



Mississippi Valley Workforce Development Board

Operations Committee Meeting Agenda

Thursday, December 9th, 2021, at 4:00 p.m.

Join Zoom Meeting

<https://us02web.zoom.us/j/82221712712?pwd=cUtrRIBTVmt1UkkvNmhaMC94aXRYZz09>

Meeting ID: 822 2171 2712

Passcode: 907927

One tap mobile: 1-312-626-6799

Called to Order	Matthew Nicol
Roll Call	Phyllis Wood
*Excused Absences	Matthew Nicol
*Approval of Agenda	Matthew Nicol
*Approval of Previous Meeting Minutes	Matthew Nicol
STANDING REPORTS	
Adult/DW/RR Oct/Nov Report	Kendra Schaapveld
Title III Reports	Jeremy Ritchie & Carolyn Farley
One-Stop Operator Report	Bob Ryan
*Draft PII Policy	Matthew Nicol
IWD Monitoring Report	Kendra Schaapveld
Meeting Time Review	Matthew Nicol
Other Business	
Public Comment	
Adjourn	Matthew Nicol

*Items Requiring a Vote, ** Items Requiring a Roll Call Vote

Accommodations

Accommodations are available upon request for individuals with disabilities. If you need an accommodation, please contact: Miranda Swafford director@mississippivalleyworkforce.org or at 319-759-8980.



Mississippi Valley Workforce Development Board

Operations Committee Meeting

Thursday, October 14th, at 4:00 p.m., via Zoom

Members Present: Matthew Nicol, Kirby Phillips, Ryan Drew, Carolyn Farley, Martha Bell, and Scott Schneider

Members Absent: Tim Gobble and Jeremy Ritchie

CEOs Present: Rick Larkin and Brinson Kinzer

Staff Present: Miranda Swafford, Executive Director and Phyllis Wood, Executive Assistant

Service Provider Staff Present: Kendra Schaapveld – Project Director, Cherisa Price-Wells – Regional Project Director, Tabytha Seigfried – Quality Assurance Specialist, Shannon Weaver – Operations Supervisor

One-Stop Operator: Robert Ryan

Guest: None

CALLED TO ORDER

Nicol called the meeting to order at 4:04 p.m.

EXCUSED ABSENCES

Jeremy Ritchie absence excused through motion by Phillips, seconded by Schneider, motion carried.

QUORUM

The committee had a quorum to conduct business.

APPROVAL OF AGENDA

Farley made a motion to approve the agenda, seconded by Phillips, motion carried.

APPROVAL OF PREVIOUS MINUTES

Phillips made a motion to approve the previous meeting minutes, seconded by Bell, motion carried.

ADULT/DW/RR SEPTEMBER REPORTS

Schaapveld reported that during the month of September there were 705 participant contacts. There was \$2,135 written for on the job training (OJT) with four participants entering OJT in September, and \$7,375 in vouchers for support services. Enrollments for September included 18 Adults, 0 DW and 0 NDWG. The average case load was 51 for Adult and 31 for DW. No new inventory reported in September. Outcomes included four exited with credentials and four exited to unsubsidized employment. Legacy in Action customer satisfaction rate was 90.41%.

TITLE III REPORTS

Farley reviewed the Title III September 2021 report which listed August unemployment rates for the counties in MVWA with Des Moines County highest at 6.2% with the overall trend moving lower. The report also listed the numbers in the labor force and unemployed for the MVWA as well as data broken down by age for each county. Kinzer asked for clarification of the numbers reported for Scott County as to whether the unemployed number was included in the number in the labor force which Farley affirmed. Nicol asked if there were any numbers about individuals who had left the workforce by choice which Farley said she would investigate to include in her report next month. Nicol asked how part-time people are counted in the numbers which Farley explained if they are part-time and receiving unemployment benefits, they would count as unemployed but beyond that she would have to investigate and would let the committee know at the next meeting. Farley went on to report the enrolled individuals at 60 for Davenport and a total of 70 for Burlington. Due to old reporting constraints, four participants are listed in the system as Fort Madison but count towards Burlington's numbers. The Employer's Council of Iowa (ECI), an advisory group to guide IWD's business focus, provided an informational session titled All Things Unemployment on August 26 to approximately 390 attendees. ECI received a lot of positive feedback about that event. Locally, the Mississippi Valley ECI, southern area, hosted an event covering the Fair Labor Standards Act. These events can be attended by anyone but are geared toward human resource professionals. Farley shared a success story of a veteran who came to IowaWORKS through the Soldier for Life Transition Assistance Program, was referred to Home Base Iowa, and ultimately applied for and was hired to join the Title I team as a Career Navigator. There are two upcoming job fairs planned: one drive through job fair in Mount Pleasant and an in-person job fair in Lee County. Swafford asked about flyers which Farley will forward to her.

ONE-STOP OPERATOR REPORT

Ryan reviewed his role and the responsibilities of the One-stop Operator as laid out in the scope of services from the contract as well as how those responsibilities tie into the memorandum of understanding and the certification standards. Ryan reported on progress made with core partner meetings and development of a referral tool.

RAPID RESPONSE POLICY

Nicol had questions regarding Layoff Aversion Activities, the mechanism for businesses, and what funding feasibility studies as layoff aversion activity would look like. Farley responded with information about a voluntary workshare program in which business who are aware of an upcoming slowdown can get the employees unemployment benefits plus extra from the program to allow the business to run reduced hours while retaining their employees. Neither Farley nor Swafford were certain about funding feasibility studies but would research to provide more clarification to the Executive Committee as the federal guidelines for the policy indicated the required components of the policy. Schneider made a motion to approve the policy as written to send to the Executive Committee, seconded by Phillips, motion carried.

MONITORING

Swafford reviewed the list of documents and required interviews for the monitoring conducted by IWD state staff. All documents were submitted by September 15 and the onsite visit was conducted October 5 and 6 at the Burlington center. The exit interview seemed positive, and the final report is due to the board by November 4.

OTHER BUSINESS

Nicol asked if we have any targeted job fairs or recruitment initiatives aimed at persons with disabilities. Swafford said not at this time but our DAC committee is working on creating something to target this group of individuals.

PUBLIC COMMENT

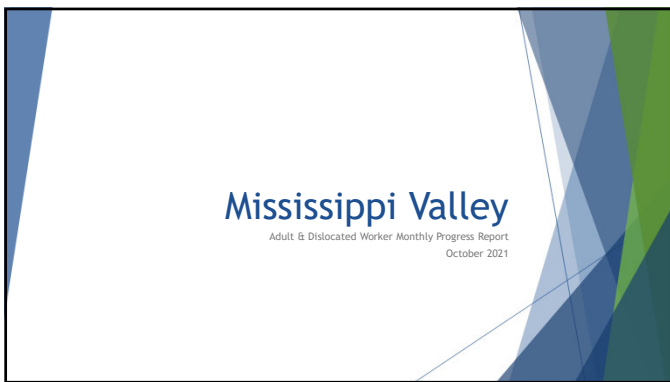
There were no public comments.

ADJOURNED

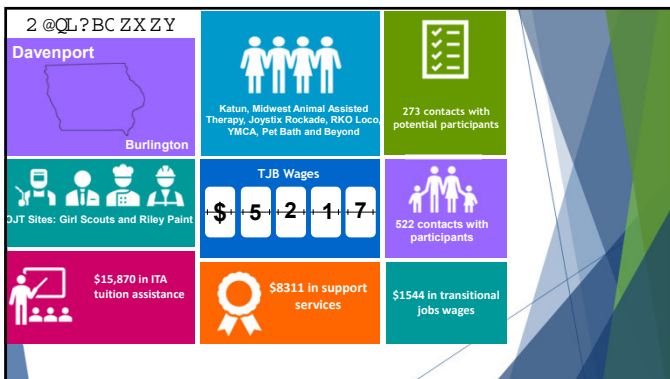
Drew made a motion to adjourn the meeting, seconded by Phillips, motion carried, Nicol adjourned the meeting at 5:02 p.m.



