

June 26, 2019

Michelle McNertney
Bureau Chief, WIOA
Iowa Workforce Development
1000 E. Grand Ave.
Des Moines, IA 50319

Dear Ms McNertney,

Enclosed is a corrective action plan for Region 15 in connection with the Monitoring of Title I program files for program year 2018 that was completed on May 24, 2019 by the Iowa Workforce Development (IWD) Workforce Services Division.

If you have any questions or concerns regarding the responses, please contact Jennifer Erdmann at (641) 684-5401 Ext: 40042 or email: Jennifer.erdmann@iwd.iowa.gov .

Sincerely,



Jennifer M. Erdmann
Operations Manager
IowaWORKS Ottumwa

Encl (2)

CC: Michelle McNertney
Matt Greiner
David Krutzfeldt

Monitoring Report

Summary

Region	CEO Chair	Local WDB Chair	Title I Director
15	Matt Greiner	David Kritzfeldt	Jennifer Erdmann
Files Reviewed			
Melissa Durflinger- Adult	Heather Wilson- Adult	Debra Denton- DW	Clayton Webster-Youth
Tiffany Kassing- Adult	Abdellatiff Aitjdida- DW	Karessa Rupe- DW	Valerie Ellsworth- Youth
Date of Monitoring	Findings	Response Due	
May 24, 2019	4	June 28, 2019	

Strengths

Support Service Documentation
There was good documentation of support service payments in case notes.

Areas of Concern

Conflicting Data Entry
For participant Tiffany Kassing, the exit snapshot indicates the participant completed OST and received a credential, however, the closures tab indicates “did not complete” for OST.
It is recommended that the information be updated in the system to reflect the correct outcome.

Finding #1

Finding		
Youth Follow-up:		
Follow up services were not offered within the first 30 days after exit. The program end date was 8/2/18 and exit task was generated on 10/17/18; however there were no case notes after 8/2/18.		
Legal Reference		
Policy 50.4.13 Follow-Up Services		
<i>All youth participants must be offered an opportunity to receive follow-up services that align with their individual service strategies according to the following guidelines: Follow-up services must be provided to all participants for a minimum of 12 months unless the participant declines to receive follow-up services or the participant cannot be located or contacted. However, it is encouraged that attempts continue to be made upon exit in order to offer services in the instance a participant may decide to re-engage.</i>		
<i>Follow-up services must include more than only a contact attempted or made for securing documentation in order to report a performance outcome. The first follow-up service is required to be provided within the first 30 days of exit from the program and should be in the form of a personal contact (in person, via telephone or electronic means) with the participant. A second follow-up service must occur within 90 days after exit, and at least quarterly thereafter for the next three quarters. The provision of follow-up services must be documented in case notes in the data management system.</i>		
Participant Name	Last 4 SSN	Program
Clayton Webster	8077	Youth
Corrective Action		
No corrective action. Participant is exited from the program.		

Monitoring Report

Region Response

Corrective Action Plan

To include date completed/implemented

All youth are offered follow-up services, however, it is not always documented. We will ensure that follow-up services are documented in IowaWORKS for each participant. Will conduct training on Wednesday June 26th, 2019. See attached Training Acknowledgement Letter.

IWD Acknowledgment

Resolution

To include acceptance of or follow-up to corrective action plan

Finding #2

Finding

Participant Progress:

The last case manager for youth documented a case note on 12/26/18 but no other youth enrollment case notes. Participant is co-enrolled in PJ and Adult, however case notes do not reflect any dialogue happening between program case managers.

Legal Reference

Policy 50.4.10 Coordination of Services

In order for co-enrollment to be effective, it is imperative that all staff working with the participant work in a fully integrated, congenial, and supportive manner and in accordance with Iowa's integrated service delivery model. Staff collaborating to serve the participant should work together to ensure that the current needs and progress of the participant are being accurately communicated and that identified needs are being met in a coordinated manner. Career planners should conduct integrated service delivery meetings with the participant to expedite meaningful communication that benefits the participant and increases their chances for success.

Policy 50.4.11 Participant Progress

A summary of the participant progress review and outcomes must be documented in the ISS and case noted in the data management system. For enrolled youth, the evaluation of participant progress must be conducted for each participant and outcomes must be documented on the ISS within the first 30 days of participation, at least monthly thereafter.

50.4.13.Follow-up Services

All youth participants must be offered an opportunity to receive follow-up services that align with their individual service strategies according to the following guidelines:

Follow-up services must be provided to all participants for a minimum of 12 months unless the participant declines to receive follow-up services or the participant cannot be located or contacted.

Participant Name	Last 4 SSN	Program
Valerie Ellsworth	4097	Youth

Corrective Action

Monitoring Report

Determine additional need for youth services and/or follow up and document in case notes accordingly.

