



EDUCATION AND LABOR CABINET

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October 26, 2022

Michael Gritton, Executive Director
KentuckianaWorks Local Workforce Development Area
410 West Chestnut Street, Suite 200
Louisville, KY 40202

Tony Georges, Chair
KentuckianaWorks Workforce
Development Board
Human Resource Director, UPS
1400 North Hurstbourne Lane
Louisville, KY 40223

Dear Mr. Gritton and Mr. Georges:

Thank you for your responses to the Workforce Innovation and Opportunity Act Title 1B PY20 Comprehensive Monitoring Report issued on May 10, 2022. While these responses have been accepted, the Cabinet reserves the right to review files of this cohort, as well as all participant files for ongoing compliance purposes. If you have any questions, please contact Jim Beyea via email at jim.beyea@ky.gov or oetmonitoringteam@ky.gov.

Sincerely,

A handwritten signature in black ink that reads "Jim Beyea - DWD".

Jim Beyea, MBA
Acting Director

Attachments: Comprehensive Compliance Review

Comprehensive Review

KentuckianaWorks LWDB

May 10, 2022

Monitoring of the KentuckianaWorks Local Workforce Development Area

The KentuckianaWorks Local Workforce Development Area was monitored by the monitoring team staff on May 10, 2022. Department of Workforce Investment (DWD) monitoring staff included Anita Doster, Amanda Cummins, and Donna Burke. The team reviewed Workforce Innovation and Opportunity Act (WIOA) Title 1B programs, specifically Adult, Dislocated Worker (DW), and Youth relating to Program Year 2020. Also, a comprehensive financial review was conducted of all referenced programs.

The closing conference was held on July 18, 2022. A brief review of monitoring was given by Jim Beyea, Anita Doster, Amanda Cummins, and Donna Burke.

The purpose of the monitoring review was to analyze information regarding the above-noted formula programs and grants operated by KentuckianaWorks LWDB in order to:

- determine if the programs are meeting their goals and objectives;
- assess whether the programs are operating in accordance with federal, state, and local requirements, and
- identify promising practices.

For purposes of this monitoring review, a finding could denote noncompliance with the following:

- applicable laws and regulations;
- relevant Office of Management and Budget (OMB) circulars;
- uniform administrative requirements;
- state policies and directives; and/or
- local policies and procedures.

The monitoring team appreciates the time and information provided by KentuckianaWorks LWDB staff. This report is critical to the continuous improvement of the workforce system leading to better services and outcomes for jobseeker and employer customers.

Title 1B Executive Summary

The following is a description of findings and observations found when monitoring WIOA Title 1B Programs:

The Program monitor(s) identified six (6) findings and two (2) observation during the PY 2020 Comprehensive Monitoring Review. The financial monitor identified no findings and two (2) observations. The findings identified within this report are indicative of operational or quality issues worthy of attention and/or follow-up.

A finding requires immediate attention and corrective action, up to and including a corrective action plan. An observation may be a concern that, if left unaddressed, may result in future finding(s). An observation may also be a concern in which a written clarification from the LWDB could alleviate the concern. The operational challenges identified in the observations are related to those activities for which the Commonwealth has a strategy or an initiative, but for various reasons, the action is incomplete or insufficient.

Incorporated in this summary is a list of applicable findings and observations for each program based on the Comprehensive Monitoring Review. Following the summary are the individual program details.

Program Monitoring

Finding(s):

1. Outcomes - Credential Attainment not recorded in KEE Suite
2. Performance Indicator - Measurable Skills Gain not recorded in KEE Suite
3. ISS/IEP Incomplete
4. Case notes not entered at time of contact
5. Missing monthly case notes
6. Follow-up Not Documented

Observation(s):

- A. Incomplete registration in KEE Suite
- B. Local Policies should not contain login credentials

Financial Monitoring

Finding(s):

No findings

Observation(s):

- A. Mileage reimbursement discrepancy
- B. Delinquent monthly reporting into State system

PROGRAM MONITORING DETAILS

FINDING(S)

Finding (1): Outcomes - Credential Attainment not recorded in KEE Suite.

Issue(s):

1. Dislocated Worker: Workforce Case #001391914: Credential was not documented under Outcome's tab in KEE Suite.
2. Adult: Workforce Case #001327655, #001456609, and #001540853: Credentials were not documented under Outcome's tab in KEE Suite.

Citation:

KentuckianaWorks: Outcomes – Credential Attainment Policy dated 3/13/19.

Recording a Credential: All credential outcomes are to be recorded in the data system of record.