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3

Inventory

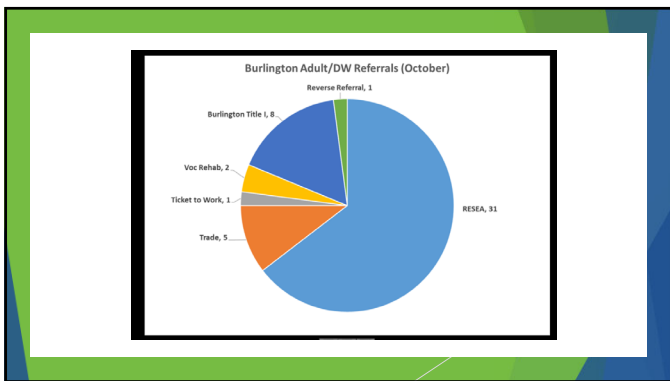
- ▶ SMART Board 10/22/21 \$3295.70

4

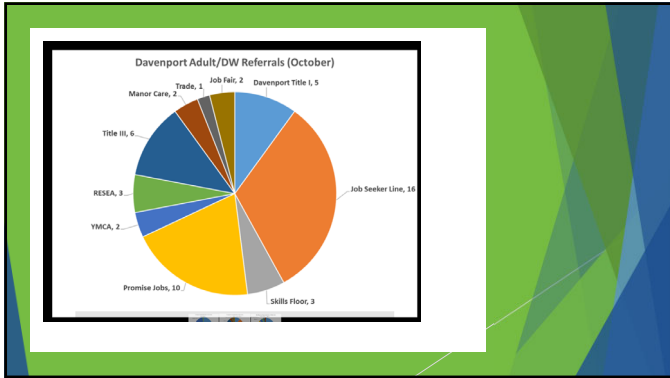
Rapid Response

- ▶ No WARN

5



6



7

Enrollments

	October	YTD Actual
Adult Enrollments	9	49
Dislocated Worker Enrollments	2	31
NDWG	2	72

8

- ### Dislocated Worker Industries
- ▶ Henry County-Manufacturing
 - ▶ Lee County-Manufacturing

9

Caseload

- ▶ 118 Adult
 - ▶ 91 Adult Follow Up
- ▶ 87 Dislocated Worker
 - ▶ 41 Dislocated Worker Follow Up
 - ▶ 67 Co-Enrolled NDWG
- ▶ Average caseload: 42 adults
- ▶ Average caseload: 26 dislocated workers
- ▶ Exits
 - ▶ 7 Found employment
 - ▶ 3 No Contact
 - ▶ Adult: 15
 - ▶ Dislocated worker: 3

10

Occupational Skills Training

	October	YTD Goal	YTD Actual	% of Goal
Occupational Skills Training	8	90	99	110%

11

Work-Based Learning

	October	YTD Goal	YTD Actual	% of Goal
Work-based Learning	3	30	8	27%
NDWG OJT	0	28	2	14%

12

Legacy in Action

- ▶ 96.80% Customer Satisfaction Rate
- ▶ 21 Surveys Completed
- ▶ Feedback:

10/03/21 Everything Great!

10/18/21 I was a self-employed business person. Due to events a natural disaster, then covid, I wasn't able to continue my business at age 38 I found myself needing to make a career change immediately for my families well being. I went to lowaworks, and not only am I employed currently, I'm also able to go back to school. The support my family and I have received is nothing else but a blessing. We will always be grateful for the hard working employees. That have assisted me through these tougher times. The resources that the workers can help you with, the guidance, and achievements that these employees can do (never thought possible) is nothing short of heaven sent.

10/15/21 James Stout and Heather Deters were awesome support today and have given me a clear path forward for my job retaining and gaining future employment! I give them both the highest rating that is possible! Their help and professionalism is A+ above and beyond all my expectations!!!

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Outcomes

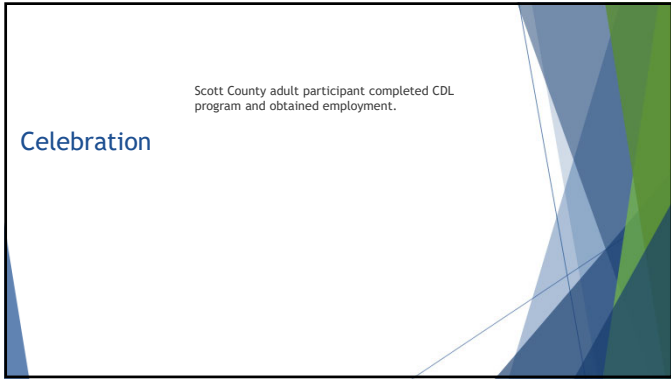
- ▶ Unsubsidized employment: 4
- ▶ Credentials:
 - ▶ 1 CDL
 - ▶ 1 CNA

14

Challenges

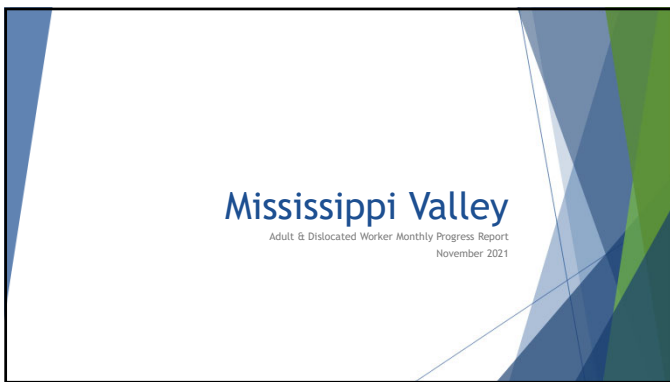
- ▶ Getting referrals from Clinton YWCA with homeless returning citizen; challenging because of no shows when go to Clinton for appointments
- ▶ Getting participants to start a program and stick with it

15

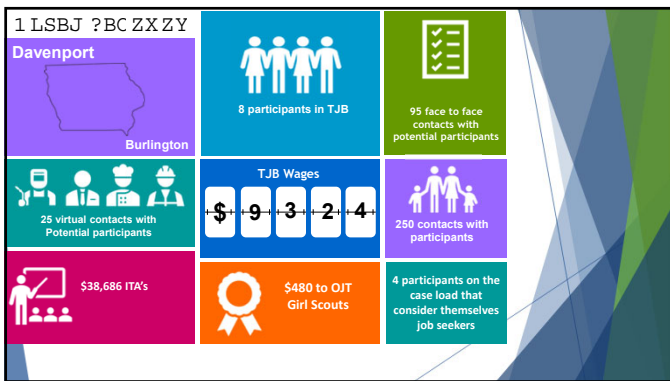




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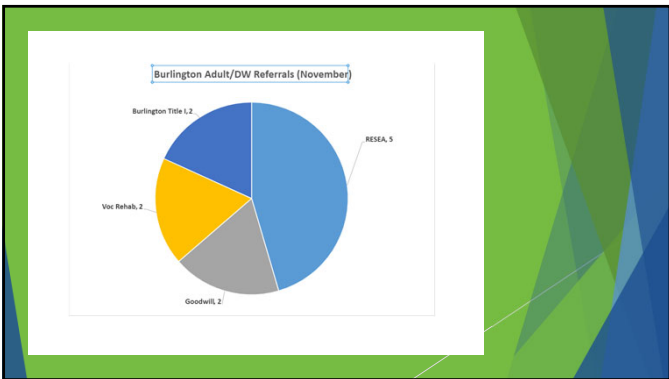
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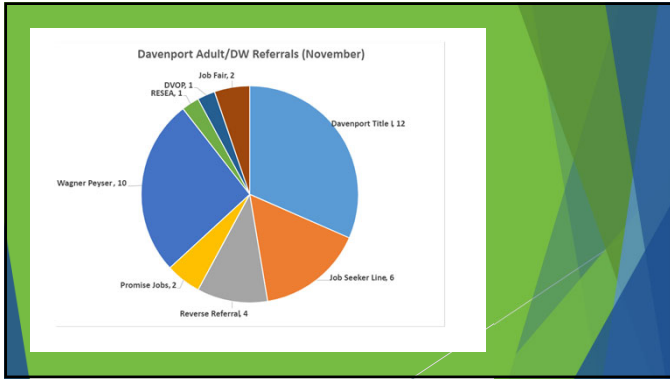
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7

