>49</td>
<td>47</td>
<td>9</td>
</tr>
<tr>
<td>Courts (Municipal &amp; Circuit)</td>
<td>16</td>
<td>9</td>
<td>6</td>
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<tr>
<td>Petition</td>
<td>7</td>
<td>8</td>
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<td>Governor’s Request</td>
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<tr>
<td>Transportation Develop. District</td>
<td>7</td>
<td>2</td>
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<tr>
<td>Schools (including IT)</td>
<td>7</td>
<td>5</td>
<td>3</td>
</tr>
<tr>
<td>Statewide</td>
<td>10</td>
<td>5</td>
<td>7</td>
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<tr>
<td>State Agency/Elected Official/State IT</td>
<td>19</td>
<td>31</td>
<td>5</td>
</tr>
<tr>
<td>Summary</td>
<td>7</td>
<td>7</td>
<td>3</td>
</tr>
<tr>
<td>Follow-up</td>
<td>21</td>
<td>21</td>
<td>2</td>
</tr>
<tr>
<td>Total</td>
<td>143</td>
<td>135</td>
<td>36</td>
</tr>
</tbody>
</table>

Current Status for 2016

- 60 Audits in progress
- 4 Follow-ups in progress
- 36 audits released
- 23 county financial statement audits contracted
- Much more to come for 2016!
### State Auditor’s Office Initiatives

<table>
<thead>
<tr>
<th>Municipal Court Initiative</th>
<th>Cyber Aware School Audits Initiative</th>
</tr>
</thead>
<tbody>
<tr>
<td>![Municipal Court Logo]</td>
<td>![Cyber Aware School Logo]</td>
</tr>
</tbody>
</table>

#### Municipal Court Initiative
- **Added areas of review to our standard court audits**
- **Includes:**
  - Review of financial transactions,
  - Review accounting practices,
  - Review compliance with court rules and laws, and
  - Consideration of statistical information on warrants, tickets, and other penalties that aim to identify activities related to corruption and other practices that may impair impartiality or damage the court’s credibility with citizens.

<table>
<thead>
<tr>
<th>Municipal Court Initiative</th>
<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>10 Municipal Courts:</td>
<td></td>
</tr>
<tr>
<td>- City of Mosby</td>
<td></td>
</tr>
<tr>
<td>- City of Foristell</td>
<td></td>
</tr>
<tr>
<td>- City of St. Ann</td>
<td></td>
</tr>
<tr>
<td>- City of Leadington</td>
<td></td>
</tr>
<tr>
<td>- City of Foley</td>
<td></td>
</tr>
<tr>
<td>- City of Winfield</td>
<td></td>
</tr>
<tr>
<td>- City of Bella Villa</td>
<td></td>
</tr>
<tr>
<td>- City of Pine Lawn</td>
<td></td>
</tr>
<tr>
<td>- City of Ferguson</td>
<td></td>
</tr>
<tr>
<td>- City of Linn Creek</td>
<td></td>
</tr>
<tr>
<td>7 issued</td>
<td></td>
</tr>
<tr>
<td>3 in progress</td>
<td></td>
</tr>
</tbody>
</table>

#### Cybersecurity Initiative
- “.We must ensure criminals near and far do not access your personal data in your children’s schools or within state or local government. Government must be held accountable to keep that private data safe and secure.”
- Nicole Galloway

<table>
<thead>
<tr>
<th>Cyberaware School Audits Initiative</th>
<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>5 School Districts</td>
<td></td>
</tr>
<tr>
<td>- Boonville</td>
<td></td>
</tr>
<tr>
<td>- Waynesville</td>
<td></td>
</tr>
<tr>
<td>- Cape Girardeau</td>
<td></td>
</tr>
<tr>
<td>- Park Hill</td>
<td></td>
</tr>
<tr>
<td>- Orchard Farm</td>
<td></td>
</tr>
<tr>
<td>2 issued</td>
<td></td>
</tr>
<tr>
<td>3 in progress</td>
<td></td>
</tr>
</tbody>
</table>
Audit Process

- Audit Crews
  - Generally 1-3 audit staff, 1 manager, 1 director
- Timeframe
  - Fieldwork approx. 6 weeks – 3 months
  - Dependent on type and size of audit
- Process:
  - Entrance Meeting
  - Fieldwork
  - Report Preparation
  - Exit Meeting
  - Response Period
  - Report Issuance
- Quality Control Process

Summary of Local Government and Curt Audit Findings - Information Security Controls
(Report No. 2015-097)

Summary of Common Audit Findings

- Top 5 most common basic data security issues identified during our audits in fiscal year 2015:
  1. User Access Management
  2. User Authentication
  3. Security Controls
  4. Backup and Recovery
  5. Data Management

Issue #1: User Access Management

1. Access Rights and Privileges
   - What we found:
     - Access to certain systems was not adequately restricted
     - Adequate supervisory reviews were not performed
   - Why this matters:
     - Limits what a user can do after being allowed into the system.
     - Reduces the risk of unauthorized changes to records

1.2 Access Request forms
   - What we found:
     - Access request forms were not used for requesting or approving access to systems
   - Why this matters:
     - Limits access to only those authorized & needing access
     - Provides proper documentation of access

1.3 Terminated employees
   - What we found:
     - User access of former employees was not disabled timely
   - Why this matters:
     - Reduces the risk of unauthorized access, modification, or destruction of data
**Issue #2: User Authentication**

2.1 Passwords not changed

- **What we found:**
  - Passwords were not required to be changed on a periodic basis.
- **Why this matters:**
  - Reduces the risk of unauthorized access to and use of systems and data.

2.2 Sharing passwords

- **What we found:**
  - User accounts and passwords for accessing computers and various systems were shared by users.
- **Why this matters:**
  - The security of a password system is dependent upon keeping passwords confidential.
  - Sharing passwords cause losing individual accountability for system activity.
  - Unauthorized system activity could occur.
  - Unauthorized individual gains access to sensitive information.

2.3 Passwords not required

- **What we found:**
  - Passwords were not always required to logon and authenticate access to a computer/system.
- **Why this matters:**
  - No assurance the data or system is protected.

**Issue #3: Security Controls**

3.1 Inactivity controls

- **What we found:**
  - A computer or system wasn’t locked after a certain period of inactivity.
  - Users did not log off computers when unattended.
- **Why it matters:**
  - Inactivity controls decrease the risk of unauthorized access, use, modification, or destruction of data.

3.2 Unsuccessful login attempts

- **What we found:**
  - A computer or system was not automatically locked after a specified number of unsuccessful attempts.
- **Why it matters:**
  - Unauthorized individuals could have unrestricted access to information.
  - Increased risk of unauthorized access, use, modification, or destruction of data.

**Issue #4: Backup and Recovery**

4.1 Backups

- **What we found:**
  - System data was not periodically backed up.
- **Why this matters:**
  - Data will not be available for recovery if a disruptive incident occurs.
Issue #4: Backup and Recovery

4.2 Offsite Storage
- What we found:
  - Backup data is stored at the same location of the original data instead of offsite.
- Why this matters:
  - In case of a disruptive incident, backup data may also be lost, data is not available for recovery.

4.3 Testing
- What we found:
  - Backup data is not tested regularly
- Why this matters:
  - Management cannot ensure that they will be able to recover the lost data from backup data.

4.4 Disaster Recovery Plan
- What we found:
  - A detailed disaster recovery plan had not been developed by management
  - Recovery plans were not up-to-date or tested
- Why this matters:
  - Tested & up-to-date disaster recovery plans provide assurance computer operations can be promptly restored after a disruption.

Issue #5: Data Management

5.1 Data Integrity
- What we found:
  - Data integrity controls guard against the improper change or destruction of data and information.
  - Audit trail controls provide evidence transactions are proper
- Why this matters:
  - Without these controls, the risk of manipulation of data without detection increases.
  - Audit trail controls recorded evidence of how a transaction was processed.

5.2 Numerical Sequence
- What we found:
  - The numerical sequence of transaction numbers assigned by the computerized accounting system was not accounted for.
- Why this matters:
  - There is an increased risk of loss, theft, or misuse of funds
<table>
<thead>
<tr>
<th>Cyber Aware School Audits</th>
<th>Cyber Aware School Audits</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Report Format</strong></td>
<td><strong>Base our evaluation on various accepted standards, best practices, and controls from:</strong></td>
</tr>
<tr>
<td>- Background</td>
<td>- National Institute of Standards and Technology</td>
</tr>
<tr>
<td>- Cyber Aware School Audits Initiative</td>
<td>- Government Accountability Office</td>
</tr>
<tr>
<td>- Importance of cybersecurity</td>
<td>- ISACA (previously known as the Information Systems Audit and Control Association)</td>
</tr>
<tr>
<td>- Importance of data governance, security &amp; privacy controls, laws and regulations, and establishing controls</td>
<td>- USDE, Privacy Technical Assistance Center (PTAC)</td>
</tr>
<tr>
<td>- Scope &amp; Methodology</td>
<td></td>
</tr>
<tr>
<td>- State Auditor’s Findings</td>
<td></td>
</tr>
<tr>
<td>- Organization &amp; Statistical Information</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Cyber Aware School Audits</th>
<th>Cyber Aware School Audits</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Data Governance</strong></td>
<td><strong>Security Controls</strong></td>
</tr>
<tr>
<td>An organizational approach to data and information management that is formalized as a set of policies and procedures encompassing the full life cycle of data from acquisition to use to disposal</td>
<td>- Types:</td>
</tr>
<tr>
<td></td>
<td>- Logical security (user accounts &amp; passwords)</td>
</tr>
<tr>
<td></td>
<td>- Physical security (locked rooms, inventory)</td>
</tr>
<tr>
<td></td>
<td>- Improvement needed in the following areas:</td>
</tr>
<tr>
<td></td>
<td>- Having a dedicated Security Administrator</td>
</tr>
<tr>
<td></td>
<td>- Password controls</td>
</tr>
<tr>
<td></td>
<td>- Access controls</td>
</tr>
<tr>
<td></td>
<td>- Logon banners</td>
</tr>
<tr>
<td></td>
<td>- Concurrent users</td>
</tr>
<tr>
<td></td>
<td>- Security logs</td>
</tr>
<tr>
<td></td>
<td>- Physical security</td>
</tr>
<tr>
<td></td>
<td>- Documentation of security controls</td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td>- Improvements needed in the following areas:</td>
<td></td>
</tr>
<tr>
<td>- Responsibility of data management</td>
<td></td>
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<tr>
<td>- Data stewardship</td>
<td></td>
</tr>
<tr>
<td>- Inventory &amp; classification of data</td>
<td></td>
</tr>
<tr>
<td>- Source and content of data</td>
<td></td>
</tr>
<tr>
<td>- Monitoring unauthorized disclosure of PII</td>
<td></td>
</tr>
<tr>
<td>- Archival and/or destruction of data at end of its lifecycle</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Cyber Aware School Audits</th>
<th>Cyber Aware School Audits</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>User Accounts</strong></td>
<td><strong>Incident Response and Continuity Planning</strong></td>
</tr>
<tr>
<td>Controls over the creation and maintenance of user accounts for accessing system resources</td>
<td>- Improvement needed in the following areas:</td>
</tr>
<tr>
<td></td>
<td>- Incident response policy</td>
</tr>
<tr>
<td></td>
<td>- Security incident- an occurrence that actually or potentially jeopardizes information</td>
</tr>
<tr>
<td></td>
<td>- Data breach response policy</td>
</tr>
<tr>
<td></td>
<td>- Data breach- a security incident where data has been potentially accessed, stolen or used by an unauthorized person.</td>
</tr>
<tr>
<td></td>
<td>- Continuity plan</td>
</tr>
<tr>
<td>- Improvement needed in the following areas:</td>
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</tr>
<tr>
<td>- Account requests</td>
<td></td>
</tr>
<tr>
<td>- Inactive account monitoring</td>
<td></td>
</tr>
<tr>
<td>- Review of user access</td>
<td></td>
</tr>
<tr>
<td>- Shared accounts</td>
<td></td>
</tr>
<tr>
<td>- Disabling accounts of terminated users</td>
<td></td>
</tr>
</tbody>
</table>
Cyber Aware School Audits

Security Awareness Training Program
With proper security and privacy awareness training and clear communication of data and device use policies, employees can become the first line of defense against cybersecurity incidents.

Vendor Monitoring
- Process for ensuring outsourced software from vendors compliance with industry data security principles.
- Maintaining all software vendor contracts

Other Report Examples
- 2015-012 Joplin Schools
- 2011-066 St. Louis Public Schools – Patrick Henry Downtown Academy & Attendance Recording and Reporting
- 2015-012 DESE – Missouri Student Information System Data Governance.

Report Example: Attendance Records
- What went wrong?
  - The electronic attendance system:
    - Did not limit when changes could be made
    - Did not track when changes were made or by whom
    - Did not require approval by the teachers for changes made to attendance in their classrooms

Report Example: DESE
- In 2015 we issued a report over DESE’s Missouri Student Information System
  - The main reporting system used by DESE to collect student-level data from school districts
- Four main issues:
  1. User Account Management
  2. Data Collection
  3. Breach Response Policy
  4. Business Continuity Plan
**Report Example: DESE**

1. **User Account Management**
   - User account management policies not fully established or documented
   - Multiple users are allowed access to the system via shared accounts and these accounts are not regularly monitored

2. **Data Collection**
   - Collecting SSN of students without a business purpose for them
   - Puts students at risk in the event of a data breach

3. **Breach Response Policy**
   - DESE had not established a comprehensive data response policy

4. **Business Continuity Plan**
   - Established in 2004; however, it has not been updated or tested

**Measures of Security Effectiveness**

1. **Policy**
   - Control objective is documented in a policy

2. **Procedure**
   - Controls are documented as procedures

3. **Implemented**
   - Procedures are implemented

4. **Tested**
   - Security controls, processes, and procedures are tested and reviewed.

