

COMBINED FINANCE/EXECUTIVE COMMITTEE MEETING AGENDA

AUGUST 26, 2020

8:00 AM-9:30 AM

GOTO MEETING CONFERENCE CALL

Participants: If you have chosen to call in, please do so 5 minutes prior to the start of the meeting.

Expected Finance Committee Participants: Arden Cramer, Alicia Hanawalt, Michael Smith, Deb Close, and Larry West.

Expected Executive Committee Participants: Alicia Hanawalt, Michael Smith, Arden Cramer, Steve Snyder

WDB staff and guests: Roger Feldhaus, Executive Director; Tara Bradley, CFO; Deb Waymire, COO; Blake Sempsrott, Financial Coordinator, and Tina Overley-Hilt, Executive Assistant.

Call In Information:

Please join my meeting from your computer, tablet or smartphone.

<https://global.gotomeeting.com/join/237719861>

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Finance Committee			
Time	Topic	Presenter	Information/Action
8:00 AM	Call to Order	Arden Cramer	
8:05 AM	Fiscal		
	<ul style="list-style-type: none"> • PY 19 Revenue & Expense Report (ending 6/30/2020) • PY 19 Unrestricted Fund Analysis (ending 6/30/2020) • PY 20 Revenue & Expense Budget • PY 19 Audit by Huth Thompson, LLP begins 8/31/20 	Tara Bradley	Information
8:45 AM	Adjourn	Arden Cramer	
Executive Committee			
Time	Topic	Presenter	Information/Action
8:45 AM	Call to Order	Alicia Hanawalt	
8:50 AM	Operations	Deb Waymire	Information
	<ul style="list-style-type: none"> • Covid-19 Related Grants • PY 19 WIOA Performance • Region 4 WorkOne System Highlights 		
9:10 AM	Administration	Roger Feldhaus	Discussion
	<ul style="list-style-type: none"> • Board Member Renewals • Combining Annual and Executive Council Meetings • Retirement of Mary Sloan (DWD) and Deb Provo (JobWorks) after 40 years of service • Recommendations re. WorkOne office leases and TAP staff compensation • DWD PY19 WIOA Monitoring Report 		
9:30 AM	Adjourn	Alicia Hanawalt	

Region 4 WORKFORCE Board

Program Year 19 Revenue and Expense Report July 1, 2019-June 30, 2020

Total Available to Budget					
<i>*After Next Program Year First Quarter Set Aside Removed (20%)</i>	PY 19 Budget	6/30/2020	Actual Percentage	Goal Percentage	PY 18 06/30/2019
Department of Workforce Development Funding					
Workforce Innovation and Opportunity Act					
Administration	205,454	132,015	64%	100%	258,709
Adult	727,645	588,753	81%	100%	704,431
Dislocated Worker	554,376	424,325	77%	100%	389,288
Youth	833,894	606,849	73%	100%	586,111
Sub-total WIOA	\$ 2,321,369	\$ 1,751,941	74%	100%	\$ 1,938,539
Other Non-WIOA Funding					
SkillUP! 3	394,643	376,724	95%	100%	524,827
Business Consultant	120,000	120,000	100%	100%	120,000
Jobs For Hoosiers	33,389	12,478	37%	50%	6,111
JAG State (Jobs for America's Graduates)	704,361	423,681	60%	100%	573,069
TANF/JAG (Jobs for America's Graduates)	18,995	16,904	89%	100%	31,005
Pre-ETS(VR)/JAG (Jobs for America's Graduates)	57,600	57,600	100%	100%	
Work IN (WIN)	40,000	-	0%	100%	
RESEA (Re-employment Services)	427,807	412,034	96%	100%	400,386
TAA (Case Management Staffing)	-	-	0%	0%	32,443
Special COVID Grant (UI)	20,000	6,662	33%	33%	-
Special COVID Grant (RR)	100,000	10,719	11%	33%	-
Disaster Recovery COVID	131,000	6,510	5%	33%	-
WIOA Performance Support Grant #2	179,435	64,872	36%	75%	-
JAG Master Specialist Grant	-	-	0%	0%	500
WIOA Performance Support Grant #1	39,771	39,770	100%	100%	160,229
Sub-total Other Non-WIOA Funding	\$ 2,267,001	\$ 1,547,952	68%	83%	\$ 1,848,570
Total DWD Funding	\$ 4,588,370	\$ 3,299,894	72%	85%	\$ 3,787,109
Other Federal Grant Revenue					
Ready to Work (H1-B) Grant	\$ 258,332	\$ 258,332	100%	100%	\$ 1,178,662
America's Promise Grant (H1-B) Grant	\$ 1,214,712	\$ 925,507	76%	100%	\$ 833,367
Total DOL Revenue	\$ 1,473,044	\$ 1,183,839	80%	100%	\$ 2,012,029
TAP Revenue					
TAP Unrestricted Funding	65,000	39,424	61%	100%	40,530
WHIN Funding	363,885	214,248	59%	100%	(45,508)
Caterpillar Foundation Grants	50,000	50,000	100%	100%	-
Other Non-grant Revenue	152,000	27,750	18%	100%	175,841
Total TAP Revenue	\$ 630,885	\$ 331,422	53%	83%	\$ 170,863
Total Funding Available to Budget	\$ 6,692,299	\$ 4,815,155	72%	89%	\$ 5,970,001
Next Program Year First Quarter Set Aside	\$ 861,154				
Expense					
Salaries	691,344	655,684	95%	100%	764,767
Fringe Benefits	176,263	169,538	96%	100%	212,055
Travel & Staff Development	24,650	17,984	73%	100%	22,115
Occupancy, including Liability Insurance	73,750	69,701	95%	100%	71,422
Communications/Technology	8,000	5,608	70%	100%	8,526
Supplies, including Equipment Costs	85,275	121,080	142%	100%	20,539
Professional Services, including IT costs	203,125	184,317	91%	100%	246,547
WDB Discretionary	21,200	12,624	60%	100%	17,197
WorkOne Center Overhead Costs, including RTW/APG Outreach Costs	446,293	477,597	107%	100%	498,351
Direct Participant Costs- <i>WIOA Adult and Dislocated Worker, Youth</i>	328,173	258,312	79%	100%	258,430
Direct Participant Costs- <i>WIOA Incumbent Worker Set Aside</i>	10,000	-	0%	100%	-
Direct Participant Costs- <i>JAG, WorkIN</i>	677,709	10,832	2%	100%	28,803
Direct Participant Costs- <i>Ready to Work, APG, Skill Up, WPG, WHIN</i>	794,478	787,022	99%	100%	1,293,836
Staffing and Management Costs- <i>WorkOne WIOA</i>	1,325,306	802,207	61%	100%	996,625
Staffing and Management Costs- <i>WorkOne JAG, RESEA, JFH, TAA, WIOACM</i>	980,117	803,197	82%	100%	867,637
Staffing and Management Costs- <i>WorkOne RTW, APG, Skill Up, WPG</i>	474,937	449,362	95%	100%	797,351
Total Expense	\$ 6,320,620	\$ 4,825,067	76%	100%	\$ 6,104,201
Excess Revenue Over/(Under) Expense	\$ 371,680	\$ (9,912)			\$ (134,200)
Board Discretionary					
Board Meetings	\$ 2,500	1,321	53%	100%	2,148
Board Travel/Conferences	\$ 500	-	0%	100%	-
INWBA/NAWB Dues	\$ 3,700	1,547	42%	100%	2,212
Strategic Planning	\$ 2,500	-	0%	100%	2,828
Annual Meeting	\$ 7,000	4,756	68%	100%	4,941
Workforce Intelligence Information	\$ 5,000	5,000	100%	100%	5,068
Total Board Discretionary	\$ 21,200	\$ 12,624	60%	100%	\$ 17,197