Enrollments

	November	YTD Actual
Adult Enrollments	11	60
Dislocated Worker Enrollments	9	40
NDWG	9	81

8

- ### Dislocated Worker Industries
- ▶ 2 Henry County-Manufacturing
 - ▶ 1 Lee County-Manufacturing
 - ▶ 5 Des Moines County-Manufacturing
 - ▶ 1 Scott County-Joint Manufacturing and Technology Center

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Caseload

- ▶ 118 Adult
 - ▶ 102 Adult Follow Up
- ▶ 92 Dislocated Worker
 - ▶ 43 Dislocated Worker Follow Up
 - ▶ 74 Co-Enrolled NDWG
- ▶ Average caseload: 44 adults
- ▶ Average caseload: 27 dislocated workers
- ▶ Exits
 - ▶ Adult: 10
 - ▶ Dislocated worker: 4

10

Occupational Skills Training

	November	YTD Goal	YTD Actual	% of Goal
Occupational Skills Training	5	90	104	115%

11

Work-Based Learning

	November	YTD Goal	YTD Actual	% of Goal
Work-based Learning	1	30	10	33%
NDWG OJT	0	28	2	14%

12

Legacy in Action

11/08/21 Excellent help!
 11/22/21 I enjoy the program.
 11/22/21 I feel like I was taken care of very well. I have never had a problem with this facility. People are always very friendly and helpful.
 11/23/21 Personnel are highly professional and informative.
 11/23/21 Provided a great overview of potential resources and services available to our organization and our student population. Follow-up required by our Campus Center Director, RA Officer, and Dean of Academic Affairs.
 11/23/21 Much appreciated.
 Top View
 Chairman of Board / CEO

92.91% Customer Satisfaction Rate
24 Surveys Completed
Feedback:

13

Outcomes

- ▶ Unsubsidized employment: 3
- ▶ Credentials:
 - ▶ 4 CDL
- ▶ OST beginning
 - ▶ Medical Billing and Coding-1
 - ▶ 4 CDL

14

Challenges

- ▶ I had a CDL student fail a drug test for Cocaine. He is meeting with the drug test place on December 6th and will call me with an update.
- ▶ Clinton referrals continue to be a challenge. They want help finding employment but have a lot of barriers. I have not enrolled any of them yet, because they are all just looking for employment and trying to get back on their feet. Most do not have cars.
- ▶ Some participants are having a hard time passing their CDL courses at 160 at their projected completion date and need extensions. My challenge is making sure that they do complete and asking how we can help.

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Celebration

- Adult: graduated CDL and found employment at a freight company in Davenport. He is on the sex offender registry so he cannot travel far, but this job allows him to travel in the approved area. He is interested in purchasing his own truck because the trucks he is driving are old and beat up. He is planning on applying for a federal grant for that.
- Adult completed her program Dental Assisting Technologies and is looking to go further in her education in the field. The program Director at the school stated that she was joy to have in classes and eager to learn.
- Henry County Dislocated Worker, also partnered with Trade. She was completing an OJT with Riley Print in Burlington Iowa. She recently found unsubsidized employment at BAE Systems in Coralville. She loves the Coralville area and loves her new job. Her hours are 7am-3pm in the winter and 6am-2pm in the summer. Her hourly rate is 19.90 and she will receive a raise in 6 months. After 5 years she will be making 22.5* a hour. She said there is opportunity to grow within the company and the benefits are better than her previous employment.



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MVWA Title III Operations Committee Report October 2021

MVWA 2021 Unemployment Rate (Not Seasonally Adjusted)

August 2021	
United States	
Iowa	4.1%
Des Moines Co.	6.2%
Henry Co.	4.1%
Lee Co.	5.7%
Louisa Co.	3.6%
Muscatine	4.1%
Jackson	4.2%
Clinton	4.9%
Scott	4.9%

MVWA 2021 Labor Force (# In Labor Force/Unemployed)

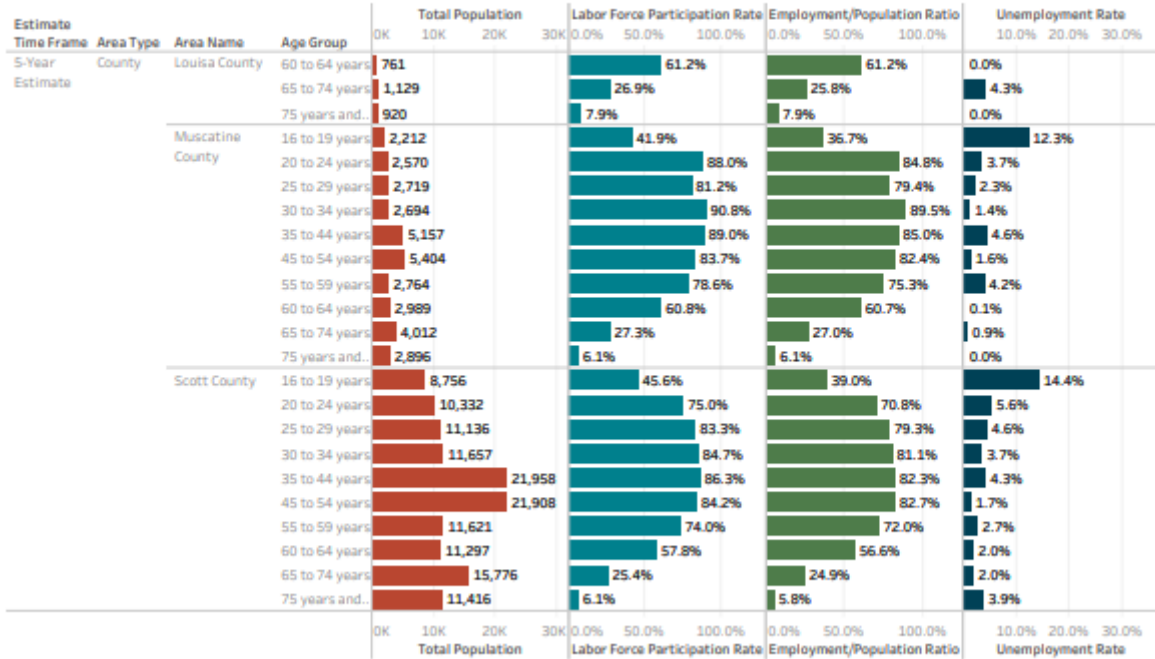
August 2021	
United States	
Iowa	1,660,100/67,900
Des Moines Co.	18,400/1,140
Henry Co.	9,580/390
Lee Co.	15,190/870
Louisa Co.	5,870/210
Muscatine	20,450/840
Jackson	10,430/440
Clinton	21,280/1,050
Scott	86,300/4,300

MVWA Laborforce by Age 2015 – 2019 (Most Current Data via ACS)

Age (16 years and over): Clinton County, Des Moines County, Henry County and 5 more

