

# WORKFORCE CENTERS

of South Central Kansas

## KANSASWORKS.COM

### Local Workforce Development Board (LWDB)

#### Executive Committee Meeting Agenda

300 W. Douglas Avenue, Suite 850 - Wichita, Kansas

Wednesday, April 10, 2019 • 11:30 a.m. – 1:00 p.m.

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1. Welcome and Introductions: Gabe Schlickau (11:30)
2. National Association of Workforce Boards (NAWB) Forum: Gabe Schlickau (11:35)  
*LWDB Members Gabe Schlickau, Jennifer Hughes, Kathy Jewett and Michele Gifford attended the NAWB Forum in Washington D.C. in March. They will provide an overview of their experiences at the event.*  
**Recommended Action:** Receive and file.
3. Annual A-133 Audit of FY17: Chad Pettera (11:45) (pp. 2-29)  
*Staff will provide a report on the A-133 Audit received from Wipfli for FY17.*  
**Recommended Action:** Receive and file.
4. One-Stop Operator Report: Tisha Cannizzo (11:55) (pp. 30-31)  
*Eckerd Connects is the one-stop operator procured by the Workforce Alliance and a report on activities will be provided to the Committee.*  
**Recommended Action:** Receive and file.
5. Workforce Innovation and Opportunity Act (WIOA) Internal Monitoring Reports: Chad Pettera (12:10) (pp. 32-47)  
*One of the responsibilities of the Workforce Alliance (WA) Local Workforce Development Board (LWDB) is to monitor program operations. Monitoring reports on Career Center Operations, Workforce Innovation and Opportunity Act (WIOA) Youth Program and the Kansas Health Profession Opportunity Program (KHPOP) will be reviewed.*  
**Recommended action:** Provide oversight and provide recommendations to staff.
6. Kansas Department of Commerce Monitoring Report Keith Lawing (12:25) (pp. 48-50)  
**Recommended Action:** Take appropriate action.
7. 2019 Jobs FORE Youth Golf Tournament Update: Keith Lawing (12:35) (pp. 51-53)  
*An update will be provided on the 2019 Jobs FORE Youth Golf Tournament scheduled for April 25<sup>th</sup>.*  
**Recommended Action:** Receive and file.
8. Consent Agenda and Committee Reports: Gabe Schlickau (12:40)
  - A. Approval of Meeting Minutes for February 13, 2019 (pp. 54-57)
  - B. LWDB and Committee Member Conflict of Interest Form (pp. 58-61)
  - C. Workforce Center Operations Update (pp. 62-64)
  - D. PY18 Budget Report (p.65)
  - E. WIOA Performance (pp. 66-69)
  - F. On-the-Job Training Contracts: Starkey and Hi-Tech Interiors (pp. 70-71)**Recommended Action:** Approve the consent agenda as presented.
9. Adjourn: Gabe Schlickau (1:00)

*The next LWDB Executive Committee Meeting is scheduled for  
Wednesday, May 8, 2019 at 11:30 a.m.*

**Item**

Annual A-133 Audit of FY17

**Background**

A-133 Audit of FY17 (July 2017 - June 2018) financial and program activities.

**Analysis**

The Workforce Alliance received the A-133 Audit from Wipfli and the report is attached. The audit report has no findings and has been filed with the appropriate organizations. There were no finding or adjustments to the financials.

**Strategic Goals Supported**

This activity supports the following Strategic goals of the Local Workforce Development Board:

- Strengthen relationships with WIOA partners, community organizations and educational/training institutions to leverage resources and align services through the one-stop workforce centers (American Job Centers)
- Generate revenue to increase community impact of WIOA and Workforce Centers in South Central Kansas

**Recommended Action**

Receive and File and Present to LWDB



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March 11, 2019

Board of Directors  
Workforce Alliance of South Central Kansas, Inc.  
300 West Douglas, Suite 850  
Wichita, KS 67202

Dear Board of Directors:

We have audited the financial statements of Workforce Alliance of South Central Kansas, Inc. (the "Organization") for the year ended June 30, 2018. Professional standards require that we provide you with the following information related to our audit:

***Our Responsibility Under Auditing Standards Generally Accepted in the United States, Governmental Auditing Standards, and Title 2 U.S. Code of Federal Regulations Part 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance).***

As stated in our engagement letter dated August 2, 2018, our responsibility, as described by professional standards, is to express an opinion about whether the financial statements prepared by management with your oversight are fairly presented, in all material respects, in conformity with accounting principles generally accepted in the United States. Our audit of the financial statements does not relieve you or management of your responsibilities.

In planning and performing our audit, we considered the Organization's internal control over financial reporting in order to determine our auditing procedures for the purpose of expressing our opinion on the financial statements and not to provide assurance on the internal control over financial reporting. We also considered internal control over compliance with requirements that could have a direct and material effect on a major federal program in order to determine our auditing procedures for the purpose of expressing our opinion on compliance and to test and report on internal control over compliance in accordance with the Uniform Guidance.

As part of obtaining reasonable assurance about whether the Organization's financial statements are free of material misstatement, we performed tests of its compliance with certain provisions of laws, regulations, contracts, and grants. However, providing an opinion on compliance with those provisions was not an objective of our audit. Also, in accordance with the Uniform Guidance, we examined, on a test basis, evidence about the Organization's compliance with the types of compliance requirements described in the *U.S. Office of Management and Budget (OMB) Compliance Supplement* applicable to each of its major federal programs for the purpose of expressing an opinion on the Organization's compliance with those requirements. While our audit provides a reasonable basis for our opinion, it does not provide a legal determination on the Organization's compliance with those requirements.

### **Supplementary Information Accompanying Audited Financial Statements**

With respect to the supplementary information accompanying the financial statements, we made certain inquiries of management and evaluated the form, content, and methods of preparing the information to determine that the information complies with accounting principles generally accepted in the United States, the method of preparing it has not changed from the prior period, and the information is appropriate and complete in relation to our audit of the financial statements. We compared and reconciled the supplementary information to the underlying accounting records used to prepare the financial statements or to the financial statements themselves.

### **Other Information in Documents Containing Audited Financial Statements**

The auditor's responsibility for other information in documents containing audited financial statements does not extend beyond the financial information identified in our report, and we have no obligation to perform any procedures to corroborate other information contained in a document. Our responsibility is to read the other information and consider whether such information, or the manner of its presentation, is materially inconsistent with information, or the manner of its presentation, appearing in the financial statements. We are not aware of any documents or other information containing audited financial statements and, furthermore, management has not requested us to devote attention to any documents containing audited financial statements.

### **Planned Scope and Timing of the Audit**

We performed the audit according to the planned scope and timing previously communicated to your representative, Chad Pettera, in our information requests about planning matters in addition to our engagement letter dated August 2, 2018, accepted by Mr. Keith Lawing.