5. **Integrated**
   - Security controls, processes, and procedures are fully integrated into a comprehensive security program

**How do you compare?**

- Do you have the most basic system controls in place?
  1. User Access Management
  2. User Authentication
  3. Security Controls
  4. Backup and Recovery
  5. Data Management

- Are your policies up-to-date and complete?
- Do you test your backups & recovery plans?
- Do you have protections over your most sensitive data?
- Do you have sensitive data that isn’t necessary for business purposes?

**Resources**

- **USDE Privacy Technical Assistance Center**
  - Best Practice resources to help educational agencies

- **MOREnet**
  - Multiple resources available along with best practices

- **National Institute of Standards and Technology**
  - Computer/cyber/information security standards, guidelines, and recommendations

**Contact Information**

Missouri State Auditor’s Office

QUESTIONS?

Missouri State Auditor’s Office
P.O. Box 869
Jefferson City, MO 65102
(573)751-4213
Hotline:
(800) 347-8597
moaudit@auditor.mo.gov
Grants Finance & Compliance

Procedure for Protecting Personally Identifiable Information (PII)

PII stands for Personally Identifiable information. As defined by the U.S. Office of Management and Budget (OMB), PII is information which can be used to distinguish or trace an individual’s identity, such as their name, social security number, biometric records, etc. alone, or when combined with other personal or identifying information which is linked or linkable to a specific individual, such as date and place of birth, mother’s maiden name, etc.

<table>
<thead>
<tr>
<th>Examples of Personal Information:</th>
<th>Examples of Sensitive Personal Information:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name</td>
<td>Social Security Number</td>
</tr>
<tr>
<td>Address</td>
<td>Bank Routing and Account Number</td>
</tr>
<tr>
<td>Zip Code</td>
<td>Credit Card Information</td>
</tr>
<tr>
<td>Date of Birth</td>
<td>Driver’s License Number</td>
</tr>
<tr>
<td>Telephone Number</td>
<td>Passport Number</td>
</tr>
<tr>
<td>Cell Phone Number</td>
<td>Medical Records</td>
</tr>
<tr>
<td>Email Address</td>
<td>Health Information</td>
</tr>
<tr>
<td>IP Address</td>
<td>Ethnic or religious affiliation</td>
</tr>
<tr>
<td>Business/Employer Address</td>
<td>Sexual Orientation</td>
</tr>
<tr>
<td>License Plate Number</td>
<td>Criminal History</td>
</tr>
<tr>
<td>Vehicle Identification Number</td>
<td>Student Identification Number</td>
</tr>
<tr>
<td>Log-in or Access Credentials</td>
<td></td>
</tr>
<tr>
<td>Face, Fingerprints or Handwriting</td>
<td></td>
</tr>
</tbody>
</table>

Privacy Protection Guidance

MCC employees must maintain the confidentiality and privacy of student/participant/client information. Employees involved in grant projects must sign a Non-Disclosure Agreement to protect PII. The agreement will also be signed by the Director of Grants Finance & Compliance (GFC) and kept on file in the GFC Office. Employees will ensure PII protection through the following methods:

- Collect only the PII that is needed for the purposes for which it is collected.
- Only share or discuss sensitive PII with those persons who have a need to know for purposes of their work.
- When discussing sensitive PII on the telephone, confirm that you are speaking to the right person before discussing the information and inform him/her that the discussion will include sensitive PII.
- Never leave messages containing sensitive PII on voicemail.
- Avoid discussing sensitive PII if there are unauthorized personnel, contractors, or guests nearby who may overhear your conversation.
• Hold meetings in a secure place if sensitive PII will be discussed.
• Treat notes and minutes from such meetings as confidential unless you can verify that they do not contain sensitive PII.
• Lock up all hard copy files containing sensitive PII in secured file cabinets and do not leave unattended.
• Protect all media (thumb drives, CDs, etc.) that contain sensitive PII and do not leave unattended. This information should be maintained either in secured file cabinets or in computers that have been secured.
• Keep accurate records of where PII is stored, used, and maintained.
• Periodically audit all sensitive PII holdings to make sure that all such information can be readily located.
• When faxing sensitive PII, use the date stamp function, confirm the fax number, verify that the intended recipient is available, and confirm that the fax was received. Ensure that none of the transmission is stored in memory on the fax machine, that the fax is in a controlled area, and all paper waste is disposed of properly, (e.g., shredded). When possible, use a fax machine that uses a secure transmission line.
• Before faxing PII, coordinate with the recipient so that the PII will not be left unattended on the receiving end.
• When faxing sensitive PII, use only individually controlled fax machines, not central receiving centers.
• Do not transmit sensitive PII via an unsecured information system (e.g. electronic mail, Internet, or electronic bulletin board) without first encrypting the information.
• Do not place PII on unrestricted shared drives, multi-access calendars, the Intranet, or the Internet.
• Do not use interoffice or translucent envelopes to mail sensitive PII. Use sealable opaque envelopes. Mark the envelope to the person’s attention.
• Follow applicable federal and state records management laws, regulations, and policies.
• Do not maintain records longer than required per records management schedules. MCC’s Draft Record Retention Policy requires grant records be held for seven years following the completion of the grant project.
• Dispose of sensitive PII appropriately – use shredders for hard copies and permanently erase (not just delete) electronic records.

Consequences of Non-Compliance
Any intentional or unintentional use or disclosure of PII deemed in violation of reasonable, stated standards of care can result in significant financial, legal and civil consequences.

The Privacy Act imposes civil penalties when an employee:
• Unlawfully refuses to amend a record.
• Unlawfully refuses to grant access to records.
• Fails to maintain accurate, relevant, timely and complete data.
• Fails to comply with any Privacy Act provision or agency rule that results in an adverse effect.

The Privacy Act imposes criminal penalties - Misdemeanor and a fine of up to $5,000 (for each offense):
• For knowingly and willfully disclosing Privacy Act information to any person not entitled to receiving it.
• For maintaining a System of Records without meeting the public notice requirements.
• For knowingly and willfully requesting or obtaining records under false pretenses.

Questions regarding this procedure should be directed to grantscompliance@mcckc.edu.
Non-Disclosure Agreement to Protect Personally Identifiable Information (PII):

I understand PII to include information which can be used to distinguish or trace an individual’s identity, such as his/her name, address, personal e-mail addresses and phone numbers, social security number, family member names, biometric records, etc. alone, or when combined with other personal or identifying information which is linked or linkable to a specific individual, such as date and place of birth, mother’s maiden name, etc.

To protect PII, I agree not to publish or otherwise disseminate PII encountered as part of my responsibilities under the MoSTEMWINs TAACCCT grant. This includes publishing PII in written form, making PII or documents containing it available on a website or other forums that might result in public dissemination, or other such activities.

If I take notes containing PII, I will store them in a locked location (desk, drawer, cabinet, etc), until the completion of the project and/or the notes are no longer needed, at which time I agree to permanently destroy the notes.

I understand that if I break my commitments to protect PII, I may be subject to penalties and sanction. By signing this form, I acknowledge that I understand my obligation to protect PII and will refrain from activities that may lead to its public disclosure.

<table>
<thead>
<tr>
<th>Name (Print):</th>
<th>Director of Grants Finance &amp; Compliance (Print):</th>
</tr>
</thead>
<tbody>
<tr>
<td>Signature:</td>
<td>Signature:</td>
</tr>
<tr>
<td>Date:</td>
<td>Date:</td>
</tr>
</tbody>
</table>

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<tr>
<th>Name (Print):</th>
<th>Director of Grants Finance &amp; Compliance (Print):</th>
</tr>
</thead>
<tbody>
<tr>
<td>Monica Johnston</td>
<td>Daphne Lewis</td>
</tr>
<tr>
<td>Signature:</td>
<td>Signature:</td>
</tr>
<tr>
<td>Monica Johnston</td>
<td>Daphne Lewis</td>
</tr>
<tr>
<td>Date: 7/18/16</td>
<td>Date: 7/13/16</td>
</tr>
</tbody>
</table>

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MoSTEM WINs Required Disclaimers

The Grant Agreement, which is also incorporated as part of our grant award, requires that the following language should be included when issuing statements, press releases, request for proposals, bid solicitation, and other documents describing MoSTEM projects or programs.

In addition, The Solicitation for Grant Applications (SGA), which is incorporated as part of our grant award requires that disclaimer language be included on all work developed in whole or in part with grant funds, including all curriculum, online/hybrid courses, boosters and other products.

To meet both criteria, the following language has been approved and should be included on all grant documents and public announcements, including outreach and recruitment materials (using any variant that appears in brackets):

*This [document, project, event or program] is 100% funded by the MoSTEMWINs $19.7 million grant from the U.S. Department of Labor, Employment and Training Administration (TAACCCT). The product was created by the grantee and does not necessarily reflect the official position of the U.S. Department of Labor. The Department of Labor makes no guarantees, warranties or assurances of any kind, express or implied, with respect to such information, including any information on linked sites and including, but not limited to, accuracy of the information or its completeness, timeliness, usefulness, adequacy, continued availability, or ownership.*

If your document, project, event or program is not funded 100% by DOL, as a requirement, state the percentage of the total cost of the program (i.e. *is 25 % funded by the MoSTEMWINs...*).

The last disclosure on printed material.

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All work that is developed by the grantee with grant funds is required to be licensed under the CC BY license. This requires all documents that are grant funded to be uploaded to skillscommons.org

This form is adapted from: Norwalk Community College, The Connecticut Health and Life Sciences Career Initiative Online project material - licensed under [Creative Commons Attribution 4.0 International License](http://creativecommons.org/licenses/by/4.0/)
MoSTEM WINs Required Disclaimers

The above disclosures are not normally required on grant equipment purchases. All equipment purchased with federal funds should include information such as a description, manufacturer’s serial number, model number, location, and acquisition date. (29 CFR Part 95.34) They should be physically labeled or tagged to reflect a purchase from USDOL (Federal), TAACCCT program, TC-26470-14-60-A-29. In rare cases, you may be required to include the disclaimer above, i.e. if your equipment has program information and is used as outreach your programs.

For questions or additional information, please contact any of the following:

MoWins Grant Office – Liz Roberts, liz.roberts@mcctoday.org
Dawn Busick, dawn.busick@mccatoday.org

Metropolitan Community College – Susan Serrano, susan.serrano@mcckc.edu
Daphne Lewis, daphne.lewis@mcckc.edu
Medical assistants work with doctors and nurses to treat patients. Students will acquire front and back office skills and learn how to develop and promote physician and patient rapport by using customer service best practices.

Eligible students pay no tuition costs.

**Time and Days:** Full-time day program | Monday-Friday

**Location:** MCC-Penn Valley Health Science Institute | 3444 Broadway, KCMO 64111

**For more information:** George Hudson - 816.520.3225 | george.hudson@mcckc.edu

**Back Office Skills Include:**
- Vital Signs
- Patient Rooming
- Phlebotomy
- Urinalysis
- Medication Administration
- Examinations

**Front Office Skills Include:**
- Medical Coding and Billing (Including ICD-10, CPT-4)
- Patient Record Keeping
- Medical Ethics and Policies
- Telecommunications

MORE THAN A GREAT START.

MOSTEM-Medical Assistant Program

#BeMoreAtMCC
Pre-Participation Checklist

- Apply to Metropolitan Community College - mcckc.edu/apply
- Complete MOWINs Grant Application and Employment Status/Self-Attestation
- Register at jobs.mo.gov or kansasworks.com
- Submit the following required documents prior to enrolling:
  - Two separate Mantoux Tuberculosis (TB) skin test results (taken within past 12 months)
    Obtainable at: Kansas City Health Departments 816.513.6046, Free Health Clinic 816.920.6209, TMC 816.404.1000, doctors' offices, and some neighborhood pharmacies. Call location ahead to check times and costs.
  - Family Care Safety Registry ($13.00):
    We strongly recommend that this be completed online. Online registrations are processed the same day they are received. To complete registration online visit: www.dhss.mo.gov/FCSR/. You will receive a letter in the mail from the “Missouri Department of Health & Senior Services” (DHSS). You must bring this letter to your enrollment appointment. Proof of payment is not sufficient to meet this requirement – we must have the letter from DHSS.

Additional Items needed and other program costs:
- Stethoscope
- Gait Belt
- Stop Watch
- Medical Scrubs
- Manual Blood Pressure Cuff
- Certified Profiler ($20.00) and Background Check ($39.00)

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CAREER WORKSHOPS

Please plan to attend ONE of the following dates! We will be discussing best practices for:

✓ Resumes
✓ Career Planning
✓ Interviewing
✓ Soft Skills

The following dates are scheduled. Choose ONE!

**Attendance is MANDATORY!**

- Monday, September 19\textsuperscript{th} from 1 p.m. – 2:30 p.m.
- Wednesday, September 21\textsuperscript{st} from 2:30 – 4 p.m.
- Thursday, September 22\textsuperscript{nd} from 2 p.m. – 3:30 p.m.

Please email/call me to let me know which one you will be attending! If you need to switch dates, that is fine, just let me know in advance so I know how to plan.

Thank YOU! 😊

Lori Holder
660.357.6360
LHolder@mail.ncmissouri.edu
State Fair Community College
MoSTEMWINs
Student Folder Checklist

Student’s Name ____________________________________________

Program of Study __________________________________________

Start Date _________________________________________________

- Enrollment/Intake Form
- Consent Form
- Registered in Tool Box
- Copy of Social Security Card – If needed
- Admissions, Financial Aid and WorkKeys Form
- Program Application – If needed
- Priority Population Source Verification
- Veterans Priority of Service Policy
- Employment Verification – If needed
- Went Over Real Time Labor Market Pathway Summary
- Met with Student Career Services – Date __________
- Career Path Form
- SFCC Degree Audit
- Orientation - Date __________
- Program Admissions Notification – If needed
- Graduation Packet
- Exit Interview (Put any employment information on Career Path Form)
- Final Grade Reports
- Copy of each Certificate of Completion/Proficiency
- All Case Notes are up to date in Starfish
- Notations – Any pertinent comments applicable to training participant (e.g.,
  If they exit the program early potential reason/issues as to why, etc.).