**Region 4 Workforce Board
Unrestricted Funds Analysis**

June 30, 2020

	Workkeys Profiling	TAP	
		General	Total
REVENUE			
Beginning Balance at 7/1/2019	\$ -	\$ 146,431.09	\$ 146,431.09
Profile Revenue	\$ 27,750.00		\$ 27,750.00
Interest Income		\$ 85.51	\$ 85.51
Other Revenue		\$ 39,338.53	\$ 39,338.53
Total Revenue	\$ 27,750.00	\$ 39,424.04	\$ 106,598.08
EXPENSE			
Salaries-Tara & Blake/CWI		\$ 24,578.05	\$ 24,578.05
Benefits-Tara & Blake/CWI		\$ 5,553.77	\$ 5,553.77
Salaries-Chris & Blake/WorkKeys	\$ 156.34	\$ 3,165.31	\$ 3,321.65
Benefits-Chris & Blake/WorkKeys	\$ 40.24	\$ 948.34	\$ 988.58
Travel-Tara/CWI		\$ 2,925.26	\$ 2,925.26
Miscellaneous Staff Costs		\$ 2,063.30	\$ 2,063.30
Telephone - Chris		\$ 53.12	\$ 53.12
Registration Fees		\$ -	\$ -
Postage & Delivery Fees		\$ 11.00	\$ 11.00
Supplies		\$ 708.18	\$ 708.18
Professional Fees	\$ 26,175.00	\$ 700.00	\$ 26,875.00
Outreach/Marketing		\$ -	\$ -
Equipment Rental		\$ -	\$ -
Miscellaneous		\$ 2,696.80	\$ 2,696.80
Admin overhead cost	\$ 1,725.56	\$ 5,585.85	\$ 7,311.41
		\$ -	
Total Expense	\$ 28,097.14	\$ 48,988.98	\$ 77,086.12
Revenue Over/(Under) Expense	\$ (347.14)	\$ (9,564.94)	\$ (9,912.08)
Balance at 6/30/2020	\$ (347.14)	\$ 136,866.15	\$ 136,519.01

Unrestricted Fund Balances:		
TAP Unrestricted	\$	136,866.15
WorkKeys	\$	(347.14)
	\$	136,519.01

Region 4 Special Grants Overview

Grant Name	Grant Award	Grant Term	Overview	OJTS
Disaster Recovery - DWG	\$ 131,500.00	6/1/20-3/1/22	Assisting 2 employers with 5 temp employees	No
ERG (Employment Recovery Grant) if awarded	\$ 407,805	4/15/20-6/30/22	80 participants 60 OST & 20 OJT	Yes
WRG Workforce Ready Grant)	\$ 257,500	7/20-12/30/20	140 enrolled in OST	No
WRG	Licenses		180 Skills	No
ETG (Employer Training Grant)	\$1.25M	7/20-12/30/20	Employer Trainings thru NJL	
Skill UP 3 (fully obligated)	\$1M	2/18-8/30/20	Wk Ethic, Career Awareness, trainings	
WIOA Performance Support 2	\$ 60,500	10/19/19-3/31/21	Equipment-procured	NA
WIOA Performance Support	\$ 69,795	10/19/19-3/31/21	Trng and Internships	No
America's Promise Grant **	\$ 1.9M	1/2017-12/30/20	Trng and Internships	Yes