### **Qualitative Aspects of Accounting Practices**

Management is responsible for the selection and use of appropriate accounting policies. The significant accounting policies used by the Organization are described in Note 1 to the financial statements. No new accounting policies were adopted and the application of existing policies was not changed during the period under audit.

We noted no transactions entered into by the Organization during the year for which there is a lack of authoritative guidance or consensus. All significant transactions have been recognized in the financial statements in the proper period.

Accounting estimates are an integral part of the financial statements prepared by management and are based on management's knowledge and experience about past and current events and assumptions about future events. Certain accounting estimates are particularly sensitive because of their significance to the financial statements and because of the possibility that future events affecting them may differ significantly from those expected. The most sensitive estimates affecting the financial statements are functional allocation of expenses, property and equipment valuation and grant award commitments.

The disclosures in the financial statements are neutral, consistent, and clear.

#### **Difficulties Encountered in Performing the Audit**

We encountered no significant difficulties in dealing with management in performing and completing our audit.

#### **Corrected and Uncorrected Misstatements**

Professional standards require us to accumulate all known and likely misstatements identified during the audit, other than those that are clearly trivial, and communicate them to the appropriate level of management. We proposed no audit adjustments that could, in our judgment, either individually or in the aggregate, have a significant effect on the Organization's financial reporting process.

#### **Disagreements with Management**

For purposes of this letter, a disagreement with management is a financial accounting, reporting, or auditing matter, whether or not resolved to our satisfaction, that could be significant to the financial statements or the auditor's report. We are pleased to report that no such disagreements arose during the course of our audit.

#### **Management Representations**

We have requested certain representations from management that are included in the management representation letter dated March 11, 2019, a copy of which accompanies this letter.

Board of Directors  
Workforce Alliance of South Central Kansas, Inc.  
Page 4  
March 11, 2019

### **Management Consultations with Other Accountants**

In some cases, management may decide to consult with other accountants about auditing and accounting matters, similar to obtaining a “second opinion” on certain situations. If a consultation involves the application of an accounting principle to the Organization’s financial statements or a determination of the type of auditor’s opinion that may be expressed on those statements, our professional standards require the consulting accountant to check with us to determine that the consultant has all of the relevant facts. To our knowledge, there were no such consultations with other accountants.

### **Other Audit Findings or Issues**

We generally discuss a variety of matters, including the application of accounting principles and auditing standards, with management each year prior to retention as the Organization’s auditors. However, these discussions occurred in the normal course of our professional relationship and our responses were not, in our judgment, a condition of our retention.

We appreciate the opportunity to be of service to Workforce Alliance of South Central Kansas, Inc.

This communication is intended solely for the information and use of the management, Board of Directors, others within the organization, and state and federal funding agencies and includes a description of the scope of our testing of internal control over financial reporting and the results of that testing. The communication related to considering the Organization’s internal control over financial reporting is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering the Organization’s internal control over financial reporting. Accordingly, this communication is not suitable for any other purpose.

Sincerely,

A handwritten signature in cursive script that reads "Wipfli LLP".

Wipfli LLP

Enc.

**WORKFORCE ALLIANCE OF SOUTH  
CENTRAL KANSAS, INC.**

Wichita, Kansas

Financial Statements  
and Supplementary Information  
Year Ended June 30, 2018

# Workforce Alliance of South Central Kansas, Inc.

Financial Statements and Supplementary Information

Year Ended June 30, 2018

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## **Independent Auditor's Report**

Board of Directors  
Workforce Alliance of South Central Kansas, Inc.  
Wichita, Kansas

### **Report on Financial Statements**

We have audited the accompanying financial statements of Workforce Alliance of South Central Kansas, Inc. (a nonprofit organization), which comprise the statement of financial position as of June 30, 2018, and the related statements of activities, functional expenses and cash flows for the year then ended, and the related notes to the financial statements.

### **Management's Responsibility for the Financial Statements**

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

### **Auditor's Responsibility**

Our responsibility is to express an opinion on these financial statements based on our audit. We conducted our audit in accordance with auditing standards generally accepted in the United States and the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditor's judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

## Opinion

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of Workforce Alliance of South Central Kansas, Inc. as of June 30, 2018, and the changes in its net assets and its cash flows for the year then ended in accordance with accounting principles generally accepted in the United States.

## Other Matters

### ***Supplementary Information***

Our audit was conducted for the purpose of forming an opinion on the financial statements as a whole. The accompanying schedule of expenditures of federal awards as required by Title 2 U.S. *Code of Federal Regulations* Part 200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards*, is presented for purposes of additional analysis, and is not a required part of the financial statements. Such information is the responsibility of management and was derived from and relates directly to the underlying accounting and other records used to prepare the financial statements. Such information has been subjected to the auditing procedures applied in the audit of the financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the financial statements or to the financial statements themselves, and other additional procedures in accordance with auditing standards generally accepted in the United States. In our opinion, the information is fairly stated, in all material respects, in relation to the financial statements as a whole.

### ***Other Reporting Required by Government Auditing Standards***

In accordance with *Government Auditing Standards*, we have also issued our report dated March 11, 2019, on our consideration of Workforce Alliance of South Central Kansas, Inc.'s internal control over financial reporting and on our tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements and other matters. The purpose of that report is solely to describe the scope of our testing of internal control over financial reporting and compliance and the results of that testing, and not to provide an opinion on the effectiveness of Workforce Alliance of South Central Kansas, Inc.'s internal control over financial reporting or on compliance. That report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering Workforce Alliance of South Central Kansas, Inc.'s internal control over financial reporting and compliance.

*Wipfli LLP*

Wipfli LLP

Madison, Wisconsin  
March 11, 2019

# Workforce Alliance of South Central Kansas, Inc.

## Statement of Financial Position

Year Ended June 30, 2018

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<b>Assets</b>	
Current assets:	
Cash	\$ 468,782
Grants receivable	559,463
Related-party receivable	65,993
Prepaid expenses	63,822
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Total current assets	1,158,060
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Property and equipment, net	64,487
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<b>TOTAL ASSETS</b>	<b>\$ 1,222,547</b>

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<b>Liabilities and Net Assets</b>	
Current liabilities:	
Accounts payable	\$ 452,009
Accrued payroll and related expenses	159,858
Compensated absences and related expenses	145,233
Funds held for others	123,496
Grant funds received in advance	43,267
Capital lease, current portion	11,638
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Total current liabilities	935,501
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Net assets:	
Unrestricted	287,046
<hr/>	
<b>TOTAL LIABILITIES AND NET ASSETS</b>	<b>\$ 1,222,547</b>

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# Workforce Alliance of South Central Kansas, Inc.