Estimate Time Frame	Area Type	Area Name	Age Group	Total Population				Labor Force Participation Rate			Employment/Population Ratio			Unemployment Rate		
				0K	10K	20K	30K	0.0%	50.0%	100.0%	0.0%	50.0%	100.0%	10.0%	20.0%	30.0%
5-Year Estimate	County	Clinton County	16 to 19 years	2,333				45.4%			39.7%			12.5%		
			20 to 24 years	2,459				84.9%			77.1%			9.1%		
			25 to 29 years	2,515				81.8%			76.6%			6.3%		
			30 to 34 years	2,629				82.4%			75.7%			8.0%		
			35 to 44 years	5,336				86.7%			83.4%			3.8%		
			45 to 54 years	6,061				84.2%			81.9%			2.6%		
			55 to 59 years	3,719				73.5%			72.6%			1.2%		
			60 to 64 years	3,333				60.3%			57.7%			4.3%		
			65 to 74 years	4,895				23.9%			23.9%			0.0%		
	75 years and...	4,162				4.9%			4.9%			0.0%				
	County	Des Moines County	16 to 19 years	2,046				52.6%			43.1%			18.1%		
			20 to 24 years	2,066				86.4%			78.6%			9.1%		
			25 to 29 years	2,176				87.5%			82.1%			6.2%		
			30 to 34 years	2,153				92.4%			85.6%			7.3%		
			35 to 44 years	4,523				86.1%			82.1%			4.4%		
			45 to 54 years	4,962				82.1%			79.9%			2.6%		
			55 to 59 years	2,556				77.2%			77.0%			0.2%		
			60 to 64 years	3,078				64.4%			60.7%			5.8%		
			65 to 74 years	4,367				28.1%			27.4%			2.4%		
75 years and...	3,614				5.5%			5.5%			0.0%					
County	Henry County	16 to 19 years	990				51.8%			40.6%			21.6%			
		20 to 24 years	1,398				76.6%			70.5%			7.9%			
		25 to 29 years	1,146				74.0%			71.1%			3.9%			
		30 to 34 years	1,357				79.1%			71.8%			9.0%			
		35 to 44 years	2,301				77.6%			74.3%			4.2%			
		45 to 54 years	2,528				80.4%			76.3%			5.1%			
		55 to 59 years	1,322				75.5%			73.8%			2.3%			
		60 to 64 years	1,327				61.3%			61.3%			0.0%			
		65 to 74 years	2,052				26.5%			25.9%			2.2%			
75 years and...	1,624				7.8%			7.8%			0.0%					
County	Jackson County	16 to 19 years	995				27.3%			21.3%			22.1%			
		20 to 24 years	1,067				83.7%			79.4%			5.2%			
		25 to 29 years	921				87.0%			81.9%			5.9%			
		30 to 34 years	982				91.6%			89.5%			2.3%			
		35 to 44 years	2,108				82.2%			78.2%			4.9%			
		45 to 54 years	2,628				87.0%			85.0%			2.4%			
		55 to 59 years	1,627				83.9%			83.2%			0.9%			
		60 to 64 years	1,416				60.9%			60.2%			1.0%			
		65 to 74 years	2,169				32.2%			30.8%			4.3%			
75 years and...	1,788				5.6%			5.6%			0.0%					
County	Lee County	16 to 19 years	1,472				61.2%			44.4%			26.4%			
		20 to 24 years	1,884				81.6%			76.3%			6.5%			
		25 to 29 years	2,031				79.1%			72.3%			8.5%			
		30 to 34 years	1,880				84.4%			77.0%			7.5%			
		35 to 44 years	3,852				84.0%			76.6%			8.4%			
		45 to 54 years	4,435				80.5%			77.3%			4.0%			
		55 to 59 years	2,563				70.1%			66.0%			5.8%			
		60 to 64 years	2,679				60.9%			58.9%			3.2%			
		65 to 74 years	4,064				19.2%			19.2%			0.0%			
75 years and...	2,741				4.3%			4.3%			0.0%					
County	Louisa County	16 to 19 years	553				57.3%			42.5%			25.2%			
		20 to 24 years	712				85.0%			83.6%			1.7%			
		25 to 29 years	686				84.5%			76.1%			10.0%			
		30 to 34 years	547				85.6%			79.9%			6.6%			
		35 to 44 years	1,390				87.8%			84.2%			4.1%			
		45 to 54 years	1,462				85.3%			82.5%			3.3%			
55 to 59 years	821				76.2%			76.2%			0.0%					

Age (16 years and over): Clinton County, Des Moines County, Henry County and 5 more



Enrolled Individual Reports - Graphs

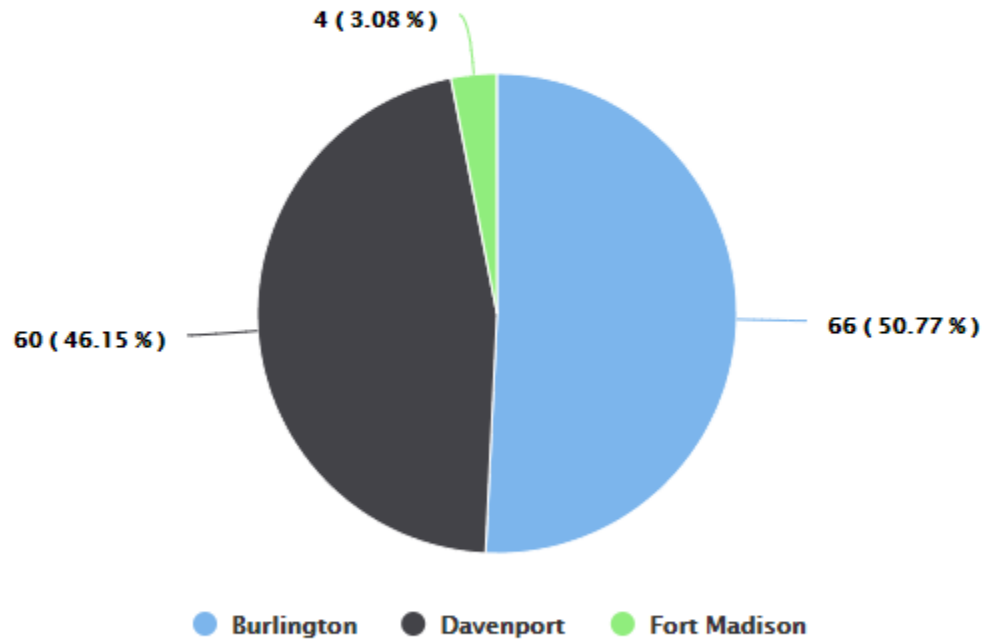
Change Chart

Print

Close

Window

Enrolled Individuals – By One Stop Office



Employer's Council of Iowa Update

Employers' Council of Iowa (ECI) is an advisory group, located in each Iowa Workforce Development (IWD) region, and offers no-cost membership open to all businesses in the community. Its purpose is to guide IWD's business focus, address topics of concern to employers, sponsor training initiatives, and assist IWD in meeting critical human resource needs.

The mission of the Employers' Council of Iowa is to support the efforts of local employer committees to:

Advise IWD, legislators, and other officials concerning its products, services, and policies that affect employers; and

Provide opportunities for employers to exchange information and develop education programs for employers.

The ECI State Board's role includes the following:

Represent local ECI members within their respective regions at state meetings

Serve as resource contact in the region for ECI education and promotion

Maintain communication with IWD and local Iowa *WORKS* Centers in the area to lend support, to improve services, and to exchange information and ideas

Maintain a high level of communication with local ECI Chairs and keep them informed about state and national issues relating to employers and IWD

Gather and disseminate information about the activities of local councils

On August 26, 2021, Iowa Workforce Development in partnership with the state ECI held an informational session titled “All Things Unemployment”. The featured speaker was Karen Holett, Deputy Division Administrator for IWD’s Unemployment Division. Karen provided some history about unemployment during the pandemic, educated participants about how eligibility is determined and what that can mean to businesses. Karen talked through best practices to keep businesses informed and up-to-date regarding how unemployment is impacting their business. Just over 780 registered to attend. Actual attendance was around ½ that amount.

On September 9, 2021, the Mississippi Valley ECI (Southern part of our local area) hosted an ECI event with featured speaker Melissa Wright from DOL’s Wage and Hour Division. She spoke on the Fair Labor Standards Act, including child labor laws and the Family Medical Leave Act.

These types of events can be attended by anyone, but are typically geared toward the HR professional and often times have been submitted for SHRM and/or HRCI continuing education credit hours.

Success Stories

Heather first came to us through the Solder For Life Transition Assistance Program that we host here at IowaWORKS. Upon completion of that program, Heather was referred to Home Base Iowa and our local Veterans Employment Networking Group. Heather registered with Iowa Works and Home Base Iowa, where she began to be case managed by our DVOP James Stout. Heather has a background in Human Resources but was eager to accept new challenges, she really wanted a position where she could work with and help people. Heather was informed of a Career Navigator position with our Title 1 partner at the office. Heather applied and the JVSG team was quick to reach out to Equus to share the info regarding this Veteran candidate. Heather interviewed and was offered a position with Equus as a Career Navigator. With her HR background, Heather is sure to be a rich asset to our Title 1 team.