* Co-enroll when eligible

** Award bal as of 7/30

PY'19 WIOA ADULT MEASURES

ROLLING FOUR QUARTERS

Report Date: 4/1/2019 - 3/31/2020

Adult

LWIB	Employment 2Q ¹			Employment 4Q ²			Credential Attainment ²			Median Earnings 2Q ¹			Measurable Skill Gain ³			Participants Served*	Participant %	Allocation	Allocation %
	Actual	Goal	Met?	Actual	Goal	Met?	Actual	Goal	Met?	Actual	Goal	Met?	Actual	Goal	Met?				
Region 1	81.5	77.0	YES	75.8	74.0	YES	81.1	52.0	YES	\$6,762	\$5,600	YES	44.3	Baseline	NA	1498	20%	3,341,304	30%
Region 2	75.6	77.0	NO	77.5	74.0	YES	78.5	52.0	YES	\$6,635	\$5,600	YES	37.0	Baseline	NA	839	11%	830,031	8%
Region 3	82.7	77.0	YES	84.8	74.0	YES	53.1	52.0	YES	\$7,456	\$5,600	YES	82.1	Baseline	NA	828	11%	919,140	8%
Region 4	80.7	77.0	YES	79.7	74.0	YES	80.7	52.0	YES	\$6,508	\$5,600	YES	88.3	Baseline	NA	702	9%	638,831	6%
Region 5	82.3	77.0	YES	82.4	74.0	YES	70.1	52.0	YES	\$6,616	\$5,600	YES	75.0	Baseline	NA	634	9%	874,063	8%
Region 6	80.0	77.0	YES	77.8	74.0	YES	77.2	52.0	YES	\$6,544	\$5,600	YES	67.9	Baseline	NA	766	10%	608,777	6%
Region 7	86.4	77.0	YES	83.4	74.0	YES	76.7	52.0	YES	\$6,648	\$5,600	YES	78.0	Baseline	NA	212	3%	527,557	5%
Region 8	80.4	77.0	YES	82.6	74.0	YES	56.5	52.0	YES	\$6,590	\$5,600	YES	67.5	Baseline	NA	405	5%	522,452	5%
Region 9	92.6	77.0	YES	93.9	74.0	YES	81.6	52.0	YES	\$7,033	\$5,600	YES	74.2	Baseline	NA	144	2%	378,783	3%
Region 10	83.9	77.0	YES	84.0	74.0	YES	84.9	52.0	YES	\$8,898	\$5,600	YES	72.6	Baseline	NA	309	4%	368,787	3%
Region 11	89.1	77.0	YES	84.5	74.0	YES	69.1	52.0	YES	\$6,492	\$5,600	YES	69.1	Baseline	NA	785	11%	498,959	5%
Region 12	84.7	77.0	YES	85.9	74.0	YES	71.6	52.0	YES	\$7,480	\$5,600	YES	42.6	Baseline	NA	324	4%	1,529,491	14%
Staterwid	82.1	77.0	YES	80.7	74.0	YES	74.0	52.0	YES	\$6,773	\$5,600	YES	62.7	Baseline	NA	7446	100%	11,038,175	100%

Dislocated Worker

LWIB	Employment 2Q ¹			Employment 4Q ²			Credential Attainment ²			Median Earnings 2Q ¹			Measurable Skill Gain ³			Participants Served	Participant %	Allocation	Allocation %
	Actual	Goal	Met?	Actual	Goal	Met?	Actual	Goal	Met?	Actual	Goal	Met?	Actual	Goal	Met?				
Region 1	80.8	76.0	YES	74.5	75.0	NO	77.9	48.0	YES	\$7,312	\$7,000	YES	48.1	Baseline	NA	223	5%	\$ 3,595,364	30%
Region 2	74.0	76.0	NO	77.7	75.0	YES	82.5	48.0	YES	\$7,273	\$7,000	YES	20.6	Baseline	NA	531	12%	\$ 940,488	8%
Region 3	80.9	76.0	YES	82.7	75.0	YES	50.0	48.0	YES	\$7,967	\$7,000	YES	90.8	Baseline	NA	422	10%	\$ 1,012,860	8%
Region 4	76.0	76.0	YES	76.5	75.0	YES	71.4	48.0	YES	\$7,076	\$7,000	YES	85.7	Baseline	NA	697	16%	\$ 809,850	7%
Region 5	88.5	76.0	YES	87.7	75.0	YES	67.7	48.0	YES	\$10,000	\$7,000	YES	67.7	Baseline	NA	637	15%	\$ 902,842	7%
Region 6	74.9	76.0	NO	77.7	75.0	YES	60.0	48.0	YES	\$6,483	\$7,000	NO	77.8	Baseline	NA	567	13%	\$ 713,621	6%
Region 7	87.3	76.0	YES	87.3	75.0	YES	68.4	48.0	YES	\$8,998	\$7,000	YES	87.8	Baseline	NA	117	3%	\$ 579,373	5%
Region 8	80.1	76.0	YES	72.8	75.0	NO	68.8	48.0	YES	\$7,549	\$7,000	YES	56.3	Baseline	NA	124	3%	\$ 681,814	6%
Region 9	83.1	76.0	YES	87.3	75.0	YES	81.3	48.0	YES	\$7,396	\$7,000	YES	53.8	Baseline	NA	105	2%	\$ 392,153	3%
Region 10	84.8	76.0	YES	85.8	75.0	YES	86.4	48.0	YES	\$9,550	\$7,000	YES	88.9	Baseline	NA	321	7%	\$ 369,673	3%
Region 11	88.4	76.0	YES	88.2	75.0	YES	58.7	48.0	YES	\$7,477	\$7,000	YES	40.7	Baseline	NA	413	9%	\$ 529,223	4%
Region 12	84.6	76.0	YES	82.3	75.0	YES	50.0	48.0	YES	\$9,504	\$7,000	YES	27.8	Baseline	NA	232	5%	\$ 1,608,244	13%
Staterwid	80.4	76.0	YES	80.4	75.0	YES	72.7	48.0	YES	\$7,800	\$7,000	YES	67.4	Baseline	NA	4,389	100%	\$ 12,135,505	100%

