

Kim Reynolds, Governor

Adam Gregg, Lt. Governor

Beth Townsend, Director

July 21, 2017

Patty Manuel, Chair
 Region 10 Regional Workforce Development Board
 109 N Huber St.
 Anamosa, IA 52205

Bob Yoder, Chair
 Region 10 Chief Elected Officials
 PO Box 889
 Washington, IA 52353

Dear Patty and Bob:

A Quality Assurance review has been completed for the WIOA Title I Adult, Dislocated Worker and Youth programs in Region 10 for Program Year 2016. State staff reviewed the data management information system and worked with the office electronically to provide any requested proof necessary to substantiate program compliance. I want to thank all of the staff involved for their assistance in providing needed documentation as we conducted our reviews electronically for the PY16 year.

The Quality Assurance Review is intended to identify the strengths in workforce programs in Region 10 and also areas where Technical Assistance may be of the most value. The review was conducted by Title I Quality Assurance team members: Kyle Clabby-Kane, Kristi Judkins, and Wendy Greenman.

Reviews were conducted monthly throughout January, February, March, April and May 2017. One file per program area was reviewed each month, totaling 5 files reviewed in each program area. Monthly reviews included an Initial Monitoring Report which included: an overall monitoring score, findings and required actions, observations, and strengths.

The monthly Initial Monitoring Reports are the basis for the information contained in this Comprehensive Monitoring Report. Within, you will find: findings, observations and strengths, as applicable.

Findings and observations were collectively reviewed between all three program areas. How many times an issue occurred determined whether it would be passed, or classified as an observation or finding.

- **Pass:** if an issue occurred just once between all programs, it was excused.
- **Observation:** if an issue occurred twice between all programs, it generated an observation, or if it was serious enough to merit a citation.
- **Finding:** if an issue occurred three or more times between all programs, it generated a finding.

Region 10 adequately responded to all Initial Monitoring Reports and any corrective actions given. Due to this, you will find within this Comprehensive Monitoring Report that all findings are resolved.

The following *Findings* were determined:

1. Objective Assessment (OBA) was not clearly documented in the data management system.

Policy:

- Workforce Innovation and Opportunity Act (WIOA) Title I Programs-Youth
 - Page 9: *The results of the objective assessment must be shared verbally with the participant and must be used to develop the ISS in partnership with the youth. The OBA must be clearly documented in the data management system. The results of OBA instruments and how the results were used to develop the ISS must be documented in the participant case file with copies of results and detailed in participant case notes.*
- Workforce Innovation and Opportunity Act (WIOA) One-Stop Delivery System Title I Programs-Adult & Dislocated Worker Services
 - Page 18: *The results of the objective assessment must be shared verbally with the participant and must be used to develop the IEP in partnership with the participant. The OBA must be clearly documented in the data management system.*

Corrective Action and IWD Conclusion:

Based on the response received from the initial monitoring report this finding is resolved.

2. Participant contacts were not occurring according to policy.

Policy:

- Workforce Innovation and Opportunity Act (WIOA) Title I Programs-Youth
 - Page 16: *For enrolled youth, the evaluation of participant progress must be conducted for each participant within the first 30 days of participation, at least monthly thereafter.*
- Workforce Innovation and Opportunity Act (WIOA) One-Stop Delivery System Title I Programs-Adult & Dislocated Worker Services
 - Page 14: *The staff evaluation must include direct contact with the individual. Direct contact is defined as an exchange of information. Direct contact may be either in person, by telephone, by e-mail or regular mail or electronic means provided there is a meaningful conversation or interaction between staff and the participant documented in the case file. On-going documentation should occur every 30 days, but must occur every 90 days.*

Corrective Action and IWD Conclusion:

Based on the response received from the initial monitoring report this finding is resolved.

The following *Observations* were determined:

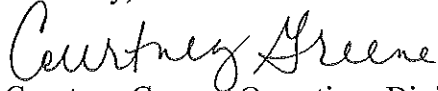
1. Participants had been exited; however the exit was not clearly/completely documented in the data management system. Specifically, the exit snapshot was not completed.
2. Regarding youth goals it was observed that in there were no current youth goals open. In addition, the youth was identified as basic skills deficient, however there were no goals set to address the deficiency.

The following *Strengths* were identified:

1. Good examples of case notes were observed.
2. Co-enrollment with PROMISE JOBS, including shared documentation and communication between career planners.
3. WEP timesheets which included TRN reimbursement information.

If you have any questions, please contact Wendy Greenman at 641-782-2119x20 or via email at: wendy.greenman@iwd.iowa.gov.

Sincerely,



Courtney Greene, Operations Division Administrator
Iowa Workforce Development



Wendy Greenman, Program Coordinator
Iowa Workforce Development

CC: Carla Andorf
Brett Conner
Michaela Malloy-Rotert
file

Kim Reynolds, Governor

Adam Gregg, Lt. Governor

Beth Townsend, Director



July 3, 2017

Dr. Michael Starcevich, President
Kirkwood Community College
6301 Kirkwood Blvd
Cedar Rapids, IA 52406

FINAL MONITORING REPORT SPRING 2017

Dear Dr. Starcevich:

I am in receipt of your response to my monitoring of Kirkwood Community College and the Workforce Innovation and Opportunity Act programs they administer for Region 10. The report listed no finding(s) that required corrective action and a response from your organization.

The original finding(s), your responses and my final decision, are attached to this letter. Please note that the scope of a financial monitoring review is significantly less than a financial and compliance audit. Therefore, we cannot express an opinion as to whether the financial statements reviewed present fairly the financial position for the period reviewed nor whether all disbursements are made in compliance with the terms of the contract(s) monitored. Subsequent monitoring visits will include a review of the item(s) listed above. Thank you for your assistance in resolving the above noted item(s).

If you have any questions regarding the findings you may contact Jamie Swacker at (515) 242-5221.
Sincerely,

A handwritten signature in black ink, appearing to read "B. Conner", written over a horizontal line.

Brett Conner, Bureau Chief, Financial Management
Iowa Workforce Development

Cc: Angela James/Carla Andorf Kris Gulick (CEO chair)
 Kristen Fiacco Kristy Lyman (LWDB Chair)

STAFF OVERHEAD PAYMENTS

Staff overhead claims were sampled in order to ensure that payments are reasonable, allowable and allocable to the programs charged. No findings/comments during this review period.

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. No finding/comments during this review period.

OTHER ISSUES FROM IWD QUESTIONNAIRE

There are other tests conducted during the visit that cannot be appropriately classified with the sections outlined above. No findings/comments during this review period.