

Statement of Financial Performance - WIA FY 2015
July 2014 through June 2015
100% of Fiscal Year Completed

Program Area - Adult

Revenue:				\$ 406,356.16
State Allocation - Including Carryover				
		<u>Debits</u>	<u>Credits</u>	
Expenses:				
WIA Adult - WIA Training Staff		<u>FY15</u>	<u>Carryover</u>	<u>FY15</u> <u>Carryover</u>
Professional Support Staff - Full-Time	\$ 66,577.67	\$ 16,209.39		\$ 300.98
Professional Support Staff - Part Time	\$ 161.84	\$ 12.90	\$ 161.84	
Secretary/Clerical Full-Time	\$ 6,046.04	\$ 2,012.69		\$ 110.77
Secretary/Clerical Part-Time	\$ 64.04	\$ 893.00		
Payroll Fringe Benefits	\$ 400.99	\$ 112.02		\$ 3.93
Benefits Paid as Earnings	\$ 7,112.39	\$ 2,133.65		\$ 5.52
Employer Paid Benefits - Health	\$ 5,049.62	\$ 1,546.54		\$ 151.67
FICA/Medicare-Employer	\$ 5,822.81	\$ 1,546.40		\$ 30.06
IPERS/TIAA-CREF - Employer	\$ 6,738.88	\$ 1,702.19		\$ 36.78
Membership Fees/Dues	\$ 747.20			
Printing/Copying Services	\$ 264.76	\$ 129.85		
Communications Voice - Long Distance	\$ -			
Utilities-Electricity	\$ 429.89	\$ 58.69	\$ 21.35	
Rental of Buildings	\$ 4,990.85	\$ 1,339.50		\$ 53.01
Group Meeting/Workshop	\$ -			
Rental of Equipment	\$ -			
Postage Incoming	\$ -			
Other Services:	\$ 29,046.74	\$ 4,229.99		
(Integrated Services, Midwest Speakers Bureau, 2 the Top, ATW Training Solutions)				
Materials/Supplies	\$ 3,189.11	\$ 55.18		
Periodicals	\$ 24.93			
Travel O/S Staff	\$ 570.87	\$ 683.54		
Travel O/S Staff Registration	\$ 391.05	\$ 435.00		
Travel I/S Staff	\$ 757.89	\$ 420.25		
Travel I/S Staff Registration	\$ 204.40			
Personal Vehicle Mileage	\$ 2,914.18	\$ 560.54		
Transportation	\$ 55.20			
WIA Adult - Training Clients				
Service Staff Part-Time	\$ 5,872.51	\$ 1,991.94		
FICA/Medicare-Employer	\$ 449.28	\$ 152.40		
Transportation	\$ 743.10	\$ 85.80	\$ 57.00	
Childcare	\$ -			
Institutional Skills Training	\$ 48,679.73	\$ 9,642.65	\$ 854.71	\$ 1,071.45
On the Job Training	\$ 6,590.62			
Secondary School Certificate	\$ 51.50	\$ 10.00		
Clothing	\$ 1,677.10		\$ 224.06	
Healthcare	\$ 648.00	\$ 80.00	\$ 90.00	
Misc Support Services	\$ 162.20			
Emergency Financial Assistance	\$ 931.78		\$ 9.12	
SUG Skills Upgrade	\$ 60.00			
	\$ 207,427.17	\$ 46,044.11	\$ 1,418.08	\$ 1,764.17
Total Expenses			<u>\$ 250,289.03</u>	
Allocation Remaining (Revenue less Expenses)				\$ 156,067.13
Percent of Allocation Expended				61.59%

Statement of Financial Performance - WIA FY 2015
July 2014 through June 2015
100% of Fiscal Year Completed

Program Area - Dislocated Worker

Revenue:
 State Allocation - Including Carryover

\$ 660,428.58

Expenses:

WIA Dislocated Worker - Training Staff

	Debits		Credits	
	FY15	Carryover	FY15	Carryover
Instructional Part-Time	\$ -	\$ -		
Professional Support Staff - Full-Time	\$ 88,613.83	\$ 24,582.47		\$ 254.49
Professional Support Staff - Part Time	\$ 161.84	\$ 12.90	\$ 161.84	
Secretary/Clerical Full-Time	\$ 6,975.75	\$ 3,061.63		\$ 206.02
Secretary/Clerical Part-Time	\$ 64.04	\$ 1,339.65		
Payroll Fringe Benefits	\$ 527.25	\$ 167.74		\$ 4.67
Benefits Paid as Earnings	\$ 7,626.48	\$ 2,433.92		\$ 37.90
Employer Paid Benefits - Health	\$ 10,885.84	\$ 3,964.04		\$ 191.58
FICA/Medicare-Employer	\$ 7,462.22	\$ 2,241.42		\$ 32.69
IPERS/TIAA-CREF - Employer	\$ 8,808.14	\$ 2,555.55		\$ 40.20
Membership Fees/Dues	\$ 967.53			
Printing/Copying Services	\$ 1,825.85	\$ 291.52		
Communications Voice - Long Distance	\$ -			
Utilities-Electricity	\$ 570.77	\$ 97.57	\$ 33.98	
Rental of Buildings	\$ 6,233.32	\$ 2,194.80		\$ 53.01
Rental of Equipment	\$ 1,834.90			
Postage Outgoing	\$ 118.29			
Group Meeting/Workshop	\$ 3,642.03			
Other Services: (Integrated Services, Midwest Speakers Bureau, Center for Credentialing and Education)	\$ 42,839.09	\$ 6,144.17		
Materials/Supplies	\$ 5,488.90	\$ 635.19		
Periodicals	\$ 30.20			
Travel O/S Staff	\$ 853.73	\$ 697.24		
Travel O/S Staff Registration	\$ 647.45	\$ 580.00		
Travel I/S Staff	\$ 1,086.75	\$ 627.98		
Travel I/S Staff Registration	\$ 365.40			
Travel I/S NonStaff	\$ 61.60			
Personal Vehicle Mileage	\$ 3,550.72	\$ 707.19		
Institutional Skill Training	\$ -			
Objective Assessment	\$ 20.00			

WIA Dislocated Worker - Training Clients

Service Staff Part-Time	\$ -			
FICA/Medicare-Employer	\$ -			
Transportation	\$ 4,758.60			
Childcare	\$ 460.00			
Institutional Skills Training	\$ 34,505.07	\$ 5,856.29		
On the Job Training	\$ 2,969.07			
Secondary School Certificate	\$ -			
Clothing	\$ 448.91			
Healthcare	\$ 1,105.00			
Pre-Employment Training	\$ -			
SUG Skill Upgrading	\$ -			
Emergency Financial Assistance	\$ 784.36			
Objective Assessment	\$ -			
	\$ 246,292.93	\$ 58,191.27	\$ 195.82	\$ 820.56

Total Expenses

\$ 303,467.82

\$ 356,960.76

45.95%

Allocation Remaining (Revenue less Expenses)
Percent of Allocation Expended

Statement of Financial Performance - WIA FY 2015
 July 2014 through June 2015
 100% of Fiscal Year Completed

Program Area - Administration

	Debits		Credits	
			<u>\$ 189,253.00</u>	
Revenue:				
State Allocation - Including Carryover				
Expenses:				
	<u>Debits</u>		<u>Credits</u>	
	<u>FY15</u>	<u>Carryover</u>	<u>FY15</u>	<u>Carryover</u>
WIA Adult - Administration	\$ 1,256.81			
Professional Support Staff Full-Time	\$ 28.56	\$ 2.40	\$ 28.56	
Professional Support Staff Part-Time	\$ 5,044.52	\$ 549.20		\$ 30.87
Secretary Clerical Full Time	\$ 32.02	\$ 223.49		
Secretary Clerical Part Time	\$ 35.20	\$ 3.67		\$ 0.39
Payroll Fringe Benefits	\$ 792.57	\$ 120.47		
Benefits Paid as Earnings	\$ 757.13	\$ 62.64		\$ 18.69
Employer Paid Benefits - Health	\$ 490.85	\$ 60.88		\$ 2.21
FICA/Medicare-Employer	\$ 591.52	\$ 53.40		\$ 2.76
IPERS/TIAA-CREF - Employer	\$ 80.45			
Membership Fees/Dues	\$ -			
Legal Publications	\$ -			
Communications Voice	\$ 65.12	\$ 2.54	\$ 2.66	
Utilities-Electricity	\$ 651.11	\$ 1,339.50		\$ 1,286.49
Rental of Buildings	\$ 647.30		\$ 647.30	
Group Meeting/Workshop	\$ -			
Rental of Equipment	\$ -			
Personal Vehicle Mileage	\$ 10,191.94	\$ 3,163.82		
Other Services				
(Integrated Services)	\$ 481.90	\$ 26.24		
Materials/Supplies	\$ 5.27			
Periodicals	\$ 164.28			
Travel O/S Staff	\$ 114.80			
Travel O/S Staff Registration	\$ 40.01			
Travel I/S Staff	\$ 12.60			
Travel I/S Staff Registration	\$ 44.48	\$ 5.71		
Personal Vehicle Mileage				
	<u>\$ 21,528.44</u>	<u>\$ 5,613.96</u>	<u>\$ 678.52</u>	<u>\$ 1,341.41</u>
Total Administration	\$ 25,122.47			
			<u>Credits</u>	
			<u>FY15</u>	<u>Carryover</u>
WIA Dislocated Worker - Administration	\$ 1,321.29			
Professional Support Staff Full Time	\$ 28.56	\$ 2.40	\$ 28.56	
Professional Support Staff Part Time	\$ 5,200.82	\$ 532.43		\$ 25.32
Secretary Clerical Full Time	\$ 32.02	\$ 223.49		
Secretary Clerical Part Time	\$ 36.48	\$ 3.57		\$ 0.32
Payroll Fringe Benefits	\$ 855.19	\$ 116.15		
Benefits Paid as Earnings	\$ 740.37	\$ 62.15		\$ 15.33
Employer Paid Benefits - Health	\$ 508.45	\$ 59.53		\$ 1.82
FICA/Medicare-Employer	\$ 613.55	\$ 51.75		\$ 2.26
IPERS/TIAA-CREF - Employer	\$ 76.73			
Membership Fees/Dues	\$ -			
Legal Publications	\$ -			
Communications Voice - Long Distance	\$ 66.49	\$ 2.54	\$ 2.84	
Utilities-Electricity	\$ 675.46	\$ 2,194.80		\$ 2,141.79
Rental of Buildings	\$ -			
Rental of Equipment	\$ -	\$ 39.31		
Personal Vehicle Mileage	\$ 13,235.55	\$ 4,827.46		
Other Services				
(Integrated Services)	\$ 5.59			
Periodicals	\$ 39.28			
Travel O/S Staff	\$ 63.91			
Travel I/S Staff	\$ 15.40			
Travel I/S Staff Registration				