- The procedure to enter the credential is detailed in the most recent version of the Kentucky Health Staff Connect Training Guide, Part B as found on the Team of Experts site.
- The website for the Team of Experts is:
<http://apps.kcc.ky.gov/Policy/Default.aspx?id=md>
Username = expert
Password = KCCtoe1
- The Team of Expert section with the Training Guide is in the KEE Suite section.
- The credential is an Outcome and the process to record the attainment of the credential is found in the Outcome Management section of the Training Guide, Part B

Instance(s): 4/44 (9%)

Required Action: LWDB must adhere to the KentuckianaWorks: Outcomes – Credential Attainment Policy. Training must be given to staff regarding the importance and the process of entering all Outcomes in KEE Suite. A sign-in sheet for this training and the training syllabus/documents must be completed and forwarded to DWD within 30 days of receipt of this report to attest this finding has been resolved.

LWDB Response:

KentuckianaWorks would first like to address the role of the data system in regard to this finding. Since the launch of KEE Suite in 2018, the credential attainment functionality has either not operated properly, or has at times not operated at all. Additionally, KentuckianaWorks has not received training since 2018, while KEE Suite has undergone multiple updates during each year it's been in operation. The continual system functionality failures and system updates have caused constant disruption and changes to how most of the features work, how system users interact with those features, and how the components within the workforce case relate to each other.

For the Finding Required Action, KentuckianaWorks provided training on the subject of this finding to all KentuckianaWorks WIOA Service Provider staff on two separate dates (same training held twice), Wednesday, October 12, 2022, 9:00 AM – 11:00 AM, and Thursday, October 20, 2022, 2:00 PM – 4:00 PM.

- The training material on the subject of this finding is attached to this response, *KentuckianaWorks WIOA Training_Credential Attainment*.
- The training agendas for both sessions are attached to this response, *KentuckianaWorks WIOA Training Agenda-Session 1* and *KentuckianaWorks WIOA Training Agenda-Session 2*.
- The training sign-in sheets for both sessions are attached to this response, *KW Training Attendance-WIOA Training-Session 1*, and *KW Training Attendance-WIOA Training-Session 2*.

DWD Response:

DWD considers verbiage starting with the required action as a valid response. Finding Resolved.

Finding (2): Performance Indicator - Measurable Skills Gain not recorded in KEE Suite

Issue(s):

1. Dislocated Worker: Workforce Case #001391914 and #001529274. Two participants completed ITA training and received training certificates however, no MSG's were entered in KEE Suite.
2. Adult: Workforce Case #000519787, #001289888, #001516380, and #001540853. Four participants completed ITA training and received training certificates however, no MSG's were entered in KEE Suite.

Citation:

KentuckianaWorks: Performance Indicator - Measurable Skills Gain Policy dated 12/16/19; Recording a Measurable Skills Gain: All measurable skills gain outcomes are to be recorded in the data system of record. See KW Guidance Letter: Entering Measurable Skills Gain for entering data correctly in KEE Suite. Participants who are in an education or training program during a program year are included in the MSG performance measure, regardless if the education or training is funded through WIOA or not. A training or education service must be entered in the data system of record including Non-ITA training. Documenting skills gain must be done as soon as a MSG is achieved during the program year in which the participant is active in education or training, regardless of how close to the end of the program year the education or training begins.

Instance(s): 7/44 (16%)

Required Action: LWDB must adhere to the KentuckianaWorks: Performance Indicator – Measurable Skills Gain Policy. Training must be given to staff regarding the importance and the process of entering all MSG information in KEE Suite. A sign-in sheet for this training and the training syllabus/documents must be completed and forwarded to DWD within 30 days of receipt of this report to attest this finding has been resolved.

LWDB Response:

KentuckianaWorks would first like to address the role of the data system in regard to this finding. Since the launch of KEE Suite in 2018, the Measurable Skills Gain functionality has either not operated properly, or has at times not operated at all. Additionally, KentuckianaWorks has not received training since 2018, while KEE Suite has undergone multiple updates during each year it's been in operation. The continual system functionality failures and system updates have caused constant disruption and changes to how most of the features work, how system users interact with those features, and how the components within the workforce case relate to each other.

For the Finding Required Action, KentuckianaWorks provided training on the subject of this finding to all KentuckianaWorks WIOA Service Provider staff on two separate dates (same training held twice), Wednesday, October 12, 2022, 9:00 AM – 11:00 AM, and Thursday, October 20, 2022, 2:00 PM – 4:00 PM.

- The training material on the subject of this finding is attached to this response, *KentuckianaWorks WIOA Training_MSG*.
- The training agendas for both sessions are attached to this response, *KentuckianaWorks WIOA Training Agenda-Session 1* and *KentuckianaWorks WIOA Training Agenda-Session 2*.
- The training sign-in sheets for both sessions are attached to this response, *KW Training Attendance-WIOA Training-Session 1*, and *KW Training Attendance-WIOA Training-Session 2*.