## Statement of Activities

Year Ended June 30, 2018

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Revenue:	
Grant revenue	\$ 6,437,589
Program income	46,300
Total revenue	<u>6,483,889</u>
Expenses:	
Program activities:	
Workforce Investment Program	2,256,870
Senior Community Services Employment Program	553,216
Health Profession Opportunity Project	409,117
KEEP H-1B Grant	1,728,997
Employment Service	125,549
GOALS	59,497
WSU Robotics Initiative	93,410
Bulter Comm. College Trade Act Adjustment	72,347
Workforce Innovation Fund	134,124
Apprenticeship USA	185,971
Other non-Federal programs	556,723
Total program activities	<u>6,175,821</u>
Management and general	<u>305,699</u>
Total expenses	<u>6,481,520</u>
Change in net assets	2,369
Net assets - Beginning of the Year	<u>284,677</u>
Net assets - End of the Year	<u>\$ 287,046</u>

See accompanying notes to financial statements.

# Workforce Alliance of South Central Kansas, Inc.

## Statement of Functional Expenses

Year Ended June 30, 2018

	Program	Management & General	Total
Expenses:			
Wages	\$ 2,325,320	\$ 120,881	\$ 2,446,201
Payroll taxes	189,763	8,909	198,672
Benefits	396,208	20,747	416,955
Rent	361,318	8,947	370,265
Security	29,836	550	30,386
Utilities	25,102	3,009	28,111
Insurance	3,258	22,160	25,418
Office supplies	34,587	1,948	36,535
Office equipment / furniture	92,573	776	93,349
Postage	1,242	96	1,338
Dues and subscriptions	25,204	3,476	28,680
Conference	20,209	19,250	39,459
Job fairs	24,969	0	24,969
Meetings	14,492	7,705	22,197
Outreach	42,742	5,545	48,287
Staff development	6,230	36	6,266
Travel	30,260	2,796	33,056
Contract services	290,303	78,868	369,171
Miscellaneous	( 8,927)	0	(8,927)
Depreciation expense	52,020	0	52,020
Interest expense	2,214	0	2,214
Incentives	12,475	0	12,475
Education and training	1,946,956	0	1,946,956
Supportive services	143,645	0	143,645
Communications	( 297)	0	(297)
Subrecipient pass-thru	114,119	0	114,119
<b>Total expenses</b>	<b>\$ 6,175,821</b>	<b>\$ 305,699</b>	<b>\$ 6,481,520</b>

# Workforce Alliance of South Central Kansas, Inc.

## Statement of Cash Flows

Year Ended June 30, 2018

Increase (decrease) in cash:

Cash flows from operating activities:

Change in net assets \$ 2,369

Adjustments to reconcile change in net assets  
to net cash provided by operating activities:

Depreciation 52,020

Changes in operating assets and liabilities:

Grants receivable ( 177,374)

Related-party receivable ( 54,844)

Prepaid expenses 9,956

Accounts payable 303,221

Accrued payroll and related expenses 21,446

Compensated absences and related expenses ( 12,952)

Funds held for others ( 49,102)

Grant funds received in advance ( 76,911)

Net cash provided by operating activities 17,829

Cash flows from investing activities

Purchase of property and equipment ( 7,275)

Net cash used in investing activities ( 7,275)

Cash flows from financing activities

Principal payments on capital lease obligation ( 26,740)

Net cash used in financing activities ( 26,740)

Change in cash ( 16,186)

Cash - Beginning of the Year 484,968

Cash - End of the Year \$ 468,782

Schedule of other cash activity

Cash paid for interest expense \$ 2,214

# Workforce Alliance of South Central Kansas, Inc.

## Notes to Financial Statements

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### **Note 1: Summary of Significant Accounting Policies**

#### **Nature of Operations**

Workforce Alliance of South Central Kansas, Inc. (the "Organization") is a tax-exempt, nonprofit organization under Section 501(c)(3) of the Internal Revenue Code. The Organization incorporated in 2001 following the passage of the Workforce Investment Act (WIA) of 1998. As the Local Workforce Investment Board (LWIB) for Butler, Cowley, Harper, Kingman, Sedgwick, and Sumner counties in the state of Kansas, the primary duties of the Organization are to manage federal job training funds, operate One-Stop Workforce Centers and coordinate the public workforce system in South Central Kansas. The Workforce Innovation and Opportunity Act (WIOA) became effective July 1, 2015 and replaces WIA. The LWIB transitioned to the Local Workforce Development Board (LWDB) on that date and continues to operate programs and One-Stop centers across South Central Kansas.

The Organization's services are funded primarily through WIA/WIOA. A significant reduction in the level of this support could have an adverse effect on the Organization's programs and services. Approximately 88% of grant funding is direct from the United States of Labor and federal pass-through funds received from the State of Kansas Department of Commerce.

#### **Basis of Presentation**

All financial statements are prepared using the accrual basis of accounting in accordance with accounting principles generally accepted in the United States.

#### **Use of Estimates**

The preparation of financial statements in accordance with accounting principles generally accepted in the United States requires management to make estimates and assumptions that affect certain reported amounts and disclosures. Accordingly, actual results could differ from those estimates.

#### **Funds Held for Others**

The Organization manages activities associated with the Regional Economic Area Partnership (REAP) program. The cash is held separately in a cash account with a corresponding liability as ownership of the funds rests with the REAP organization.

#### **Related-party Receivable**

Related-party receivable represents costs shared with partner agencies for office spaces and other services that were requested for reimbursement. No estimate is made for doubtful receivables, as the Organization believes they are fully collectible.

# Workforce Alliance of South Central Kansas, Inc.

## Notes to Financial Statements

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### **Note 1: Summary of Significant Accounting Policies (Continued)**

#### **Property and Equipment**

Property and equipment for which title passes to the Organization is capitalized and stated at cost. When assets are retired or otherwise disposed of, the cost and related accumulated depreciation are removed from the accounts and any resulting gain or loss is recognized in operations for the period. The cost of maintenance and repairs is charged to operations as incurred. Depreciation is provided by straight-line method over the estimated useful lives of the assets. The useful lives for computer equipment, software licenses, and office equipment are 3, 10, and 5 years, respectively. Whenever events or changes in circumstances occur that indicate the carrying amount of long-lived assets may not be recoverable, management reviews the assets for possible impairment. Management estimated there is no material impairment at June 30, 2018.

Property and equipment purchased with grant funds are owned by the Organization while used in the program for which it was purchased or in other future authorized programs. However, the various funding sources have a reversionary interest in the equipment purchased with grant funds. Its disposition, as well as the ownership of any proceeds therefrom, is subject to funding source regulations. The net book value of grant-funded property and equipment as of June 30, 2018, is \$64,487.