Travel I/S NonStaff	\$	33.60			
Materials/Supplies	\$	184.03			
Personal Vehicle Mileage	\$	167.90			
	\$	23,900.67	\$	8,115.58	\$ 31.40 \$ 2,186.84
Total Administration		29,798.01			

	Debits		Credits	
	FY15	Carrvoer	FY15	Carrvoer
WIA Youth In-School				
Professional Support Staff Full Time	\$	1,255.87	\$	3.00
Professional Support Staff Part Time	\$	10.42	\$	9.52
Secretary Clerical Full Time	\$	4,899.91	\$	31.54
Secretary Clerical Part Time	\$	102.33		
Payroll Fringe Benefits	\$	33.42	\$	0.18
Benefits Paid as Earnings	\$	1,191.98	\$	5.82
Employer Paid Benefits	\$	735.98	\$	0.89
FICA Medicare Employer	\$	496.27	\$	2.37
IPERS/TIAA Cref	\$	572.71		
Membership Fees/Dues	\$	71.61		
Utilities - Electricity	\$	63.11	\$	1.93
Legal Publications				
Communications Voice Local				
Communications Voice Long Distance			\$	567.84
Rental of Buildings	\$	1,181.25		
Other Services	\$	5,688.83		
(Integrated Services)	\$	267.86		
Materials/Supplies	\$	5.27		
Periodicals	\$	39.28		
Travel O/S - Staff	\$	57.23		
Travel I/S - Staff	\$	18.20		
Travel I/S - Staff Registration	\$	27.34		
Personal Vehicle Mileage	\$	27.34		
	\$	16,718.87	\$	623.09
Total Administration	\$	16,095.78		

	Debits		Credits	
	FY15	Carrvoer	FY15	Carrvoer
WIA Youth - Out of School				
Professional Support Staff Full Time	\$	1,318.69	\$	9.52
Professional Support Staff Part Time	\$	10.42	\$	14.91
Secretary Clerical Full Time	\$	4,717.45		
Secretary Clerical Part Time	\$	102.33		
Payroll Fringe Benefits	\$	34.24	\$	0.08
Benefits Paid as Earnings	\$	732.53	\$	1.54
Employer Paid Benefits	\$	765.42	\$	0.40
FICA Medicare Employer	\$	475.29	\$	1.03
IPERS/TIAA Cref	\$	565.65	\$	1.36
Membership Fees/Dues	\$	69.75		
Utilities - Electricity	\$	64.33	\$	1.81
Rental of Buildings	\$	1,198.14	\$	567.84
Other Services:	\$	5,649.82		
(Integrated Services)	\$	5.91		
Periodicals	\$	267.86		
Materials/Supplies	\$	39.28		
Travel O/S - Staff	\$	68.71		
Travel I/S - Staff	\$	18.20		
Travel I/S - Staff Registration	\$	28.08		
Personal Vehicle Mileage	\$	28.08		
	\$	16,132.10	\$	598.49
Total Administration	\$	15,533.61		

Total Expenses \$ 86,549.87

Allocation Remaining (Revenue less Expenses)
Percent of Allocation Expended

\$ 102,703.13
45.73%

Statement of Financial Performance - WIA FY 2015
July 2014 through June 2015
100% of Fiscal Year Completed

Program Area - Youth (In-School and Out-Of-School)

	Debits	Credits
Revenue:		<u>\$ 321,762.00</u>
State Allocation		
Expenses:		
Youth - In School - Training Staff		
Professional Support Staff Full-Time	\$ 24,216.18	\$ 222.94
Professional Support Staff Part-Time	\$ 41.08	\$ 38.08
Secretary Clerical Full-Time	\$ 5,680.03	\$ 58.98
Secretary Clerical Part-Time	\$ 408.36	
Service Staff Part-Time	\$ 5,320.05	
Payroll and Fringe Benefits	\$ 171.33	\$ 1.57
Benefits Paid as Earnings	\$ 3,513.19	\$ 11.44
Employer Paid Benefit	\$ 2,400.74	\$ 1.63
FICA Medicare Employer	\$ 2,862.07	\$ 22.46
IPERS Employer	\$ 2,815.48	\$ 25.91
Membership Fees/Dues	\$ 171.03	
Printing/Copying Services	\$ 241.00	
Utilities - Electricity	\$ 171.87	\$ 5.08
Communications Voice Local		
Communications Long Distance	\$ 2,210.90	\$ 21.21
Rental of Buildings		
Postage Outgoing		
Group Meeting/Workshop	\$ 10,188.35	
Other Services		
(Integrated Services, Play 2 Hire, Center for Credentialing and Hiring)	\$ 1,663.96	
Materials and Supplies	\$ -	
Software/License	\$ 9.76	
Periodicals	\$ -	
Vehicle Materials/Supplies	\$ 577.22	
Travel Out of State - Staff	\$ 421.65	
Travel Out of State - Staff Registration	\$ 443.76	
Travel I/S Staff	\$ 50.40	
Travel I/S Staff Registration	\$ 2,762.91	
Personal Vehicle Mileage	\$ -	
Other Current Expense	\$ -	
Objective Assessment		
Youth - In School - Training Clients		
Service Staff Part-Time	\$ 21,780.73	

FICA/Medicare-Employer	\$ 1,666.28	
Incentive Bonus Payment	\$ 22,797.00	
Transportation	\$ 509.80	\$ 300.00
Childcare	\$ -	
Institutional Skill Training	\$ 1,226.51	
On the Job Training	\$ 4,652.99	
Clothing	\$ 78.90	
	<u>\$ 119,053.53</u>	<u>\$ 709.30</u>

Total In-School Youth Expenses 118,344.23

Youth - Out of School - Training Staff	\$ 23,821.45	\$ 325.20
Professional Support Staff - Full Time	\$ 40.18	\$ 38.08
Professional Support Staff - Part Time	\$ 5,839.71	\$ 24.19
Secretary Clerical - Full Time	\$ 408.36	
Secretary Clerical - Part Time	\$ 5,319.45	
Service Staff - Part Time	\$ 169.47	\$ 1.95
Payroll Fringe Benefits	\$ 3,041.99	\$ 16.18
Benefits Paid as Earnings	\$ 2,345.15	\$ 0.62
Employer Paid Benefit	\$ 2,793.84	\$ 28.50
FICA Medicare Employer	\$ 2,757.45	\$ 32.02
IPERS TIAACREF Employer	\$ 175.84	
Membership Fees/Dues	\$ 291.30	
Printing/Copying Services	\$ 163.19	\$ 5.14
Utilities - Electricity	\$ 2,186.11	\$ 21.21
Rental of Buildings		
Group Meeting/Workshop	\$ 8,607.05	
Other Services: (Integrated Services, Play 2 Hire, Center for Credentialing and Hiring)	\$ 1,705.12	
Materials and Supplies	\$ -	
Software License	\$ 8.16	
Periodicals	\$ 566.11	
Travel O/S Staff	\$ 421.65	
Travel O/S Staff Registration	\$ 382.06	
Travel In-State	\$ 58.80	
Travel I/S Staff Registration	\$ -	
Travel I/S Non-Staff	\$ 2,743.98	
Personal Vehicle Mileage	\$ -	
Other Current Expenses		

Youth - Out of School - Training Clients	\$ 780.00
Service Staff Part Time	\$ 59.68
FICA Medicare - Employer	\$ -
Incentive & Bonus Payment	\$ -
Transportation	\$ -
Child Care	\$ -
Secondary School Certificate	\$ -

Healthcare	\$	13.00	
Institutional Skill Training	\$	8,592.40	\$ 250.00
	\$	<u>73,291.50</u>	\$ <u>743.09</u>

Total Out-Of-School Youth Expenses 72,548.41

Total Expenses 190,892.64

Allocation Remaining (Revenue less Expenses)
Percent of Allocation Expended

\$ 130,869.36
59.33%

	<u>Beginning</u>	<u>Ending</u>
\$	225,233.40	\$ 106,889.17
\$	96,528.60	\$ 23,980.19

In School Allocation Remaining
Out of School Allocation Remaining

WIOA Adult

PY 2015 (FY 2016) (3 Mo.) Preliminary DRAFT BUDGET [DRAFT]

REVISED 6/23/2015

(Revised 2yr Avg, HHLS & 130% maximum)

SDA	HOLDHARMLESS SHARE	BUDGET	ADMIN	PROGRAM
				\$22,293
1	9.69%	\$24,769	\$2,476	\$13,648
2	5.93%	\$15,164	\$1,516	\$4,562
3 and 4	1.98%	\$5,068	\$506	
				\$11,619
5	5.05%	\$12,910	\$1,291	\$9,494
6	4.13%	\$10,548	\$1,054	\$9,632
7	4.19%	\$10,702	\$1,070	\$2,646
8	1.15%	\$2,939	\$293	
				\$26,108
9	11.35%	\$29,008	\$2,900	\$14,066
10	6.11%	\$15,628	\$1,562	\$23,725
11	10.31%	\$26,361	\$2,636	\$10,836
12	4.71%	\$12,040	\$1,204	
				\$6,659
13	2.89%	\$7,398	\$739	\$14,892
14	6.47%	\$16,546	\$1,654	\$21,142
15	9.19%	\$23,491	\$2,349	\$38,733
16	16.84%	\$43,036	\$4,303	
				\$230,055
TOTAL	100.00%	\$255,608	\$25,553	