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MVWA Title III Operations Committee Report November 2021

MVWA 2021 Unemployment Rate (Not Seasonally Adjusted)

2021 October	
United States	
Iowa	3.9%
Des Moines Co.	4.7%
Henry Co.	2.9%
Lee Co.	4.1%
Louisa Co.	3.0%
Muscatine	3.3%
Jackson	3.4%
Clinton	3.8%
Scott	3.8%

MVWA 2021 Labor Force (# In Labor Force/Unemployed)

October 2021	
United States	
Iowa	1,660,900/64,700
Des Moines Co.	18,090/850
Henry Co.	9,850/290
Lee Co.	15,260/630
Louisa Co.	5,910/180
Muscatine	20,280/670
Jackson	10,460/360
Clinton	21,410/820
Scott	87,400/3,300

Enrolled Individuals - By Office

- Report Type: Title III - Wagner-Peyser (WP)
- Region/LWIA Name: Mississippi Valley LWDA
 - One Stop Location: Burlington
 - Date Filter: Participation Date
 - Start Date: 11/1/2021
 - End Date: 11/30/2021
- Report Run Time: 12/7/2021 1:18:49 PM

Office	Total	% Total
Burlington	40	100.00 %
Office	Total	% Total
Total Rows: 1		

Enrolled Individuals - By Office

- Report Type: Title III - Wagner-Peyser (WP)
- Region/LWIA Name: Mississippi Valley LWDA
 - One Stop Location: Fort Madison
 - Date Filter: Participation Date
 - Start Date: 11/1/2021
 - End Date: 11/30/2021
- Report Run Time: 12/7/2021 1:23:14 PM

Office	Total	% Total
Fort Madison	2	100.00 %
Office	Total	% Total
Total Rows: 1		

Enrolled Individuals - By Office


- Report Type: Title III - Wagner-Peyser (WP)
- Region/LWIA Name: Mississippi Valley LWDA
 - One Stop Location: Davenport
 - Date Filter: Participation Date
 - Start Date: 11/1/2021
 - End Date: 11/30/2021
- Report Run Time: 12/7/2021 1:21:20 PM

Office	Total	% Total
Davenport	100	100.00 %
Office	Total	% Total
Total Rows: 1		

Success Stories:


A.G. was incarcerated at the Mt. Pleasant Correctional Facility. He had a bachelors degree from Iowa in Pharmacy Tech. He was an out of State Compact to Omaha, Nebraska. He Released on 11/3/21 and started working at Men's Warehouse in Omaha on 11/8/21. At the MPCF, he worked with career planner, Terry Zmolek to register for the Pharmacy College Admission Test (PCAT) at Nebraska and to complete his FASFA. He was registered in the IowaWORKS system, conducted staff assisted job search, resume writing, job applications and follow up on applications. He is scheduled to take the PCAT in February 2022, for grad school admission. He also has his driver's license now.

P.B. was incarcerated at the Mt. Pleasant Correctional Facility. He worked with career planner, Terry Zmolek to register in the IowaWORKS system, conduct staff assisted job search, resume writing, job applications, application follow up and he also attended a career fair at the institution. He was released on 6/15/21 and started at Hy-Vee Distribution in Des Moines on 6/27/21. He is still working there. Career planner, Zmolek had discussed the importance of getting a high school completion, and P.B. is currently at DMAACC working on that. He has his license and doing well.




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One-Stop Operator
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MVWA Job Fairs



Date	Event	Location	Job Seekers	Employers
10/27/2021	Quad Cities Job Fair	QC Waterfront Bettendorf	29	25
10/29/2021	Henry County Drive Thru Job Fair	Mt. Pleasant Athletic Complex	25	22
11/9/2021	Lee County Drive Job Fair	LCEG Building	25	24



2

Burlington Center Hiring Events



Date	Event
10/18/2021	Full Steam Staffing
10/22/2021	West Liberty Foods Hiring Event
10/25/2021	Team Staffing - FM Hiring Event
10/28/2021	Team Staffing - Bur. Hiring Event
11/4/2021	HNI Hiring Event
11/18/2021	HNI Hiring Event
11/22/2021	Story Construct. Hiring Event
11/29/2021	West Liberty Foods Hiring Event



3

Davenport Center Hiring Events




Date	Type
10/7/2021	Team Staffing Hiring Event
10/10/2021	Iowa 80 Hiring Event
10/13/2021	QPS Hiring Event
10/20/2021	Eagle View Hiring Event
10/21/2021	ProMedica Hiring Event
11/2/2021	QPS Hiring Event
11/3/2021	HNI Hiring Event
11/4/2021	Team Staffing Hiring Event
11/9/2021	Eagle View Hiring Event
11/10/2021	HNI Hiring Event
11/17/2021	HNI Hiring Event
11/19/2021	Whirlpool Hiring Event
11/23/2021	Aerotek Hiring Event
11/30/2021	QPS Hiring Event



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4

MVWA Workshops



Workshop	Burlington	Davenport
Resumes	14	13
Job Search	12	6
Interviewing	9	24
Career Interest	0	12
Digital Literacy	1	0
Personal Growth	17	20
Work Readiness	8	0
Labor Mkt. Info.	9	0
Unemployment	0	1
Job Club	23	0
Other*	0	24

* CPR/First Aid, A-Game, Colors, Financial Literacy



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Upcoming December



12/7/2021	Aerotek Hiring Event	Davenport IowaWORKS
12/2/2021	HNI Hiring Event	Burlington IowaWORKS
12/8/2021	HNI Hiring Event	Davenport IowaWORKS
12/14/2021	Quad Cities Success Fair	St. Ambrose
12/15/2021	HNI Hiring Event	Davenport IowaWORKS
12/16/2021	HNI Hiring Event	Burlington IowaWORKS
12/21/2021	Aerotek Hiring Event	Davenport IowaWORKS



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Mississippi Valley Workforce Development Board

Personally Identifiable Information (PII) Policy

Approved:

Effective Date:

Resources: TEGL 39-11

Purpose

This policy applies to and provides guidance for Mississippi Valley Workforce Development Board (MVWDB) staff, contractor staff, grantees, sub-grantees, partner staff, and staff of any co-located partner in the workforce centers (collectively “Parties”) involved in the handling and protecting of Personally Identifiable Information (“PII”) as a result of WIOA activities in The Mississippi Valley Workforce Area (MVWA), including wage and education records, will protect PII in accordance with the law. FERPA (as amended), WIOA, and applicable Departmental regulations will be followed. As well as any governing guidelines including federal law, OMB guidance, United States Department of Labor, Employment and Training Administration policies (see Training and Employment Guidance Letter No. 39-11), as well as any relevant state and local requirements.

Overview

As part of its workforce development activities, Parties may have in their possession PII relating to their organization and staff, sub grantee and partner organizations and staff and individual program participants. This information is generally found in personnel files, participant data sets, performance reports, program evaluations, grant and contract files and other sources. Federal law, OMB guidance, federal, state, and local policies require that PII and other sensitive information be protected. To ensure compliance with these policies/regulations, PII and sensitive data developed, obtained, or otherwise associated with federal and state funding must be secured and protected at all times. Per the MVWDB MOU the following apply:

- The collection, use, and disclosure of customer education records, and the PII contained therein, as defined under FERPA, shall comply with FERPA and applicable State privacy laws.
- All confidential data contained in the UI wage records must be protected in accordance with the requirements set forth in 20 CFR 603.

- All personal information contained in VR records must be protected in accordance with the requirements set forth in 34 CFR 361.38.
- Customer data may be shared with other programs, for those programs' purposes, within the IowaWORKS Center network only after written consent of the individual has been obtained, where required.
- Customer data will be kept confidential, consistent with Federal and State privacy laws and regulations.
- All data exchange activity will be conducted in machine readable format, such as HTML or PDF, for example, and in compliance with Section 508 of the Rehabilitation Act of 1973, as amended. 29 CFR 794(d).

Definitions

Personally Identifiable Information (PII) - OMB defines PII as information that can be used to distinguish or trace an individual's identity, either alone or when combined with other personal or identifying information that is linked or linkable to a specific individual.