#### **Classification of Net Assets**

Net assets and revenue, expenses, gains, and losses are classified based on the existence or absence of donor-imposed restrictions. Accordingly, net assets of the Organization and changes therein are classified and reported as follows:

Unrestricted Net Assets - Net assets that are not subject to donor-imposed stipulations.

Temporarily Restricted Net Assets - Net assets subject to donor-imposed stipulations that may or may not be met, either by actions of the Organization and/or the passage of time. When a restriction expires, temporarily restricted net assets are transferred to unrestricted net assets and reported in the statement of activities as net assets released from restrictions. As of June 30, 2018, the Organization does not have any temporarily restricted net assets.

Permanently Restricted Net Assets - Net assets subject to donor-imposed stipulations that they be maintained permanently by the Organization. Generally, the donors of these assets permit the Organization to use all or part of the income earned on any related investments for general or specific purposes. As of June 30, 2018, the Organization does not have any permanently restricted net assets.

#### **Revenue Recognition**

Contributions that are restricted by the donor are reported as increases in unrestricted net assets if the restrictions expire in the fiscal year in which the contributions are recognized. All other contributions are reported as increases in temporarily or permanently restricted net assets depending on the nature of the restrictions. When a restriction expires, temporarily restricted net assets are reclassified as unrestricted net assets and reported in the statement of activities as contributions released from restriction.

# Workforce Alliance of South Central Kansas, Inc.

## Notes to Financial Statements

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### **Note 1: Summary of Significant Accounting Policies (Continued)**

Conditional promises to give are recognized only when the conditions on which they depend are substantially met and the promises become unconditional.

Support funded by grants is recognized as the Organization performs the contracted services or incurs outlays eligible for reimbursement under the grant agreements. The program activities and the related outlays are subject to audit and acceptance by the granting agency. Consequently, such audit may mandate adjustment. Grants are either recorded as contributions or exchange transactions based on criteria contained in the grant award.

#### **A. Grant Awards That Are Contributions**

Grants that qualify as contributions are recorded as invoiced to the funding sources. Revenue is recognized in the accounting period when the related allowable expenses are incurred. Amounts received in excess of expenses are reflected as grant funds received in advance.

#### **B. Grant Awards That Are Exchange Transactions**

Exchange transactions reimburse based on a predetermined rate for services performed. The revenue is recognized in the period the service is performed.

#### **Income Taxes**

The Organization is a nonprofit organization under Section 501(c)(3) of the Internal Revenue Code and is exempt from Federal and Kansas income taxes.

The Organization is required to assess whether it is more likely than not that a tax position will be sustained upon examination on the technical merits of the position assuming the taxing authority has full knowledge of all information. If the tax position does not meet the more likely than not recognition threshold, the benefit of that position is not recognized in the financial statements. The Organization has determined there are no amounts to record as assets or liabilities related to uncertain tax positions.

#### **Cost Allocation**

Direct costs that can be identified specifically with a final cost objective are directly charged to the program benefited. Joint costs are allocated to benefiting programs using various allocation methods depending on the type of joint cost being allocated. Joint costs are those costs incurred for the common benefit of all of the Organization's programs, which cannot be readily identified with a final cost objective.

#### **Functional Expenses**

The costs of providing the various programs and other activities have been summarized on a functional basis in the statements of activities and functional expenses. Accordingly, certain costs have been allocated among the programs and supporting services benefited.

# Workforce Alliance of South Central Kansas, Inc.

## Notes to Financial Statements

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### Note 1: Summary of Significant Accounting Policies (Continued)

#### New Accounting Pronouncements

On August 18, 2016, the Financial Accounting Standards Board (FASB) issued ASU No. 2016-14 (Topic 958): *Presentation of Financial Statements of Not-for-Profit Entities* ("Update"). The Update reduces the number of net asset classes from three to two, those with donor restrictions and those without, requires all nonprofits to report expenses by nature and function and improves information presented in financial statements and notes that is useful in assessing a not-for-profit's liquidity, financial performance, and cash flows. The amendments in this Update are effective for annual financial statements issued for fiscal years beginning after December 15, 2017, and for interim periods within fiscal years beginning after December 15, 2018. Early application of the amendments in the Update is permitted. The Organization has not elected to early implement the amendments.

In May 2014, the FASB issued ASU No. 2014-09, *Revenue From Contracts With Customers* (Topic 606). This ASU, as amended, provides comprehensive guidance on the recognition of revenue from customers arising from the transfer of goods and services, guidance on accounting for certain contract costs, and new disclosures. The new standard supersedes current revenue recognition requirements in FASB Accounting Standards Codification (ASC) Topic 605, *Revenue Recognition*, and most industry-specific guidance. When adopted, the amendments in the ASU must be applied using one of two retrospective methods. ASU No. 2014-09 is effective for nonpublic companies for annual periods beginning after December 15, 2018. The Organization is currently evaluating the impact of the provisions of ASC 606.

On June 21, 2018, the FASB issued ASU No. 2018-08, *Not-For-Profit Entities (Topic 958): Clarifying the Scope and the Accounting Guidance for Contributions Received and Contributions Made*. The Amendments in the Update will assist entities in evaluating whether transactions should be accounted for as contributions (nonreciprocal transactions) or as exchange (reciprocal) transactions and determining whether a transaction is conditional. The amendments in the Update are effective for annual financial statements issued for fiscal years beginning after December 15, 2018, and for interim periods within fiscal years beginning after December 15, 2019, for transactions in which the entity serves as the resource recipient. Early adoption of the amendments in this Update is permitted. The Organization has not elected to early implement the amendments.

#### Subsequent Events

Subsequent events have been evaluated through March 11, 2019, which is the date the financial statements were available to be issued.

### Note 2: Cash and Funds Held for Others

The Organization maintains its cash in bank deposits that, at times, may exceed federally insured limits. The Organization has not experienced any losses in such accounts. The Organization believes it is not exposed to any significant credit risk on cash deposits. The following table represents the detail cash balances, as of June 30, 2018:

# Workforce Alliance of South Central Kansas, Inc.

## Notes to Financial Statements

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### Note 2: Cash and Funds Held for Others (Continued)

Bank account:	
WIOA cash	\$90,284
Non-Federal cash	255,002
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Total bank accounts	345,286
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Funds held for others:	
REAP	121,493
Flexible spending-employees	2,003
<hr/>	
Total funds held for others	123,496
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Total cash	\$468,782

### Note 3: Grants Receivable

Grants receivable represents reimbursable expenditures incurred and accrued for WIA/WIOA program and other grant funds. Management does not believe that estimate for doubtful receivables would be necessary since such funds are awarded by the federal, state, and other local governments and are expected to be fully reimbursed. As of June 30, 2018, the Organization reported the following outstanding receivables:

Kansas Department of Commerce	\$168,977
U.S. Department of Labor	239,400
REAP	5,229
Other	145,857
<hr/>	
Total	\$559,463

### Note 4: Property and Equipment

Property and equipment consists of computer equipment, software licenses and office equipment. For the year ended June 30, 2018, depreciation expense was \$52,020. The net book value of property and equipment as of June 30, 2018, was \$64,487.