WIOA Dislocated Worker

PY 2015 (FY 2016) (3 Mo.) Preliminary DRAFT BUDGET [DRAFT]

REVISED 6/23/2015

(Revised 2yr Avg, HHLS & 130% maximum)

Region	Share Ratio	Region Total	ADMIN	PROGRAM
1	5.32%	\$32,551	\$ 3,255	\$ 29,296
2	4.82%	\$29,470	\$ 2,947	\$ 26,523
3 & 4	3.89%	\$23,788	\$ 2,379	\$ 21,409
5	6.06%	\$37,049	\$ 3,705	\$ 33,344
6	3.90%	\$23,857	\$ 2,386	\$ 21,471
7	4.30%	\$26,284	\$ 2,628	\$ 23,656
8	2.41%	\$14,744	\$ 1,474	\$ 13,270
9	13.85%	\$84,726	\$ 8,473	\$ 76,253
10	9.30%	\$56,868	\$ 5,687	\$ 51,181
11	13.51%	\$82,636	\$ 8,264	\$ 74,372
12	6.69%	\$40,944	\$ 4,094	\$ 36,850
13	5.72%	\$34,978	\$ 3,498	\$ 31,480
14	4.46%	\$27,288	\$ 2,729	\$ 24,559
15	9.22%	\$56,401	\$ 5,640	\$ 50,761
16	6.57%	\$40,201	\$ 4,020	\$ 36,181
TOTAL	100.00%	\$611,785	\$ 61,179	\$ 550,607

WIOA Dislocated Worker

PY 2015 (FY 2016) (3 Mo.) Preliminary DRAFT BUDG with Rapid Response Distribution

Region	Region Total 3 mo.	RR Distribution
	\$32,551	\$44,334
1	\$29,470	\$4,605
2	\$23,788	\$58,778
3 & 4		\$0
	\$37,049	\$10,618
5	\$23,857	\$24,331
6	\$26,284	\$0
7	\$14,744	
8		\$0
	\$84,726	\$0
9	\$56,868	
10	\$82,636	\$34,789
11	\$40,944	\$0
12		\$81,599
	\$34,978	\$0
13	\$27,288	\$186,270
14	\$56,401	\$58,474
15	\$40,201	
16		\$503,798
TOTAL	\$611,785	

ET [DRAFT]

Initial Budget PY15
3 mo + RR

\$ 76,885
\$ 34,075
\$ 82,566

\$ 37,049
\$ 34,475
\$ 50,615
\$ 14,744

\$ 84,726
\$ 56,868
\$ 117,425
\$ 40,944

\$ 116,577
\$ 27,288
\$ 242,671
\$ 98,675

\$ 1,115,583

7/15/2015

WIOA YOUTH

PY 2015 Preliminary DRAFT BUDGET [DRAFT]

REVI: REVISED 6/23/2015

(Revised 2yr Avg, HHLS avg, HHLS & 130% maximum)

SDA	HOLDHARMLESS SHARE	BUDGET	ADMIN	PROGRAM
		\$394,311	\$39,431	\$354,880
1	9.16%	\$180,831	\$18,083	\$162,748
2	4.20%	\$128,505	\$12,850	\$115,655
3&4	2.99%			\$150,133
		\$166,814	\$16,681	\$186,410
5	3.88%	\$207,122	\$20,712	\$225,348
6	4.81%	\$250,386	\$25,038	\$54,894
7	5.82%	\$60,993	\$6,099	
8	1.42%			\$365,376
		\$405,973	\$40,597	\$457,999
9	9.43%	\$508,887	\$50,888	\$467,965
10	11.83%	\$519,961	\$51,996	\$162,232
11	12.08%	\$180,257	\$18,025	
12	4.19%			\$139,125
		\$154,583	\$15,458	\$225,679
13	3.59%	\$250,754	\$25,075	\$260,870
14	5.83%	\$289,855	\$28,985	\$543,512
15	6.74%	\$603,902	\$60,390	
16	14.03%			\$3,872,826
TOTAL	100.00%	\$4,303,134	\$430,308	

WIOA Adult

PY 2015 (FY 2016) (9 mo.) Preliminary DRAFT BUDGET [DRAFT]

REVISED 6/23/2015

(Revised 2yr Avg, HHLS & 130% maximum)

SDA	HOLDHARMLESS SHARE	BUDGET	ADMIN	PROGRAM
				\$244,439
1	9.69%	\$271,598	\$27,159	\$149,649
2	5.93%	\$166,276	\$16,627	\$50,019
3 and 4	1.98%	\$55,576	\$5,557	
				\$127,411
5	5.05%	\$141,567	\$14,156	\$104,095
6	4.13%	\$115,661	\$11,566	\$105,614
7	4.19%	\$117,348	\$11,734	\$29,005
8	1.15%	\$32,227	\$3,222	
				\$286,276
9	11.35%	\$318,084	\$31,808	\$154,227
10	6.11%	\$171,363	\$17,136	\$260,158
11	10.31%	\$289,064	\$28,906	\$118,827
12	4.71%	\$132,029	\$13,202	
				\$73,007
13	2.89%	\$81,118	\$8,111	\$163,287
14	6.47%	\$181,430	\$18,143	\$231,827
15	9.19%	\$257,585	\$25,758	\$424,721
16	16.84%	\$471,912	\$47,191	
				\$2,522,562
TOTAL	100.00%	\$2,802,838	\$280,276	

Set Set-Aside: 35% (10%Admin/25%RapidResponse)

WIOA Dislocated Worker

PY 2015/FY2016 (9 Mo.) Preliminary DRAFT BUDGET [DRAFT]

REVISED 6/23/2015

(Revised 2yr Avg, HHLS & 130% maximum)

Region	Share Ratio	Region Total	ADMIN	PROGRAM
1	5.32%	\$129,569	\$ 12,957	\$ 116,612
2	4.82%	\$117,304	\$ 11,730	\$ 105,574
3 & 4	3.89%	\$94,687	\$ 9,469	\$ 85,218
5	6.06%	\$147,475	\$ 14,748	\$ 132,728
6	3.90%	\$94,962	\$ 9,496	\$ 85,466
7	4.30%	\$104,622	\$ 10,462	\$ 94,160
8	2.41%	\$58,690	\$ 5,869	\$ 52,821
9	13.85%	\$337,254	\$ 33,725	\$ 303,529
10	9.30%	\$226,364	\$ 22,636	\$ 203,728
11	13.51%	\$328,934	\$ 32,893	\$ 296,041
12	6.69%	\$162,977	\$ 16,298	\$ 146,679
13	5.72%	\$139,230	\$ 13,923	\$ 125,307
14	4.46%	\$108,620	\$ 10,862	\$ 97,758
15	9.22%	\$224,504	\$ 22,450	\$ 202,054
16	6.57%	\$160,019	\$ 16,002	\$ 144,017
TOTAL	100.00%	\$2,435,211	\$ 243,521	\$ 2,191,690

State Workforce Investment Board

Action Item

May 21, 2015

Revised 5-18-15

AGENDA ITEM: Designation of local board members

BACKGROUND: Training and Employment Guidance Letter 27-14 issued on April 15, 2015 requires that by July 1, 2015 the Governor, in consultation with the State Workforce Investment Board (SWIB), establish criteria for the selection and appointment of Regional Workforce Investment Board members. The minimum criteria for the composition of the Regional Workforce Investment Board (RWIB) are described in the WIOA section 107. As well, Section 107(i) allows the Governor to utilize an alternative entity that, "is established to serve the local area; was in existence on the day before the date of enactment of this Act, pursuant to State law; and includes representatives of business in the local area; and representatives of labor organizations, nominated by local labor federations; or other representatives of employees in the local area.

The current IWD merged Region 3-4, Region 8 and Region 11 RWIB and any newly created local areas, are required to comply with the composition described in Section 107(b)2 and to be in line with the State law Iowa Code 84A(4). However, all other local areas may elect to utilize the composition described in WIOA section 107(b)2 or use the alternative entity described in section 107(i).

RECOMMENDATION: It is the request of the WIOA implementation team that the State Workforce Investment Board adopts the attached procedures as their recommendation to the Governor as the procedures for the designation of local board members and to direct IWD to immediately notify each local area CEO and RWIB chair of these procedures.

Attachment: Procedures for Designation of Local Board Members.

Procedures for Designation of Local Board Members

The Regional workforce Investment Board (RWIB) represents a wide variety of individuals, businesses, and organizations throughout the local area. The RWIB serves as a strategic convener to promote and broker effective relationships between the Chief Elected Officials (CEO) and economic, education, and workforce partners throughout the local area. The RWIB is responsible for developing a strategy to continuously improve and strengthen the workforce development system through innovation in, and alignment and improvement of, employment, training, and education programs to promote economic growth. RWIB members must actively participate and collaborate closely with the required and other partners of the workforce development system, including public and private organizations. This is crucial to the RWIB's role to integrate and align a more effective, job-driven workforce development system.

The minimum criteria for the composition of the Regional Workforce Investment Board (RWIB) are described in the WIOA section 107. As well, Section 107(i) allows the Governor to utilize an alternative entity that, "is established to serve the local area; was in existence on the day before the date of enactment of this Act, pursuant to State law; and includes representatives of business in the local area; and representatives of labor organizations, nominated by local labor federations; or other representatives of employees in the local area.

The current IWD merged Region 3-4, Region 8, Region 11 RWIB and any newly created local areas, are required to comply with the composition described in Section 107(b)2 and to be in line with the State law Iowa Code 84A(4) (see attachment 1). However, all other local areas may elect to utilize the composition described in WIOA section 107(b)2 or use the alternative entity described in section 107(i).