Youth

LWIB	Employment 2Q ¹			Employment 4Q ²			Credential Attainment ²			Median Earnings 2Q ¹			Measurable Skill Gain ³			Participants Served	Participant %	Allocation	Allocation %
	Actual	Goal	Met?	Actual	Goal	Met?	Actual	Goal	Met?	Actual	Goal	Met?	Actual	Goal	Met?				
Region 1	81.9	74.0	YES	84.0	71.0	YES	66.3	62.0	YES	\$3,705	Baseline	NA	38.8	Baseline	NA	681	21%	\$ 1,654,934	15%
Region 2	81.9	74.0	YES	81.0	71.0	YES	61.0	62.0	NO	\$3,172	Baseline	NA	50.8	Baseline	NA	554	17%	\$ 830,279	7%
Region 3	74.9	74.0	YES	76.8	71.0	YES	66.3	62.0	YES	\$2,435	Baseline	NA	91.6	Baseline	NA	397	12%	\$ 1,230,261	11%
Region 4	84.9	74.0	YES	82.3	71.0	YES	77.7	62.0	YES	\$3,342	Baseline	NA	79.4	Baseline	NA	225	7%	\$ 761,882	7%
Region 5	80.8	74.0	YES	78.4	71.0	YES	70.9	62.0	YES	\$3,938	Baseline	NA	85.7	Baseline	NA	339	10%	\$ 1,290,732	11%
Region 6	80.0	74.0	YES	77.3	71.0	YES	67.9	62.0	YES	\$2,685	Baseline	NA	80.0	Baseline	NA	228	7%	\$ 678,975	6%
Region 7	81.5	74.0	YES	76.3	71.0	YES	72.5	62.0	YES	\$3,971	Baseline	NA	62.5	Baseline	NA	135	4%	\$ 391,520	3%
Region 8	74.1	74.0	YES	76.9	71.0	YES	61.4	62.0	NO	\$4,344	Baseline	NA	63.5	Baseline	NA	75	2%	\$ 562,560	5%
Region 9	79.7	74.0	YES	81.9	71.0	YES	72.5	62.0	YES	\$4,944	Baseline	NA	70.0	Baseline	NA	64	2%	\$ 400,977	4%
Region 10	77.3	74.0	YES	77.8	71.0	YES	66.7	62.0	YES	\$5,550	Baseline	NA	55.0	Baseline	NA	67	2%	\$ 594,420	5%
Region 11	88.5	74.0	YES	83.5	71.0	YES	64.9	62.0	YES	\$3,109	Baseline	NA	82.4	Baseline	NA	306	9%	\$ 638,597	6%
Region 12	77.2	74.0	YES	74.9	71.0	YES	61.3	62.0	NO	\$2,957	Baseline	NA	78.7	Baseline	NA	181	6%	\$ 2,230,645	20%
Staterwid	80.9	74.0	YES	80.1	71.0	YES	66.5	62.0	YES	\$3,339	Baseline	NA	66.3	Baseline	NA	3,252	100%	\$ 11,265,782	100%

1/7/18 - 6/30/2019

2/1/2018 - 12/31/2018

3/7/1/2019 - 6/30/2020

DWD PPC

Combined Adult and DW participants and allocation

Only factors WIOA funding and only WIOA allocation - not expended dollars

	Participants Served*	Participant %	Allocation	Allocation %
1	1,721	15%	6,936,668	30%
2	1,370	12%	1,770,519	8%
3	1,250	11%	1,932,000	8%
4	1,399	12%	1,448,681	6%
5	1,271	11%	1,776,905	8%
6	1,333	11%	1,322,398	6%
7	329	3%	1,106,930	5%
8	529	4%	1,204,266	5%
9	249	2%	770,936	3%
10	630	5%	738,460	3%
11	1,198	10%	1,028,182	4%
12	556	5%	3,137,735	14%
	11,835		23,173,680	100%

served higher % of participants than allocation %

Dislocated Workers and Adult participants combined

* DW participants may also be included in adult participants



July 2, 2020

Ms. Alicia Hanawalt, Board Chair
Mr. Roger Feldhaus, Executive Director
Tecumseh Area Partnership, Inc.
d/b/a Region 4 Workforce Board
976 Mezzanine Drive, Suite C
Lafayette, IN 47905

RE: Program Year 2019-20 WIOA Monitoring Report for LWDA 4

Ms. Hanawalt and Mr. Feldhaus:

The Indiana Department of Workforce Development (DWD), on behalf of the Governor, oversees the programs and activities of the State's subrecipients to ensure proper stewardship of DWD-issued funding. Federal regulations require an annual on-site review of each Local Workforce Development Area (LWDA or Local Area) within a state. DWD's Compliance and Policy Division (Compliance Team) conducts these annual on-site reviews to monitor compliance with administrative, equal opportunity (EO) and nondiscrimination, fiscal, and programmatic requirements. As such, Compliance Team monitors began a comprehensive review of LWDA 4 in February 2020. Results of the review are outlined within the attached Comprehensive Monitoring Report (Report).

Please note that the report has been condensed due to the delay in release. We appreciate your patience as we completed this process.

Questions or concerns regarding this Report should be addressed to oversight@dwd.in.gov.

