



## EDUCATION AND LABOR CABINET

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August 22, 2022

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Jon Sowards Director  
South Central Workforce Development Board  
2355 Nashville Road  
Suite C101  
Bowling Green, KY 42101

Dear Ms. Shirley and Mr. Sowards:

Thank you for your responses to the Workforce Innovation and Opportunity Act Title 1B PY20 Comprehensive Monitoring Report issued on March 30, 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](mailto:jim.beyea@ky.gov) or [oetmonitoringteam@ky.gov](mailto:oetmonitoringteam@ky.gov).

Sincerely,

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

Jim Beyea  
Division Director

Attachments: PY20 Final WIOA Comprehensive Monitoring Report

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# Comprehensive WIOA Monitoring Review

SOUTH CENTRAL LWDB

March 30, 2022

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## **Monitoring of the SOUTH CENTRAL Local Workforce Development Area**

The SOUTH CENTRAL Local Workforce Development Area was monitored by the monitoring team staff on March 30, 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.

The closing conference was held on April 27, 2022. A brief review of monitoring was given by Jim Beyea, 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 SOUTH CENTRAL 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 SOUTH CENTRAL 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 two (2) findings and two (2) observations during the PY 2020 Comprehensive Monitoring Review. The financial monitor identified one (1) finding and one (1) observation. 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. Violation of Case Note Policy
2. Questioned Eligibility, missing or incomplete required documentation

#### **Observation(s):**

- A. Incomplete Registration in KEE Suite
- B. Case Notes – conflicting information

### **Financial Monitoring**

#### **Finding(s):**

1. Past due monthly reporting in WORKS system

#### **Observation(s):**

1. State travel reimbursement guidelines not followed

## Program Monitoring Details

### **Findings:**

**Finding (1):** Violation of Case Note Policy

### **Issue(s):**

1. Youth: Workforce Case # 001926823, #002721082, #002306604, #003080198, #003094211, #002633644, #003012903, #002654614, #003114764, and #003064691. 10 participants have case notes that are not being entered when contact was made. These participants are showing a backdated title, but case notes are entered in later months.
2. Adult: Workforce Case #001796258, #001925307, #001890726, #002059270, #001346694, #003147439, #002332390, and #001743338. 8 participants have case notes that are not being entered when contact was made. These participants are showing a backdated title, but case notes are entered in later months.

### **Citation:**

Case Note Policy # 16-207 state 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):** 18/40 (45%)

**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. When monitoring Workforce case note activity in Kee Suite, the monitors reviewed and discovered the modification dates, backdated, and missing case notes. If the case note(s) need modification, please create a new case note and within that case note, reference which case note the update applies to. Training must be administered to staff on the best practice to always create a new case note instead of modifying previous case notes. 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:**

During this time case managers were revisiting case notes to add updates or to make edits which in turn time stamped to the most recent modified date. SCWDB reacted to this issue in April due to previous case note time stamp concerns identified in NDWG-Covid monitoring. SCWDB staff facilitated training on April 20, 2022, with the WIOA Case Managers to ensure case note policy compliance. SCWDB staff will continue monitoring WIOA workforce cases to ensure that *new* case notes are being entered no later than three business days following the contact or event.

Note: SCWDB WIOA Case Management meeting attendance signature sheet, agenda and training documents are attached.

**DWD Response:**

DWD accepts this response. Finding has been resolved.

**Finding (2):** Questioned Eligibility, missing or incomplete required documentation

**Issue(s):**

1. Dislocated Worker: Workforce Case #001305820. One Category 1 participant had UI B4 document that states, "Your claim is pending employer protest. Please continue to request your checks as instructed during claim filing." No additional follow-up UI B4 documents were saved under "Documents" in Kee Suite to confirm participant received Unemployment Insurance Benefits nor any case notes providing an update on UI Status. UI claim should have been adjudicated prior to enrollment in WIOA. Eligibility was not proven.