Selection and Appointment Process

1. IWD merged Region 3-4, Region 8, Region 11 and any newly created local areas
 - a. The CEO and RWIB chairs should immediately begin the processes of assessing the differences in current membership and the minimum required composition described in Attachment 1.
 - b. Any gaps in the composition of the new local board are to be filled no later than September 30, 2015. Existing members that satisfy one of the required categories may be "grandfathered".
 - c. Unlike the State Board, members of the Local Board may be appointed as a representative of more than one entity if the individual meets all the criteria for representation.
 - d. The process to fill all vacant positions is described in Attachment 2.
 - e. No later than September 30, 2015 the CEO and RWIB chair will request certification by sending a letter to the attention of the Governor confirming that the RWIB has been constituted in accordance with these procedures. As well, the letter will include the names of each voting and non-voting member, their sector, gender, county of residence and political affiliation and if any voting member is representing more than one sector.

Deliver to:

Beth Townsend, Director
Iowa Workforce Development
1000 E. Grand Ave
Des Moines, IA

2. Regions selecting the Alternative Entity

a. The CEO and RWIB chairs should immediately begin the processes of ensuring that all vacancies are filled.

b. Each RWIB shall have five voting members from business and five voting members from labor, and shall include one county elected official, one city official, one representative of a school district, and one representative of a community college.

c. The board may appoint ex officio, nonvoting members. In order to solicit periodic, regular and meaningful input the board is encouraged to include:

i. At least one eligible provider administering adult education;

ii. An older worker nominated by a senior community service employment program;

iii. Economic and community development entities including community based organizations;

iv. The state Employment Service Office under the Wagner-Peyser Act (29 U.S.C. 49 et seq.) serving the local area; and

v. The programs carried out under title I of the Rehabilitation Act of 1973, other than sec. 112 or Part C of that title.

d. Any gaps in the composition of the local board are to be filled no later than September 30, 2015. Existing members that satisfy one of the required categories may be "grandfathered".

e. Unlike the State Board, members of the Local Board may be appointed as a representative of more than one entity if the individual meets all the criteria for representation.

f. The process to fill all vacant positions is described in Attachment 2.

g. No later than September 30, 2015 the CEO and RWIB chair will request certification by sending a letter to the attention of the Governor confirming that the RWIB has been constituted in accordance with these procedures. As well, the letter will include the names of each voting and non-voting member, their sector, gender, county of residence and political affiliation and if any voting member is representing more than one sector.

Deliver to:

Beth Townsend, Director
Iowa Workforce Development
1000 E. Grand Ave
Des Moines, IA

Attachment 1

1. The majority of the members of the Local Board must be representatives of business in the local area. At a minimum, two members must represent small business as defined by the U.S. Small Business 107(b)(2)(A) Administration. Business representatives serving on Local Boards may also serve on the State Board. Each business representative must meet the following criteria:
 - a. Be an owner, chief executive officer, chief operating officer, or other individual with optimum policymaking or hiring authority;
 - b. Provide employment opportunities in in-demand industry sectors or occupations, as those terms are defined in WIOA section 3(23); and provide high-quality, work-relevant training and development opportunities to its workforce or the workforce of others (in the case of organizations representing business as per WIOA Sec. 107(b)(2)(A)(ii); and
 - c. Are appointed from among individuals nominated by local business organizations and business trade associations.
2. Not less than 20 percent of the members of the Local Board must be workforce representatives. These representatives
 - a. Must include two or more representatives of labor 107(b)(2)(B) organizations, where such organizations exist in the local area. Where labor organizations do not exist, representatives must be selected from other employee representatives;
 - b. Must include one or more representatives of a joint labor management, or union affiliated, registered apprenticeship program within the area who must be a training director or a member of a labor organization. If no union affiliated registered apprenticeship programs exist in the area, a representative of a registered apprenticeship program with no union affiliation must be appointed, if one exists; and may include:
 - c. In addition to the representatives enumerated above, the Board may include the following to contribute to the 20 percent requirement:
 - i. One or more representatives of community-based organizations that have demonstrated experience and expertise in addressing the employment, training or education needs of individuals with barriers to employment, including organizations that serve veterans or provide or support competitive integrated employment for individuals with disabilities; and
 - ii. One or more representatives of organizations that demonstrated experience and expertise in addressing the employment, training, or education needs of eligible youth, including representatives of organizations that serve out-of-school youth.
3. The balance of Local Board membership must include:
 - a. At least one eligible provider administering adult education and (WIOA Section literacy activities under WIOA title II;
 - b. At least one representative from an institution of higher education providing workforce investment activities, including community colleges;

- c. At least one representative from each of the following governmental and economic and community development entities:
 - i. Economic and community development entities;
 - ii. The state Employment Service Office under the Wagner-Peyser Act (29 U.S.C. 49 et seq.) serving the local area;
 - iii. The programs carried out under title I of the Rehabilitation Act of 1973, other than sec. 112 or Part C of that title;
 - iv. At least one ex-officio member for each of the following categories:
 - 1. One county elected official;
 - 2. One city official; and
 - 3. One representative of a school district.
 - v. In addition to the representatives enumerated above, the Governor and CEO may appoint other appropriate entities in the local area, including:
 - 1. Entities administering education and training activities who represent local educational agencies or community-based organizations with demonstrated expertise in addressing the education or training needs for individuals with barriers to employment;
 - 2. Governmental and economic and community development entities who represent transportation, housing, and public assistance programs;
 - 3. Philanthropic organizations serving the local area; and
 - 4. Other appropriate individuals as determined by the chief elect
- 4. Following is a matrix for the minimum composition:
 - a. 10 - Business Representatives
 - b. 2 - Representatives of Labor
 - c. 1 - Representatives of a joint labor management, or union affiliated, registered apprenticeship program
 - d. 1 - Representative from either 2(a), 2(b), or 2(c) above.
 - e. 1- one eligible provider administering adult education
 - f. 1- one representative from an institution of higher education providing workforce investment activities, including community colleges
 - g. 1- Economic and community development entities
 - h. 1- Employment Service Office under the Wagner-Peyser Act
 - i. 1- programs carried out under title I of the Rehabilitation Act of 1973
 - j. At least 3 ex-officio members
 - One county elected official;
 - One city official; and
 - One representative of a school district

Attachment 2

Appointment Process

The process for making appointments to the local board is:

- 1) The CEO board or its designee must solicit nominations from the required business, labor, education, and governmental entities upon notification of a RWIB vacancy.
- 2) The nominating organization must complete and submit the nomination form to the CEO board.
 - a) WIOA requires that the business representatives be appointed from among individuals nominated by local business organizations and business trade associations.
 - b) Representatives from labor organizations will be appointed from among individuals who have been nominated from local labor federations.
 - c) All nominations for members which represent education must be made by local school districts or community colleges, respectively.
 - d) All nominations from business, labor and education must be made in writing with the signed approval of the required nominating organization.
 - e) All nominations for members who are county or city officials shall be made individually or collectively by the region's county boards of supervisors or mayors and city councils respectively.
 - f) The overall membership of the board must be balanced by gender and political affiliation consistent with Iowa code section 69.16 and 16.16A. To the extent possible the members should represent all counties within a region served by the board and both voting and non-voting members should represent persons with disabilities, minorities and older workers of the region.
 - g) Existing and future RWIB members do not have to be re-nominated unless required to do so by the CEO board of a region.
 - h) Nominations are valid for an unlimited time period unless the Local Elected Officials of a region set a specific time limit.
- 3) The CEO board must submit a list of nominees for a board vacancy to IWD. As future vacancies occur, the CEO board must submit nominations within 45 days of the vacancy. The CEO board must submit at least two nominees for each vacancy to IWD at the address listed below for the Governor's review:

Iowa Workforce Development
Beth Townsend, Director
1000 E. Grand Ave
Des Moines, IA 50319
- 4) The Governor will review the list, add or delete nominees from the list and return the revised list to the CEO board within 45 days of receipt of the list by the department.
- 5) If the CEO board fails to submit nominations for a vacancy within the 45-day time period or fails to reach agreement locally on appointments to the board, the governor may appoint a person to fill the vacancy.

- 6) The CEO board will review the revised list and make the final selection of a person to fill a vacancy from the revised list. If the revised list of candidates is not acceptable to the board, the CEO board may submit new candidates to the Governor for consideration and repeat the process until a candidate is appointed.
- 7) The CEO board will send an appointment letter to the person selected to fill the vacancy on behalf of the chief elected officials and the governor within 30 days of receipt of the revised list and send a copy of the letter to IWD at the above address.
- 8) 9 In addition to taking immediate action to appoint a WIOA-compliant State Board, the Governor and State Board must establish criteria prior to July 1, 2015 that the CLEO must follow for the appointment of a WIOA-compliant Local Board. Development of the State criteria will enable CLEOs to make necessary appointments so that Local Boards can proceed with necessary local implementation activities.

State Workforce Investment Board

Action Item

May 21, 2015

AGENDA ITEM: Designation of local WIOA areas

BACKGROUND: The WIOA statute permits currently designated local areas to request initial designation under WIOA in PY 2015 or PY 2016. Designations of newly formed local areas, such as those wishing to merge, may occur at any time. By July 1, 2015, the Governor, in consultation with the State Board, must develop a policy and procedure for the designation of all local areas, as well as a policy for the designation of new local areas. The Governor must approve the request if the entity was designated as a local area for purposes of WIA, performed successfully, and sustained fiscal integrity for the two years preceding the enactment of WIOA. If a local area is approved for initial designation, the period of initial designation applies to program years 2015 and 2016.

RECOMMENDATION: It is the request of the WIOA implementation team that the State Workforce Investment Board adopts the attached procedures as their recommendation to the Governor as the procedures for the designation of local areas and to direct IWD to immediately notify each local area of these procedures.

Attachment: Procedures for Designation of Local Areas.

Procedures for Designation of Local Areas.