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MODIFIED Participant Eligibility Guidance Tool
March, 2015

Overall Grant Participant Specifications:

Trade Adjustment Assistance (TAA)
An individual who has lost their job, from Trade certified employer, through no fault of their own (due to lack of work), as a result of foreign trade.

USDOL is responsible for certifying qualifying employers as Trade Act eligible. The Trade Act program consists of Trade Adjustment Assistance (TAA) and Trade Readjustment Allowance (TRA) and is only administered by State merit staff. In Missouri, DOLIR/DES administers the TRA portion of the program and makes eligibility determinations (TRA Claims) along with TRA weekly benefits and other TAA associated payments. DED/DWD administers the TAA portion of the program that includes benefits and services such as training eligibility and approval.

Veteran Status
A person who served at least one day in the active military, naval, or air service, and who was discharged or released under conditions other than dishonorable. Active service includes full-time Federal service in the National Guard or a Reserve component. This definition of “active service” does not include full-time duty performed strictly for training purposes (i.e., that which often is referred to as “weekend” or “annual” training), nor does it include full-time active duty performed by National Guard personnel who are mobilized by State rather than Federal authorities.

The Jobs for Veterans Act (Pub. L. 107-288) requires priority of service to veterans and spouses of certain veterans for the receipt of employment, training, and placement services in any job training program directly funded, in whole or in part, by DOL. The regulations implementing this priority of service can be found at 20 CFR part1010. In circumstances where a grant recipient must choose between two qualified candidates for training or a service, one of whom is a veteran or eligible spouse, the Veterans Priority of Service provisions require that the grant recipient give the veteran or eligible spouse priority of service by admitting him or her into the training program or providing service. To obtain priority of service a veteran or spouse must meet the program’s eligibility requirements. Grantees must comply with DOL guidance on veterans’ priority.

Unemployed
An individual who has been terminated or laid off, or has received a notice of termination or layoff; employed at a facility at which the employer has made a general announcement the facility will close within 180 days; self-employed (including employment as a farmer, a rancher, or a fisherman) but unemployed as a result of general economic conditions or natural disasters; and a displaced homemaker.

Underemployed
An individual who is working part-time but desires full time employment, or is working in employment not commensurate with the individual’s demonstrated level of educational and/or skill achievement. The local Workforce Investment Board negotiated average earnings target wage should be referenced to aid in eligibility determination.

Low-Skilled
An individual will be required to demonstrate college readiness for placement into college level coursework, (typically coursework numbered 100 level or above) as defined in the chart on page 3 of this guidance. Individuals scoring below the designated cut-off score for any area will be defined as “Low- Skilled” for the purposes of MoWINs eligibility.
All MoWINs participants will be assessed through the use of WorkKeys/NCRC assessment in each of the following areas: Applied Mathematics, Locating Information, and Reading for Information. Individuals scoring below a level 5 for any NCRC/WorkKeys area will be defined as “Low-Skilled” for the purposes of MoWINs eligibility.

Since MoWINs also serves GED seeking participants, low skilled adults as defined by the US Dept. of Education-students who, for whatever reason, are not enrolled in secondary school and lack the sufficient mastery of basic educational skills and do not possess a secondary school diploma or its recognized equivalent. Not having a high school diploma or its equivalent is by definition, low skilled. These participants will be assessed with a tool that will determine exactly what general, basic skills need remediation. Tests of Adult Basic Education (TABE) are currently used by high schools, MO Career Centers and Adult Education programs. This assessment test is aligned with the National Reporting Standards for education.

Other Grant Participant Specifications:

Veterans Priority
The Jobs for Veterans Act (Pub. L. 107-288) requires priority of service to veterans and spouses of certain veterans for the receipt of employment, training, and placement services in any job training program directly funded, in whole or in part, by DOL. The regulations implementing this priority of service can be found at 20 CFR part1010. In circumstances where a grant recipient must choose between two qualified candidates for training or a service, one of whom is a veteran or eligible spouse, the Veterans Priority of Service provisions require that the grant recipient give the veteran or eligible spouse priority of service by admitting him or her into the training program or providing service. To obtain priority of service a veteran or spouse must meet the program’s eligibility requirements. Grantees must comply with DOL guidance on veterans’ priority.

All community colleges and technical colleges are required to collect data for all MoWINs participants including continuing education (noncredit) grant funded programs. The grant requires data collection on each participant for each area (Math, Reading and English) that indicates a participant’s skill level (college-ready, one-level below college-level, two-levels below college-level, or three or more levels below college-level). These data elements will be important as we examine whether or not a student has made gains in skill level and will also help to explain the importance of entering skill level on degree and credential completion.

For the noncredit MoWINs programs, WorkKeys will be the assessment instrument for Low Skilled eligibility determination.

For the GED MoWINs programs, Test of Adult Basic Education (TABE) will be the assessment instrument for Low Skilled eligibility determination.

The community colleges have all agreed to a set of common cut-off scores. Such cut-off scores should serve as the starting point for the definition of "Low Skilled" for credit seeking participants. An entering student who is deficient in one or more areas will be defined as "Low Skilled".

The following applies to MoWINs credit programs only:

Missouri Community College Readiness Standards
Missouri community colleges have developed a common standard for college readiness. All Missouri community college students will be required to demonstrate college readiness for placement into college level coursework (typically coursework numbered 100 level or above) as defined in the chart below using ACT scores as noted. Concordant scores in other placement tests, as indicated below, may also be used for students who do not present an ACT score.
Point considered when determining common placement scores included:

- The adopted college readiness standard must be based on research and best practice.
- The standard must align with other placement testing tools.
- Consideration should be given to the approach other states took in adopting a statewide standard.

In its review of ACT based college readiness materials and publications, and in consultation with ACT staff and researchers, community colleges believe these common core standards will promote student success, provide access to college and support student learning.

These changes began in the fall of 2011. The new testing scores are as follows:

<table>
<thead>
<tr>
<th></th>
<th>ACT</th>
<th>COMPASS</th>
<th>ASSET</th>
<th>SAT</th>
</tr>
</thead>
<tbody>
<tr>
<td>Writing</td>
<td>18</td>
<td>70</td>
<td>41</td>
<td>Critical Reading 450</td>
</tr>
<tr>
<td>Reading</td>
<td>18</td>
<td>81</td>
<td>41</td>
<td>Critical Reading 460</td>
</tr>
<tr>
<td>Mathematics</td>
<td>23</td>
<td>Interm Test 66</td>
<td>23</td>
<td>Math 460</td>
</tr>
</tbody>
</table>

- Scores below these standards will result in development coursework.

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**REGISTRATION FORM**  PLEASE PRINT

(Some programs of study require a social security number in order to comply with Admission's background check and drug testing requirements.)

<table>
<thead>
<tr>
<th>STUDENT INFORMATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>Last name:</td>
</tr>
<tr>
<td>First:</td>
</tr>
<tr>
<td>Middle:</td>
</tr>
<tr>
<td>Street address:</td>
</tr>
<tr>
<td>City:</td>
</tr>
<tr>
<td>Contact phone # : ( )</td>
</tr>
<tr>
<td>Email address:</td>
</tr>
<tr>
<td>Ethnicity:</td>
</tr>
<tr>
<td>Are you a US Citizen?</td>
</tr>
<tr>
<td>Are you a US Citizen?</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>MILITARY/DISABILITY/EMPLOYMENT/SCHOOL INFORMATION</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>DISABILITY INFORMATION</strong></td>
</tr>
<tr>
<td>Are you disabled?</td>
</tr>
<tr>
<td>If yes, what percent?</td>
</tr>
<tr>
<td><strong>EMPLOYMENT INFORMATION</strong></td>
</tr>
<tr>
<td>Are you currently employed?</td>
</tr>
<tr>
<td>If yes, who is your employer?</td>
</tr>
<tr>
<td>If no, do you receive Unemployment Benefits?</td>
</tr>
<tr>
<td>What is your occupation?</td>
</tr>
<tr>
<td>What is your current monthly gross earnings? $</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>MILITARY INFORMATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>Are you currently attending College?</td>
</tr>
<tr>
<td>Are you a US Military Veteran?</td>
</tr>
<tr>
<td>Are you a Spouse to a Veteran?</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>SCHOOL INFORMATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>Are you currently attending College?</td>
</tr>
<tr>
<td>Are you Full time or Part time?</td>
</tr>
<tr>
<td>Highest Educational Level Completed:</td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td>What is your major?</td>
</tr>
<tr>
<td>If UNDECIDED, what majors are you considering?</td>
</tr>
<tr>
<td>What is your educational goal?</td>
</tr>
<tr>
<td></td>
</tr>
</tbody>
</table>

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## OFFICE USE ONLY

<table>
<thead>
<tr>
<th>Acceptance Date to MSW Program:</th>
<th>Student ID:</th>
<th>Declared Major:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Financial Aid Status:</th>
<th>Pell Grant Eligible?</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>[ ] Yes [ ] No</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Verify Status</th>
<th>Credit accepted for prior learning</th>
</tr>
</thead>
<tbody>
<tr>
<td>[ ] Full Time</td>
<td>[ ] Yes [ ] No</td>
</tr>
<tr>
<td>[ ] Part Time</td>
<td></td>
</tr>
<tr>
<td>[ ] Non Credit Student</td>
<td></td>
</tr>
</tbody>
</table>

### Assessment Scores

<table>
<thead>
<tr>
<th>Assessment</th>
<th>Date Taken</th>
<th>Source:</th>
<th>Level:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Reading Score</td>
<td></td>
<td></td>
<td>College Level</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>One Level Below</td>
</tr>
<tr>
<td>English Score</td>
<td></td>
<td></td>
<td>College Level</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>One Level Below</td>
</tr>
<tr>
<td>Math Score</td>
<td></td>
<td></td>
<td>College Level</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>One Level Below</td>
</tr>
</tbody>
</table>

### Campus Code

<table>
<thead>
<tr>
<th>Campus Code</th>
<th>Program Code</th>
<th>Term Code</th>
<th>Semester Start Date</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Credit/Non Credit Code</th>
<th>Entering Student Status</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>[ ] New, first-time any college</td>
</tr>
<tr>
<td></td>
<td>[ ] Previously attended any college</td>
</tr>
<tr>
<td></td>
<td>[ ] Returning student from current college</td>
</tr>
</tbody>
</table>

### Pre WorkKeys Assessment

<table>
<thead>
<tr>
<th>Applied Math</th>
<th>Date Taken:</th>
<th>MHW Completed</th>
</tr>
</thead>
<tbody>
<tr>
<td>Score:</td>
<td>Transitions Course</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>AAS Health Information Management</td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>Certificate</td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>CMT program</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Reading for Information</th>
<th>Score:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>3 [ ] 6</td>
</tr>
<tr>
<td></td>
<td>4 [ ] 7</td>
</tr>
<tr>
<td></td>
<td>5 [ ] 5</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Locating Information</th>
<th>Score:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>3 [ ] 6</td>
</tr>
<tr>
<td></td>
<td>4 [ ] 4</td>
</tr>
<tr>
<td></td>
<td>5 [ ] 5</td>
</tr>
</tbody>
</table>

## EXIT USE

### Exit Date from Program:

<table>
<thead>
<tr>
<th>Post WorkKeys Assessment</th>
<th>Date Taken:</th>
<th>MSW Completed</th>
</tr>
</thead>
<tbody>
<tr>
<td>Applied Math</td>
<td>Transitions Course</td>
<td></td>
</tr>
<tr>
<td>Score:</td>
<td>AAS Health Information Management</td>
<td></td>
</tr>
<tr>
<td>3 [ ] 6</td>
<td>Certificate</td>
<td></td>
</tr>
<tr>
<td>4 [ ] 7</td>
<td>CMT program</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Reading for Information</th>
<th>Score:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>3 [ ] 6</td>
</tr>
<tr>
<td></td>
<td>4 [ ] 7</td>
</tr>
<tr>
<td></td>
<td>5 [ ] 5</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Locating Information</th>
<th>Score:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>3 [ ] 6</td>
</tr>
<tr>
<td></td>
<td>4 [ ] 4</td>
</tr>
<tr>
<td></td>
<td>5 [ ] 5</td>
</tr>
</tbody>
</table>

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Modified Participant Documentation and Case Management Guidance  
March, 2015

The MoHealthWINs, MoManufacturingWINs, and MoSTEMWINs (a/k/a “Grant”) programs are required to serve target populations which include Trade Adjustment Assistance eligible participants, veterans, unemployed participants, underemployed participants and low skilled participants. There is flexibility to include a broad spectrum of individuals (as participants) from varied socioeconomic backgrounds for training purposes.