Region Response

Corrective Action Plan

To include date completed/implemented

In coordination with the PJ Counselor, this participant is not cooperating with the PJ Program either. Moving forward, co-enrollment with PJ becomes increasingly difficult. We are unable to tell if a participant is co-enrolled in PJ or even who their case manager is unless the participant tells us. If a PJ Counselor has a filter on their Programs section, they will not see that we have them enrolled. We will work in conjunction with the PJ Program Manager to develop a procedure for the co-enrollment process between PJ and Title I. I will run case note reports weekly to ensure there is no lapse in case management documentation. Will conduct training on co-enrollments on Wednesday June 26th 2019. **See attached Training Acknowledgement Letter.**

IWD Acknowledgment

Resolution

To include acceptance of or follow-up to corrective action

Finding #3

Finding

Guidance and counseling is on the Individual Employment Plan; however there is no documentation of guidance and counseling in case notes.

Legal Reference

30.11.1 Basic Career Services - Guidance and Counseling

Case notes must identify the specific purpose of Guidance and Counseling. They must also document progress in achieving the specific planned outcome.

Participant Name	Last 4 SSN	Program
Tiffany Kassing	1035	Adult
Abdellatiff Aitjdida	6154	Dislocated Worker

Corrective Action

No Corrective action. Participants have exited from the program.

Region Response

Corrective Action Plan

To include date completed/implemented

Due to the IWORKS system requiring G&C prior to other services, even though not required under WIOA, we had to enter the service, even though there was no need. New system corrects that problem.

IWD Acknowledgment

Resolution

To include acceptance of or follow-up to corrective action

Monitoring Report

Finding #4

Finding

The OBA case note consisted only of assessment results and did not clearly document that all of the factors were addressed in the objective assessment.

Legal Reference

Policy 30.11.2 Individualized Career Services - Objective Assessment

The objective assessment (OBA) process collects information upon which a participant's Individual Employment Plan (IEP) will be based.

Objective assessment must be a participant-centered, objective evaluation of the service needs of each participant, academic levels and skill levels.

The assessment process must utilize generally accepted methodologies and instruments to collect information on each of the following factors for each participant: Family situation, Work history, Education, Basic literacy skills, Occupational skills, Work readiness skills, Interests and aptitudes, Attitude and motivation, Financial resources, Basic needs, and Review of strengths.

Participant Name

Abdellatiff Aitjdida

Last 4 SSN

6154

Program

Dislocated Worker

Corrective Action

No corrective action. Participant is exited from the program.

Region Response**Corrective Action Plan**

To include date completed/implemented

The individual who enrolled this participant was very new to WIOA at the time of enrollment. The new system also alleviates this issue by going through a questionnaire in the system of potential barriers. We will complete training on OBA Case Note requirements on Wednesday June 26th 2019. See attached Training Acknowledgement Letter.

IWD Acknowledgment**Resolution**

To include acceptance of or follow-up to corrective action

June 26, 2019

Iowa Workforce Development
Attn: Michelle McNertney
1000 E Grand Ave
Des Moines, IA 50309

Re: Region 15 WIOA Title I Adult/DW/Youth Program Training

On June 26th, 2019, training was conducted by Jennifer Erdmann using the WIOA Title IB Policy with the following in participation:

Stephanie Bard, WIOA Career Planner and Business Liaison
Miranda Millhouse, WIOA Career Planner and Business Liaison

The following sections were covered during training:

1. Policy 50.4.13 Follow-Up Services

All youth participants must be offered an opportunity to receive follow-up services that align with their individual service strategies according to the following guidelines: Follow-up services must be provided to all participants for a minimum of 12 months unless the participant declines to receive follow-up services or the participant cannot be located or contacted. However, it is encouraged that attempts continue to be made upon exit in order to offer services in the instance a participant may decide to re-engage.

Follow-up services must include more than only a contact attempted or made for securing documentation in order to report a performance outcome. The first follow-up service is required to be provided within the first 30 days of exit from the program and should be in the form of a personal contact (in person, via telephone or electronic means) with the participant. A second follow-up service must occur within 90 days after exit, and at least quarterly thereafter for the next three quarters. The provision of follow-up services must be documented in case notes in the data management system.

2. Policy 50.4.10 Coordination of Services

In order for co-enrollment to be effective, it is imperative that all staff working with the participant work in a fully integrated, congenial, and supportive manner and in accordance with Iowa's integrated service delivery model. Staff collaborating to serve the participant should work together to ensure that the current needs and progress of the participant are being accurately communicated and that identified needs are being met in a coordinated manner. Career planners should conduct integrated service delivery meetings with the participant to expedite meaningful communication that benefits the participant and increases their chances for success.

3. Policy 50.4.11 Participant Progress

A summary of the participant progress review and outcomes must be documented in the ISS and case noted in the data management system. For enrolled youth, the evaluation of participant progress must be conducted for each participant and outcomes must be documented on the ISS within the first 30 days of participation, at least monthly thereafter.

June 26, 2019

Re: WIOA Title I Adult/DW/Youth Program Training

4. 50.4.13. Follow-up Services

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Question and Answer session followed each section.

Sincerely,



Jennifer Erdmann
Operations Manager

Participants:

Stephanie Bard:



Miranda Millhouse:



CC: David Krutzfeldt

Matt Greiner

Michelle McNertney