Sensitive Information - Any unclassified information whose loss, misuse, or unauthorized access to or modification of could adversely affect the interest or the conduct of federal programs or the privacy to which individuals are entitled under the Privacy Act.

Protected PII and Non-Sensitive PII - The Department of Labor has defined two types of PII, protected PII and non-sensitive PII. The differences between protected PII and non-sensitive PII are primarily based on an analysis regarding the "risk of harm" that could result from the release of the PII.

1. Protected PII is information that if disclosed could result in harm to the individual whose name or identity is linked to that information. Examples of protected PII include, but are not limited to, social security numbers (SSNs), credit card numbers, bank account numbers, home telephone numbers, ages, birthdates, marital status, spouse names, educational history, biometric identifiers (fingerprints, voiceprints, iris scans, etc.), medical history, financial information, and computer passwords.
2. Non-sensitive PII, on the other hand, is information that if disclosed, by itself, could not reasonably be expected to result in personal harm. Essentially, it is stand-alone information that is not linked or closely associated with any protected or unprotected PII. Examples of non-sensitive PII include information such as first and last names, e-mail addresses, business addresses, business telephone numbers, general educational credentials, gender, or race. However, depending on the circumstances, a combination of these items could potentially be categorized as protected or sensitive PII.

To illustrate the connection between non-sensitive PII and protected PII, the disclosure of a name, business email address or business address most likely will not result in a high degree of

harm to an individual. However, a name linked to a social security number, a date of birth and mother's maiden name could result in identity theft. This demonstrates why protecting the information of our program participants is so important.

Training and Policies

Parties shall ensure that all of their staff are trained in the use of PII upon hire and at least annually thereafter, including any training necessary to access the Iowa*WORKS* database system. Each local program representative will sign an acknowledgement form that their staff have been provided training on confidentiality internally through their respective organization. Parties should have standard operating procedures in place to address the protection of PII.

Parties' Awareness and Acknowledgment

All Parties with access to PII must be advised of the confidential nature of the information, the safeguards required to protect the information, and that there are civil and criminal sanctions for noncompliance with such safeguards within the Federal and state laws. All parties who have access to PII are required to annually sign a PII Policy Acknowledgment Form (attached) acknowledging the confidential nature of the data and their responsibility to comply with safe and secure management of the data according to this policy and applicable law. These forms shall be kept on file with the respective Parties' personnel files and shall be available for monitoring review at the request of the MVWDB.

Collection of PII

Before collecting PII or sensitive information from participants, Parties shall ensure participants sign releases acknowledging the use of PII for program services only. Whenever possible, Parties shall use unique identifiers for participant tracking instead of SSNs. While SSNs may initially be required for performance tracking purposes, a unique identifier could be linked to each individual record. Once the SSN is entered for performance tracking, the unique identifier should be used in place of the SSN for tracking purposes. If SSNs must be used for tracking purposes, they must be stored or displayed in a way that is not attributable to a particular individual, such as using a truncated SSN.

Ensure Privacy and Restriction of Use

All Parties must take the steps necessary to ensure the privacy of all PII obtained from participants and/or other individuals and to protect such information from unauthorized disclosure and must ensure that PII used during the performance of their duties has been obtained in conformity with applicable Federal and state laws governing the confidentiality of information. Access to any PII shall be restricted to only those Parties who require it in their official capacity to perform duties in connection with the scope of their services.

Physical and Remote Access

All parties shall ensure that all PII data obtained through their program services is stored in an area that is physically safe from access by unauthorized persons at all times and is managed with appropriate information technology (IT) services and designated locations. Parties shall store paper documents containing PII in locked cabinets when not in use. All PII data must be processed in a manner that will protect the confidentiality of the records/documents and is designed to prevent unauthorized persons from retrieving such records by computer, remote terminal, or any other means. Data may be downloaded to, or maintained on, mobile or portable devices only if the data are encrypted using NIST validated software products based on FIPS 140-2 encryption. In addition, wage data may only be accessed from secure locations. To ensure that PII is not transmitted to unauthorized users, all PII and other sensitive data transmitted via email or stored on CDs, DVDs, thumb drives, etc., must be encrypted. If special procedures are required to handle PII during the provision of mobile rapid response services, the one-stop operator shall develop and implement procedures to ensure compliance with this policy. The procedure will be reviewed as needed by the one stop operator and LWDB staff. Parties shall never leave records containing PII open and unattended.

Use of Personal Mobile Devices

No employee may access Iowa Workforce Development (IWD) email through a personal mobile device without the approval from IWD and/or the MVWDB executive director. If such approval to access the network and/or company email through a personal device is granted, the employee agrees to the following:

1. All personal mobile devices must be password protected at all times.
2. In order to protect PII, MVWDB/IWD retains the right to delete data and/or applications from any device that contains company information.
3. Personal mobile devices will require the installation of various applications, as determined by IWD based on the mobile device.

Please note that in certain situations a device may be completely wiped in order to ensure that MVWDB/IWD can protect its interests. If given sufficient notice, MVWDB/IWD can work with the Parties to avoid such action. If a Party's device has been compromised, lost, or stolen, such person shall reach out immediately to MVWDB/IWD.

Retention and Destruction

All PII data must be retained to satisfy all required record retention requirements. Thereafter, all PII data must be destroyed using appropriate methods for destroying sensitive PII in paper files (i.e., shredding) and securely deleting sensitive electronic PII.

Reporting

Parties shall immediately report any breach or suspected breach of PII to the MVWDB/IWD (in the case of electronic data) or to such Party's supervisor (in all other cases).

PII Policy Acknowledgment Form

I have reviewed and acknowledge understanding of the MVWDB Personally Identifiable Information” Policy and agree that all necessary steps will be taken to ensure the privacy and confidential nature of all personally identifiable information (PII) to protect the PII from unauthorized disclosure.

I further agree that all personally identifiable information will be stored in an area that is physically safe from access by unauthorized persons and will be managed with appropriate information technology (IT) services at all times.

All collection and use of any information, systems or records that contain personally identifiable information (PII) will be limited to purposes that support the programs and activities conducted with WIOA funding through the One Stop system in the MVWA.

Access to software systems and files under my control containing PII will be limited to use in my responsibilities as an authorized staff person within the system. This includes the safe guarding of computer passwords and access to any/all computer information systems. I will not share my Iowa*WORKS* ID with or allow anyone to use my Iowa*WORKS* access. (Doing so will cause me to forfeit my access).

I agree to abide by regulations that govern the access, use and disposal of PII in accordance with WIOA and the MVWDB.

Printed Name

Signature

Agency Name

Date

Kim Reynolds, Governor
Adam Gregg, Lt. Governor
Beth Townsend, Director



November 22, 2021

Miranda Swafford
Executive Director
Mississippi Valley Local Workforce Development Board

Dear Ms. Swafford,

Iowa Workforce Development (IWD) Workforce Services Division conducted Program Year 2021 monitoring of the Workforce Innovation and Opportunity Act (WIOA) Title IB Programs during the period of September 13, 2021, through October 7, 2021.

Our report from this review is enclosed. Please respond to the three findings identified in the report within 20 business days from the date of the report. Your response should be submitted to the WIOA Monitoring Program Coordinator, Lisa Funk, at lisa.funk@iwd.iowa.gov.

IWD would like to acknowledge the work that has been completed by the Local Workforce Development Board (LWDB) since Program Year 2020 monitoring, and we recognize the efforts taken in your local area to ensure WIOA compliance.

We hope that our review and this report are helpful to the Mississippi Valley LWDB. We thank you for your assistance and that of the local partners during our monitoring. If you have questions, please contact WIOA Title I Bureau Chief, Wendy Greenman, at wendy.greenman@iwd.iowa.gov.

Sincerely,

A handwritten signature in cursive script that reads "Michelle McNertney".

Michelle McNertney
Division Administrator, Workforce Services
Iowa Workforce Development
1000 East Grand Avenue
Des Moines, IA 50319
Phone: 515-805-7320
michelle.mcnertney@iwd.iowa.gov

cc: Dennis Duke, LWDB Chair
Brad Quigley, Co-CLEO
Jack Willey, Co-CLEO

Executive Summary

The review resulted in three Findings and two Areas of Concern.