The purpose of a local area is to serve as a jurisdiction for the administration of workforce development activities using Adult, Dislocated Worker, and Youth funds allocated by the State and to coordinate efforts related to the other core programs at a local community level. WIOA Section 106(b) establishes that the Governor must designate local workforce development areas (local areas) in order for the State to receive Adult, Dislocated Worker, and Youth funding under Title I, subtitle B.

1. Designation of New local areas:

- a. At any time, the Chief Elected Official (CEO) and Regional Workforce Investment Board from any unit of general local government or combination of units may submit a request for designation as a workforce development area. The State Board must determine if the new local area meets the Governor's policy criteria. The request will include:
 - i. To what extent the new local area is consistent with local labor market areas;
 - ii. To what extent the new local area has a common economic development area;
 - iii. A description of federal and non-federal resources available in the new local area, including appropriate education and training institutions to administer activities under the Youth, Adult and Dislocated Worker formula programs under WIOA;
 - iv. Memorandum(s) of understanding between the CEO(s) of the new local area and local service providers, as described in the WIOA, section 121 (b), demonstrating commitment to integration and alignment of resources and services.
 - v. Consideration of comments received through a public comment process. The public comment period must provide at least 60 days for public comment prior to designation of the local workforce development area and provide an opportunity for representatives of interested business, education, and labor organizations to have input into the development of the formation of the local area.

b. The request will be submitted to:

State Workforce Investment Board

Beth Townsend, Director

Iowa Workforce Development

1000 E. Grand Ave

Des Moines, IA 50319

- c. A recommendation, including the reason and conclusion, for approval or denial as a new local area will be made by the State Workforce Investment Board (SWIB) to the Governor. The SWIB may consult with any other stakeholders prior to issuing their

recommendation. The decision of the Governor will be final and sent to the Chief Elected Official for the New Local Area.

d. Appeal:

- i. An appeal must be filed to the SWIB at the address in (b) of this section within 30 days of the date of the letter from the Governor.
- ii. The SWIB will provide an opportunity for the CEO at their next public meeting to present their request for designation as a new area.
- iii. If the decision of the Governor and SWIB does not result in designation, the CEO may request review by the Secretary of Labor. The Secretary may require that the area be designated as a workforce development area, if the Secretary determines that the entity was not accorded procedural rights under the State appeals process or if the area meets the initial designation requirements at WIOA sec. 106(b)(2).

2. Initial designation of local areas that had been designated under WIA and want to continue as WIOA local areas.

- a. Chief Elected Officials (CEO) and Regional Workforce Investment Board (RWIB) of local areas that currently operate under WIA have the option of requesting local area designation status under WIOA. If the chief elected official and local board in a local area submits a request for initial designation, the Governor must approve the request if the entity was designated as a local area for purposes of WIA, performed successfully, and sustained fiscal integrity for the two years preceding the enactment of WIOA. If a local area is approved for initial designation, the period of initial designation applies to program years 2015 and 2016.
- b. A request for initial designation will be submitted in a joint letter from the CEO and RWIB, including a copy of approved board minutes where a majority of the CEO board and RWIB approved a motion for the initial designation as provided for in WIOA section 106(b)2.

- c. To provide for an orderly transition, the request will be submitted no later than September 4, 2015 to:

Beth Townsend, Director
Iowa Workforce Development
1000 E. Grand Ave
Des Moines, IA 50319

- d. Each request will be evaluated based on the following:
 - i. Performed Successfully: For the purpose of initial local area designation, the term "performed successfully" means that the local area met or exceeded the levels of performance the Governor negotiated with the RWIB and CEO and the

local area has not failed any individual measure for the last two consecutive program years (PY 12 and PY 13) before the enactment of WIOA.

1. Meeting performance is defined as attaining at least 80% of the negotiated level of performance for any individual measure in both PY12 and PY13.
 2. Failing performance is defined as failing to attain at least 80% of the negotiated level of performance for any individual measure in both PY12 and PY13. Failing to meet an individual performance measure in either PY12 or PY13 and "meeting" performance for the same measure in the other program year is NOT defined as failing performance.
- ii. Sustained Fiscal Integrity: For the purpose of determining initial local area designation, the term "sustained fiscal integrity" means that the Secretary has not made a formal determination that either the grant recipient or the administrative entity of the area misexpended funds due to willful disregard of the requirements of the provision involved, gross negligence, or failure to comply with accepted standards of administration for the two-year period preceding the determination.
- e. The decision of the Governor will be final and sent to the Chief Elected Official within 30 days of receipt by the Director of IWD.
- f. In the event the local area failed to meet either standard for initial designation, options will be presented to the SWIB for continued certification of the local area at the next available Board meeting. The SWIB will make their recommendation to the Governor. The decision of the Governor will be final unless appealed by the CEO within 30 days.
- g. Appeal: If the decision of the Governor does not result in designation, the CEO may request review by the Secretary of Labor. The Secretary may require that the area be designated as a workforce development area, if the Secretary determines that the entity was not accorded procedural rights under the State appeals process or if the area meets the initial designation requirements at WIOA sec. 106(b)(2).

EMPLOYMENT AND TRAINING ADMINISTRATION ADVISORY SYSTEM U.S. DEPARTMENT OF LABOR Washington, D.C. 20210	CLASSIFICATION WIOA
	CORRESPONDENCE SYMBOL OWI
	DATE June 26, 2015

ADVISORY: TRAINING AND EMPLOYMENT GUIDANCE LETTER WIOA NO. 41-14
OPERATING GUIDANCE for the WORKFORCE INNOVATION AND
OPPORTUNITY ACT (referred to as WIOA or the Opportunity Act)

TO: STATE WORKFORCE AGENCIES
STATE WORKFORCE ADMINISTRATORS
STATE WORKFORCE LIAISONS
STATE AND LOCAL WORKFORCE BOARD CHAIRS AND DIRECTORS

FROM: PORTIA WU /s/
Assistant Secretary

SUBJECT: Workforce Innovation and Opportunity Act (WIOA or Opportunity Act) Title I
Training Provider Eligibility Transition

- Purpose.** In accordance with WIOA sec. 122, this guidance explains the requirements and timelines for determining training provider eligibility in order to utilize WIOA title I-B training funds and for publicly disseminating the eligible training provider list.

WIOA was signed into law on July 22, 2014. WIOA is designed to help job seekers access employment, education, training, and support services to succeed in the labor market and to match employers with the skilled workers they need to compete in the global economy. WIOA supersedes titles I and II of the Workforce Investment Act of 1998, and amends the Wagner-Peyser Act and the Rehabilitation Act of 1973.

The Departments of Labor and Education published a set of regulations for implementing WIOA through the posting of five Notice of Proposed Rulemaking (NPRMs) documents. These NPRMs were open for public comment until June 15, 2015, and several hundred comments were received by both Departments. The Federal agencies will review, analyze and consider the comments received. The Final WIOA rules will be issued in 2016.

In order to continue implementation prior to the final rule, a series of WIOA Operating Guidance documents are being issued in the form of Training and Employment Guidance Letters (TEGLs). These Operating Guidance documents on WIOA will inform the workforce system on how to begin the important planning and organizational work necessary to comply with the WIOA statutory requirements. The Operating Guidance TEGLs will

RESCISSIONS None	EXPIRATION DATE Continuing
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provide a framework for program activities until the regulations are finalized. This TEGL is one in a series of WIOA Operating Guidance.

2. **References.** See Attachment I.

3. **Background.** Under both WIA title I and WIOA title I-B, participants in need of training services to enhance their job readiness or career pathway may access career training through a list of state-approved training providers and their state-approved training programs. Participants can select from the list of eligible training provider (ETP) programs that meet their needs. WIOA title I-B builds upon and modifies the system in place under WIA title I. This guidance highlights and clarifies those changes to assist State and Local Workforce Development Boards in adjusting their processes to comply with WIOA requirements.

The workforce development system established under WIOA emphasizes informed consumer choice, job-driven training, provider performance, and continuous improvement. The quality and selection of providers and programs of training services, including Registered Apprenticeship programs and others, is vital to achieving these core principles. As required by WIOA sec. 122, States, in partnership with Local Boards, must identify eligible training providers that are qualified to receive WIOA title I-B funds to train adults and dislocated workers, including those with disabilities. Therefore, WIOA requires that each State must maintain a list of eligible training providers and their eligible training programs. The list must be accompanied by relevant performance and cost information and must be made widely available, including in electronic formats, and presented in a way that is easily understood, in order to maximize informed consumer choice and serve all significant population groups. Governors and boards are required to implement the ETP provisions of WIOA by July 22, 2015 (not later than 12 months after the enactment of WIOA).

The State plays a leadership role in ensuring the success of the eligible training provider system in partnership with Local Boards, the one-stop system, and its partners. The approved list of eligible training providers should serve as an important tool for participants seeking training to identify appropriate providers, and relevant information such as cost and program outcomes. Using the list of eligible training providers, case managers in one-stop career centers can assist participants in identifying training and training providers in high demand industries that result in positive outcomes and recognized credentials.

This operating guidance addresses the requirements for the provisions that go into effect in the first year implementation of the WIOA. States should be aware of future requirements, such as performance reporting, beyond the first year of implementation that will be addressed in separate guidance in the future.

4. **Eligible providers of training services.** Only providers that the State determines to be eligible, as required in WIOA sec. 122, may receive training funds under WIOA title I-B to provide training for participants who enroll in a WIOA-funded program of training services, except as discussed in Section 5 of this TEGL.

Eligible training providers include:

- Post-secondary education institutions;
- Registered Apprenticeship programs;
- Other public or private providers of training, which may include joint labor-management organizations and eligible providers of adult education and literacy activities under title II if such activities are provided in combination with occupational skills training;
- Local Boards, if they meet the conditions of WIOA sec. 107(g)(1); and
- Community Based Organizations (CBOs) or private organizations of demonstrated effectiveness that provide training under contract with the Local Board.

