



EDUCATION AND LABOR CABINET

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Governor

Department of
Workforce Development

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December 20, 2022

Sherry Johnson, Director
Lincoln Trail Local Workforce
Development Area
PO Box 604
Elizabethtown, KY 42702

Trish Niles, Chair
Lincoln Trail Workforce
Development Board
Midpark Inc., HR Manager
P.O. Box 326
Leitchfield, KY 42755

Dear Ms. Johnson and Ms. Niles:

Thank you for your responses to the Workforce Innovation and Opportunity Act Title 1B PY20 Comprehensive Monitoring Report issued on August 29, 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 at jim.beyea@ky.gov or email at oetmonitoringteam@ky.gov.

Sincerely,

A handwritten signature in cursive script that reads "Jim Beyea - DWD".

Jim Beyea
Assistant Director

Attachment(s): PY20 WIOA Comprehensive Monitoring Review

WIOA Comprehensive Monitoring Review

LINCOLN TRAIL LWDB

August 29, 2022

Monitoring of the LINCOLN TRAIL Local Workforce Development Area

The LINCOLN TRAIL Local Workforce Development Area was monitored by the monitoring team staff on August 29, 2022. Department of Workforce Development (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.

A closing conference was held on October 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 LINCOLN TRAIL's 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 LINCOLN TRAIL's 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 three (3) findings and two (2) observations, and the financial monitor identified no findings and two (2) observations during the PY20 Comprehensive Monitoring Review. 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 Summary

Finding(s):

1. Credential not documented in Kee Suite
2. Follow-up service not documented
3. Local Lincoln Trail Follow-Up Policy for Adults and Dislocated Workers needs clarification/revision

Observation(s):

- A. KEE Suite system not utilized
- B. Lack of local Case Note Policy

Financial Monitoring Summary

Finding(s):

No findings

Observation(s):

- A. Attached to incorrect funding stream
- B. Missing Mapquest

PROGRAM MONITORING DETAILS

FINDINGS

Finding (1): Credential not documented in Kee Suite

Issue(s):

1. Dislocated Worker: Workforce Case #000460987. One participant's college degree diploma was not documented in accordance with Kentucky Career Center Credential Policy. Credential was not documented in KEE Suite Outcomes tab nor the uploaded case file documentation.

Citation(s):

Kentucky Career Center Policy #16-028: Kentucky Career Center Credential Policy "...Under WIOA, the credential is now a required measure; therefore, the collection of this data is mandatory. When documenting the credential for a participant, the collection of the credential/attainment or degree MUST include:

- *A copy of the credential document placed in the participants folder, OR
 - *A case note documenting that the participant received a credential and the type of credential attained and date attained, as verified by school
- AND
- *Documentation of the credential on the Outcomes Tab in Kee Suite."

"The credential must be a nationally recognized credential."

Instance(s): 1/41 (2%)

Required Action:

LWDB must ensure documentation for Outcomes and Credential information is completed. Training must be provided to case managers in regard to the Kentucky Career Center Policy #16-028: Kentucky Career Center Credential Policy. Training information and sign in sheet must be submitted to the monitoring team within 30 days of the receipt of this report to attest this finding has been resolved.

LWDB Response:

The finding in question was with our previous direct service provider and their staff. None of those individuals are employed with the new direct services provider. The new provider has already addressed this issue and the LWDA board staff have also instituted several steps to ensure this doesn't happen again. 1. We are having weekly zoom meetings with our new direct services provider regarding all of the initial KEE Suite Issues identified and we will cover it again on 11/23/2022. 2. We have changed our ITA language to ensure the Individual Customer and the Training Provider know they must provide us with documentation of any credentials received. 3. For the provider in question for this finding, we will closely monitor current clients enrolled and if a similar situation occurs, we will place the provider on probation for one year – meaning, we will not approve any WIOA funding for clients to attend any training with the provider. In addition to the individual customer who refused to respond to our requests, the training provider did the same. UPDATE: On 11/23/2022, our Direct Service Provider staff reached out again to the training provider and we were able to obtain documentation regarding credential attainment. This has been entered into KEE Suite.

DWD Response:

DWD accepts LWDB's response. Finding has been resolved.

Finding (2): Follow-up service not provided

Issue(s):

1. Dislocated Worker: Workforce Case #001187607, #001161826, #000460987. Three participants were not provided follow-up services over multiple quarters.
2. Adults: Workforce Case #001458397. One participant was not provided follow-up service during the fourth quarter.
3. Youth: Workforce Case #001968067, #001678403, #003283056, #003350315, #003293032, #003349887, #003367841, #003368808, and #003368994. Nine youth participants did not have monthly follow-up for one full year completed.

Citation(s):

Lincoln Trail's Workforce Development Board Adult/Dislocated Worker Follow Up Policy
Follow-up services will be provided to all WIOA Title I Adult and Dislocated Worker program participants for up to twelve months following the first day of unsubsidized employment.

TEGL 19-16 Adult, Dislocated Worker, ES
Follow-up Services

States and local areas must provide follow-up services for adults and dislocated worker participants who are placed in unsubsidized employment, for up to 12 months after the first day of employment. States and local areas must establish policies that define what are considered to be appropriate follow-up services, as well as policies for identifying when to provide follow-up services to participants. One type of follow-up service highlighted in WIOA is to provide individuals counseling about the work place. Follow-up services do not extend the date of exit in performance reporting; for more information on performance reporting see TEGL 10-16.

20 CFR § 681.580 states that all youth participants must be offered an opportunity to receive follow-up services that align with their individual service strategies. Furthermore, 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. Follow-up services may be provided beyond 12 months at the State or Local WDB's discretion. The types of services provided and the duration of services must be determined based on the needs of the individual and therefore, the type and intensity of follow-up services may differ for each participant. Follow-up services must include more than only a contact attempted or made for securing documentation in order to report a performance outcome.