DWD Response:

DWD considers verbiage starting with the required action as a valid response. Finding Resolved.

Finding (3): ISS/IEP Incomplete.

Issue(s):

1. Youth: Workforce Case #001857282 and #001905522. Two participants have an incomplete ISS and are missing one or more of the following sections: Long-term goals and strengths.
2. Adult: Workforce Case #000695427 and #001321752. Two participants have an incomplete IEP and are missing one or more of the following sections: LMI, industry sector, challenges, and stressors.

Citation:

Workforce Innovation and Opportunity Act Sec. 129 (c)(B) "...develop service strategies for each participant that are directly linked to 1 or more of the indicators of performance described in section 116(b)(2)(A)(ii), and that shall identify career pathways that include education and employment goals (including, in appropriate circumstances, nontraditional employment), appropriate achievement objectives, and appropriate services for the participant taking into account the assessment conducted pursuant to subparagraph (A),

except that a new service strategy for a participant is not required if the provider carrying out such a program determines it is appropriate to use a recent service strategy developed for the participant under another education or training program;"

According to Policy (29 U.S.C. § 3164(c)(1)(B)). The IEP/ISS shall contain the following components: short and long-term goals identified collaboratively to achieve the participant's specific occupational goal, objectives identified collaboratively as action steps to achieve each of the established goals, all goals and objectives shall address holistic case management including the elimination of barriers identified during assessment. All goals and objectives shall be measurable and attainable within the identified timeframe.

Instance(s): 4/44 (9%)

Required Action: LWDB must ensure that all elements of the ISS/IEP are completed prior to providing training services. Training must be given to staff regarding the importance and process of including all information on the ISS/IEP. A sign-in sheet for this training and the training syllabus/documents must be completed and forwarded to DWD within 30 days of receipt of this report to attest this finding has been resolved.

LWDB Response:

KentuckianaWorks would first like to address the role of the data system in regard to this finding. KentuckianaWorks has not received training since 2018 and was unaware until the state WIOA monitoring which occurred at the end of Program Year 2020 (for PY2019) that the IEP submit button was required. The LWDB staff are now aware that this is required but are unable to edit the IEP in workforce cases that are in exited status due to system access functionality.

For the Finding Required Action, KentuckianaWorks provided training on the subject of this finding to all KentuckianaWorks WIOA Service Provider staff on two separate dates (same training held twice), Wednesday, October 12, 2022, 9:00 AM – 11:00 AM, and Thursday, October 20, 2022, 2:00 PM – 4:00 PM.

- The training material on the subject of this finding is attached to this response, *KentuckianaWorks WIOA Training_IEP*.
- The training agendas for both sessions are attached to this response, *KentuckianaWorks WIOA Training Agenda-Session 1* and *KentuckianaWorks WIOA Training Agenda-Session 2*.
- The training sign-in sheets for both sessions are attached to this response, *KW Training Attendance-WIOA Training-Session 1*, and *KW Training Attendance-WIOA Training-Session 2*.

DWD Response:

DWD considers verbiage starting with the required action as a valid response. Finding Resolved.

Finding (4): Case notes not entered at time of contact.

Issue(s):

1. Youth: Workforce Case #001905522, #001985298, and #002366903. Three participants have case notes entered later than the 10-day time frame and are not being documented at the time of contact.

2. Adult: Workforce Case #000325213, #001321752, #001276631, #001461287. Four participants have case notes entered later than the 10-day time frame and are not being documented at the time of contact.

Citation:

Case Note Policy # 16-207 states that effective case management practices include comprehensive case notes. Case notes document details about intake, evaluations, participation, outcomes, service decisions, one-on-one meetings, achievements, and follow-up services. The purpose of case notes is to provide a detailed description of an individual's participation in services. Case notes must be clear, relevant, and useful. Case notes will be written at the time of the event of contact and entered into KEE Suite as soon as possible, not to exceed 10 business days.

Instance(s): 7/44 (16%)

Required Action: LWDB must ensure that all case notes are completed in KEE Suite at the time of event or contact and should be clear, relevant, and useful. Training must be given to staff regarding the importance of entering data into KEE Suite within the allotted time frame. A sign-in sheet for this training and the training syllabus/documents must be completed and forwarded to DWD within 30 days of receipt of this report to attest this finding has been resolved.