Eligible training providers are subject to the equal opportunity and nondiscrimination requirements contained in Section 188 of WIOA. The types of eligible training providers for WIOA are substantively the same as those under WIA. However, under WIOA, Registered Apprenticeship programs must be included and maintained on the list for as long as the program remains registered under the National Apprenticeship Act. Section 8 of this guidance further discusses inclusion of Registered Apprenticeships as eligible providers.

5. **Eligible programs of training services.** A program of training services is defined as one or more courses or classes, or a structured regimen that leads to a recognized post-secondary credential, secondary school diploma or its equivalent, employment, or measurable skill gains toward such a credential or employment. These training services could be delivered in person, on-line, or in a blended approach. The types of eligible training services under WIOA title I-B are similar to those approved under WIA title I with expanded options for incumbent workers, and the use of Local Board contracts for training services.

Not all allowable types of training services are subject to the requirements of the eligible training provider provisions in WIOA title I-B. Training services exempt from the Section 122 eligibility requirements include:

- On-the-job training; customized training; incumbent worker training; transitional employment; or
- The circumstances described at WIOA sec. 134(c)(3)(G)(ii), where the Local Board determines that:
 - There are insufficient providers, or
 - There is a training services program with demonstrated effectiveness offered in the local area by a community-based organization or other private organization to serve individuals with barriers to employment, or
 - It would be most appropriate to award a contract to an institution of higher education or other eligible provider of training services in order to facilitate the training of multiple individuals in in-demand industry sectors or occupations, and such contract does not limit customer choice; or
- When the Local Board provides training services through a pay-for-performance contract.

For training programs exempted from the training provider eligibility requirements, the Governor may require one-stop operators in a local area to collect performance information and determine whether the providers meet the Governor's performance criteria. Providers that meet the criteria are considered eligible providers of training services.

6. **Procedure for establishing training provider eligibility.** Generally, the Governor, in consultation with the State Board, must develop procedures for determining provider eligibility. Procedures must be in place by July 22, 2015 to determine the initial eligibility of "new" training provider programs that were not eligible under WIA title I. These procedures do not apply to Registered Apprenticeship programs, which are discussed below in section 8 of this TEGL.

The requirements to become an eligible provider of training services apply to all organizations providing WIOA title I-B- funded training to adults and dislocated workers, with the specific exception of Registered Apprenticeship programs. For Registered Apprenticeship programs, WIOA makes a change from WIA in that Registered Apprenticeship programs must be included and maintained on the list of eligible training providers for as long as the program remains registered. The Governor, in consultation with the State Board, must establish procedures for determining the initial eligibility of new providers, procedures for reviewing and renewing eligibility for all providers at least every two years, and procedures for transitioning existing WIA providers to WIOA.

- a. **Initial eligibility for new providers under WIOA title I-B.** States must implement the initial eligibility procedures under WIOA by July 22, 2015. For all programs that have not previously been eligible, except for Registered Apprenticeship programs, providers must submit required information for the programs to be considered for initial eligibility in accordance with the Governor's procedures. Programs that become eligible under these procedures receive initial eligibility for only one year. In establishing the initial eligibility procedures and criteria, the Governor may establish minimum performance standards, and the Department encourages Governors to do so.

The Governor must require providers seeking initial eligibility under WIOA title I-B to provide verifiable program specific performance information. The State's initial eligibility criteria must require applicant providers to, at a minimum:

- Describe each program of training services to be offered;
- Provide information addressing a factor related to the indicators of performance, as described in WIOA sec. 116(b)(2)(A)(i)(I)-(IV), which include: unsubsidized employment during the second quarter after exit, unsubsidized employment during the fourth quarter after exit, median earnings, and credentials attainment;
- Provide information concerning whether the provider is in a partnership with business. This could include information about the quality and quantity of employer partnerships;
- Provide other information the Governor may require in order to demonstrate high quality training services, including a program of training services that leads to a recognized post-secondary credential; and,

- Provide information that addresses alignment of the training services with in-demand industry sectors and occupations, to the extent possible.

b. Continued eligibility application procedure. The State must establish an application procedure for training providers to maintain their eligibility and the eligibility of their programs. Continued eligibility requirements apply to training providers transitioning to WIOA title I-B who were previously eligible under WIA title I and newly eligible training providers that were determined to be initially-eligible under WIOA title I-B. Providers previously eligible under WIA title I will be subject to the application procedure for continued eligibility at the end of the transition period which may extend up to December 31, 2015, or an earlier date as determined by the Governor. The Governor's procedure for continued eligibility must be implemented in a timely way so that provider eligibility is established by the end of the transition period for these providers. Newly eligible training providers that were determined to be initially-eligible under WIOA title I-B will be subject to the application procedure for continued eligibility before their initial year of eligibility expires. The continued eligibility procedure should be implemented in a timely way so that continued provider eligibility is established by the end of their initial year of eligibility. All providers are subject to review and renewal of their eligibility at least every two years, according to the Governor's procedure. The Governor's application procedure for continued eligibility must be described in the State Plan, and outline the roles of the State and local areas in receiving and reviewing provider applications, and in making eligibility determinations.

In establishing criteria for continued eligibility, the Governor must take into account the following factors:

- The performance of providers of training services on the performance accountability measures described in WIOA sec. 116(b)(2)(A)(i)(I)-(IV). The Governor may establish minimum performance standards, and the Department encourages Governors to do so. Until the performance data for each accountability measure is available, the Governor may take into account alternate factors related to performance for that accountability measure. In considering alternate factors related to performance the Governor may set minimal performance criteria, use existing available data, or develop other proxies as appropriate. Once training providers have two years of performance outcomes using the WIOA performance indicators specified in section 116, Governors will be expected to take them into account;
- Access to training services throughout the State including rural areas and through the use of technology;
- Information reported to State agencies on Federal and State training programs other than programs within WIOA title I-B, including one-stop partner programs;
- The degree to which training programs relate to in-demand industry sectors and occupations in the State;
- State licensure requirements of training providers, and licensing status of providers of training services, if applicable;
- The provider's ability to offer industry-recognized certificates and/or credentials;
- The ability of providers to offer programs that lead to post-secondary credentials;

- The quality of the program of training services including a program that leads to a recognized post-secondary credential;
- The ability of the providers to provide training services that are physically and programmatically accessible for individuals who are employed and individuals with barriers to employment, including individuals with disabilities;
- The timeliness and accuracy of the eligible training provider's performance reports; and,
- Other factors that the Governor determines are appropriate in order to ensure: the accountability of providers; that one-stop centers in the State will meet the needs of local employers and participants; and that participants will be given an informed choice among providers. States are responsible for ensuring the quality and value of eligible training providers for WIOA program participants. Examples of additional factors that the Governor may consider include: the ability of a provider to partner with employers and to provide job placement services; the dropout rate of the training provider, and the student loan default rate of the provider.

- c. **Transition opportunities for currently eligible WIA training providers.** Providers previously eligible under WIA title I may remain eligible through a transition period, which may extend to December 31, 2015, or to an earlier date as determined by the Governor. These existing WIA providers are not subject to the initial eligibility procedures but are subject to the continued eligibility procedures under WIOA title I-B. The Governor's procedure for continued eligibility must be implemented in a timely way so that provider eligibility is established by the end of the transition period for these existing WIA providers. These procedures do not apply to Registered Apprenticeship programs, which are discussed below in section 8 of this TEGL.

7. **Role of State and Local Areas in Developing and Disseminating the List of Eligible Training Providers.**

- a. **The Role of the State:** The Governor must establish eligibility criteria and procedures for initial determination and renewals of eligibility for training providers and training programs to receive funds under WIOA title I-B. In doing so, the Governor may establish minimum performance levels for eligibility and the Department encourages Governors to do so. The Department anticipates that most States will work through a designated State agency or appropriate State entity to administer the ETPL requirements. The Governor or State agency has explicit responsibility for managing and disseminating the approved list of eligible training providers. The State must perform the following required roles:
- Establishing eligibility procedures and clarifying State and Local Board roles and responsibilities;
 - Establishing a mechanism for adding Registered Apprenticeship programs to the list and verifying registered status at least every two years;
 - Consulting with the State Board when establishing these procedures;
 - Providing an opportunity for interested members of the public to make recommendations and submit comments regarding the eligibility procedure including Local Boards;

- Determining whether the provider submitted accurate information, and take enforcement actions as needed;
- Disseminating the list to the Local Boards, the one-stop system, its partner programs, and the public;
- Determining if state-established minimum performance levels for eligibility are met;
- Removing programs that do not meet State-established program criteria or performance levels for eligibility; and,
- Establishing an appeals procedure for providers to appeal a denial of eligibility under this section.

b. Role of Local Boards. The Local Boards have statutorily required responsibilities related to eligible training providers, roles that the Governor may assign the Local Board, and additional options for their local area.

- Local Boards must work with the State to ensure that:
 - There are sufficient numbers and types of providers of career services and training services (including eligible providers with expertise in assisting individuals with disabilities and eligible providers with expertise in assisting adults in need of adult education and literacy activities) serving the local area and providing the services involved in a manner that maximizes consumer choice and leads to competitive integrated employment for individuals with disabilities; and
 - The State's eligible training provider list is disseminated publicly through the local one-stop system, and its partner programs;
- The Governor may also assign specific responsibility to Local Boards such as determining the initial eligibility of entities providing a program of training services, renewing the eligibility of providers, and considering the possible termination of an eligible provider due to the provider's submission of inaccurate eligibility and performance information or the provider's substantial violation of WIOA; and
- The Local Board may set additional eligibility criteria, information requirements, and minimum performance levels for local providers beyond what is required by the Governor's procedure. Local Boards may also provide comment and input into the Governor's development of the eligible provider procedure through the public comment process. Any additional requirements established by the Local Board will only affect a program's eligibility and performance level eligibility requirements within the local area.

8. Registered Apprenticeship. This section describes how States may integrate Registered Apprenticeship programs onto the list of eligible training providers. Pre-apprenticeship programs do not have the same automatic ETP status under WIOA title I-B as do Registered Apprenticeship programs. Information on the Registered Apprenticeship program is found at <http://www.dol.gov/apprenticeship/>.