Respectfully,

**Connie Wray, Associate Chief
Compliance & Policy**
Indiana Dept. of Workforce Development
10 N Senate Ave; IGCS SE 304
Indianapolis, IN 46204
859.620.4373
CWray@dwd.in.gov

**COMPREHENSIVE MONITORING REPORT
PROGRAM YEAR 2019-20**

Local Workforce Development Area 4

Tecumseh Area Partnership, Inc.
d/b/a Region 4 Workforce Board
976 Mezzanine Drive, Suite C
Lafayette, IN 47905

On-Site Visit: February 24 – February 28, 2020

Review Period: July 2019 – February 2020

Compliance Team: Connie Wray, Larry Upchurch, Blayze Damron, Thomas Brown, Carmen Upchurch, Jennifer Long, & Jennifer Greimann

I. REPORT STRUCTURE

The Indiana Department of Workforce Development (DWD) Compliance and Policy Division (Compliance Team) conducts annual monitoring of each Local Workforce Development Area (LWDA or Local Area) to examine compliance with statutory, regulatory, and policy-driven requirements, and identify areas in need of administrative, financial management, programmatic, and/or systemic improvement. This Comprehensive Monitoring Report (Report) includes compliance findings, areas of concern, and noteworthy efforts for the Local Area during the monitoring review period.¹

Workforce Innovation and Opportunity Act (WIOA) compliance terminology, for purposes of this Report, is explained below:

Compliance Findings. Items identified as non-compliant with federal, state, or local regulations, policies, or procedures shall be classified as compliance findings (Findings). Compliance Team staff will provide citations from appropriate authorities, identify specific areas of non-compliance, and prescribe the corrective measures necessary for resolution.

Areas of Concern. Items that may or may not be compliance-based, but may impede effectiveness and efficiency of service delivery to individual and business clientele shall be classified as areas of concern (Concerns). The Compliance Team may offer suggestions or assistance to the Local Area in making qualitative improvements, or may make a referral to appropriate DWD staff for further technical assistance.

Noteworthy Efforts. New, unique, significant, or innovative initiatives and results, and/or notable or exemplary practices shall be classified as Noteworthy Efforts.

Scope of Review. The Compliance Team begins the monitoring of each Local Area by performing desk reviews of LWDA-specific input and feedback gathered from DWD Program Directors and Subject Matter Experts, inspecting and testing various electronic documents submitted by the LWDA, and conducting a risk assessment using DWD's Risk Assessment Tool. The Risk Assessment Tool, based on knowledge of, history with, and learned information about the Local Area, generates a risk score (i.e., low, medium, high) that may influence areas of focus during the monitoring review. Local Area information, systems, policies, procedures, and documents at all management and service levels are subject to review under, but not limited to, the following major subject areas (Review Areas):

1. **Administrative & Financial Management.** This area includes, but is not limited to, an evaluation of Workforce Development Board (WDB) structure and governance, the WorkOne American Job Center (WorkOne) system,

¹ Although this Monitoring Report would typically include performance data and a fiscal expenditure snapshot, this information has been removed due to the timing of Report issuance and modified work practices during COVID-19.

administrative and financial policies and practices, prior audit and monitoring results, and subrecipient monitoring and oversight according to applicable federal and state legislation, regulations, policies, guidance, and Office of Management and Budget (OMB) Uniform Guidance. The Compliance Team conducts this evaluation via on-site visits, document inspection, and sample testing.

2. **Workforce Development Programs.** This area includes, but is not limited to, an evaluation of the Local Area’s programs and services for eligible participants pursuant to WIOA requirements and related federal and state legislation, regulations, policies, and guidance. A computer-generated, randomly-selected file sample of at least 30 Adult, Dislocated Worker (DW), In-School Youth (ISY), and Out-of-School Youth (OSY) participant files are examined for proper maintenance and content, inclusion of pertinent forms and data, appropriate and adequate case notes to ensure continuity from the time of application through the completion of services, as well as verification that all relevant data has been entered into the Indiana Career Connect (ICC) case management system. On-site visits to various WorkOne centers within the Local Area and interviews with local management, staff, and clientele are conducted to observe operations (e.g., security, building function, appearance, convenience to customers, safety concerns, etc.) and gain insight into the WorkOne center’s environment, processes and procedures, and overall customer service efforts and effects.

This area may also include a review of other active grants and programs funded by DWD within the Local Area during the monitoring period. During the review, Compliance and Policy Division staff correspond with applicable grant and program management staff to obtain information and status updates for potential inclusion in this Report.

3. **Equal Opportunity & Nondiscrimination.** This area includes, but is not limited to, an evaluation of the Local Area's Equal Opportunity (EO) and Nondiscrimination policy and practices, including implementation of and adherence to Indiana’s Nondiscrimination Plan² (NDP). All WIOA Title I recipients and one-stop partners (OSPs), to the extent the OSPs participate in the one-stop delivery system, must comply with EO and nondiscrimination requirements in the administration and operation of programs, activities, and employment as provided by WIOA Section 188 and its implementing regulations under 29 CFR Part 38 (Final Rule). DWD Policy 2016-09³ provides a summary of the major content areas covered in the Final Rule and includes important procedures recipients must follow to maintain compliance.

II. LOCAL AREA SUMMARY

<i>Counties within LWDA:</i>	Benton, Carroll, Cass, Clinton, Fountain, Howard, Miami, Montgomery, Tippecanoe, Tipton, White, and Warren
<i>Grant Recipient:</i>	Tecumseh Area Partnership, Inc. (TAP)
<i>Administrative Entity/Staff-to-the-Board:</i>	TAP
<i>Fiscal Agent:</i>	TAP
<i>One-Stop Operator (OSO):</i>	JobWorks
<i>Service Provider:</i>	JobWorks for WIOA Adult, Dislocated Worker & Youth
<i>Prior Monitoring Findings:</i>	No compliance findings/no questioned costs during last review
<i>PY2018-19 Assessed Risk:</i>	Low
<i>PY2019-20 Assessed Risk:</i>	Low

² <https://www.in.gov/dwd/3195.htm>

³ DWD Policy 2016-09: Equal Opportunity and Nondiscrimination Guidance Letter

Tecumseh Area Partnership, Inc. is the grant recipient on behalf of the Region 4 Workforce Board. WIOA Adult, Dislocated Worker, and Youth client services are provided by JobWorks staff. The six WorkOne sites operating within this 12 county LWDA include:

<u>Comprehensive Sites</u>	<u>Affiliate Sites</u>	<u>Access Points</u>
Howard County / Kokomo Tippecanoe County / Lafayette	Cass County / Logansport Miami County / Peru Montgomery County / Crawfordsville White County / Monticello	None

On-site monitoring was conducted in February 2020 by DWD’s Compliance Team at the TAP office located in Lafayette and various WorkOne centers within the LWDA. An Entrance Conference was held on-site at the TAP headquarters with the Executive Team attending. WorkOne sites visited included Crawfordsville, Kokomo, Lafayette, Logansport, Monticello, and Peru. A summary of the week’s activities, including a non-exhaustive list of potential findings and areas of concern, were presented during an Exit Conference call at the end of the on-site monitoring week.