Instance(s): 13/41 (32%)

Required Action:

LWDB must ensure case managers complete follow-up services in a timely manner and all case notes are documented in KEE Suite. LWDB must confirm that training over Adult, Dislocated worker, and Youth follow-up has been provided to case managers. Training information and sign in sheet must be submitted to the monitoring team within 30 days of the receipt of this report to attest this finding has been resolved.

LWDB Response:

Follow up services are mandated for all youth for a period of one year. For adult and dislocated worker, we are required to make follow up services available for a period of one year, but it is not mandated. There is a difference because an adult or DLW customer can say no thank you. But more importantly, we must all understand that while the law clearly says follow up services must be provided to youth for one year, some youth will walk away never to be heard from again. In addition, 20 CFR 681.580 clearly states that you can decline followup. Furthermore, 20 CFR 681.580 references follow up may not be provided to youth who cannot be located or contacted. This sufficiently supports follow up being ended if youth become unresponsive after a reasonable number of contact attempts.

Our former case managers were very diligent in providing detail on this in the case note section of KEE Suite. The new direct service provider and their new career advisors have already received extensive training on this. We will cover this again in the 11/23/2022 zoom meeting.

DWD Response:

TEGL 19-16, "States and local areas "must" provide follow-up services for adults and dislocated worker participants who are placed in unsubsidied employment, for up to 12 months after the first day of employment."

The Department of Workforce Development recommends the LWDB follow the Best practice utilized by other Areas by providing follow-up services once a month for a year.

Please provide a list of employees who participated in the zoom training held on 11/23/22 as well as the topics covered.

DWD accepts LWDB's response. Finding has been resolved as soon as the list of participants and training topics covered is received.

Finding (3): Local Lincoln Trail Follow-Up Policy for Adults, Dislocated Workers, and Youth needs clarification/revision

Issue(s):

1. Dislocated Worker: Workforce Case #001634794, #001055245, #001635131, and #000310118. Four participants' case notes indicated "After 3 unresponsive contact attempts, further follow-up contact was ended." This procedure is not indicated in the Local Area's Follow-Up Policy.

Citation(s):

Lincoln Trail's Workforce Development Board Adult/Dislocated Worker Follow Up Policy Follow-up services will be provided to all WIOA Title I Adult and Dislocated Worker program participants for up to twelve months following the first day of unsubsidized employment.

20 CFR § 681.580 states that all youth participants must be offered an opportunity to receive follow-up services that align with their individual service strategies. Furthermore, 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. Follow-up services may be provided beyond 12 months at the State or Local WDB's discretion. The types of services provided and the duration of services must be determined based on the needs of the individual and therefore, the type and intensity of follow-up services may differ for each participant. Follow-up services must include more than only a contact attempted or made for securing documentation in order to report a performance outcome.

Instance(s): Broad

Required Action:

LWDB must review and revise Lincoln Trail Follow-Up Policy to reflect procedure for unresponsive follow-up attempts for Adults and Dislocated Workers. A youth follow-up policy should also be drafted to mirror 20 CFR § 681.580. All revisions and policy drafts must be submitted to the monitoring team within 30 days of the final report to attest this finding has been resolved.

LWDB Response:

[See the previous response.](#)

DWD Response:

TEGL 19-16, "States and local areas must provide follow-up services for adults and dislocated worker participants who are placed in unsubsidized employment, for up to 12 months after the first day of employment. States and local areas must establish policies that define what are considered to be appropriate follow-up services, as well as policies for identifying when to provide follow-up services to participants." In an operational setting, sometimes clarity is helpful. The law is specific in saying follow-up must be provided for 12 months. From an internal control aspect, if the Board has approved ceasing follow-up after 3 unresponsive contact attempts, documenting processes will provide clear communication.

DWD accepts LWDB's response. Finding has been resolved.

OBSERVATIONS

Observation A:

Adults: Workforce Case #001458397, #003086457, #001678857. WIOA 1a, 1b, 1c, and 1d are blank on three participant's WIOA-1 forms uploaded into KEE Suite.

Recommendation A:

KEE Suite is a paperless environment and LWDB should ensure KEE Suite is utilized as designed to prevent future issues.

LWDA Response: Until such time KEE Suite or any future data/performance system is reliable and local DSP provider staff have been sufficiently trained, paperless systems will not exist because local areas will continue to maintain and keep hard copy documentation. Trust has to be earned and KEE Suite doesn't provide that. Further, we submitted information as to why those documents were intentionally left blank.

Observation B:

Lincoln Trail is missing a local Case Note Policy.

Recommendation B:

Lincoln Trail has submitted a Draft Case Note Policy. This will assist in helping the counselors to better follow protocol in accordance with case note policy 16-027.

LWDA Response – The state case note policy 16-027 has been superceded by Case Note Policy 22-002. The LWDA is in compliance with this policy because it does not require a local case note policy. The state policy says it all.

FINANCIAL MONITORING DETAILS

FINDINGS

Findings: No findings

OBSERVATIONS

Observation A:

Workforce Case #002451317 is attached to Adult funding stream under Service Program; participant is a DW.

Recommendation A:

Please ensure the correct funding stream is attached to that participant to avoid any potential questioned cost by utilizing the incorrect funding stream.

LWDA Response: [Agreed but if it is correct in the financial system, it is correct.](#)

Observation B:

Missing Mapquest on drawdown dated week ending 12.5.2020. The destinations were shown, but no addresses we found.

Recommendation B:

Please ensure all required documentation is uploaded into the State system to avoid any delay in drawdown requests.

LWDA Response: [Agreed.](#)

END OF REPORT