LWDB Response:

For the Finding Required Action, KentuckianaWorks provided training on the subject of this finding to all KentuckianaWorks WIOA Service Provider staff on two separate dates (same training held twice), Wednesday, October 12, 2022, 9:00 AM – 11:00 AM, and Thursday, October 20, 2022, 2:00 PM – 4:00 PM.

- The training material on the subject of this finding is attached to this response, *KentuckianaWorks WIOA Training_Case Notes*.
- The training agendas for both sessions are attached to this response, *KentuckianaWorks WIOA Training Agenda-Session 1* and *KentuckianaWorks WIOA Training Agenda-Session 2*.
- The training sign-in sheets for both sessions are attached to this response, *KW Training Attendance-WIOA Training-Session 1*, and *KW Training Attendance-WIOA Training-Session 2*.

DWD Response:

DWD considers verbiage starting with the required action as a valid response. Finding Resolved.

Finding (5): Missing Monthly Case Notes.

Issue(s):

1. Adult: Workforce Case #001704966, #001328025, #000695427, #001516420, #001289888, and #001456609. Six participants are missing monthly case management notes.

Citation:

KentuckianaWorks: Case Management Policy dated 9/25/20.

Communication Expectations while the Customer is Active in Services:

At a minimum, staff shall contact customers each month while they are active participants in services. If the case manager is the secondary case manager, then they may document services based on a report from the primary case manager. In the case of a customer in a Service Program, the case manager may contact the provider for an update. A summary of all pertinent information from the interaction with the customer or an event related to the customer must be documented in the customer's case notes in KEE Suite in accordance with data entry requirements.

Instance(s): 6/44 (14%)

Required Action: LWDB must ensure that all monthly case management notes are completed in KEE Suite at the time of event or contact and should be clear, relevant, and useful. Training must be given to staff regarding the importance of communicating with the customer each month while they are active participants. A sign-in sheet for this training and the training syllabus/documents must be completed and forwarded to DWD within 30 days of receipt of this report to attest this finding has been resolved.

LWDB Response:

For the Finding Required Action, KentuckianaWorks provided training on the subject of this finding to all KentuckianaWorks WIOA Service Provider staff on two separate dates (same training held twice), Wednesday, October 12, 2022, 9:00 AM – 11:00 AM, and Thursday, October 20, 2022, 2:00 PM – 4:00 PM.

- The training material on the subject of this finding is attached to this response, *KentuckianaWorks WIOA Training_Case Notes*.
- The training agendas for both sessions are attached to this response, *KentuckianaWorks WIOA Training Agenda-Session 1* and *KentuckianaWorks WIOA Training Agenda-Session 2*.
- The training sign-in sheets for both sessions are attached to this response, *KW Training Attendance-WIOA Training-Session 1*, and *KW Training Attendance-WIOA Training-Session 2*.

DWD Response:

DWD considers verbiage starting with the required action as a valid response. Finding Resolved.

Finding (6): Follow-up Not Documented.

Issue(s):

1. Adult: Workforce Case #001328288, #000325213, #000479496, #001363019, #000695427, #001371676, #001328025, #001321752, #000049098, #001516420, #001289888, #001491701, #001456609, #001276631, #001516380, and #001540853. Sixteen participants had incomplete follow-ups and follow-ups were not documented into KEE Suite.
2. Dislocated Worker: Workforce Case #001391914. One participant did not have an Employment Outcome.
3. Dislocated Worker: Workforce Case #001764923, #001391914, #001229020, #001303261, #001116806, #001529274. Six participants had incomplete follow-ups and follow-ups were not documented in KEE Suite.

Citation:

KentuckianaWorks: Case Management Policy dated 9/25/20.

Follow-up Requirements for Case Management:

The goal of follow-up is to support customer retention and advancement in employment (as well as post-secondary education for youth participants) and re-employment for customer should the customer become unemployed. Follow-up should reflect this goal and extend beyond the capture of performance data (for example, help address barriers to retention such as transportation, provide financial literacy support, and prepare for performance reviews and advancement opportunities). The type and intensity of follow up depends on the need of the individual customer. Adult customers may not access supportive services during follow-up; however, youth participants may be able to access supportive services. All follow-up activities shall be documented in KEE Suite as case notes. Title the case note as "Follow-up". Do not enter follow up services as an Activity in KEE Suite. This will re-start the customer's service period. Outcome data in KEE should be updated to reflect employment and credential gains as needed to reflect customer success.

Follow-up service period:

- Adult customers: 12 months beginning the first day of unsubsidized employment or after the last planned service
- Youth Customers: 12 months after the completion of participation

Instance(s): 23/44 (52%)

Required Action: LWDB must ensure case managers complete follow-up services in a timely manner and all case notes/Outcomes are documented in KEE Suite. A training must be given to staff regarding the importance of follow-up activities. A sign-in sheet for this training and the training syllabus/documents must be completed and forwarded to DWD within 30 days of receipt of this report to attest this finding has been resolved.