III. ANALYSIS

Information within this section summarizes the Compliance Team’s overall evaluation of the LWDA relative to the Review Areas described herein.

1. **Administrative & Financial Management**

Specific subject areas where documentation and practices were inspected and tested by the Compliance Team include: contracts and agreements; prior monitoring and audit findings; subrecipient monitoring and audit oversight; property leases; administrative and financial policies and procedures; required local reporting to various DWD programs; internal and budget controls; cash draws, cash management and reconciliations; general ledgers and disbursements; cost classification and allocation; record retention; WDB structure and governance; implementation of the Local Plan; and compliance with other applicable regulations, policies, and guidance.

Compliance Findings:

There were no administrative or fiscal compliance findings identified within the scope of this review.

Areas of Concern:

Area of Concern #1: Written Agreement for Simultaneous Roles lacks Provider Signature

20 CFR 679.430 requires a written agreement to be developed when local organizations function “simultaneously in a variety of roles, including local fiscal agent, Local WDB staff, one-stop operator, and direct provider of services.” The organization serving multiple roles must develop this agreement with the local WDB and regional Chief Elected Official (RCEO). At the time of review, LWDA 4 had created this written agreement, but the agreement lacked the signature of JobWorks as a provider serving multiple roles. Although JobWorks is incorporated via its contract into the local partnership agreement (MOU/IFA), JobWorks should also sign the written agreement for simultaneous roles.

2. Workforce Development Programs

A computer-generated, randomly-selected file sample of at least 30 participant files were examined. The sample included Adult, DW, ISY, OSY, Veterans, Low-Income Individuals, and On-the-Job Training (OJT) participants, as applicable. The sample consisted of participants who were active or exited during the current program year. Desk reviews and interviews were utilized to evaluate overall compliance with applicable regulations, policies, and guidance. Compliance Team staff also visited WorkOne centers within the LWDA; observed operations first-hand; conducted interviews with various WorkOne management, staff, and clientele; and gained insight regarding the WorkOne centers' operations and outcomes.

Compliance Findings:

There were no programmatic compliance findings identified within the scope of this review.

Areas of Concern:

There were no programmatic areas of concern identified within the scope of this review.

Noteworthy Efforts:

Noteworthy Effort #1: Cross-Training Speed Sessions

The LWDA One-Stop Partner Staff Training Fair took the speed-dating concept, "Connecting the Dots," and translated it into a speed-networking event. After a short welcome, participants met and listened to presenters from each One-Stop Partner at networking stations set up for small group conversations. Participating staff rotated to different networking stations every 10 minutes until they had toured all stations. The purpose of the cross training is to promote knowledge and understanding of the various programs and their services to their customers in common among the partner organizations.

Fifty-seven partner staff attended sessions in Lafayette and forty-five partner staff attended sessions in Kokomo in Dec. 2019. Networking Stations from One-Stop Partners represented the following programs: Adult Education, Perkins/Post-Secondary Career & Technical Education, Community Services Block Grant, National Farmworker Jobs Program, Senior Community Services Employment Program, Vocational Rehabilitation, WIOA, Wagner-Peyser, TAA, UI, and Veterans. Other initiatives represented were Skillful Indiana and America's Promise Grant. Cross training sessions between organizations are planned twice a year to assure that every organization understands its value amongst its partners.

Noteworthy Effort #2: One Stop Partner Resource Guide

Another practical tool developed by the LWDA is the One-Stop Partner Resource Guide. The Guide is a chart which lists basic needs the customer may have and indicates what organization may be able to assist them, always bearing in mind eligibility factors. The case manager keeps the guide at hand, whether on the computer or in paper form, so that they may quickly point the customer to the correct and most effective service organization. For example, if a customer needs child care assistance there is the possibility that four organizations may be able to help them, depending upon the customer's situation. The Guide is also a good morale builder as it is a reminder to the service

personnel that they are not alone in their endeavor to assist a client; that there is never a dead end, and there is a solution for the customer's problems somewhere.

Noteworthy Effort #3: Performance Ratings Information to the Public

Federal regulations require that the performance ratings of the LWDA be displayed to the public, so that the public may know the WorkOne office is indeed doing its job assisting customers to better employment, education and/or training. The LWDA not only publishes these performance ratings in one place such as its official website, but has the information running constantly on its monitors, and has flyers in the public areas in the WorkOne offices titled "How are We Doing?" By displaying their statistics the LWDA promotes confidence in their abilities to the public at large. The public in turn knows they can rely upon their service organization when in need, and a good reputation is maintained by the WorkOne office through their publishing endeavors.

3. Equal Opportunity & Nondiscrimination

Compliance and Policy Division staff conducted desk reviews, interviews, and WorkOne site visits to evaluate the Local Area's progress in the implementation and administration of EO and Nondiscrimination programs. The evaluation covered the following areas: Local EO Officer designation and performance; local EO policy and procedures; required notices and communications (e.g., posters, Babel notices, taglines, relay services, etc.); orientations; service delivery for disabled and limited English proficient (LEP) individuals; physical and programmatic accessibility; complaint processing procedures; affirmative outreach; data and information collection and maintenance; and overall compliance with applicable regulations, policies, guidance, and the NDP.