**Target Populations**

Grant training programs must give priority for training to the following target population participants:

<table>
<thead>
<tr>
<th>Target Population Segment</th>
<th>Description</th>
<th>Eligibility Determination Grant Partner</th>
<th>Source Documentation</th>
</tr>
</thead>
<tbody>
<tr>
<td>1) Trade Adjustment Assistance</td>
<td>This category includes individuals who: have lost their job, through no fault of their own (due to lack of work), as a result of foreign trade.</td>
<td>State Merit Staff and Mo Career Center Staff</td>
<td>TRA6 Form; TRA18 Form; TRA22 Form; Cover Letter</td>
</tr>
<tr>
<td>2) Veteran Status</td>
<td>This category includes individuals who: have served at least one day in the active military, naval, or air service, and who were discharged or released under conditions other than dishonorable.</td>
<td>Mo Career Center Staff</td>
<td>DD-214 Form; Cross match with veterans data; Letter from Veterans’ Administration</td>
</tr>
</tbody>
</table>

The Jobs for Veterans Act (Pub. L. 107-288) requires priority of service to veterans and spouses of certain veterans for the receipt of employment, training, and placement services in any job training program directly funded, in whole or in part, by DOL. The regulations implementing this priority of service can be found at 20 CFR part 1010. In circumstances where a grant recipient must choose between two qualified candidates for training or a service, one of whom is a veteran or eligible spouse, the Veterans Priority of Service provisions require that the grant recipient give the veteran or eligible spouse priority of service by admitting him or her into the training program or providing service. To obtain priority of service a veteran or spouse must meet the program’s eligibility requirements. Grantees must comply with DOL guidance on veterans’ priority.
| 3) Unemployed | This category includes individuals who have been terminated or laid off, or have received a notice of termination or layoff; employed at a facility at which the employer has made a general announcement the facility will close within 180 days; self-employed (including employment as a farmer, a rancher, or a fisherman) but unemployed as a result of general economic conditions or natural disasters; and a displaced homemaker and can benefit from training that will help them enter or advance in the healthcare industries. | Mo Career Center Staff
If a College staff aids the participant with self-enrollment in Toolbox2.0 the participant must be referred to Mo Career Center for final eligibility determination, unless a Regional MOU between the grant College and WIB has authorized otherwise. | Pay stub.
Employer Verification.
State MIS.
Case Notes for current WIA Participants.
Rapid Response List.
Notice of Layoff.
Public Announcement with follow-up cross-match with UI records.
Public Assistance Records.
Applicant Self Attestation. |
| 4) Under-employed | An individual who is working part-time but desire’s full time employment, or is working in employment not commensurate with the individual’s demonstrated level of educational and/or skill achievement. | Mo Career Center Staff
If a College staff aids the participant with self enrollment in Toolbox2.0 the participant must be referred to Mo Career Center for final eligibility determination, unless a Regional MOU between the grant College and WIB has authorized otherwise. | Pay stub.
Employer Verification.
State MIS.
Case Notes for current WIA Participants.
Rapid Response List.
Notice of Layoff.
Public Announcement with follow-up cross-match with UI records.
Public Assistance Records.
Applicant Self Attestation. |
5) Low-Skilled

An individual will be required to demonstrate college readiness for placement into college level coursework, (typically coursework numbered 100 level or above) as defined in the Missouri Community College Readiness Standards. Individuals scoring below the designated cut-off score for any area will be defined as “Low-Skilled” for the purposes of Grant eligibility.

All Grant participants will be assessed through the use of WorkKeys/NCRC assessment in each of the following areas: Applied Mathematics, Locating Information, and Reading for Information. Individuals scoring below a level 5 for any NCRC/WorkKeys area will be defined as “Low-Skilled” for the purposes of Grant eligibility.

Since Grant programs also serve GED seeking participants, low skilled adults as defined by the US Dept. of Education- students who, for whatever reason, are not enrolled in secondary school and lack the sufficient mastery of basic educational skills and do not possess a secondary school diploma or it’s recognized equivalent. Not having a high school diploma or its equivalent is by definition, low skilled. These participants will be assessed with a tool that will determine exactly what general, basic skills need remediation. Tests of Adult Basic Education (TABE) are currently used by high schools, MO Career Centers and Adult Education programs. This assessment test is aligned with the National Reporting Standards for education.

Participant Specifications:

- MoWINs participants are required to be entered into www.jobs.mo.gov/Toolbox by either the Community College or the local career center staff.
- All participants will be informed they are participating in the TAACCCT Grant program.
- The Grant programs are required to obtain personal information on all participants being referred in the program in order to track program performance outcomes.
- Veteran’s Priority source documentation would be dd-214, Cross match with Veterans Data State MIS records.
- Selective Service registration validation on most males born after December 31, 1959 who are 18 but not yet 26 years old.
Student Files
A hard copy (or electronic versions) file for each program participant shall be created and maintained by each Grant consortium college training provider during the duration of the TAACCCT grant. The file should be identified as a Grant program participant with the student’s name.

The student file should include the following information:

Admissions Documentation
1. Completed Grant Participant Intake Form
2. Verification of Selective Service Registration (male students)
3. Copy of participant’s Social Security card (social security number). While SSN’s are not a grant eligibility requirement nor can grant services be denied if a participant refuses to provide the SSN, some programs of study do require SSNs for program admissions in order to perform background checks and drug testing for certain health occupations that require clinicals.
4. If a participant/student is identified as one of the priority populations (i.e., one of the population segments identified) include source documentation records to verify priority population status
5. Copies of pertinent financial aid documentation – if applicable (e.g., FAFSA, etc.)
6. Copy of applicable program admissions notification(s) from training provider
7. Identification of program/course/educational path being taken by participant/student
8. Any pertinent verification of employment documentation (i.e., copy of pay stub)

Subsequent Documentation:
1. Final grade reports upon completion of training/education
2. WorkKeys/NCRC Scores
3. Copy of Certificate of Completion, Proficiency, etc. related to successful completion
4. Notations – Any pertinent comments applicable to the training participant (e.g., if they exit the program early potential reasons/issues as to why?)

All participant/student files will need to be stored in a secure environment due to the personal nature of the information.

Participant Case Notes Management
All MoWINs consortium colleges are required to maintain accurate, adequate and timely case notes on every grant participant. These will be monitored by the USDOL Federal Project Officer. This monitoring review will involve college participant files and/or Mo Career Center files, whether that is electronic or paper. Case notes record important details about grant services provided to grant participants. Case notes supplement and synthesize information on a participant’s strengths and needs in a range of areas to provide a justification for specific services and activities provided. In addition, case notes can sometimes serve as documentation of factors affecting a participant’s eligibility or other important information. Finally, case notes record details of a participant’s participation levels in the TAACCCT grant activities and progress toward his or her employment and educational goals. Purposeful, clear and consistent case notes are a must. Without these the grant is at real risk for questioned and potentially disallowed costs.

Case notes support:
- Eligibility determination
- Clearly define the grant participants educational plan and goals
- Describe the outcomes
- Maintain participants grant activities and services received
- Address participant’s exit
Six elements of good grant participant case note:

1. Focuses on the grant participant.
2. Describes the grant service provided.
3. Identifies the next step and participant’s involvement.
4. Tracks grant funding and non-grant funding associated with the participant.
5. Tracks grant staffing assigned to aid the participant in providing quality service.
6. Aids in grant compliance monitoring.

Reference the Grant Technical Assistance page for further guidance in quality grant participant case note management at www.mccatoday.org.

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### Veterans/Spouses Enrolled in MoSTEMWINs as of July 12, 2016

<table>
<thead>
<tr>
<th>College</th>
<th>Number Enrolled</th>
</tr>
</thead>
<tbody>
<tr>
<td>Crowder College</td>
<td>13</td>
</tr>
<tr>
<td>East Central College</td>
<td>13</td>
</tr>
<tr>
<td>Jefferson College</td>
<td>5</td>
</tr>
<tr>
<td>Metropolitan Community College</td>
<td>9</td>
</tr>
<tr>
<td>Mineral Area College</td>
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<tr>
<td>Moberly Area Community College</td>
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<tr>
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<td>Ozarks Technical Community College</td>
<td>5</td>
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<tr>
<td>St. Charles Community College</td>
<td>16</td>
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<tr>
<td>St. Louis Community College</td>
<td>4</td>
</tr>
<tr>
<td>State Fair Community College</td>
<td>4</td>
</tr>
<tr>
<td>State Technical College of Missouri</td>
<td>8</td>
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<td>Three Rivers College</td>
<td>0</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>86</strong></td>
</tr>
</tbody>
</table>
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As stated in TEGL 10-09, issued November 10, 2009, “Priority of service means that veterans and eligible spouses are given priority over non-covered persons for the receipt of employment, training, and placement services provided under a qualified job training program. Priority means that veterans and eligible spouses are entitled to precedence over non-covered persons for services. This means that a veteran or an eligible spouse either received access to a services earlier in time than a non-covered person or, if the resource is limited, the veteran or eligible spouse receives access to the service instead of or before the non-covered person.

It is important to note that state and local program operators do not have the discretion to establish further priorities within the overall priority established by the regulations. The Jobs for Veterans Act reserves that authority to the Secretary of Labor and it was not exercised in the current regulations.

For a service such as classroom training, priority of service applies to the selection procedure, as follows. First, if there is a waiting list for the formation of a training class, priority of service is intended to require a veteran or eligible spouse to go to the top of that list. Second, priority of service applies up to the point at which an individual is both: a) approved for funding; and, b) accepted or enrolled in a training class. Therefore, once a non-covered person has been both approved for funding and accepted/enrolled in a training class, priority of service is not intended to allow a veteran or eligible spouse who is identified subsequently to “bump” the non-covered person from that training class. Section 10 of this policy guidance provides additional detail regarding the ways that priority of service applies in the context of other statutory and discretionary priorities.”

Participant signature ___________________________ Date ________________________

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VETERANS PRIORITY OF SERVICE POLICY

Please sign and date at the bottom after reading.

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__________________________________________    __________________
Student signature        Date

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Priority Population Source Verification Form

Name ___________________________________ Student ID # ______________________________

____ Trade Adjustment Assistance
   ____ TRA6 Form
   ____ TRA18 Form
   ____ TRA22 Form
   ____ Cover Letter

____ Veteran Status
   ____ DD214

____ Unemployed
   _____ Provided Documentation, (Pat stub, Employer Verification, State MIS, Case Notes for Current WIA
   Participants, Rapid Response List, Notice of Layoff, Public Announcement with follow-up cross-match with
   UI Records, Public Assistance Records)
   _____ Applicant Self Attestation – Signature __________________________ Date ________

____ Underemployed
   _____ Provided Documentation, (Pat stub, Employer Verification, State MIS, Case Notes for Current WIA
   Participants, Rapid Response List, Notice of Layoff, Public Announcement with follow-up cross-match with
   UI Records, Public Assistance Records)
   _____ Applicant Self Attestation – Signature __________________________ Date ________

____ Low Skilled
   _____ NCRC/ WorkKeys Assessment below 5 in one category
   _____ Compus/ACT/Accuplacer Score

**Attach a copy of employment verification if needed**

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__________________________________________    __________________
Student signature        Date

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State Fair Community College
MoSTEMWINs
Student Folder Checklist

Student’s Name ________________________________________________

Program of Study ____________________________________________

Start Date ____________________________

- Enrollment/Intake Form
- Consent Form
- Registered in Tool Box
- Copy of Social Security Card – If needed
- Admissions, Financial Aid and WorkKeys Form
- Program Application – If needed
- Priority Population Source Verification
- Veterans Priority of Service Policy
- Employment Verification – If needed
- Went Over Real Time Labor Market Pathway Summary
- Met with Student Career Services – Date __________
- Career Path Form
- SFCC Degree Audit
- Orientation - Date ______
- Program Admissions Notification – If needed
- Graduation Packet
- Exit Interview (Put any employment information on Career Path Form)
- Final Grade Reports
- Copy of each Certificate of Completion/Proficiency
- All Case Notes are up to date in Starfish
- Notations – Any pertinent comments applicable to training participant (e.g.,
  If they exit the program early potential reason/issues as to why, etc.).

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OVERVIEW

The purpose of this document is to provide guidance for the financial, budgeting, and general management of federal grants at North Central Missouri College. It is the responsibility of Project Directors of federal grants to ensure that grant employees are knowledgeable of College and program guidelines, procedures, and policies and that all grant activities adhere to applicable federal and College regulations/policies. In addition to this document, NCMC federal programs may have separate, more detailed policies and procedures outlined in their respective handbooks.

FEDERAL GRANT APPLICATION PROCEDURES

North Central Missouri College (NCMC) may receive federal grant awards as a result of the processes listed below:

1. Direct application by the College for the grant
2. Sub-recipient award through a prime recipient of a grant
3. Pass-through award from another agency

The management of a grant award is based on the requirements of OMB 2 CFR Parts 215 and 220 (Cost Principles for Educational Institutions), OMB circular A-133 (Audits of States, Local Governments, and Non-Profit Organizations), and other, additional guidelines that may be imposed by the awarding agency.

For each federal grant proposal there is a designated Project Director who is responsible for the development of the grant application. The Dean of Instruction or Dean of Student Services should be consulted during the grant development process, with final approval of the proposal being made by the Vice President and/or President.

Revised 7/5/2016
STANDARDS FOR FINANCIAL MANAGEMENT

Budgeting

Project Directors are responsible for the development of a grant budget during the application process as well as on an annual basis. The applicable Dean and Vice-President should review all budgets and budget narratives prior to submission of a proposal and on a yearly basis. This review process should include verification that proposed costs are:

- Realistically estimated, reasonable, allowable, and allocable to the project per OMB 2 CFR Parts 215, 220 (Cost Principles for Educational Institutions)
- In accordance with program proposals and objectives
- Clearly required for the project
- Consistent with the budget and justification for the project
- Incurred within the project time period
- And in accordance with federal, state, and College regulations and policies

A budget is submitted with a grant application and is considered an integral part of the grant award. A budget may be submitted either prior to or after the award is made for a sub-recipient or pass-through grant award, but will require approval of the awarding agency. Each grant award will have specific guidelines regarding budget changes. Some proposed changes will require written approval of the funding agency and some will not, and some may have specific time constraints. The Project Director must be cognizant of and adhere to the requirements of the grant.

Financial Management System

Upon notification that a proposal is awarded, the Project Director will forward a copy of the award notification, proposal, and budget to the Business Office. To ensure proper tracking of grant funds, the Business Office staff will establish unique general ledger accounts within the College’s accounting system that will allow for the proper identification of:

- CFDA Title and Number
- Federal Award Identification Number (FAIN)
- Fiscal Year of Award
- Name of Federal Agency
- Name of the Pass-Through Entity
General ledger account numbers that include a program number specific to the grant will be set up in the Restricted Fund of the College. Grant revenue and all expenditures and financial transactions of the grant will be recorded in these accounts.