**Citation:**

***WORKFORCE INNOVATION AND OPPORTUNITY ACT, TITLE 1 (WIOA), WIOA-1 & WIOA-2, REFERENCE GUIDE, ACCEPTABLE VERIFICATION OR DOCUMENTATION SOURCES***

*At the time of eligibility determination, 100 percent up-front verification is required. All documents must be unexpired. This policy requires that all backup documentation (photocopy acceptable) for the social security number, birthdate, citizenship/alien status, selective service status, and eligibility category provided by the individual be verified by one of the following methods and in the following order of priority:*

- *Clear copy of source document (includes computer data screen) and placed in the CRU unless document cannot legally be copied or copy machine is not available.*
- *Source document or computer data screen viewed with pertinent information recorded on the WIOA-2, Part B, Title I Eligibility Documentation, (such as document used, date viewed, statements of fact, etc.) used to lend credibility to the verification process.*
- *Telephone verification from governmental and employer source with name of individual contacted, his/her telephone number and position as well as statements of fact relating to data verified to lend credibility to the verification process, recorded on the WIOA-2, Part B.*
- ***AS A LAST RESORT***, for adults and youth, form WIOA-2, Part A or B may be used if so indicated in the documentation sources section of the WIOA-1 form.

**Instance(s):** 1/40 (3%)

**Required Action:** LWDB must ensure 100% up-front verification documentation is uploaded to the Workforce Case at the time of eligibility determination. LWDB must correct the cited error and provide copies to the monitoring team within 30 days of receiving this report. All funds spent on participants deemed unresolved will be considered questioned costs and will be paid back out of non-federal funds.

**LWDB Response:**

Unemployment insurance payment data has been uploaded in the documents tab for workforce case #003105820 titled, "M. Minor UI Verification-UI Payment Data.pdf". The documentation uploaded verifies the participants UI claim was adjudicated prior to WIOA Dislocated Worker enrollment. SCWDB staff will continue to monitor WIOA dislocated worker workforce cases to ensure all eligibility determination documents are uploaded in KEE Suites.

Note: UI payment data for workforce case #003105820 is attached.

**DWD Response:**

DWD accepts this response. Finding has been resolved.

**Observation(s):**

**Observation A:**

Adult: Workforce Case #001796258, #001839585, #002059270, and #001927261. Household Information is 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. This will aid in safeguarding against any disallowed or questioned costs.

**Observation B:**

Dislocated Worker: Workforce Case #001310708. Category 1 Dislocated participant has confirmed UI Agency verification. However, Case Note dated 2/13/20 states, "Participant did not attend a rapid response as he was not laid off due to company shut down or lay off." Case note contradicts Dislocated Worker enrollment.

**Recommendation B:**

LWDB must ensure that all case notes are completed in KEE Suite at the time of event or contact and should be accurate, clear, relevant, and useful.

**Financial Monitoring Details**

**Findings:**

**Finding (1):** Past due monthly reporting in WORKS system

**Issue(s):**

Monthly reporting in WORKS System is due by the 20<sup>th</sup> of each month. The report for August, 2020 for Grant #274YT21, was submitted after the due date of September, 2020.

**Citation(s):**

Kentucky Career Center Policy 16-013 states, "Local Workforce Development Areas (LWDAs) must submit all financial information by the 20<sup>th</sup> calendar day following the last day of the month into the WORKS system. Should the 20<sup>th</sup> calendar day of the month fall on a weekend, the information must be entered by close of business day Monday. Failure to enter all financial information necessary to produce monthly reports will result in delays of processing reimbursement requests and require corrective action."

**Required Action:**

LWDB must ensure all monthly financial reports are submitted by the due date each month. DWI suggests Calendar reminders, multiple staff monitoring deadlines, or utilize an excel spreadsheet as a tracking device.

**LWDB Response:**

We do utilize an excel spreadsheet to keep track of grants that require reporting each month. This one report was missed and was caught when we were going to submit September reporting and didn't see the August report listed. Besides the excel tracking of these reports we now double check this list against the submission emails we receive after a report is submitted to verify, we have not missed any reports.

**DWD Response:**

DWD accepts this response. Finding has been resolved.

**Observations:**

**Observation A:**

State travel reimbursement guidelines not followed. Travel reimbursement rate was \$0.39 for August 2020. Travel reimbursement rate for August 2020 was \$0.40 for the Workforce Director.

**Recommendation A:**

LWDB should ensure all travel reimbursement documents are reviewed for the correct Quarterly mileage reimbursement rate determined under Section 7 of 200 KAR 2:006, *Employees' reimbursement for travel*.

**END REPORT**