### Note 5: Capital Lease Obligations

The Organization leases office equipment from Lease Finance Partners. The lease is for 60 months and requires monthly payments of \$1,234, with an interest rate of 12.965%, and is due April 2019. The Organization also entered in a lease agreement with Cisco for equipment. The lease is for 36 months and requires quarterly payments of \$15,379, with an interest rate of 1.987%, and was paid off in September 2017. The minimum future lease payments under the capital lease as of June 30, 2018, for the next year are:

# Workforce Alliance of South Central Kansas, Inc.

## Notes to Financial Statements

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### Note 5: Capital Lease Obligations (Continued)

2019	\$12,341
Total minimum lease payments	12,341
Less: amount representing interest	(703)
Total	\$11,638
Less: current portion	\$11,638
Total long-term portion	\$0

The net book value of assets recorded under the capital lease as of June 30, 2018, was \$51,766. Interest paid on the capital leases for the year ended June 30, 2018 was \$2,214.

### Note 6: Operating Leases

The Organization leases various office space for its administrative and field offices under operating lease agreements. Lease payments net of sublease reimbursements for the year ended June 30, 2018 were \$370,265. The future rental commitments under these leases having remaining terms in excess of one year as of June 30, 2018, are as follows:

2019	559,235
2020	511,399
2021	138,046
Total	\$1,208,680

The Organization also subleases space in the various buildings. Sublease receipts for the year ended June 30, 2018 were \$181,170. The financial statement amounts for rent expense is reported net of these receipts. Anticipated future minimum lease receipts on the Organization's subleases as of June 30, 2018, are \$189,041.

The Organization's lease for corporate office space for administrative operations in Wichita is under a lease that was renegotiated and renewed on July 1, 2018 and expires June 30, 2021. This lease is contingent upon the Organization receiving WIOA funds. The Organization can terminate this office space lease for material breach, lack of funding, or for convenience. If the Organization terminates the corporate office space leases for convenience, the fee to take such action is as follows.

July 1, 2018 to July 1, 2019	\$50,000
July 1, 2019 to June 30, 2021	\$35,000

# Workforce Alliance of South Central Kansas, Inc.

## Notes to Financial Statements

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### Note 6: Operating Leases (Continued)

The Organization's leases for four facilities housing American Job Centers and office space are under operating lease agreements expiring on December 31, 2019, June 30, 2020, and July 30, 2020. The Organization can terminate the leases for the four American Job Centers for material breach, lack of funding, or for convenience. If the Organization terminates the corporate office space leases for convenience, the fee to take such action is as follows.

May 1, 2018 to April 30, 2019	\$150,000
July 1, 2019 to June 30, 2021	\$35,000

### Note 7: Retirement Plan

The Organization has a 403(b) plan covering substantially all employees. The Organization matches 100% of employee contributions up to a maximum of 3% of compensation once employed for six months. The Organization contributed \$48,171 to this Plan for the year ended June 30, 2018.

### Note 8: Related Parties

During the year ended June 30, 2018, the Organization entered into contracts for training services with the following entities. Officials of these entities also served as board members for the Organization, through June 30, 2018. The contracts were awarded through a competitive bid process and the Organization's policies were strictly followed. The board members of the Organization were not involved in the selection process and no special consideration was given in awarding the contracts. During the year ended June 30, 2018, the following amounts are reported in the Organization's financial statements:

	Accounts Payable	Expenses
Butler Community College	\$ 1,730	(\$ 25,768)
Cerebral Palsy Research Foundation	1,680	12,345
Wolfe Electric/XLT Ovens	25,000	0
High Touch Technologies	0	866
Plumbers & Pipefitters	0	25,300
Wichita Electrical Joint Appr. Training Center	0	51,470
Wichita Area Technical College	(9,464)	134,389
Total	\$18,946	\$198,602

### Note 9: Grant Award Commitments

At June 30, 2018, the Organization had received future funding commitments under various grants. The remaining unspent amount of these commitments is approximately \$5,700,000. These commitments are not recognized in the accompanying financial statements as revenue and receivables as they are conditional awards.

# **Supplementary Information**

# Workforce Alliance of South Central Kansas, Inc.

## Schedule A-1

### Schedule of Expenditures of Federal Awards

Year Ended June 30, 2018

Federal Grantor / Pass-Through Grantor / Program or Cluster Title	CFDA Number	Pass-Through Entity Identifying Number	Program Year	Passed Through to Subrecipients	Federal Expenditures
<b>U.S. DEPARTMENT OF AGRICULTURE</b>					
<b>Passed through Kansas Department of Children &amp; Family</b>					
GOALS	10.596	EES-2006-E&P-03	01/25/16-01/24/19	\$ -	\$ 59,497
<b>TOTAL U.S. DEPARTMENT OF AGRICULTURE</b>					<b>59,497</b>
<b>U.S. DEPARTMENT OF DEFENSE</b>					
<b>Direct Funding</b>					
WSU Robotics Initiative	12.630	(not provided)	05/01/16-05/01/18		93,410
<b>Total U.S. DEPARTMENT OF DEFENSE</b>					<b>93,410</b>
<b>U.S. DEPARTMENT OF LABOR</b>					
<b>Passed through Kansas Department of Commerce</b>					
Disability Employment Initiative	17.207	14-DEI-004	10/01/14-03/31/18		125,549
Senior Community Service Employment	17.235	PY17-SCSEP-004	07/01/17-06/30/18		591,182
<b>WIA/WIOA Cluster</b>					
WIOA Adult Program	17.258	FY17-A-004	10/01/16-06/30/18		374,834
WIOA Adult Program	17.258	PY17-A-004	07/01/17-06/30/19		104,023
WIOA Adult Program	17.258	FY18-A-004	10/01/17-06/30/19		295,479
<b>Total Federal Expenditures - CFDA 17.258</b>					<b>774,336</b>
WIOA Youth Program	17.259	PY16-Y-004	04/01/16-06/30/18		181,389
WIOA Youth Program	17.259	PY17-Y-004	04/01/17-06/30/19		850,026
<b>Total Federal Expenditures - CFDA 17.259</b>					<b>1,031,415</b>
WIOA Dislocated Worker Program	17.278	FY16-RR-004	10/01/16-09/30/17		18,363
WIOA Dislocated Worker Program	17.278	FY17-DW-004	10/01/16-06/30/18		79,563
WIOA Dislocated Worker Program	17.278	PY17-DW-004	07/01/17-06/30/19		133,349
WIOA Dislocated Worker Program	17.278	FY18-DW-004	10/01/17-06/30/19		411,865
WIOA Dislocated Worker Program	17.278	FY18-RR-004	10/01/17-09/30/18		25,598
<b>Total Federal Expenditures - CFDA 17.278</b>					<b>668,738</b>
<b>Total Federal Expenditures - WIA/WIOA Cluster (CFDA 17.258, 17.259, 17.278)</b>					<b>2,474,489</b>
<b>Direct Funding</b>					
H-1B Job Training (KAMP)	17.268	HG-30145-17-60-A-20	01/01/17-12/31/20	69,119	1,728,997
<b>Passed through Butler Community College</b>					
Bulter Comm. College Trade Act Adjustment	17.282	Butler TAACCCT	11/01/16-09/30/17		50,895
<b>Passed through Wichita Area Technical College</b>					
Kansas Training	17.282	(not provided)	02/01/16-02/01/18		21,452
<b>Total Federal Expenditures - CFDA 17.282</b>					<b>72,347</b>