To facilitate proper monitoring of the grant budget, the Business Office will provide to Project Directors monthly transaction/financial reports that show disbursements of grant funds and receipt of grant revenues by general ledger account number. Reports and statements may also be produced to show line-item budget amount, expenditures, encumbrances, remaining budget balance, and percent of budget expended and/or encumbered.

**Expenditures**

The Project Director is responsible for the initiation and approval of all grant expenditures according to NCMC Policy 6.4.00 Purchasing/Expenditure and Investment, and is responsible for the adherence to OMB 2 CFR Parts 215 and 220 (Cost Principles for Educational Institutions) as well as the specific terms of the approved grant proposal and sponsoring agency. All expenditures paid with federal funds require a review of eligibility on SAM.gov. The Project Director will review SAM.gov to ensure that sub-awardees and contractors for goods and services have not been debarred or suspended from receiving Federal funds (29 CFR 95.13 Debarment and suspension also, UG 200.212). The SAM.gov verification form will be downloaded and saved on file as supporting documentation. The Project Director must ensure that the most restrictive purchasing guidelines are followed. NCMC pays for all approved expenditures through the college’s established payables and payroll processes. Expenditures cannot be made against a grant prior to the beginning of the grant period unless the awarding agency specifically permits pre-award costs. Making large equipment or supply purchases near the end of a grant simply to exhaust funds is an unacceptable practice. The Project Director must avoid acquisition of unnecessary or duplicative items, should consider procurement methods that obtain the more economical purchase, and will analyze lease versus purchase alternatives when appropriate.

**Supporting Documentation for Expenditures**

Supporting source documentation for all grant expenditures must be retained and be available for audit. The authorization to purchase and proof of purchase are required. Following is a list of documents (may not be all inclusive) that may be applicable to a grant expenditure.

1. Competitive bid file
2. Approved purchase order
3. Receiving or packing slip
4. Signed invoice
5. Location of equipment (for physical inventory)
6. Contract of employment or Letter of Intent
7. Monthly time and effort report
8. Hourly time sheet

Revised 7/5/2016
9. Seminar brochure/meeting agenda  
10. Paid receipt  
11. NCMC internal report of postage charges  
12. NCMC internal report of number of copies made  
13. NCMC bookstore receipts  
14. Evidence of SAM.gov review, as required

Unallowable Cost Information: OMB 2 CFR Parts 215 and 220 Guidance

OMB 2 CFR Parts 215 and 220 define various activities and objects as either allowable or unallowable for reimbursement by the government. It describes the allowability of costs as follows: they must be reasonable; they must be allocable to sponsored agreements under the principles and methods provided herein; they must be given consistent treatment through application of those generally accepted accounting principles appropriate to the circumstances; and they must conform to any limitations or exclusions set forth in these principles or in the sponsored agreement as to types or amounts of cost items.

Costs defined as unallowable under OMB 2 CFR Parts 215 and 220 are not necessarily expenses that are prohibited. Some may be related to essential institutional functions; however, by identifying them as unallowable, the government has stated that federal funds may not be used to pay for these expenses. They may not be charged as direct or indirect costs, nor may they be counted as cost sharing on federally sponsored projects. For more information, refer to the full text of the Circular. Also, agencies and sponsors may have identified specific costs as unallowable. Project Directors are responsible for ensuring all grant expenditures are allowable.

Personnel Expenses

The approved budget for a grant identifies the personnel positions, full time or part- time, and salary to be paid with grant funds. The College may have current personnel who will fill these positions or may hire additional personnel.

In accordance with OMB 2 CFR Parts 215 and 220, all personnel who are paid with federal grant funds prepare a monthly time and effort report which reflects an after-the-fact percentage distribution of their actual activity for the month. The reports are submitted by the employee and verified by the Project Director/Manager or in the case of the Project Director, by the Project Director and their direct supervisor. These reports are filed in each employee’s payroll record, with copies maintained by the Project Director.

Should a full time employee of the College work part-time in a grant and part-time in another department of the College the salary and benefits will be allocated appropriately between the two areas.

Revised 7/5/2016
Salaries of administrative and clerical staff should be treated as indirect unless all of the following are met:

- Such services are integral to the activity
- Individuals can be specifically identified with the activity
- Such costs are explicitly included in the budget
- Costs are not recovered as indirect

**Equipment**

1. Any single item purchased with federal grant funds over $5,000 having a useful life of more than one year is considered to be equipment under OMB 2 CFR Parts 215 and 220.
2. All equipment purchased by federal grant funds must be recorded and tracked by the Project Director, who will also conduct a physical inventory in June of each fiscal year. Equipment logs/records must also be provided to the Business Office each June to ensure that the college capital asset records are properly updated.
3. Equipment purchased by federal grant funds must be assigned a unique inventory number, which is also placed on the piece of equipment for identification. The record of a piece of equipment will also include a description of the equipment, serial number (or other identifying number), acquisition date, cost of the equipment, location of the equipment, and disposition (if applicable).
4. At the close-out of a grant, the Project Director will review all equipment purchased with federal funds to ensure proper future use or disposition after the grant period has ended.

**Travel**

Travel that is required as part of the grant program activities will be included in the approved budget. Guidelines for requesting approval for travel and for reporting travel expenses for reimbursement are included in NCMC Policy 6.12.00 Travel.

**Cash Management**

NCMC utilizes the reimbursement payment method for the transfer of funds from the United States Treasury or from the designated fiscal agent for a grant. This means that college funds are used to pay for grant expenditures as they occur, with NCMC requesting grant funds on a reimbursement basis. The method of requesting the funds and the agency from which the funds are requested will vary depending on the type of grant. All grant funds are requested and

Revised 7/5/2016
received through the business office. The following information details the procedures according to the type of grant.

TRiO Programs

The Student Support Services Grant and Upward Bound Grant are both TRiO program grants awarded by the U. S. Department of Education following a comprehensive application process. The grant funds are available through the U. S. Department of Education G5 online cash management website. Each month Business Office Staff print a transaction report which details the current grant expenditures and revenues. This report is reviewed and totaled and the funds expended in excess of revenues are requested through the DOE G5 website.

Procedures for requesting funds from the DOE G5 website:

1. Record the amount to be requested in a Journal Entry by date requested and program for which requested.
2. Access the G5 website (username and password required), choose payment request, verify sufficient funds are available in the program balance, enter amount requested, choose continue, verify again the request being made, check that funds will be expended within three days, and choose submit.
3. Print the funds requested information, which includes the date of posting to NCMC’s bank account, from the DOE G5 website.
4. Funds are transmitted by ACH into the College’s operating account on the next business day or the date requested.
5. A copy of the Journal Entry, accounting system reports, and G5 request confirmations are provided to the Director of Business to verify receipt of funds and record in college’s accounting system.

Procedures for requesting TRiO funds from the USDA SFSP:

1. Application is submitted each summer for summer funding by Project Director.
2. At the end of each summer session a report is sent to the USDA regarding student usage.
3. Upon approval of the usage report, the USDA transfers funds to NCMC.
4. Invoices for services provided by Great Western Dining are submitted and retained.

Head Start

The Head Start grant is awarded by the U.S. Department of Health and Human Services. Funds for grants awarded through the Department of Health and Human Services are requested through the Division of Payment Management (DPM). Each month the Director of Business will
print a transaction report which details the expenditures for the month. This is reviewed and totaled and the funds expended are requested through the DPM system.

Procedures for requesting funds from the DPM system:

1. The Director of Business draws down funds immediately before releasing the funds. Funds must be received at the college’s bank before the checks clear, but not earlier than needed. Funds drawn down are deposited into the Head Start bank account by ACH on the following business day, as long as the request is completed by 4:00 p.m. CST. Funds are usually ordered the day before Accounts Payable checks will be released, or even the same day they are mailed.

2. For Payroll, funds are drawn down 1-2 days before Payday to cover the paper checks. Funds must be ordered 3 days before Payday, or earlier if possible, to cover the direct deposit payroll because the bank looks for funds availability when processing the direct deposit file, and the file goes to the Federal Reserve 2 days before Payday.

3. For the EFTPS (Federal Income, FICA & Medicare tax payment), funds are drawn down along with the direct deposit Payroll money. Funds to cover the reimbursement to the College for SIT (State Income Tax) and insurance are also drawn down at this time.

4. To determine how much money to order, a spreadsheet is prepared showing month-to-date cash inflows and outflows. The cumulative difference in Funds 1 through 4, rounded to the next dollar, should be the amount to order. This ensures that cash provided by USDA, other revenue (program income), and interest is used first. Except for some Accounts Payable amounts, all expenses and associated drawdowns will be posted to Fund 1. For each Accounts Payable check run, use the “Check Distribution Report” to identify which “funds” are affected. If the third segment of the debit account is 900-940, 970 or 975, this indicates Fund 1, and the drawdown should be posted to #32/42-000-971-43235. If the third segment of the debit account is 950, this indicates Fund 2, and the drawdown should be posted to #32/42-000-972-43235. If the third segment is 960, this indicates Fund 3, and the drawdown should be posted to #32/42-000-973-43235. If the third segment is 974, this indicates Fund 4, and the drawdown should be posted to #32/42-000-974-43235.

5. Go to the DPM Website → Payment Management System Logon Link → Payment Management System → user name 1D71G → password (see “Head Start Ordering Money” manila folder → Click “Enter Payment Management System” → Payment → Request for Payment → 1D71P → click “Account.” Check-mark the box indicating that personal information is correct, or update the information as needed. Payment Due Date is next business day, even if ordering after 4:00 pm CST and know that the payment will take two days. Expected Disbursement Amount and Payment Request Amount are the same. Cash on Hand is always zero. Click “Continue.” For Year 44, check-mark the box for “07CH709001,” click “SubAmount,” and enter the amount again under “SubAcct Amt...”
Requested.” If everything looks correct on the next screen, print it and click “Request Payment.” A confirmation number will be provided, along with a message saying either that the request is in process, or that it is in the holding file. If in the holding file, the college is supposed to receive the money the next day unless DPM calls by the end of the day when ordered. Record the request on the log also located in the “Head Start Ordering Money” manila folder.

6. The screen shows the “Net Funds Available” before today’s drawdown. Look at the “Net Funds Available” from the previous drawdown and subtract the amount of that drawdown. If the difference is not today’s “Net Funds Available” amount, determine why. It could be a new award, or interest reported on an SF-425 report being deducted from the Net Funds Available. Inquiries on the DPM website can help locate a transaction that has affected the balance.

7. For checks and balances, the Head Start Director and the CFO monitor the expenses and revenues. The Head Start Director receives from the CFO a monthly Progress Report (Profit & Loss Statement). The CFO reviews the bank reconciliation prepared by the Director of Business.

Sub-Recipient of Grant Funds

An agency may be awarded a federal grant as the prime recipient of the grant, and that agency will award some (or all) of the grant funds to NCMC, which is designated as a sub-recipient of the grant. Typically the sub-recipient is responsible for all required stipulations of the grant except for the prime recipient reporting requirements. The prime recipient will implement additional reporting requirements for the sub-recipient for the purpose of monitoring the program’s progress, the reporting requirements, and the grant fund expenditures. The Project Director of the sub-recipient grant is responsible to both the awarding agency and the prime recipient for adhering to all stipulations of the grant award and the sub-recipient reporting requirements. The request for grant funds is made to the prime recipient. Each billing period the Director of Business will print a Detailed Trial Balance report which details the expenditures for the period. This is reviewed and totaled and the funds expended are requested through the process identified in the sub-recipient grant award.

General procedures for requesting funds as a sub-recipient are outlined below. As each sub-recipient arrangement is unique, detailed procedures are to be developed for each.

1. The prime recipient will implement the procedures by which the sub-recipient will request grant funds, including the design of the grant funds request form, method of transmitting the request form to the prime recipient, method of transmitting requested grant funds to the sub-recipient, and the timeframe for transmitting the funds. All of these procedures will be guided by the requirements of the grant awarding agency to which the prime recipient is responsible.

Revised 7/5/2016
2. The Project Director and assigned business office staff will be cognizant of the procedures and will complete the request of funds form as directed and submit by the date required.

3. The Project Director will review all requests for funds prior to being submitted to the prime recipient.

4. Assigned business office staff will forward requests for funds to the prime recipient.

5. The prime recipient will forward the requested grant funds to the sub-recipient.

Pass-Through Award

The College receives Perkins Funds which are passed through the Missouri Department of Elementary and Secondary Education. The procedures for requesting funds for current pass-through awards are detailed below.

Procedures for requesting Perkins funds from DESE:

1. The Business Office provides a detailed transaction report to the Project Director which details the expenditures for the period. This is reviewed and the supporting documentation for each expenditure is gathered and reviewed for accuracy and budget eligibility.

2. The Project Director will then access the secure DESE ePeGS website (username and password required) and submit a payment request for the expenditure amount during that period. At the end of the DESE fiscal year, a Final Expenditure Report is submitted as the final payment request and year-end summary of expenditures.

3. Funds are then transmitted by ACH into the College’s operating account, generally received within 30 business days.

4. A copy of the payment request and supporting documentation are then kept on file for any subsequent monitoring.

Workforce Investment Awards

The College receives multiple Workforce Investment grants through the Missouri Department of Labor (DOL). The procedures for requesting funds for Workforce Investment awards are outlined in the Northwest Workforce Investment Board Financial Management-Accounting Procedures handbook.

REPORTING

Revised 7/5/2016
The grant document will include reporting requirements, which will vary according to the type of grant and the awarding agency. Usually there are required performance or progress reports that relate to the purpose and goals of the grant and fiscal reports which detail the expenditures of the grant. Reporting may be required on a monthly, quarterly, or annual basis, or may include all of these time periods. The Project Director will prepare or oversee the preparation of all required reports, making sure each one is filed on or before the due date. Fiscal reports may be filed by the business office after review with the Project Director, with copies provided to the Project Director. Usually all grant awards will require final, comprehensive reports, which may be descriptive of the goals accomplished and/or an analysis of the budget and expenditures of the grant.