Finding 1: Inaccurate Verification of Application Items

Finding 2: Individual Employment Plan Without Required Goal

Finding 3: Services Not Delivered in Accordance with Policy

Concern 1: Inadequate Complaint System

Concern 2: Oversight and Monitoring

Please note the review did not cover any areas outside the defined scope. Although no material issues came to the reviewers' attention other than those contained within this report, there is no assurance that other issues may not exist.

Scope of Review

Date of Desk Review: September 13-October 1, 2021

Date of Onsite Review: October 6-7, 2021

Time Period of Review: July 1, 2021-Present

IowaWORKS Center Reviewed:

- Burlington-Comprehensive Review
- Burlington and Davenport- ADA and EEO

Reviewers:

- Lisa Funk, Workforce Program Coordinator
- Ashley Arnold, Workforce Program Coordinator
- Brian Dennis, Workforce Program Coordinator
- Lacie Westendorf, Workforce Program Coordinator
- Jaimee Bullock, Equality and Diversity Officer

Date of Exit Conference: October 7, 2021

Grantee Staff at Exit Conference:

- Miranda Swafford, LWDB Executive Director
- Phyllis Wood, LWDB Staff
- Kendra Shaapveld, Title I Director
- Shannon Weaver, Title I Operations Supervisor

IWD Staff at Exit Conference:

- Lisa Funk, Workforce Program Coordinator
- Ashley Arnold, Workforce Program Coordinator
- Brian Dennis, Workforce Program Coordinator
- Lacie Westendorf, Workforce Program Coordinator
- Jaimee Bullock, Equality and Diversity Officer
- Wendy Greenman, Bureau Chief-Title I and TAA

Purpose: The purpose of the monitoring review is to measure progress, identify areas of compliance, offer opportunities for technical assistance to help resolve non-compliance issues, and to ensure Federal funds are used responsibly. Specifically, this review assessed whether service provision is operating in accordance with the Workforce Innovation and Opportunity Act (WIOA) Title I, it's succeeding regulations, and state and local policies and directives.

Programs Reviewed:

- WIOA Title I Adult
- WIOA Title I Dislocated Worker
- WIOA Title I Youth

- WIOA National Dislocated Worker Grant

Tools Used for Review:

- Permanent File and Pre-Monitoring Documentation
- Participant File Review
- LWDB Policy and Procedure Review
- Onsite Checklists
- Equal Opportunity and Non-Discrimination Evaluation

SUMMARY

Local Workforce Development Area	LWDB Executive Director
Mississippi Valley Local Workforce Development Area	Miranda Swafford
Dates of Desk Review	Dates and Location of On-Site Monitoring
September 13, 2021 - October 1, 2021	October 6, 2021 - October 7, 2021
Files Reviewed	
Program	State ID
Adult	2202868554 / 2201458304 / 2202962210 / 2200615419 2202971211 / 2202992174
Dislocated Worker	2202842156 / 2202967756 / 2202988893 / 2202807741 2201419857
National Dislocated Worker Grant	2202988893 / 2202807741 / 2201419857
Youth	2202398629 / 2202974848 / 2202862293 / 2202966258 2202878926
Number of Findings	Corrective Action Plan Due Date
3	December 22, 2021

MONITORING REPORT SECTION DEFINITIONS

Promising Practices
Promising practices are practices or outcomes identified during the review that are observed as being effective, innovative or best practice. These are practices that go above and beyond standard service delivery expectations and/or practices.
Findings
Findings are identified as issues or practices non-compliant with federal, state and/or local statutes, regulations, terms and conditions of an award or contract, policies and directives. Each finding has a corresponding required corrective action identifying what action must be taken, or documentation provided, in order for the finding to be resolved. Please use the "LWDA Response" box within the monitoring report to detail the actions taken by the local area to resolve the Finding. IWD will utilize the "IWD Response" box within the report to acknowledge when a finding is resolved or if additional action is required to resolve the finding.
Areas of Concern
Areas of concern are issues, policies, or practices observed during the review that may negatively impact the ability to effectively manage the grant or provide services to participants. They may also include red flags or risk areas that, if not addressed and corrected, could lead to an area of non-compliance in future monitoring reviews. Each area of concern will have a corresponding recommendation for correcting the issue or practice. Responses are not required for an area of concern but are welcome.

PROMISING PRACTICES

Several promising practices were observed throughout the period of monitoring, of which, two practices stood out.

The IowaWORKS Center has two privacy rooms intended to be used when providing services to customers that are sensitive in nature. This is important when building rapport and trust with individuals and discussing personal and confidential information, especially with those who have significant barriers to employment. The rooms are also utilized for employers to hold open interviews and job fairs which provides them with their own working space in the center.

An Income Maintenance worker from the Department of Human services is staffed in the center, and is readily available to provide services to individuals in need. This makes for a beneficial referral source to address the immediate low-income needs of individuals who come into the center.

FINDING #1: INACCURATE VERIFICATION OF APPLICATION ITEMS

During the review of participant files, it was discovered that items requiring verification within the application were either left blank or had incorrect or no documentation uploaded into the participant file.

All items must be accurately identified and uploaded into the participant file for data validation and reporting purposes.

Instance #1: Inaccurate verification of required data elements.

State ID: 2201419857 – For Veteran Status, “Yes, Eligible Veteran” was selected and “Not enrolling under Veteran” was noted as Other Applicable Documentation. This is not acceptable for data validation.

Instance #2: No verification of required data elements.

State ID: 2202807741 – For UC Eligibility Status, “Claimant” was selected and there was no verification for “UC Status Verify.” When this item is not verified, an error message appears that reads, “UC Status Verify is a required field.” This item would have had to be skipped in order to move onto the next section of the application. It should be noted the reviewer was able to verify UC status via unemployment records uploaded in the participant file; however, leaving this item blank is unacceptable for data validation requirements.

State ID: 2201419857 - For UC Eligibility Status, “Claimant” was selected and there was no verification for “UC Status Verify.” When this item is not verified, an error message appears that reads, “UC Status Verify is a required field.” This item would have had to be skipped in order to move onto the next section of the application. It should be noted the reviewer was able to verify UC status via unemployment records uploaded in the participant file; however, leaving this item blank is unacceptable for data validation requirements.

Citations

- Workforce Development Field Information Memo NO: 21-02: *Pursuant to TEGL 23-19, IWD is required to develop procedures for ensuring the data submitted for performance reporting are valid and reliable. Data validation is a series of internal controls or quality assurance techniques established to verify the accuracy, validity, and reliability of said data.*
- Appendix A: Allowable Source Documentation Title I, Title III and Trade Programs: *The following data elements have been defined in TEGL 23-19 Attachment II as allowable forms of source documentation for WIOA Titles I and III and Trade program data validation requirements. Also identified are acceptable forms of source documentations for the statutory eligibility requirements for these programs. Career planners must ensure the document used for both processes proves the criteria and that all other enrollment and eligibility requirements have been met. All documentation must be maintained in the data management system, IowaWORKS.gov.*

Corrective Action

The LWDB must ensure that documentation in IowaWORKS is accurate and complete according to policy. The LWDB must develop a corrective action plan that addresses verification of required data elements including key strategies to ensure that verification of all items within the WIOA Title I application is accurate and complete according to Appendix A: Allowable Source Documentation.

Career planners must be given training on the guidance included in the citation above. Training plans must be outlined in the corrective action plan. Verification of completed training, to include date and individuals in attendance must be submitted upon completion.

LWDB Response

IWD Response**FINDING #: 2 INDIVIDUAL EMPLOYMENT PLAN WITHOUT REQUIRED GOAL**

During the review of participant files, it was observed that a participant file was missing a required career pathway goal. The establishment of a career pathway goal is an important strategy to ensure appropriate benchmark goals and service strategies are provided in order to successfully engage participants and assist them establish employment and sustain a successful career.

Instance #1: There was no established career pathway goal on the individual employment plan.

State ID: 2202992174 – An employment and education goal were documented, however there was not an identified career pathway goal included.