# Workforce Alliance of South Central Kansas, Inc.

## Schedule A-2

### Schedule of Expenditures of Federal Awards

Year Ended June 30, 2018

Federal Grantor / Pass-Through Grantor / Program or Cluster Title	CFDA Number	Pass-Through Entity Identifying Number	Program Year	Passed Through to Subrecipients	Federal Expenditures
<b>U.S. DEPARTMENT OF LABOR, continued</b>					
<b>Passed through Kansas Department of Commerce</b>					
Workforce Innovation Fund	17.283	FY16-WIF-004	04/01/16-09/30/19		134,124
<b>Passed through Kansas Department of Commerce</b>					
Apprenticeship USA	17.285	FY17-APPRN-004	06/01/16-05/31/18		41,637
Apprenticeship USA	17.285	FY17-APPEXP-004	11/01/16-04/30/19		144,334
<b>Total Federal Expenditures - CFDA 17.285</b>					<b>185,971</b>
<b>TOTAL U.S. DEPARTMENT OF LABOR</b>				<b>69,119</b>	<b>5,312,659</b>
<b>U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES</b>					
<b>Passed through Kansas Department of Commerce</b>					
ACA Health Profession Opportunity Grants	93.093	FY17-KHPOP-002	10/01/16-09/30/17		125,900
ACA Health Profession Opportunity Grants	93.093	FY18-KHPOP-002	10/01/17-09/30/18		283,217
KHPOP Impact Study	93.093	(not provided)	(not provided)		26,966
<b>Total Federal Expenditures - CFDA 93.093</b>					<b>436,083</b>
<b>TOTAL U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES</b>					<b>436,083</b>
<b>TOTAL FEDERAL AWARDS</b>				<b>\$ 69,119</b>	<b>\$ 5,901,649</b>

#### Notes to the Schedule of Expenditures of Federal Awards

##### Note 1 - Basis of Presentation

The accompanying schedule of expenditures of federal awards (the "Schedule") includes the federal grant activity of Workforce Alliance of South Central Kansas, Inc. under programs of the federal government for the year ended June 30, 2018. The information in this schedule is presented in accordance with the requirements of Title 2 U.S. Code of Federal Regulations Part 200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* (Uniform Guidance). Because the schedule presents only a selected portion of the operations of Workforce Alliance of South Central Kansas, Inc., it is not intended to and does not present the financial position, changes in net assets or cash flows of Workforce Alliance of South Central Kansas, Inc.

##### Note 2 - Summary of Significant Accounting Policies

Expenditures reported on the Schedule are reported on the accrual basis of accounting. Such expenditures are recognized following the cost principles contained in the Uniform Guidance, wherein certain types of expenditures are not allowable or are limited as to reimbursement.

##### Note 3 - Indirect Cost Rate

Workforce Alliance of South Central Kansas, Inc. did not elect to use the 10-percent de minimis indirect cost rate as allowed under the Uniform Guidance.



## **Independent Auditor's Report on Internal Control Over Financial Reporting and on Compliance and Other Matters**

Board of Directors  
Workforce Alliance of South Central Kansas, Inc.  
Wichita, Kansas

We have audited, in accordance with the auditing standards generally accepted in the United States and the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States, the financial statements of Workforce Alliance of South Central Kansas, Inc. (a nonprofit organization), which comprise the statement of financial position as of June 30, 2018, and the related statements of activities, functional expenses and cash flows for the year then ended, and the related notes to the financial statements, and have issued our report thereon dated March 11, 2019.

### **Internal Control Over Financial Reporting**

In planning and performing our audit of the financial statements, we considered Workforce Alliance of South Central Kansas, Inc.'s internal control over financial reporting (internal control) to determine the audit procedures that are appropriate in the circumstances for the purpose of expressing our opinion on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of Workforce Alliance of South Central Kansas, Inc.'s internal control. Accordingly, we do not express an opinion on the effectiveness of Workforce Alliance of South Central Kansas, Inc.'s internal control.

A deficiency in internal control exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent or detect and correct misstatements on a timely basis. A material weakness is a deficiency, or a combination of deficiencies, in internal control, such that there is a reasonable possibility that a material misstatement of the entity's financial statements will not be prevented or detected and corrected on a timely basis. A significant deficiency is a deficiency, or a combination of deficiencies, in internal control that is less severe than a material weakness, yet important enough to merit attention by those charged with governance.

Our consideration of the internal control was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control that might be material weaknesses or significant deficiencies. Given these limitations, during our audit we did not identify any deficiencies in internal control that we consider to be material weaknesses. However, material weaknesses may exist that have not been identified.

## **Compliance and Other Matters**

As part of obtaining reasonable assurance about whether Workforce Alliance of South Central Kansas, Inc.'s financial statements are free from material misstatement, we performed tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements, noncompliance with which could have a direct and material effect on the determination of financial statement amounts. However, providing an opinion on compliance with those provisions was not an objective of our audit and, accordingly, we do not express such an opinion. The results of our tests disclosed no instances of noncompliance or other matters that are required to be reported under *Government Auditing Standards*.

## **Purpose of this Report**

The purpose of this report is solely to describe the scope of our testing of internal control and compliance and the results of that testing, and not to provide an opinion on the effectiveness of the entity's internal control or on compliance. This report is an integral part of an audit performed in accordance with *Government Auditing Standards* and in considering Workforce Alliance of South Central Kansas, Inc.'s internal control and compliance. Accordingly, this communication is not suitable for any other purpose.