ELIGIBILITY OF SERVICES

The Project Director will ensure that participants receiving federal grant services/funds meet all eligibility and certification requirements and will appropriately document those requirements with each participant. All eligibility documentation is to be kept in a safeguarded area and access limited to appropriate employees.

Procedures for determining student eligibility and disbursements to award recipients are unique to each grant. Project Directors must ensure to clearly communicate criteria to employees at the beginning of the grant period and as needed.

CONFLICT OF INTEREST

All NCMC employees are required to comply with NCMC Policy 3.1.00 Ethics, which includes specific guidelines on Conflicts of Interest (3.1.20) and Federal Awards Code of Conduct (3.1.23)

RETENTION OF RECORDS

Federal agencies awarding grants and the State of Missouri both have retention guidelines regarding grant records. The College complies with both federal and state retention requirements, which may overlap or may be more stringent with one agency than the other.

Grant narrative reports which document the attainment of project goals and completion of activities as detailed in the funded grant application are permanent records. Grant administrative files (applications, correspondence, financial records, supporting documentation, etc.) which document routine activities and compliance with program requirements are temporary records which should be retained five years after the date the final expenditure report is filed.

Revised 7/5/2016
FINANCIAL OPERATION

Revenue

Federally Funded Projects

The Board recognizes that in many cases there is value to the College and its constituency in seeking federal funds for special programs where such funds and programs are compatible with the College’s philosophy, mission and goals. However, federal funds awarded to colleges are intended to extend institutional funds, not supplant them. Proposals submitted for federal funds will comply with Board policy.

Therefore, it is the policy of the College, in accepting federally funded projects, that all approved federal projects shall include, in some form, College funding either in matching or in kind.

In contracting with and expending federal grant funds, College officers, administrators, employees and agents shall neither solicit nor accept gratuities, favors or anything of monetary value from contractors or potential contractors. Any officer, administrator, employee, or agent violating this prohibition shall be subject to dismissal.

Also, in expending federal grant funds, contractors, their employees, and agents who have been awarded contracts from the College, or who are seeking contracts from the College, shall neither offer nor give gratuities, favors, or anything of monetary value to officers, employees, or agents of the College. Any contractor, directly or through its officers, employees, or agents, who violates this prohibition shall be deemed not to be a responsible bidder and that contractor’s bid on the current project (if such violation is discovered prior to the awarding of the contract) shall be rejected; further, in the discretion of the College, the contractor’s bids on future projects may be rejected.

All activities paid with federal funds require a review of eligibility on SAM.gov. The Vice President for Finance and Administration will review SAM.gov to ensure that sub-awardees and contractors for goods and services have not been debarred or suspended from receiving Federal funds (29 CFR 95.13 Debarment and suspension also, UG 200.212). The SAM.gov verification form will be downloaded and saved on file as supporting documentation.

(approved 7-26-16)
MoWINs Financial Reporting Policy

Background:

As consortium members of the U.S. DOL, TAACCCT, Round IV grant we all have responsibility to consistently report accrued expenditures which flow from our reimbursement requests to the ETA 9130 report prepared by the lead institution.

Current regulatory requirements:

§95.21 Standards for financial management systems. Also UG 200.302 (b),(2)

(b) Recipients' financial management systems shall provide for the following:

(1) Accurate, current and complete disclosure of the financial results of each federally-sponsored project or program in accordance with the reporting requirements set forth in §95.52. Though DOL requires reporting on an accrual basis from a recipient that maintains its records on other than an accrual basis, the recipient shall not be required to establish an accrual accounting system. These recipients may develop such accrual data for its reports on the basis of an analysis of the documentation on hand.

Policy:

All consortium colleges are required to submit the “Consortium Sub-grantee Reimbursement Request” form along with supporting documentation for all expenditures either on a monthly or quarterly basis. On the form is a line to report accrued expenditures for current period accruals. As a requirement for reporting quarterly financial performance to the Department of Labor on the ETA 9130, we must report accrued expenditures, quarterly. An accountant must initial the accrued expenditure line item.

Guidance:

What is an accrued expenditure and where do I report accrued expenditures to the Consortium Lead Institution? Accrued expenses are recorded in the period they occur, whether or not cash is involved. Let’s use payroll as an example. College A has a bi-weekly payroll and everyone is Exempt (salaried). The last payroll recorded in the general ledger through normal processing occurs on pay date June 24, 2016 for wages earned through June 18th. The next payroll is July 8th for pay period ending July 2nd. As of June 30, 2016 we would record an accrual (Journal Entry) for the payroll earned not yet recorded for 9 days (June 20th thru June 30, 2016). This should be reflected in the general ledger. At this point these expenses would be included in your salary category for reimbursement for period ending June 30, 2016 and you would not report any accrued expenditures on the reimbursement form. On the other hand, let’s say there was no accrual for salary expenses recorded in your general ledger or reported in your salary category line item on your June 30, 2016 reimbursement report for the 9 days of June 20, 2016 thru June 30, 2016. In this scenario you would report a salary expense accrual based on a calculation of salary earned not yet paid for 9 days on the line for Accrued Expenditures, on your reimbursement form.

MoWins Grant Office: Liz Roberts, lizroberts@mccatoday.org, Dawn Busick, dawn.busick@mccatoday.org
Metropolitan Community College: Susan Serrano, susan.serrano@mcckc.edu, Daphne Lewis, daphne.lewis@mcckc.edu
From: Susan M. Serrano <Susan.Serrano@MCCKC.EDU>
Sent: Thu 7/7/2016 5:04 PM
To: Annette Moore <annette.moore@eastcentral.edu>; Barb Alden <balden@mail.ncmissouri.edu>; Charlotte Eubank <ceubank@trcc.edu>; Chasity Daniels <danielsc@otc.edu>; Christina Cullers <christinacullers@crowder.edu>; Diane Brockman <dbrockman@sfccmo.edu>; Gary Steffes <garys@macc.edu>; Janice Lentz <jlentz@jeffco.edu>; Jason Alford <jalford@trcc.edu>; Jenny Jacobs <jenny.jacobs@statetechmo.edu>; Kelly Deloch <kdeloch@stlcc.edu>; Kimberly A. Thomas <thomask@otc.edu>; Marla Moody <moodym@otc.edu>; Phil Pena <philip.pena@eastcentral.edu>; Richard Hardin <rhardin@jeffco.edu>; Rick Jenkins <rjkins@mineralarea.edu>; Shirley Hofstetter <shofstetter@mineralarea.edu>; Susie Rubemeyer <srubemeyer@stchas.edu>; Tisha Pruitt (lpruitt1@jeffco.edu); Tyson Otto <otto@mcatoday.org>
Cc: ‘Dawn Busick’ <Dawn.busick@mccatoday.org>; ‘Liz Roberts’ <Liz.roberts@mccatoday.org>; Daphne Lewis <Daphne.Lewis@MCCKC.EDU>; Patricia Amick <Patricia.Amick@MCCKC.EDU>; Amanda Sizemore <asizemore@stchas.edu>; Amy Wise <amyf@macc.edu>; Bev Hickam <bhickam@mineralarea.edu>; Brittany Simpson <brittany.simpson@crowder.edu>; Chris DeGeare <cdegear1@jeffco.edu>; David Burk <dburk@trcc.edu>; Dean Whitlow <dwhitlow@otc.edu>; Diane Lee <dlee@stlcc.edu>; Edward Stephens <edwardstephens@crowder.edu>; Frances Boswell <frances.boswell@statetechmo.edu>; Jason Helton <jhelton@mcatoday.org>; Jo Fey <jof@macc.edu>; Kathy Collier <KathyCollier@crowder.edu>; Kenny Wilson <kwilso20@jeffco.edu>; Laura Klaus <lklaus1@jeffco.edu>; Lori Blalock <lblalock@sfccmo.edu>; Mark Kelchner <mkelchner@sfccmo.edu>; Monica Johnston <Monica.Johnston@MCCKC.EDU>; Nancy L. Russell <nancy.russell@MCCKC.EDU>; Nancy Wiley <nancy.wiley@statetechmo.edu>; Ronda Long <rlongro@otc.edu>; Tammie De Los Santos <tdelossantos@stchas.edu>; Tammy Stowe <tammy.stowe@eastcentral.edu>; Tina D. Langston <tina.langston@MCCKC.EDU>

Subject: Important MoSTEM - Financial Reporting Grant Policy

Dear Consortium Financial and Leads Team Members,

As communicated Monday regarding DOL’s recommendation and required action below, attached is a Financial Reporting Policy that is in “draft” mode. If anyone sees any areas of improvement please email me by July 15th. This policy is effective and should be implemented on the 6-30-2016 reimbursement forms which flow into the ETA 9130 6-30-2016 quarter end report.

Finding # 6 – Lack of Accrual Reporting

- **Required Action:** MCC must ensure that it is reporting all of the grant’s accruals and expenditures on a timely manner. It must update its latest ETA 9130 financial status report to ensure that all accruals are report. In addition, MCC must educate all consortium staff assigned to completing the quarterly reimbursement forms about financial and accounting terms. Terms must be consistent with the OSEP, a copy of the updated financial reporting policy and procedure and evidence that this action has been communicated to all consortium members.

- **Note:** On the reimbursement template there already is a line for accruals. Required on reimbursements going forward, all-inclusive accruals, including salary, benefits and non-salary expenses as of the quarter ending date, (initialed by a staff accountant, controller, or CFO). Please send me your employee payroll schedules by classification, i.e. bi-weekly (Staff, PT hourly), bi-monthly, monthly (Admin, Faculty) (send to Susan Serrano by July 11th).

Thanks for your cooperation.

Susan Serrano, Financial Manager – Restricted Funds
Metropolitan Community College | 3200 Broadway | Kansas City, MO 64111 |
Phone: 816.604.1102 | website: www.mcckc.edu
MoSTEM_WINS TAACCCT Grant  
Agreement #: TC-26470-14-60-A-29  
Consortium Subgrantee Reimbursement Request

<table>
<thead>
<tr>
<th>Example</th>
<th>Purchase ORDER #</th>
<th>74056</th>
</tr>
</thead>
<tbody>
<tr>
<td>Partner Name and Address:</td>
<td>Mineral Area College</td>
<td>Request Number: 6</td>
</tr>
<tr>
<td>5270 Flat River Road, PO Box 1000</td>
<td>Period Covered: 4-1-16 to 6-30-16</td>
<td></td>
</tr>
<tr>
<td>Park Hills, MO 63601</td>
<td></td>
<td>Prepared By:</td>
</tr>
<tr>
<td><a href="mailto:linda@mineralarea.edu">linda@mineralarea.edu</a></td>
<td></td>
<td>Telephone Number:</td>
</tr>
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</table>

<table>
<thead>
<tr>
<th>Cost Category</th>
<th>Budget</th>
<th>Amended</th>
<th>Prior Periods</th>
<th>Current</th>
<th>Cumulative</th>
<th>Budget</th>
</tr>
</thead>
<tbody>
<tr>
<td>Personnel</td>
<td>778,132</td>
<td>737,727</td>
<td>163,543.99</td>
<td>68,268.88</td>
<td>231,812.87</td>
<td>505,913.70</td>
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<tr>
<td>Fringe Benefits</td>
<td>242,258</td>
<td>224,105</td>
<td>44,232.44</td>
<td>16,805.10</td>
<td>61,037.54</td>
<td>163,067.30</td>
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<tr>
<td>Travel</td>
<td>43,958</td>
<td>43,958</td>
<td>6,356.83</td>
<td>5,848.19</td>
<td>12,205.02</td>
<td>31,752.98</td>
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<tr>
<td>Equipment</td>
<td>18,437</td>
<td>76,996</td>
<td>18,151.69</td>
<td>58,843.90</td>
<td>76,995.59</td>
<td>0.00</td>
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<tr>
<td>Supplies</td>
<td>115,659</td>
<td>115,659</td>
<td>11,410.52</td>
<td>17,867.85</td>
<td>29,278.37</td>
<td>86,380.63</td>
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<tr>
<td>Contractual</td>
<td>53,772</td>
<td>53,772</td>
<td>0.00</td>
<td>0.00</td>
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<tr>
<td>Other</td>
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<td>0.00</td>
<td>0.00</td>
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</tr>
<tr>
<td>Indirect</td>
<td>100,257</td>
<td>100,257</td>
<td>19,495.64</td>
<td>13,410.72</td>
<td>32,906.36</td>
<td>67,350.84</td>
</tr>
<tr>
<td>Total</td>
<td>1,353,473</td>
<td>1,353,473</td>
<td>263,191.11</td>
<td>181,044.64</td>
<td>444,235.75</td>
<td>909,237.25</td>
</tr>
</tbody>
</table>

| Percentage of budget expended to date: | 32.82% |
| Percentage of budget committed to date: | 32.82% |

**Other (report summary totals quarterly; detail on file for monitoring)**

<table>
<thead>
<tr>
<th>Prior Periods</th>
<th>Current Period</th>
<th>Cumulative Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Leveraged Resources (please attach summary sheet)</td>
<td>45,921.96</td>
<td>13,896.84</td>
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</tbody>
</table>

**Accrued Expenditures (not included in reimbursement request)**

| Initials (Accountant, Controller or CFO) | N/A |

**Note:** In order to not exceed the cap on Administrative Costs, all dollars allocated as administrative to both direct and indirect costs must be tracked. Supporting documentation must be available for monitoring.