LWDB Response:

KentuckianaWorks would first like to address the role of the data system in regard to this finding. Since the launch of KEE Suite in 2018, the follow-up functionality has either not operated properly, or has at times not operated at all, including the Employment Outcome entry. The majority of our workforce cases did not exit as intended. They either prematurely exited or exited later than intended, with some cases not exiting for one to three years after they should have. Most have just been fixed this calendar year. This has been our top issue reported to the state over the past few years. Additionally, KentuckianaWorks has not received training since 2018, while each section of KEE Suite relevant to follow-up has undergone multiple updates during each year it's been in operation. The continual system functionality failures and system updates have caused constant disruption and changes to how most of the features work, how system users interact with those features, and how the components within the workforce case relate to each other.

For the Finding Required Action, KentuckianaWorks provided training on the subject of this finding to all KentuckianaWorks WIOA Service Provider staff on two separate dates (same training held twice), Wednesday, October 12, 2022, 9:00 AM – 11:00 AM, and Thursday, October 20, 2022, 2:00 PM – 4:00 PM.

- The training material on the subject of this finding is attached to this response, *KentuckianaWorks WIOA Training Follow-up*.
- The training agendas for both sessions are attached to this response, *KentuckianaWorks WIOA Training Agenda-Session 1* and *KentuckianaWorks WIOA Training Agenda-Session 2*.
- The training sign-in sheets for both sessions are attached to this response, *KW Training Attendance-WIOA Training-Session 1*, and *KW Training Attendance-WIOA Training-Session 2*.

DWD Response:

DWD considers verbiage starting with the required action as a valid response. Finding Resolved.

OBSERVATION(S)

Observation A: Adult: Workforce Case #000695427. Household Information and Basic Demographics are incomplete under Registration tab.

Recommendation A: LWDB should ensure when registering new participants into the system and before submitting for approval that all information is accurate and complete for this will aid in safeguarding against any disallowed or questioned cost.

LWDB Response:

Observation A is a data system issue that has been reported to the state multiple times. This workforce case was created in November 2018 (one month after KEE Suite launched) and there have been many system updates to the Registration since that time. The fields reported as missing either did not exist at the time, were not editable by LWDB staff at the time, moved locations within the Registration since the data was entered, or the contents were lost during one of many updates that occurred between 2018 and 2022. LWDB staff are unable to edit the Registration in workforce cases that are in exited status due to system access functionality and therefore these fields cannot be corrected by staff if and when system updates or errors occur.

Observation B: KentuckianaWorks’ Outcomes – Credential Attainment Policy dated 3/13/19, contains the Team of Experts URL and login information under the *Recording a Credential* section. This information must be kept confidential and protected.

Recommendation B: Login credentials must be protected to prevent unauthorized access and compromising account security. It is advised that KentuckianaWorks edit this policy by removing the login credentials to the system.

LWDB Response:

The Team of Expert (TOE) login credentials will be removed from the KentuckianaWorks Credential Attainment policy. KentuckianaWorks suggests that the DWI (or responsible entity) change the TOE username and password on a regular basis as the username and password has been the exact same username and password since the TOE was launched (at least 5+ years ago). Additionally, the username and password for KCC TOE was also included in this document by the state monitor, in the Finding #1, Citation section.

FINANCIAL MONITORING DETAILS

FINDING(S)

Findings: No findings.

OBSERVATION(S)

Observation A: Mileage reimbursement discrepancies were discovered for travel completed on the drawdown for September 2022.

Recommendation A: KentuckianaWorks Allowable Cost for travel, 2 CFR 299.474 states, “Allowable per KentuckianaWorks and State policy must be related to the grant General government travel requires grantor approval.” DWD recommends for quarterly calendar reminders to be implemented to update in-house travel documentation to correspond with State travel regulations.

Observation B: Reports were submitted past the due date into Work Systems. Due to miscommunication to KentuckianaWorks, this issue will be an observation.

Recommendation B: Kentucky Career Center Policy 16-013 states, “Local Workforce Development Areas (LWDAs) must submit all financial information by the 20th calendar day following the last day of the month into the WORKS system. Should the 20th calendar day of the month fall on a weekend, the information must be entered by close of business day Monday. It is highly recommended for KentuckianaWorks to be aware of all State policies and regulations and ensure all State policies are distributed to staff. State policies regarding monthly reporting have been sent to KentuckianaWorks fiscal staff.

END REPORT