Citations

- Career Pathways-Chapter 8 Section 1.3: *Career planners and participants should work together to identify appropriate career pathways by utilizing the objective assessment results. Career pathway goals, timelines, and other considerations must be established and entered in the data management system.*
- Individual Employment Plan- Chapter 8 Section 3.3.5: *The Individual Employment Plan (IEP) is an individualized career service that is mutually developed by the participant and career planner. The plan is an ongoing strategy to identify a career goal, develop an action plan, document progress and outline an appropriate combination of services for the participant.*

Corrective Action

The LWDB must ensure that goals are being established and reviewed according to policy. The LWDB must develop a corrective action plan that addresses the establishment of career pathway goals including key strategies to ensure that career pathways goals are established for all active participants. Career planners must be given training on the policies included in the citation above. Training plans must be outlined in the corrective action plan. Verification of completed training, including the individuals in attendance and the date of attendance must be submitted upon completion.

LWDB Response**IWD Response****FINDING #3: SERVICES NOT DELIVERED IN ACCORDANCE WITH POLICY**

During the review of participant files, it was observed that services were not being delivered or documented according to policy. It is imperative that state and local policies are adhered to within service provision. Policies guide service delivery and may have a direct impact on how services should be provided and/or documented.

Instance #1: Progress reviews and/or monitoring were not completed for on-the-job training services.

State ID: 2200615419 – There is no documentation of progress reviews and/or monitoring in the participant file.

State ID: 2202971211 - There is no documentation of progress reviews and/or monitoring in the participant file.

Instance #2: Support services were provided without documentation that the participant was unable to obtain the service through other means.

State ID: 2202868554 – Support service payments were made for transportation and educational testing when there is no documentation in the participant’s file that they were unable to obtain the service through other programs. For example, on the Supportive Services Request Form for transportation dated 8/11/2020, the participant responded, “I have not contacted other agencies at this time,” to the questions “What other agencies have you asked for help with this request? What were the responses?” Likewise, the response to that question was “None,” on the Supportive Services Request Form for educational assistance and educational testing.

State ID: 2202962210 – Support service payments were made for educational testing and educational assistance with no documentation in the participant’s file that they were unable to obtain the service through other programs. On the Supportive Services Request Form for transportation, educational assistance, and educational testing dated 12/7/2020 the participant responded “I have not asked help from any other agencies,” in response to the question about the agencies she asked for assistance.

State ID: 2202967756 – A supportive service payment was made for educational assistance with no documentation in the participant’s file that they were unable to obtain the service through other programs. On the Supportive Services Request Form for educational assistance and tools, the participant noted “None” to the questions, “What other agencies have you asked for help with this request? What were the responses?”

Instance #3: The amount of Youth Incentive Payments is not documented.

State ID: 2202966258 – The amount of youth incentive payment was not documented in case notes.

Citations

- Mississippi Valley Workforce Development Board On-the-Job Training Policy: Progress Review: *The Business Services Consultant/WIOA case manager will conduct monthly progress visits by the employers desired mode of communication, to include but not limited to phone, email, or web conferencing software. The first visit will be in person to ensure compliance with provisions of the contract and that training is being provided as outlined in the contract, unless there are extenuating circumstances. Monitoring Requirements: Each OJT contract must be monitored on-site at least once during the contract period. The purpose of this review is to ensure compliance with contract terms and to help solve any concerns between the WIOA service provider, Employer(s), and/or OJT Participant. While on-site the monitor will verify that the participant is receiving the training contracted for in the agreement, and that the participant is not required to engage in activities prohibited by WIOA. The monitor must also review the participant’s attendance records to ensure that the participant is attending and succeeding in the training, and review employer records to assure that the participant is receiving proper wages and that the employer is withholding taxes and paying workers compensation.*
- Support Services Introduction- Chapter 8 Section 1.5.1: *Support service payments can be made only when the participant is unable to obtain the service through other programs providing such services. The need for and the amount of support service payments must be documented in the data management system and hard copy justification of support uploaded into the data management system.*
- Mississippi Valley Workforce Development Board Support Services Policy: *Eligibility: Supportive services, including needs-related payments, may only be provided to participants who: 1. Are participating in Career services or Training services approved by WIOA Title I 2. Are unable to obtain supportive services via their support network or through other programs including community agencies that provide these services; and 3. Require those services to enable him/her to participate in WIOA Title I activities.*
- Mississippi Valley Workforce Development Board Youth Incentive Payment Policy: *Description and Documentation Requirements: In order to process the incentive, the required documentation will be placed in the participant's file, documented in the appropriate IowaWORKS screen, and case noted in IowaWORKS demonstrating the criteria to receive the incentive has been met. A completed request form (with supporting documentation) will be submitted for approval to the WIOA Supervisor.*

Corrective Action

The LWDB must ensure that all services are provided in accordance with policy. The LWDB must develop a corrective action plan including key strategies to ensure proper service provision of the three instances noted within this finding.

The plan must include the evaluation of progress to date on all active participants in an on-the-job training activity, including how monitoring will be conducted during PY21 on-the-job training services.

The plan must also include a review of support services on active participants ensuring appropriate documentation is provided that the participant was unable to obtain the service through other means as well as documentation of the amount provided for the support service(s).

Career planners must be given training on the policies included in the citation above. Training plans must be outlined in the corrective action plan. Verification of completed training, including the individuals in attendance and the date of attendance must be submitted upon completion.

LWDB Response

IWD Response

AREA OF CONCERN #1: INADAQUATE COMPLAINT SYSTEM

During the onsite monitoring of the American with Disabilities Act and Equal Employment Opportunity, it was discovered that the complaint system enacted at the local level is not being maintained pursuant to WIOA regulations.

An effective complaint system includes appropriate and confidential record keeping.

Instance #1: Complaints received at the Davenport center were not secured.

Complaints were kept in a binder at a staff member’s desk and were not in a locked cabinet.

Instance #2: Complaint logs are not being submitted to IWD’s Equality Opportunity and Diversity Officer.

Complaint logs are required to be submitted quarterly, and as of the date of this report, no logs have been submitted to IWD.

Recommendation

Ensure that complaints are handled properly; including remaining secured in a locked cabinet and submitted to the appropriate individuals timely. IWD understands that training has been requested on this topic, and is planned after the first of the year.

AREA OF CONCERN #1: OVERSIGHT AND MONITORING

Federal and State policies and regulations require the LWDB and its fiscal agent to conduct monitoring as outlined below:

- Pre-award financial review or the onsite post-award monitoring of contract service providers conducted no later than 120 calendar days after the award of the contract to include the tools used for each oversight activity and the final monitoring report.
- LWDB annual, onsite monitoring of all contracted service providers and Title I Programs, to include the tools used for each oversight activity and the final monitoring report.
- Fiscal agent annual monitoring of all contracted service providers to include the tools used for each oversight activity and the final monitoring report.
- Annual assessment of the physical and programmatic accessibility of all AJCs in the local area, to include the tools used for each oversight activity and the final monitoring report.
- AJC Certifications once every three years.
- Biennial monitoring of the one-stop operator, to include the tools used for each oversight activity and the final monitoring report.

This review and feedback is comprehensive, and we understand the State is still working to issue policies regarding some of these areas. Subsequently, the Mississippi Valley LWDB has done an admirable job in developing its policies and procedures to prepare for PY21 monitoring, and IWD recognizes the LWDB has until 6/30/2022 to fulfill its monitoring requirements for this program year. This item is included as an area of concern solely to provide technical assistance as the LWDB continues to work on policy development.

It should be noted the fiscal agent completed WIOA monitoring of October 2020 payroll; however, the tools used for each oversight activity were not included with the permanent file and pre-monitoring documents.

Recommendation

IWD encourages the LWDB to continue to develop local policies and processes to ensure comprehensive monitoring and oversight of federal funds utilized in the local area. This includes robust documentation of expenditures and monitoring policies and procedures utilized to review and ensure all expenditures are compliant with 2 CFR 200.

IWD requests the fiscal agent's monitoring tools used for its October 2020 payroll monitoring be submitted along with the corrective action plans.