<table>
<thead>
<tr>
<th>Cost Category</th>
<th>Prior Periods</th>
<th>Current Period</th>
<th>Cumulative Period</th>
<th>Total Period</th>
</tr>
</thead>
<tbody>
<tr>
<td>Direct Administrative Costs:</td>
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<td></td>
<td></td>
<td>0.00</td>
</tr>
<tr>
<td>Indirect Administrative Costs:</td>
<td>19,495.64</td>
<td>13,410.72</td>
<td>32,906.36</td>
<td></td>
</tr>
<tr>
<td>Total Administrative Costs:</td>
<td></td>
<td></td>
<td></td>
<td>32,906.36</td>
</tr>
</tbody>
</table>

Certification: I, the undersigned, do hereby certify the following:

1. Costs have been paid as itemized in this request for funds; Admin as % of Direct to Date: 0.08
2. Procurement of goods and services have been made in compliance with all applicable Federal, State, and Local regulations;
3. No payments have been made to disbarred or suspended vendors;
4. Accurate accounting records and supporting documentation are being maintained on site;
5. I am authorized to authenticate and certify this claim.

**Typed Name (Authorized Signature)**

**INSTRUCTIONS:** Please e-mail completed form to: susan.serrano@mcckc.edu

**Metropolitan Community College Internal Use Only:**

**Received/Comments**

**Retain original, signed form & support for on-site monitoring reviews.**
QUARTERLY TIME/EFFORT REPORT

MONTHs/YEAR:
GRANT NAME: MoSTEMWINs
INSTITUTIONAL CONTACT: Lori Blalock (660) 596-7135

EMPLOYEE: Lori Blalock – ID # 000234282
DEPT NAME: Budgeted 100 % MoSTEMWINs
DEPT ACCT: 31680 & 31682

<table>
<thead>
<tr>
<th>DATES WORKED</th>
<th>Percentage of Time</th>
<th>TYPE OF WORK</th>
</tr>
</thead>
<tbody>
<tr>
<td>April 1 – June 30, 2016</td>
<td>95%</td>
<td>Director – MoSTEMWINs Grant</td>
</tr>
<tr>
<td></td>
<td>5%</td>
<td>Option II</td>
</tr>
</tbody>
</table>

TOTAL PAYROLL: $ 10,710
MoSTEMWINs - $10,710 X 95% = $ 10,174.50
Option II - $10,710 X 5% = $535.50

TOTAL FRINGES: $ 3,613.30
MoSTEMWINs - $3,613.3 X 95% = $3432.63
Option II - $3613.3 X 5% = $180.67

EMPLOYEE SIGNATURE: ___________________________ DATE: 7/12/16

SUPERVISOR: ___________________________ DATE: 7-12-16

MoSTEMWINs - Normal duties.
Option II – Attended meetings on Option II Reporting.
Time and Effort Policy and Guidance

All employees performing grant related functions charged to federal grants must provide supporting documentation of time spent on grant activities including proper certifications. Acceptable documentation and examples based by employee classification:

A. Full-time professional or exempt (salaried) employees
   1) Time and Effort Reporting for Employees who are paid 100% from MoSTEM for grant activities. Since your job description and your actual job functions are 100% MoSTEM it is not necessary to summarize activities unless there is a variation of duties. If there is a variation of job function and it is not of remote nature, then the time and effort should reflect the % of time spent between MoSTEM and institutional (non-MoSTEM) activities for the reporting period.

   2) Time and Effort Reporting for Employees whose work effort is split between MoSTEM and other federal or institutional job functions. Since your job description and your related daily functions are split between grant activities, other federally funded activities and/or institutional activities such as Academic, Student Support Services, or Community Partnership functions then you should indicate the percentage of effort split between MoSTEM grant or other federal sources and/or institutional activities on your Time & Effort report. In this situation it is necessary to track activities during the reporting period. You must summarize and describe on your time and effort report when your job functions are split, i.e. 50% MoSTEM and 50% Institutional.

   Appropriate documentation: Time & Effort report to include supervisor, responsible official or grant manager’s review and certification.

B. Full-time faculty
   1) Time and Effort providing instruction to courses that are 100% grant funded programs
   2) Time and Effort split between grant funded and institutional courses to make full load
   3) Overload pay for grant funded courses – based on faculty or adjunct pay scale

   Appropriate documentation: Faculty contract (must indicate 100% grant funded or % split based on total load divided by grant funded course load). Reported July 31 for the current academic year. Supplemental contract for overload pay as supporting documentation. Certification by supervisor, responsible official or grant manager.

C. Part-time (hourly) or adjunct faculty (according to adjunct pay scale)
   1) Part-time faculty with instructional or academic responsibilities performing 100% grant activities, i.e. classroom instruction, course design, curriculum review, etc.
   2) Part-time professional support staff (hourly) performing 100% grant activities, i.e. navigator’s, career coaches, data specialists, etc.

   Appropriate documentation: Time sheet (paper copy or electronic screen shot), including proper approval (supervisor, responsible official or grant manager).

   3)Adjunct faculty - contract documentation to include course name and certification.

MoWins Grant Office: Liz Roberts, lizroberts@mccatoday.org, Dawn Busick, dawn.busick@mccatoday.org
Metropolitan Community College: Susan Serrano, susan.serrano@mcckc.edu, Daphne Lewis, daphne.lewis@mcckc.edu
# Metropolitan Community College
Federal grant-funded MoSTEM WINs

## TIME AND EFFORT REPORT

<table>
<thead>
<tr>
<th>EMPLOYEE NAME:</th>
<th>FISCAL YEAR:</th>
<th>REPORT PERIOD: 1/1/XX – 3/31/XX</th>
</tr>
</thead>
<tbody>
<tr>
<td>TITLE:</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Employee ID number**

## BUDGETED PAYROLL DISTRIBUTION FOR REPORT PERIOD

<table>
<thead>
<tr>
<th>GRANT/FUNDING SOURCE</th>
<th>PERCENTAGES</th>
<th>GRANT/FUNDING SOURCE</th>
<th>PERCENTAGES</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
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</tr>
</tbody>
</table>

100%

## ACTUAL EFFORT DISTRIBUTION FOR REPORT PERIOD

<table>
<thead>
<tr>
<th>GRANT/FUNDING SOURCE</th>
<th>PERCENTAGES</th>
<th>GRANT/FUNDING SOURCE</th>
<th>PERCENTAGES</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

100%

**EXPLANATION** of Federally funded duties and effort vs. Non-federal duties

If the percentages of actual effort distribution for any grant or funding source differ from the budgeted payroll distribution, please make the corrections before certifying below:

- [ ] Employee
- [x] Supervisor
- [ ] Responsible Official

I certify that this report represents a reasonable estimate of the actual effort expended on each grant or funding source as listed above for the period covered by this report.

<table>
<thead>
<tr>
<th>Signature – Employee Name</th>
<th>Title</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Signature – Grant Manager or Immediate Supervisor</th>
<th>Title</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Good-morning,

I’ve attached the new worksheet for reporting unrecovered indirect cost as leverage. Included are two additional columns for you to enter summary leveraged salary and other leverage if you are currently reporting these.

Please update and send with your 6-30-2016 reimbursement request which is also attached to include a review of any reported accrued expenditures by an accountant, controller or CFO.

Note: if you have been charging facilities space this is no longer necessary. Indirect cost rates are used to cover Facilities and Administration costs and are now captured in the new “unrecovered indirect cost as leverage.” I will use your reported values for 6-30-2016, so there is no need to send any corrected forms.

I’m out of the office today, but will return tomorrow to answer any questions.

Have a great day!
Susan
| Request Date    | Period Covered | Total Current Period Reimbursement | Indirect - Reimbursed/Billed | Approved Indirect Cost Rate | Total Allowable Base | Total Allowable Indirect Cost | Current Period Unrecovered Leveraged Resources | Cumulative Indirect Leveraged Resources | Faculty & Staff Leverage Resources | Other Leverage Resources | Total Leverage Resources |
|----------------|----------------|-----------------------------------|-------------------------------|-----------------------------|---------------------|-----------------------------|---------------------------------------------|----------------------------------------|-----------------------------------|-------------------------------|--------------------------|------------------------|
|                |                | % of Total Direct Costs | See Note 2 |                                      |                     |                             |                                      |                                        |                                   |                               |                             |                        |                        |
| Cumm thru      |                | 8%         |                     |                                      |                     |                             |                                      |                                        |                                   |                               |                             |                        |                        |
| 3/31/2016      | 1-1-16 to 3-31-16 | 78,009.64 | 6,240.77  | 40.00%  | 57,193.75  | 22,877.50  | 16,636.73  | 45,921.96  | 45,921.96  | 45,921.96  | 45,921.96  | 45,921.96  | 45,921.96  |
| 6/30/2016      | 4-1-16 to 6-30-16 | 167,633.92 | 13,410.71 | 40.00%  | 68,268.88  | 27,307.55  | 13,896.84  | 59,818.80  | 59,818.80  | 59,818.80  | 59,818.80  | 59,818.80  | 59,818.80  |
| 9/30/2016      | 7-2-16 to 9-30-16 | -           | -           | -           | -           | -           | -           | -           | -           | -           | -           | -           | -           |
| 12/31/2016     | 10-1-16 to 12-31-16 | -           | -           | -           | -           | -           | -           | -           | -           | -           | -           | -           | -           |
| 3/31/2017      | 1-1-17 to 3-31-17 | -           | -           | -           | -           | -           | -           | -           | -           | -           | -           | -           | -           |
| 6/30/2017      | 4-1-17 to 6-30-17 | -           | -           | -           | -           | -           | -           | -           | -           | -           | -           | -           | -           |
| 9/30/2017      | 7-2-17 to 9-30-17 | -           | -           | -           | -           | -           | -           | -           | -           | -           | -           | -           | -           |
| 12/31/2017     | 10-1-17 to 12-31-17 | -           | -           | -           | -           | -           | -           | -           | -           | -           | -           | -           | -           |
| 3/31/2018      | 1-1-18 to 3-31-18 | -           | -           | -           | -           | -           | -           | -           | -           | -           | -           | -           | -           |
| 6/30/2018      | 4-1-18 to 6-30-18 | -           | -           | -           | -           | -           | -           | -           | -           | -           | -           | -           | -           |
| 9/30/2018      | 7-2-18 to 9-30-18 | -           | -           | -           | -           | -           | -           | -           | -           | -           | -           | -           | -           |
|                |                | 411,329.39| 32,906.35 | 231,812.87 | 92,725.15  | 59,818.80  | 59,818.80  | 59,818.80  | 59,818.80  | 59,818.80  | 59,818.80  | 59,818.80  | 59,818.80  |

Note 1: Do not use any lab space (facilities part of indirect)

Note 2: Our indirect base is calculated using Direct Salaries and Wages (see approved negotiated cost agreement)

Highlighted yellow are input cells, all others are formulas
Career/Education Plan - UP Program

Student Name (print) _______________________________  Student ID __________________

Circle one:  BRUSH-UP   or   TEAM-UP/SKILL-UP

Program Start Date: _____________________________  Projected End Date: _________________

WHAT ARE YOUR CAREER & EMPLOYMENT GOALS?

WHAT ARE YOUR EDUCATION GOALS?

_____ complete only a few needed courses  _____ continue with two year Associate’s degree
_____ continue with 1 year college certificate  _____ continue on to obtain a Bachelor’s degree
_____ continue on to obtain a Master’s or higher  _____ I am not sure at this time

Student Signature: _______________________________  Date: ______________

Advisor Signature: _______________________________  Date: ______________

Comments: ______________________________________

______________________________________________________________________________

______________________________________________________________________________

----------------------------------------------------------------- MSW staff follow-up --

Continue Education:
Type of Degree
Program
School
Location

Employment:
Employer Name
Location
Date of Employment
Job Title
Salary

Advisor Signature _______________________________  Date __________________

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Date of Initial Advising: ___________________Advised by: Jeanne Schmidt or George Hudson or ________________

Student Name: ___________________________________________ Student ID#: ____________________________

Program of Study:  Medical Assistant ☐  CSIS Supplemental Instruction ☐

Eligibility:  TAA ☐  Veteran ☐  Unemployed ☐  Underemployed ☐  Low Skilled ☐

Assessments:

Digital Literacy self-evaluation:

☐ Beginner:
I don’t often use a computer or a smartphone

☐ Intermediate:
I know one or more applications such as Word, PowerPoint or Excel. I’ve made documents occasionally in Word or another word processing program. I can get on Internet; I understand basics of how to use Windows; I can check my personal email account and maybe even occasionally use social media sites such as Facebook.

☐ Skilled:
I know all the Microsoft Office programs fairly well (Word, PowerPoint, or Excel) or I know how to use applications in the Cloud such as in Google Drive or OneDrive.
I can save or scan and save files in various locations on a computer/flash drive/in Cloud; I can attach files to emails; I can upload files to online forms.
I can do research using internet search engines such as Google.
I am comfortable filling out forms online.
I can type/keyboard well enough to create documents in a reasonable time and enter words/numbers into online forms.

Digital Literacy Needs self-evaluation. I may need help with--

☐ Keyboarding
☐ Windows Basics
☐ Using the Internet
☐ Checking email
☐ Creating documents
☐ Creating presentations using Power Point or a similar program
☐ Saving and attaching a file (such as a document, picture, or presentation)
☐ Scanning and saving files
☐ Searching the internet using a search engine such as Google
☐ Filling out an online form such as job applications, attaching or uploading files to the online form
**Education Background:**

Background: Circle one below

- HS Diploma/GED

☐ I have an IEP

☐ I would like a referral for disability accommodations

Some college  How many credit hours approximately completed?_____________________________________________

Technical/career/trade school  Field of study______________________________________________________________

Associates Degree in ____________________________________________________________________________________

Bachelor’s Degree or beyond in _____________________________________________________________________________

**GOALS-in general:**

In one sentence, what would you like to achieve right now?

If you achieve this goal, what will your life look like in the future—what will you see, say, and do?

If you achieve this goal, what may happen to others in your life?

**Education Goals:**

Short Term Educational Goal: (circle)

- Finish HiSet/GED
- finish MA program
- finish CSIS SI class
- finish a college class

Other:

Long Term Educational Goal: (circle) non-credit class  college classes  Associates  Bachelors  Graduate

In what field of study?