- a. Registered Apprenticeship Requirements for ETP Status.** Under WIOA title I-B, Registered Apprenticeship program sponsors that request to be ETPs are automatically included on the list and will remain as long as the program is registered or until the program sponsor notifies the State that it no longer wants to be included on the list.

Registered Apprenticeship programs are not subject to the same application and performance information requirements or to a period of initial eligibility or initial eligibility procedures as other providers because they go through a detailed application and vetting procedure to become a Registered Apprenticeship program sponsor with the United States Department of Labor or the State Apprenticeship Agency (SAA).

- b. **Registered Apprenticeship program sponsors.** All Registered Apprenticeship programs are eligible to be included on the State list of eligible training providers. Registered Apprenticeship can take many forms and the sponsors are diverse, including:
- **Employers who provide related instruction.** A number of employers with Registered Apprenticeship programs provide formal in-house instruction as well as on-the-job training at the work site.
 - **Employers who use an outside educational provider.** Under this model Registered Apprenticeship program sponsors do not provide the related instruction or educational portion of the apprenticeship, but rely upon an outside educational entity to deliver instruction. Employers can use two- or four-year post-secondary institutions, technical training schools, eligible providers of adult education and literacy activities under title II, or on-line courses for related instruction. The employer is the ETP and must identify their instructional provider as defined locally.
 - **Joint Apprenticeship Training Programs.** These programs are made up of employers and unions. They have an apprenticeship training school where the instructional portion of the Registered Apprenticeship program is delivered. The training schools are usually administered by the union.
 - **Intermediaries.** Intermediaries can serve as program sponsors when they take responsibility for the administration of the apprenticeship program. They can also provide expertise such as curriculum development, classroom instruction and supportive services, as appropriate. The intermediary is the ETP and must identify the instructional provider if an outside organization is providing the educational portion of the apprenticeship. Intermediaries include:
 - Educational institutions including two- and four-year post-secondary institutions, technical schools, or eligible providers of adult education and literacy activities under title II. In this model the educational institution administers the program, works with employers to hire apprentices and provides classroom or on-line instruction for the apprenticeship program;
 - Industry associations administer the program and work with employer/members and educational entities to implement the apprenticeship program; and,
 - Community based organizations administer the program and work with employers, educational entities and the community to implement the apprenticeship program.
- c. **Adding Registered Apprenticeship programs to the State list of Eligible Training Providers.** Registered Apprenticeship program sponsors must indicate their interest in being an ETP according to procedures established by the Governor. The Governor must work with the federal Office of Apprenticeship (OA) state director, or if the State

oversees the apprenticeship system, with the SAA to develop a mechanism to contact all Registered Apprenticeship programs within the State in order to allow them to indicate interest (Federal OA and SAA state contact information is at <http://www.doleta.gov/oa/contactlist.cfm>).

When developing the procedures, the State must consider that new Registered Apprenticeship programs are constantly added to the federal and SAA databases and may want to become ETPs. Therefore, data collection on new Registered Apprenticeship programs should be conducted on a timely basis (quarterly or bi-annually). All Registered Apprenticeship programs should be required to include the following information for the State:

1. Occupations included within the Registered Apprenticeship program;
2. The name and address of the Registered Apprenticeship program sponsor;
3. The name and address of the Related Technical Instruction provider, and the location of instruction if different from the program sponsor's address;
4. The method and length of instruction; and,
5. The number of active apprentices.

Registered Apprenticeship program sponsors that do not provide the Related Technical Instruction portion of the apprenticeship program (as outlined above) may be required to provide additional information about their education provider, including the cost of the instruction.

d. Verifying Registered Apprenticeship Program ETP Status.

The Governor is required to develop a procedure to verify the status of Registered Apprenticeship programs as part of the State's review of the State list of eligible training providers at least every two years. The State will need to work with the federal OA or the SAA to obtain a list of all Registered Apprenticeship programs that are either voluntarily or involuntarily deregistered. This process can be part of the procedures outlined in Section 8c of this Guidance.

9. Required Provider Information. All eligible training providers must submit accurate and timely performance data and cost information at least every two years, according to procedures established by the Governor. While the statute requires providers to supply information at least every two years, States may update the information in the State list more frequently, so that participants considering training have the most current information. The Governor must take this information into account when establishing continued eligibility and as part of the State's biennial review and renewal of eligibility for a particular provider.

- a. The program-specific performance information submitted to the State must include the following information, disaggregated by the local area being served, as applicable:
 - Performance outcome information for the indicators described in WIOA sec. 116(b)(2)(I-IV) ;
 - Information identifying the recognized post-secondary credentials received by WIOA participants;

- Program cost information, including tuition and fees, for WIOA participants in the program, and;
 - Information on the program completion rate for WIOA participants.
- b. The Governor may require any additional performance information that the Governor determines to be appropriate to determine and maintain eligibility.
- c. Governors must establish a procedure by which a provider can demonstrate that providing information required under this section would be unduly burdensome or costly. If the Governor determines that providers have demonstrated such extraordinary costs or undue burden:
- The Governor must provide access to cost-effective methods for the collection of the information;
 - The Governor may provide additional resources to assist providers in the collection of the information from funds for statewide workforce investment activities reserved under WIOA secs. 128(a) and 133(a)(1); or
 - The Governor may take other steps to assist training providers in collecting and supplying required information such as offering technical assistance.
- d. In addition to the information requirements for development of the list of eligible training providers, which are described above, WIOA sec. 116(d) requires providers to submit performance information for the State's Eligible Training Provider Performance Reports, which are disseminated publicly similarly to the list of eligible training providers. ETA will issue separate guidance addressing the requirements for State Eligible Training Provider Performance Reports.

10. Dissemination of the State list of eligible training providers. WIOA requires that the Governor or State agency disseminate the State list of eligible training providers and accompanying performance and cost information to Local Boards in the State and to members of the public online including through Web sites and searchable databases and through whatever means the State uses to disseminate information to consumers, including the one-stop delivery system and its program partners throughout the State. The Employment and Training Administration will continue to maintain lists of Eligible Training Providers on CareerOneStop.Org, and Workforce Agencies are encouraged to also make this information available on state websites through a web service or other application programming interface (API).

- a. **Ease of use and accessibility.** Because the purpose of the list of eligible training providers is to support participants seeking training in making informed choices regarding providers that meet their needs, the list should be made easily available to partners, stakeholders, and those participants interested in training. It should also be presented in a format that is searchable, user friendly, facilitates comparisons, accessible to individuals with disabilities, and easily understood by individuals seeking information on training outcomes, as well as participants in employment and training activities funded under WIOA, and other programs.

- b. Accompanying information.** The State eligible training provider list must be accompanied by appropriate information to assist participants in choosing employment and training activities. Such information must include the following, disaggregated by local areas served, as applicable:
- Recognized post-secondary credential(s) offered;
 - Provider information supplied to meet the Governor's eligibility procedure;
 - Performance and cost information aligned with the time periods; and,
 - Additional information as the Governor determines appropriate, such as the number of units (for example, credits, hours or semesters) needed to earn the credentials offered.
- c. Privacy Considerations.** Accompanying information must not reveal personally identifiable information about an individual participant. In addition, disclosure of personally identifiable information from an education record must be carried out in accordance with the Family Educational Rights and Privacy Act (FERPA) (20 U.S.C. § 1232g; 34 CFR Part 99) including the circumstances relating to prior written consent.
- d. Additional Local Board information.** Local Boards may supplement the criteria and information requirements established by the Governor in order to support informed consumer choice and the achievement of local performance measures. These additional informational requirements may include:
- Information on programs of training services that are linked to occupations in demand in the local area;
 - Performance and cost information, including program-specific performance and cost information, for the local outlet(s) of multi-site eligible providers;
 - Information that shows how programs are responsive to local requirements; and,
 - Other appropriate information related to the objectives of WIOA such as participant satisfaction or other LWIB determined factors.
- e. Eligible training provider exceptions.** Providers of on-the-job training, customized training, incumbent worker training, internships, paid or unpaid work experience, or transitional employment are not subject to the ETP requirements discussed in Section 6. For these training programs, one-stop operators in a local area must collect such performance information as the Governor may require and determine whether the providers meet the Governor's performance criteria. The Governor may require one-stop operators to disseminate a list of providers that have met the performance criteria, along with the relevant performance information about them, through the one-stop delivery system. Providers that meet the criteria are considered eligible providers of training services.
- f. Eligible training providers outside the Local Area or State.** An individual may choose a training provider located outside the local area, and, in some instances, in other States. States may enter into reciprocity agreements with other States under which providers of training services are allowed to accept individual training accounts provided by another State. Providers of training services that are located outside the local area may not be subject to State eligibility procedures if the provider has been determined eligible by

another State with such an agreement. The option to enter into reciprocity agreements diminishes the burden on States and providers of training services to be subject to duplicative procedures and is allowable under WIOA sec. 122(g). This provision also expands the array of training options available for individuals seeking training.

- g. **Dissemination of Registered Apprenticeship program providers.** The Governor is responsible for disseminating information on Registered Apprenticeship Program ETPs to Local Boards. This includes updating new Registered Apprenticeship Program ETPs, removing programs that no longer want to remain on the list, and eliminating deregistered programs. The Governor is authorized to designate a State agency to carry out this requirement. The Department urges the State agency to work directly with the federal Office of Apprenticeship state director or if the State oversees the apprenticeship system, the SAA, to obtain the information.

11. Deeming Providers Ineligible. A training provider must deliver results and provide accurate information in order to retain its status as an eligible training provider under WIOA title I-B. The State may revoke a provider's eligibility and remove the provider from the list of approved providers for false reporting, for substantially violating a provision of title I of WIOA or its implementing regulations, or for failure to meet required performance outcomes (if established). Eligible training providers are subject to the equal opportunity and nondiscrimination requirements under WIOA Section 188. The State must establish procedures for removing a provider from the list. Such procedures must also identify which entity is responsible for revoking a provider's eligibility (Local Board or State Agency). Revocation must be for a period not less than two years. A provider who has been removed from the list of eligible training providers is liable to repay all adult and dislocated worker training funds received during the period of noncompliance. States and Local Areas should work together to ensure that any participants currently enrolled in that training program experience minimal disruption.