Compliance Findings:

There were no EO or nondiscrimination compliance findings identified within the scope of this review.

Areas of Concern:

There were no EO or nondiscrimination areas of concern noted within the scope of this review.

Noteworthy Efforts:

Noteworthy Effort #4: Local Accessibility Policy

LWDA 4 utilizes a locally created Accessibility Policy. The policy is especially beneficial to the WorkOne staff as it ensures that staff are knowledgeable and fully prepared to assist customers who have a disability.

Region 4 Workforce Board Meeting Minutes of May 27, 2020 Location: Conference call	NEXT MEETING Wednesday, September 23, 2020 Location: Lafayette - TBD
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Directors Present:

Mike Smith, vice-chair
 Arden Cramer, treasurer
 Steve Snyder, secretary
 Mike Barnes
 Richard Bradshaw
 Spencer Buchanan
 Elva James

Dean McCurdy
 Karen Mellen
 Shannon Polmateer
 Randy Vernon
 Larry West
 Amy Wood

Excused:

Alicia Hanawalt, chair
 Dennis Carson
 Deb Close

Staff and Guests Present: *Roger Feldhaus, CEO; Tara Bradley, CFO; Deb Waymire, COO; Mellisa Leaming, Director of Operations; Tina Overley-Hilt, Executive Assistant/Financial Assistant; and Commissioner Fred Payne, Commissioner Fred Payne, DWD*

Call to Order and Welcome

The May 27, 2020, WDB meeting was held via conference call as a result of health concerns related to Covid-19 and the Governor’s Executive Order. Attendees were welcomed and the meeting was called to order by Vice Chair, Mike Smith, at 8:30 a.m. Roll call was taken. A quorum was present.

Consent Agenda

A motion was made to approve the consent agenda items as presented.

Motion: Richard Bradshaw

Second: Larry West

Action: Unanimous approval

DWD Commissioner Fred Payne Comments/Board Comments

Commissioner Payne provided an update on the effects of Covid-19 on unemployment in Indiana since March 2020. In March, prior to the pandemic, the unemployment rate was 3.2%. The current unemployment rate is 16.9%.

- Initial unemployment claims peaked on March 28, 2020.
- Initial claims are decreasing and the number of people requesting unemployment and presenting vouchers is decreasing. This is an indication that some regions of Indiana and some industries are ramping back up and returning to work.
- On average, 80-85% of new claims are paid within 21 days from the date of filing, thanks in part to auto-adjudication and the hiring of more staff. The UI team now handles 280,000 adjudication issues per week, compared to 68,000 per week pre-pandemic. DWD will continue to move forward with automation and staff development.
- DWD embraces its responsibility to make sure every eligible person receives their benefits.
- Funding allocations for PY20 have been forwarded to each region. DWD and other state agencies were requested to reduce their state-funded budgets by 15%. Fortunately, this request does not refer to federal funds such as WIOA.
- DWD will pursue any additional funding opportunities available to support the regions and are in conversation with USDOL to identify various sources of funding.

The Governor’s Workforce Cabinet, along with other partners, is working on a *Rapid Recovery Plan for a Better Future*. This is people-focused initiative to provide comprehensive resources and support for Hoosiers to

secure education and training, skill and career coaching, and access to quality jobs. The *Plan* has five objectives: 1) online job help to connect people to job resources, education and training, and financial support; 2) leveraging a comprehensive outreach network including community and faith based organization; 3) focus on career coaching and mentoring; 4) develop assessment tools for employers and individuals; and 5) consolidated resources for employers. All of these will complement what regions are doing already.

The floor was opened for Board members to ask questions to Commissioner Payne:

- What thoughts are being shared with lawmakers regarding unemployment benefits?
 - The additional \$600 weekly benefit will make it hard for employees to want to return to work.
 - Incentivize employees to go back to work by reducing and/or phasing out the additional benefit.
 - Make sure a new system does not have to be created and implemented.
 - Congress should talk with small businesses because they will be most impacted with people having difficulty coming back to work.
 - People, by-in-large, do want to get back to work and to establish a “new normal”.
- After July 4th are there any workforce-related restrictions being planned by the Governor?
 - Based on the Governor’s *Back on Track Plan* we should see a full reopening on July 4th, but that will depend on the data provided to the Governor on a daily basis. To view a list of what is open or will open, go to www.backontrack.in.gov.
- Address the issue of not returning to work and the expectation to continue to receive benefits.
 - Indiana’s unemployment system was not designed for individuals to make a choice to between available work and not working. Failure to return to work under certain situations may jeopardize benefits. Individuals are encouraged to have a dialogue with their employer. Provisions covered by the *CARES Act* will be evaluated on a case by case instance.
- 380,000 jobs were lost in April. The hardest-hit industries were manufacturing and leisure/hospitality with a combined 194,000 jobs.

New Business

Fiscal

Audit Services RFP Results

A request for proposal was issued for audit services for the Region 4 Workforce Board. Sixteen RFP notices were sent out. Four proposals were received. Jake Dunton, Arden Cramer, Roger Feldhaus, Tara Bradley and Blake Sempstrott reviewed and scored the submitted proposals based on the following criteria: 1) Understanding of our organization, 2) Audit firm’s size and structure, 3) Qualifications of audit firm staff to be assigned to the audits performed, 4) Audit firm’s approach to the engagement, and 5) Price. Virtual interviews were held with two firms. The audit selection committee recommends to the full Board that Huth Thompson, LLC be selected as the new audit firm for Tecumseh Area Partnership, Inc. d/b/a/ Region 4 Workforce Board.