**Future Educational Planning (credit courses):**

<table>
<thead>
<tr>
<th>Semester/Year:</th>
<th>Semester/Year:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Class Name</td>
<td>Credits</td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Total  Total
Career:

Job Background—fill in all blanks that apply to you:

I am currently working as __________________________________________ Hours: (Circle) Full-time Part-time

Hours: (Circle)
weekends _______am pm to _______am pm
days _______am pm to _______am pm
evenings _______am pm to _______am pm
nights _______am pm to _______am pm

I have worked in the past as________________________________________________________

Career goals:

Short Term Career Goal:

Long Term Career Goal:

Do you have current resume? □ Yes □ No

Do you have questions/concerns related to career exploration and planning, job preparation (resumes, cover letters, interviewing)?

REALITIES/Logistics—Do you have a plan for:

□ Attendance-100% attendance is expected except for emergencies.
□ Transportation bus car carpool rides
□ Childcare/childcare if children are ill
□ Eating and meal preparation
□ Time for studying-time outside of class will be required to be a successful student.
□ Exam/Certification Fees (CCMA-Certified Clinical Medical Assistant, $149. After MA program completion, you must sign up online and pay)
□ Support: Who is on your support team? ____________________________________________
□ Adjusting work schedule if needed
□ For MA-Purchase of books/supplies you must pay for:

• Stethoscope
• Watch with second hand
• Medical Scrubs
• Manual Blood Pressure Cuff
• One large 3-ring Binder; tabbed dividers
• Pens, pencils, highlighters
• Textbook and workbook: Today's Medical Assistant Textbook and Workbook-$158.00 (subject to change)
• Certified Profile registration $20 and other fees
• Immunizations if yours are not up to date

Do you have any other questions/concerns related to completing your educational goals?
**Funding Your Education (credit classes):**

**FAFSA:**
- ☐ Completed
- ☐ Plan on completing, by ________
- ☐ Do not plan to complete

Do you need assistance completing your FAFSA?
- ☐ Yes
- ☐ No

**Scholarships:**
- Have you applied for MCC Scholarships?
  - ☐ Yes
  - ☐ No
- Have you applied for other scholarships?
  - ☐ Yes
  - ☐ No

**For both CSIS Supplemental and MA:**

**FEC (WIA)/Voc Rehab:**
- Do you plan to utilize funding from these agencies?
  - ☐ Yes
  - ☐ No
- If yes, have you begun the process?
  - ☐ Yes
  - ☐ No

What is your next step in the process?: __________________________

**Veterans Benefits:**
- Do you plan to utilize your Veterans benefits?
  - ☐ Yes
  - ☐ No

**Other:**
- List any other options you have explored for educational funding:
  ____________________________

---

**OPTIONS:**
Do you have other options/choices instead of CSIS SI or MA that will help you obtain your goals? If so, what are they?

Is your participation in CSIS SI or the MA program your best option right now for reaching your short term goals?

- ☐ YES  Why? ____________________________________________

- ☐ NO: If NO, what steps will you take to pursue other options?

---

**THE WAY FORWARD:** Think seriously and honestly about your decision to attend CSIS SI or the MA program. Rank your motivation and commitment between

1—not motivated at all/not committed at all—very sure I should NOT participate. We’d love to have you in class! But we at MCC understand if this is not the right time in your life.

and

10—very motivated/very committed—ready to make all life adjustments and changes of time, money, studying, etc...to participate. We at MCC are excited to have you in class and ready to support your efforts!

**Now it the time to think about it. It’s OK not to be at a 10.**

- Rank your level of motivation to achieve success in the CSIS SI class or MA program from 1-10.
  1 2 3 4 5 6 7 8 9 10

- Rank your level of commitment towards taking this step achieving the goal of class/program completion.
  1 2 3 4 5 6 7 8 9 10

- If you’re serious you want to participate in CSIS Supplemental or the MA program, complete ACTION PLAN on the next 2 pages.
ACTION PLAN MCC COPY: My MoSTEMWINs Learning & Retention Specialist, Jeanne Schmidt, has discussed with me all of the following:

- The Student Success Plan
- Certification exam: CCMA or CCENT
- Schedule: MA 9am-1pm M-F, 8am-5pm clinical last 5-6 weeks of MA program
  CSIS SI 2:30-4:30 MW or 3-5 TR
- Student Expectations: 100% class attendance, outside studying requirements, respectful student conduct
- Any financial obligations or fees
- Support provided to me as a student: Instructors, tutoring, retention specialist, MCC counselors, MCC career placement support, financial aid advisor

HOMEWORK: Before Medical Assistant program start date __________________________ my homework is

☐ Purchase textbook, optional workbook, and scrubs

☐ Retake Career Ready 101 pretest in reading and report score to Jeanne by email or phone

☐ Career Ready 101 lessons         math     reading     locating information

☐ Arrange Transportation

☐ Enlist support. List names ____________________________________________

☐ If needed, find regular childcare, back up childcare, and childcare for sick child

☐ Adjust my work schedule, if needed

☐ Figure out finances for needed books/supplies/exams

☐ Complete 2 step TB test.
  Present proof of neg. TB test to Jeanne or George start of class.

☐ Call George Hudson or Jeanne Schmidt if I decide not to participate in the CSIS SI class or MA program

Signature______________________________________________________________

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My MoStemWINs Learning & Retention Specialist, Jeanne Schmidt, has discussed with me all of the following:

- The Student Success Plan
- Certification exam: CCMA $149 student must register for after MA program, or CCENT
- Schedule:  MA 9am-1pm M-F, 8am-5pm clinical last 5-6 weeks of MA program
  - CSIS SI 2:30-4:30 MW or 3-5 TR
- Student Expectations: 100% class attendance, outside studying requirements, respectful student conduct
- Any financial obligations or fees
- Support provided to me as a student: Instructors, tutoring, retention specialist, MCC counselors, MCC career placement support, financial aid advisor

**HOMEWORK:** Before Medical Assistant program start date _________________________ my homework is

- [ ] Purchase textbook, optional workbook, and scrubs
- [ ] Retake Career Ready 101 pretest in reading and report score to Jeanne by email or phone
- [ ] Career Ready 101 lessons    math    reading    locating information
- [ ] Arrange Transportation
- [ ] Enlist support. List names ____________________________________________
- [ ] If needed, find regular childcare, back up childcare, and childcare for sick child
- [ ] Adjust my work schedule, if needed
- [ ] Figure out finances for needed books/supplies/exams
- [ ] Complete 2 step TB test.
  - Present proof of neg. TB test to Jeanne or George by start of class.
- [ ] Call George Hudson or Jeanne Schmidt if I decide not to participate in the CSIS SI class or MA program

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Career Path Form

Date: _______________________

Student Name: ____________________________ Student ID#: ______________________

Education Plan:

Short Term: ____________________________

Long Term: ____________________________

Target Start Date: ______________________  Target End Date: ______________________

Revisions/Comments to the Education Plan:

_____________________________________________________________________________________________

_____________________________________________________________________________________________

_____________________________________________________________________________________________

Career Goals

What are your career Goals – Short-term and long-term?

_____________________________________________________________________________________________

_____________________________________________________________________________________________

_____________________________________________________________________________________________

How important is income to you? So you have a minimum salary or salary range?

_____________________________________________________________________________________________

_____________________________________________________________________________________________

Job Security and Benefits: How important are these to you? Are you willing to take risks with a small company or do you prefer and established, large corporation? What benefits are important to you – i.e. health insurance, life insurance, paid vacation, a retirement plan, etc? How does your personal life impact your work schedule (children or other responsibilities)?

_____________________________________________________________________________________________

_____________________________________________________________________________________________
Location Considerations: Are you willing/able to relocate for a job? Are you willing/able to work in an urban area or in a different state? Are you willing/able to commute for a job? How far?

______________________________

**Employment**

Employer Name ______________________________

Location ________________________________

Date of Employment ________________________________

Job Title ________________________________

Salary ________________________________

Comments:

______________________________

______________________________

______________________________

______________________________

______________________________

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From: Susan M.Serrano [mailto:Susan.Serrano@MCCKC.EDU]
Sent: Thursday, July 02, 2015 12:08 PM
To: Barb Alden; Charlotte Eubank; Chasity Daniels; Gary Steffes; Jason Helton; Jenny Jacobs; Kathy Collier; Kelly Deloch; Linda King; Lori Blalock; Marla Moody; Richard Hardin; Rick Jenkins; Shirley Hofstetter; Susie Rubemeyer
Cc: dawn.busick@mccatoday.org; liz.roberts@mccatoday.org; Amanda Sizemore; Bev Hickam; Brittany Simpson; brussell@trcc.edu; Chris DeGeare; Daphne.Lewis; Diane Lee; Eddie Stephens; Jo Fey; Kenny Wilson; Mark Kelchner; Monica,Johnston; Nancy L.Russell; Nancy Wiley; Ronda Long; Tammie De Los Santos; Tammy Stowe
Subject: "IMPORTANT" MoSTEM WINs FINANCIAL REPORTING

Dear MoSTEMWINs Finance Team,

At the June 10, DOL, Success from the Start, TAACCCT Round 4 Convening, we were invited (Dawn, Daphne, Liz and myself) to a lunch meeting to discuss Option 2, also called Cap-Breaker with other grantees, hosted by DOL representatives.

During the meeting we were asked by Sharon, a DC, DOL rep to send our FPO, quarterly financial reports on Option 2 (Cap-Breaker), expenditures. Please have your Option 2 (Cap-breaker) expenses run through general ledger accounts that are separate from the “regular” Round 4 grant expenses. This will satisfy the additional reporting requirements of DOL and assist in project management of the Statewide Data Integration grant objectives.

I’ve attached an excel file, please update your institutions’ Option 2, expenditure information, starting with quarter ending 6-30-2015. Please send this additional “ad hoc” report along with your normal quarterly (or monthly) reimbursement requests.

I will consolidate the financial information and also share this report with the consortium team at the quarterly leads meetings.

If you have any questions, please let me know. I’m looking forward to receiving your June 30th reimbursement reports due by July 15th or sooner if you have them year- end ready (make sure to include this new report too, even if zero activity).

Have a great and safe Independence Day!

Susan Serrano, Grant Compliance Accountant |
Metropolitan Community College | 3200 Broadway | Kansas City, MO 64111 |
Phone: 816.604.1102 | website: www.mcckc.edu
### Quarterly Financial Summary

<table>
<thead>
<tr>
<th>Category</th>
<th>Total Request</th>
<th>Q3 (June 30, 2015)</th>
<th>Q4 (September 30, 2015)</th>
<th>Q5 (December 31, 2015)</th>
<th>Q6 (March 31, 2016)</th>
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<tbody>
<tr>
<td>Personnel</td>
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<td>$177,168</td>
<td>$ -</td>
<td>$ 0.00</td>
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<tr>
<td></td>
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<td>% Total: 0.00%</td>
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</tr>
<tr>
<td>Fringe</td>
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</tr>
<tr>
<td></td>
<td>% Total</td>
<td>$ -</td>
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<td>% Total: 0.00%</td>
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</tr>
<tr>
<td>Travel</td>
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<td></td>
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<td>% Total: 0.00%</td>
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<tr>
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<td>% Total: 1.14%</td>
<td>% Total: 4.82%</td>
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<tr>
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<td>% Total</td>
<td>$ 46,558</td>
<td>% Total: 1.14%</td>
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<td>% Total: 4.08%</td>
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<tr>
<td>Contractual</td>
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<tr>
<td></td>
<td>% Total</td>
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<td>Indirect</td>
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<td>$ 46,727</td>
<td>% Total: 1.05%</td>
<td>% Total: 4.73%</td>
<td>% Total: 4.26%</td>
</tr>
</tbody>
</table>

### Quarterly Narrative Summary

May 10, 2016 TAACCCT Round 4 Extension: Letter from Serena Boyd, Grant Officer

*"It is allowable to use grant funds to implement these additional activities for the entire 48 month period of performance."*

**Summary of Activities - Q6 (March 31, 2016)**

MERIC reported they continued to secure the vendor for Phase 2 of the non-credit longitudinal data system. The State ITSD cand MERIC have provided input back to vendor bid for the scorecard development. It is anticipated this will be completed in next quarter and the vendor will begin development. A total of 834 hours were spent on grant data activities reported by MERIC.

The two monthly meetings of the statewide Data Advisory Steering Committee were held this quarter. All colleges sent representation to these meetings along with stakeholder partners such as MO Dept of Higher Ed staff, MO Dept of Econ Development, Division of Workforce Development staff, and others. At these meetings, the development work on the noncredit supplemental data file that the colleges will use to upload student data to EMSAS was completed. Several colleges reported their data file layout has been finalized and are on track to commence noncredit data gathering beginning July 1, 2016. Other related projects are now working to align with this project such as the new WIOA ETPS system development. Other policy issues were discussed to ensure consistency and definition interpretation such as the draft WIOA ETPS policy, several colleges volunteered to serve on this policy task force for the State Workforce Department.

All of the colleges new data specialist staff in support of the data projects have been hired or assigned. The MCCa Data Analyst Specialist (DSA) has been providing one on one formal training for the grant participant ETO data collection system provided by Social Solutions. Colleges continue to upload all new grant enrollees data. The DSA continues to provide technical assistance in troubleshooting for the colleges and vendor. We have completed preparation of the APR Year 1 report in February and have requested USDOL FPO and national office to re-open the report so it may be populated. To date, this has not been completed. Currently we have 751 participants enrolled since inception of the grant.

The final data project was the creation of a statewide online course matrix crosswalk to national standards that will serve as a supplement to the colleges credit for prior learning policies and administration. The RFP for professional services was created and posted, bids received and evaluated, contract award was made to Council for Adult Experiential Learning (CAEL) to manage the project. The MoWINs grant director is working with the vendor for project implementation to begin in April 2016.