- a. **WIOA requires a biennial review of providers on the State list.** This document provides supporting guidance for the implementation of the ETP provisions prior to the release of WIOA regulations. However, states should be aware that a review of provider eligibility is required under WIOA title I-B at least every two years and providers failing to meet performance, reporting, or other requirements may be removed from the list as a result of that review. Additional detail will be provided in future guidance.

- b. **Appeals process for providers removed from the State or Local list.** Providers removed from the statewide list of eligible training providers, or from a particular local area list of eligible training providers, must be afforded the opportunity to appeal the removal. Therefore, the Governor must establish an appeals procedure for providers of training to appeal a denial of eligibility. The procedure must explain the appeals process for denial or termination of eligibility of a provider of training services. Likewise, Local Boards must establish an appeals procedure for providers of training to appeal a denial of eligibility from the local list of eligible training providers which explains the appeals process for denial or termination of eligibility of a provider of training services.

12. Training Providers Serving Participants in the Trade Adjustment Assistance Program (TAA). The TAA program established under the Trade Act of 1974, Public Law 93-618, as amended, does not contain the WIOA sec. 122 requirement that only providers that the State determines to be eligible, including apprenticeship programs, may receive training funds. TAA participants may select a training program offered by a provider on the State list of eligible training providers, and the cooperating state agency administering TAA for the state may approve that training if it meets the criteria for TAA training approval for that participant. If a participant is co-enrolled in a WIOA program and TAA, the TAA program also may fund training by a provider that is not on the State list of eligible training providers. However, if a co-enrolled participant receives training under WIOA, the requirements under WIOA sec. 122 apply.

13. Action Requested. States must proceed with the actions outlined in this guidance.

14. Inquiries. Questions regarding this guidance should be directed to the appropriate ETA regional office.

15. Attachment(s).

Attachment I: References

Attachment II: Eligible Training Provider "Quick Reference Guide"

Attachment II

Eligible Training Provider “Quick Reference Guide”

<u>Initial Eligibility</u>	<u>To become eligible:</u>	<u>When:</u>	<u>Duration:</u>	<u>Criteria:</u>
<p>Applies to:</p> <p>Training providers that were not eligible under sec 122 of either WIA or WIOA (except for Registered Apprenticeship programs).</p>	<p>Must apply for initial eligibility according to the Governor’s procedures.</p>	<p>Procedures must be in place no later than 12 months after enactment. Providers may apply for initial eligibility any time after July 22, 2015.</p>	<p>One year.</p> <p>The period of initial eligibility is one year. These providers are subject to Governor’s procedure for continued eligibility in order to maintain eligibility beyond one year.</p>	<p>Governor must require providers seeking initial eligibility to provide information, as described at Section 6a.</p>
<p><u>Continued Eligibility</u></p> <p>Applies to:</p> <p>WIA-eligible training providers after transition period ends.</p> <p>Also, applies to initially-eligible providers under WIOA in order to maintain eligibility after the period of initial eligibility expires after one year.</p>	<p><u>To remain eligible:</u></p> <p>In order to continue to be eligible under WIOA, providers are subject to Governor’s continued eligibility application procedure and criteria.</p> <p>Eligible providers are subject to review and renewal of eligibility at least every two years.</p>	<p><u>When:</u></p> <p>The transitional period extends to December 31, 2015 or to an earlier date determined by the Governor.</p> <p>The Governor’s procedure for continued eligibility must be implemented in a timely way so that provider eligibility is established by the end of the transition period or initial eligibility period for these providers.</p>	<p><u>Duration:</u></p> <p>Two years.</p> <p>The Governor’s procedure must provide for review and renewal of eligibility at least every two years.</p>	<p><u>Criteria:</u></p> <p>The Governor’s procedure takes into account 10 required factors and any other factors the Governor considers appropriate.</p> <p>Required criteria are described in this guidance at Section 6b.</p>

Terry E. Branstad, Governor

Tim Reynolds, Lt. Governor

Beth Townsend, Director



July 17, 2015

Bill Meck
Indian Hills Community College
525 Grandview
Ottumwa, IA 52501

DRAFT MONITORING REPORT SPRING 2015

Dear Mr. Meck,

Enclosed is a draft copy of comments and recommendations, which were made in connection with the Spring 2015 examination of records, found at Indian Hills Community College and Region 15 IWD/WIA Office.

Please respond to each finding individually, in the space provided. Your response will be included in the final report. In order to complete this process in a timely manner, we are asking you to reply within (15) days of receipt of this letter.

If you have any questions regarding the comment or findings you may contact Pat Daly at (515) 281-8140.

Sincerely,

A handwritten signature in black ink, appearing to read "Kelly R. Taylor".

Kelly R. Taylor
Bureau Chief, Financial Management
Iowa Workforce Development

CC: Jennifer Snead, Lisa Stek, Kala Mulder



REPORTING

Financial Status Reports (FSRs) are reviewed to determine if expenditures and revenues reported can be reconciled to the books of account. No findings during this review.

Participant Payments

A total of eighty-two (82) payments were included in the sample. The review included determining if costs were charged to the appropriate program, completeness of time and attendance records, adequate levels of obligations, adequate documentation and whether payments were calculated accurately. Also, a determination is made as to whether costs incurred are consistent with the Region 15 Customer Service Plan.

Finding #1

Participant Laura C. was allowed \$55 a night (2 nights) to attend a conference. She was only reimbursed \$110. She should have been reimbursed \$55 plus tax in the amount of $\$61.60 * 2 \text{ nights} = \123.20 . Participant should be reimbursed \$13.20 for this transaction.

Also, participant was reimbursed in the amount of \$27.90 for transportation expenses for the timeframe of 2/22/15-3/7/15 twice. This double reimbursement occurred on check #0345121 and check #0344671.

Corrective Action

Net: Participant needs to reimburse this program for over payment in the amount of \$14.70. A copy of documentation with proof of reimbursement should be sent along with your response to this monitoring report.

Grantee Response

Final Determination

Finding #2

Participant Laura C. did not have adequate backup documentation for IST payment in the amount of \$1232.90.

Participant Jason M. did not have adequate backup documentation for IST payments in the amount of \$1661.60 and \$1669.65.

Participant Ramona S. did not have adequate backup documentation for IST payment in the amount of \$1500.

Participant Frank W. did not have adequate backup documentation for IST payment in the amount of \$1512.

Participant Jeffery A. did not have adequate backup documentation for IST payments in the amount of \$1500 and \$2000.

Participant Minnie B. did not have adequate backup documentation for IST payment in the amount of \$1330.

Participant Mary S. did not have adequate backup documentation for IST payments in the amount of \$1706.55 and \$1727.85.

Participant Jennifer T. did not have adequate backup documentation for IST payments in the amount of \$1083 and \$1083.

Participant Don W. did not have adequate backup documentation for IST payment in the amount of \$1582.55.

Corrective Action

A copy of the backup documentation for these payments should be submitted along with the response to this monitoring report.

Grantee Response

Final Determination

Finding #3

Participant Minnie B. file had a notation in her file reflecting receipt of an additional \$91.20. There was not documentation to support this additional expense.

Grantee Response

This documentation was found in another individuals file while monitor was on site.

Final Determination

This issue was resolved while on site. No further action needed.

Finding #4

Participant Veronica M. had a receipt for clothing (scrubs) in her file. This receipt was not signed by the participant verifying she received this merchandise.

Corrective Action

A copy of the signed documentation (receipt) for this support payment should be submitted along with the response to this monitoring report.

Grantee Response

Final Determination

Finding #5

Participant Veronica M. did not have a signature on the attendance sheet for TRN reimbursement for the time frame of March 2-5, 2015.

Corrective Action

A copy of the signed attendance sheet for this reimbursement should be submitted along with the response to this monitoring report.

Grantee Response

Final Determination

Finding #6

Participant Veronica M. had a receipt for goods purchased at Wal-Mart stores in her file which was not signed by the participant. The items on the receipt are a Watch and Binders.

Corrective Action

A copy of the signed documentation (receipt) for this support payment should be submitted along with the response to this monitoring report.

Grantee Response

Final Determination

STAFF OVERHEAD PAYMENTS

Staff overhead claims were sampled in order to ensure that payments are reasonable, allowable and allocable to the programs charged.

Cost Limitations

Cost limitations are reviewed to determine if there are any possible compliance issues in relation to meeting the budget requirements as imposed in federal regulations and the terms of the contracts.

OTHER ISSUES FROM IWD QUESTIONNAIRE

There are other tests conducted during the visit that cannot be appropriately classified with the sections outlined above. However, none of those tests resulted in any additional findings or comments at this time.

RWIB Member Categories

One Community College Rep

RWIB Chair
Martha Wick
Community College
Wapello/D

One County Elected Official

Becky
Schmitz
Jefferson
County
Board of
Supervisors
Jefferson/D

One School District Rep

Dave
Daughton
Wayne
Community
School
District

One Municipal Elected Official

Dave
Krutzfeldt
Interpower
Corp.
Mahaska/R

Five Business Representatives

VACANT

Pam Young
Davis
County
Hospital
Davis/None

Richard
Nichols
First Iowa
State Bank/
Community
Insurance
Van Buren/

Michael
McDonough
Ottumwa
Residential
Facility
Wapello/

Justine
Heffron
Appanoose/
D

Five Labor Representatives

Ann
Youngman
Wilson
School/
Union
Wapello/R

Mike
Graves
Lucas
County
Courthouse
Lucas/D

Ann
Stocker
Cargill
Wapello/
None

Kevin Early
Mid-States
Manufacturing
Van Buren/

Ed Miller
Jefferson/
D