Board Action to approve the Audit Firm Recommendation

A motion was made to approve Huth Thompson as the new audit firm for Region 4 Workforce Board

Motion: Richard Bradshaw

Second: Larry West

Action: Unanimous approval

Projected PY20 Funding

Region 4 received its new allocation for PY20 WIOA. In PY19 our WIOA allocation was decreased by 14%, or \$305,000 less than PY18. For PY20 our WIOA allocation decreased by 1.7%, or \$32,000 less than PY19. The projected carry-in for PY20 will be about 30% of the allocation we received in PY19, which is more than the 20% we budgeted. The overall budget will decrease significantly due to the end of the Ready to Work grant October 2019. There will be additional funding opportunities through Disaster Recovery funding.

Operations

Disaster Recovery Grant Application

The Disaster Recovery Grant is an opportunity through the USDOL that DWD applied for on behalf of all workforce development regions, and through which we expect a \$131,500 subgrant for Region 4. These funds will help us deal with the impact of the rise in unemployment insurance claims, provide limited humanitarian services, and implement health and safety measures. Funds will help employers create temporary employment opportunities. We received over \$2 million dollars in requests to help schools, hospitals, food banks and child care centers. The proposal we submitted will assist Food Finders employ more warehouse workers and drivers for mobile food pantries as they deliver food across our 12-county region. We will assist Logansport Memorial Hospital's need to hire more temporary workers to carry out hygienic and disinfectant processes in response to the rise in Covid-19 cases in their community. We should hear if our proposal was accepted by end of May 2020.

General Motors Manufacturing Ventilators

We connected with GM and DWD to cohost a virtual job fair to assist with hiring for temporary positions to manufacture ventilators. It was very successful and many individuals were hired from the event. GM's employment flyer is posted on Facebook and on the WorkOne West Central website. We used Engage by Cell to notify customers of the job order via text message. Information was sent to school superintendents and principals, guidance counselors, CTE directors and other partners. GM was appreciative of all the assistance Region 4 was able to provide.

Chancellor Dean McCurdy shared that Ivy Tech has been hosting Workforce Wednesday with employers, holding Virtual Job Fairs and promoting job opportunities in the community. CARES Act funds have been used to assist students with technology needs and other expenses. Ivy Tech received a generous donation to assist students. Over \$80,000 has been raised to help students in the Kokomo and Lafayette areas. Both the Lafayette and Kokomo campuses have produced and donated over 10,000 face shields. Staff will return to campus mid-June and early July to bring back students to complete out work from spring and do to training on campus. Partners may return to campuses prior to Ivy Tech reopening. Ivy Tech will plan to reopen for the fall semester with several options available to the students. Here is the link provided by Chancellor McCurdy:

<https://www.ivytech.edu/RapidRecovery/>.

WorkOne Center Reopening Plans

Beginning June 1st, small teams of staff will be working in the Lafayette and Kokomo WorkOne Centers to assist customers by appointment only. CDC protocols will be in place. PPE has been acquired to keep staff and customers safe. Customers will be able to go online and schedule appointments. There is a direct communication line and computer in the offices to assist individuals who have been struggling to receive unemployment benefits. The affiliate WorkOne offices will not open at this time. Beginning July 6th, staff will return to the comprehensive offices with walk-in traffic using a numbering system and appointment scheduling. Affiliate offices may open by appointment only and walk-in traffic in August.

PY 19 WIOA Performance

Deb Waymire presented the PY19 WIOA performance data for the period ending March 31, 2020. For adult and youth measures, Region 4 is on target to meet all performance measures. For dislocated workers, we are on target to meet all performance measures except employment at the end of the 2nd quarter after completion. For adults, Region 4 served 881 individuals, which was 10% of the total number of participants served statewide, utilizing only 6% of all statewide allocations. For dislocated workers, we served 896 individuals, which was 18% of the total number of participants served statewide, utilizing 7% of all statewide allocations. Region 4 received 6% of the total adult and dislocated worker WIOA statewide allocation and served 13% of the total adult and dislocated worker participant population statewide. For youth, we received 7% of the statewide allocation of youth funding and served 7% of the youth participant population statewide.

Board Administration

Ready to Partner for Economic Recovery

We are prioritizing partnership leveraging opportunities that will help us meet needs as people return to work and WorkOne offices reopen. There are categories of workers we expect to have contact with at the WorkOne Centers. The categories are: 1) Individuals connected to a job. These individuals will be recalled and may not need assistance; 2) Individuals that have an attachment to an industry such as the Hospitality or Retail that may not return to the employer they were released from in the future. For these individuals, our role is helping with training and/or refiguring a career plan; and 3) Individuals that want to change career paths and will take advantage of training opportunities.

Board Membership Renewal

The following WDB member's terms expire on June 30, 2020, Alicia Hanawalt, Richard Bradshaw, Dennis Carson and Mike Smith. Roger will be reaching out to each member to see if they are interested in serving another two-year term.

Executive Council Meeting Due (summer)

The Executive Council meeting is a required meeting that will be called by the Regional Chief Elected Official, Mayor Tony Roswarski. The Executive Council is comprised of the chief elected officials from the 12 counties in Region 4. Membership needs to be updated and a new agreement between the Board and the Council needs to be signed. We hope this meeting will be scheduled within the next six weeks.

Lunch with Legislators Due (fall)

It is still on the WDB agenda to connect with the Region 4 legislators and share with them what is happening in Region 4 and with their constituencies.

Mike Smith opened the floor for WDB members to provide an update on how the Covid-19 is affecting their organizations and communities as Indiana gets "Back on Track". If there are needs in any of Region 4's counties or communities that the workforce development system can help with, please direct those needs to Roger or Deb Waymire.

Old Business/Good of the Order

None

Adjournment

A motion was made to adjourn.

Motion: Richard Bradshaw

Second: Arden Cramer

Action: Unanimous approval

The meeting was adjourned at 10:05 AM.

Respectfully submitted,

Tina Overley-Hilt

Executive Assistant

Stephen Snyder, Secretary
Tecumseh Area Partnership, Inc.
d/b/a Region 4 Workforce Board