Wipfli LLP

Madison, Wisconsin  
March 11, 2019



## **Independent Auditor's Report on Compliance for Each Major Federal Program and on Internal Control Over Compliance**

Board of Directors  
Workforce Alliance of South Central Kansas, Inc.  
Wichita, Kansas

### **Report on Compliance for Each Major Federal Program**

We have audited Workforce Alliance of South Central Kansas, Inc.'s compliance with the types of compliance requirements described in the *U.S. Office of Management and Budget (OMB) Compliance Supplement* that could have a direct and material effect on each of Workforce Alliance of South Central Kansas, Inc.'s major federal programs for the year ended June 30, 2018. Workforce Alliance of South Central Kansas, Inc.'s major federal programs are identified in the summary of auditor's results section of the accompanying schedule of findings and questioned costs.

### **Management's Responsibility**

Management is responsible for compliance with federal statutes, regulations, and the terms and conditions of federal awards applicable to its federal programs.

### **Auditor's Responsibility**

Our responsibility is to express an opinion on compliance for each of Workforce Alliance of South Central Kansas, Inc.'s major federal programs based on our audit of the types of compliance requirements referred to above. We conducted our audit of compliance in accordance with auditing standards generally accepted in the United States; the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States; the audit requirements of Title 2 U.S. *Code of Federal Regulations* Part 200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* (Uniform Guidance). Those standards and the Uniform Guidance require that we plan and perform the audit to obtain reasonable assurance about whether noncompliance with the types of compliance requirements referred to above that could have a direct and material effect on a major federal program occurred. An audit includes examining, on a test basis, evidence about Workforce Alliance of South Central Kansas, Inc.'s compliance with those requirements and performing such other procedures as we considered necessary in the circumstances.

We believe that our audit provides a reasonable basis for our opinion on compliance for the major federal program. However, our audit does not provide legal determination Workforce Alliance of South Central Kansas, Inc.'s compliance.

## Opinion

In our opinion, Workforce Alliance of South Central Kansas, Inc. complied, in all material respects, with the compliance requirements referred to above that could have a direct and material effect on each of its major federal programs for the year ended June 30, 2018.

## Report on Internal Control Over Compliance

Management of Workforce Alliance of South Central Kansas Inc. is responsible for establishing and maintaining effective internal control over compliance with the types of compliance requirements referred to above. In planning and performing our audit of compliance, we considered Workforce Alliance of South Central Kansas, Inc.'s internal control over compliance with the types of requirements that could have a direct and material effect on each major federal program to determine the auditing procedures that are appropriate in the circumstances for the purpose of expressing an opinion on compliance for each major federal program and to test and report on internal control over compliance in accordance with the Uniform Guidance, but not for the purpose of expressing an opinion on the effectiveness of internal control over compliance. Accordingly, we do not express an opinion on the effectiveness of Workforce Alliance of South Central Kansas, Inc.'s internal control over compliance.

A deficiency in internal control over compliance exists when the design or operation of a control over compliance does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, noncompliance with a type of compliance requirement of a federal program on a timely basis. A material weakness in internal control over compliance is a deficiency, or a combination of deficiencies, in internal control over compliance, such that there is a reasonable possibility that material noncompliance with a type of compliance requirement of a federal program will not be prevented, or detected and corrected, on a timely basis. A significant deficiency in internal control over compliance is a deficiency, or a combination of deficiencies, in internal control over compliance with a type of compliance requirement of a federal program that is less severe than a material weakness in internal control over compliance, yet important enough to merit attention by those charged with governance.

Our consideration of internal control over compliance was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control over compliance that might be material weaknesses or significant deficiencies. We did not identify any deficiencies in internal control over compliance that we consider to be material weaknesses. However, material weaknesses may exist that have not been identified.

The purpose of this report on internal control over compliance is solely to describe the scope of our testing of internal control over compliance and the results of that testing based on the requirements of the Uniform Guidance. Accordingly, this report is not suitable for any other purpose.

*Wipfli LLP*

Wipfli LLP

Madison, Wisconsin  
March 11, 2019

# Workforce Alliance of South Central Kansas, Inc.

## Schedule of Findings and Questioned Costs

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### Section I - Summary Schedule of Findings and Questioned Costs

#### Financial Statements

Type of auditor's report issued?	Unmodified
Internal control over financial reporting:	
Material weaknesses identified?	No
Significant deficiencies identified?	No
Noncompliance material to financial statements noted?	No

#### Federal Awards

Internal control over major federal programs:	
Material weaknesses identified?	No
Significant deficiencies identified?	No
Type of auditor's report issued on compliance for major program	Unmodified
Any audit findings disclosed that are required to be reported in accordance with the Uniform Guidance [2 CFR 200.516(a)]	No

#### Identification of major federal programs:

Name of Federal Major Program or Cluster	<u>CFDA No.</u>
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#### **U.S. Department of Labor**

WIOA Cluster	17.258, 17.259, 17.278
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Dollar threshold used to distinguish between Type A and Type B programs:	
Federal	\$750,000

Auditee qualified as low-risk auditee?	Yes
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### Section II - Financial Statement Findings

None

### Section III - Federal Award Findings and Questioned Costs

None

### Section IV – Summary Schedule of Prior Year Findings

None

April 10, 2019

Submitted By: Tisha Cannizzo, One Stop Operator, Eckerd Connects

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**Item**

## One Stop Operator Report - March

**A. Administers and oversees the Integrated Service Delivery Plan**

1. The Director of Integrated Employment Services and One Stop Operator are reviewing the Integrated Service Delivery Plan to see where edits need to be made and/or adjustments to Center policies. This will be an on-going process of review and research of practices in other Workforce Centers.

**B. Coordinate partner services and activities to encourage efficiency and customer service**

1. The One Stop Operator coordinates the following meetings with internal staff:
  - a. Think Tank Meetings – Center supervisors who meet biweekly. Consistent topics include team updates and career center/front desk/phone coverage. In March we discussed 1) a change to notices about document updates that was easier for staff to understand, 2) an opportunity to showcase the Workforce Center through Shocker Studios and 3) providing input on language for the new check-in system through WaitWhile.
  - b. Center Leadership Meetings – These meetings occur in the off weeks of Think Tank and include the Director of Integrated Employment Services, Director of Training and the Dept. of Commerce Regional Operations Manager. Topics in March included 1) scheduling Work Keys for Spirit, 2) staffing challenges of Career Center, 3) input on the Friday morning staff meeting schedule, 4) sensitivity of asking for SSNs at the front desk and 5) an interpreting service, called Language Line, that can be used immediately over the phone or by video.
2. One Stop Advisory Council – This is a meeting of core WIOA partners that meet every other month. A meeting was not held in March.
3. Partner Collaboration Meetings – This is a monthly opportunity for community partners to have a tour of the Workforce Center and meet with Center supervisors to learn about the services we offer. Attendance at this meeting has been growing steadily over the last year. Some participants are asking to come back every month to bring colleagues and to continue conversations with Workforce and other partners. This month’s meeting included 10 representatives of different partners and that felt like capacity. Additional participants would decrease the ability for each organization to share or time to network. The meeting always ends with the exchange of business cards.
4. 5<sup>th</sup> Friday Breakfast – Our most recent 5<sup>th</sup> Friday Breakfast was on March 29, on the topic of “Providing Hope to Previously Incarcerated Individuals”. We had a record 62 partners registered to hear from experts who work with ex-offenders to overcome barriers like housing, transportation, employment and addictions. The increase in attendance at this event seems to coincide with the development and gradual growth of an email distribution list of partners as well as the increase in participation in the Partner Collaboration meeting.

**C. Developing and providing staff development opportunities for the one stop partners**

1. Friday Morning Meetings – Time is set aside every Friday morning at 8-9 am for the full Center staff to meet, currently following the schedule as planned by the One Stop Operator:
  - a. 1<sup>st</sup> Friday – Field Trips to partner organizations. Staff visited HealthCore Clinic in March. HealthCore Clinic provides physical, behavioral and dental health care services to patients who are insured as well as uninsured, on a sliding fee scale. They offer pharmacy and diagnostic tests on-site. As a commitment to integrated health care, providers meet every morning to review their appointment schedule and discuss all areas of each patient’s health care needs. HealthCore is an approved provider for refugees so

April 10, 2019

Submitted By: Tisha Cannizzo, One Stop Operator, Eckerd Connects

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their staff represent over 20 different languages to be able to fully communicate with patients about their health.

- b. 2<sup>nd</sup> Friday – This date is being left open to share updates of programs, introduce new staff, and just generally communicate with staff about changes. In March, we hosted a breakfast to celebrate success stories and recent successful events like the Construction and State-Wide job fairs and YEP activities.
- c. 3<sup>rd</sup> Friday – This Friday is going to be set aside to allow work groups and CCD (Customer Center Design) groups time to meet to work on special projects.
- d. 4<sup>th</sup> Friday – Workforce Alliance and the Department of Commerce Agency meetings

**D. Assist in the development of policies and processes to support the LWDB**

1. A group of 7 have begun meeting to discuss training as a whole. We will start with New Hire Training but will include ongoing/refresher training, required annual training, team specific training for those who move to different teams and those who have been promoted to supervisory positions.

**E. Ensure Workforce Alliance One Stops are certified as required by the US Department of Labor**

1. The Wichita three affiliate centers were certified in the summer of 2018. The few findings will be incorporated into the ongoing training.

**F. Ensure access to career, training and employment services**

1. The One Stop Operator will be making a concerted effort over the next several months to spend time with each team, beginning with check-in and then Career Services, to observe and better understand the processes and challenges faced by each team. After which, a plan for ongoing review will be developed. As part of the Training Team, she will also be involved in presentations made by supervisors about their training plans.

**G. Ensure access to data, information and analysis for the local labor market**

1. The One Stop Operator will work with the Workforce Alliance staff to determine ways to share and explain data with staff, partners, customers and other stake-holders to be most useful.

**H. Coordinate with core leadership initiatives and activities**

1. The One Stop Operator attempts to communicate through Senior Staff Leadership, Center Leadership and Think Tank meetings of any changes, updates on activities and to request feedback on ideas

**I. Provide access to Eckerd U and instruction.**

1. The One Stop Operator will work with the Center Leadership Team and the new Training Team to identify material to use and the best way to track staff completion.

**Recommended Action**

Receive and file.

## **Item**

### **WIOA Monitoring Reports**

#### **Background**

As staff have been working on establishing firewalls and oversight controls it was realized internal monitoring is a current and past practice that should be strengthened. The WA has conducted monitoring as required by WIA and WIOA, but those reports in the past have remained at the staff level. Beginning in the fall of 2018 staff began monitoring operations with the intent of sharing those reports and findings with the Performance and Operations Committee (POP) and with the Executive Committee. The intent is for POP to review those reports and make recommendations to staff and pass those on to the Executive Committee and Local Workforce Development Board for future review and recommendations. The Monitoring Team has a schedule for 2019 and will look at different programs and operations throughout the year.

The POP Committee has reviewed three reports to date. They are attached.

#### **Reports**

##### **Career Center File Monitoring**

In October 2018 the monitoring team reviewed career center activity and the participant files. During the review it was identified that there were two primary areas of concerns.

- Program Eligibility
  - WIOA Services Provided Prior to Eligibility
  - Timely Eligibility Approval
  - Data Validation Inconsistencies
- Basic Career Services
  - WIOA Services Provided with our Eligibility
  - Selective Service Requirements

Monitors made twelve recommendations to the program operations teams. Of those recommendations below are the actions taken to date.

- January 3, 2019 the Technical Assistance staff provided two one-hour training opportunities open to all Workforce Center staff and supervisors on WIOA Adult Basic Career Services. Topics included what services required Basic Career Services Adult WIOA eligibility, how Career Services related to other Center services, and when and how to submit a WIOA Adult Basic Career Service eligibility. New documents were created to assist staff in understanding when and how to complete WIOA Adult Basic Career Service eligibility.
- On December 4, 2018 a customer flow work team started to address recommendations 7 and 8 by indicating staff capabilities and narrowing down processes that an assigned staff person would be able to conduct so that there was an increased focus on customer interaction and achievement of the customers' needs during the meeting. After two

additional planning sessions it was determined that the particular recommendations as written would make the process more cumbersome for the WP and for the customer. The complications that came across for these particular recommendations were that there was no clear hand off point from WP to assigned staff of customer information during the meeting as the WP would need a substantial amount of the information to best direct the meeting and customers' needs. Secondly, it was determined documentation needed for the recommendation would only create confusion and additional questions by customers thus slowing the process not speeding it up.

- In process, (started 2/20/2019) staff are working towards utilizing the current RESEA/Workforce Services orientation presentations as the bedrock of a new self-narrated presentation. Once complete, available space at the Center will be utilized for the updated customers' orientation presentation. This would be similar to what was in place at the previous Workforce Center located at 150 N. Main.
- On December 4, 2018 a work team formed comprised of Erica Ramos, Wendy Inzunza, Sarah DeLuna, Denise Houston, and George Marko. Customer needs are being addressed by having staff prepared to conduct group workshops based on traffic. Workshops are typically focused on resume reviews and completion as well as online application help. These workshops have been conducted by newly appointed workshop and outreach coordinator Amanda Hill and career center staff on a semi regular basis.
  - Through the work team it has been agreed to have the business services team working with individuals that have a specific online application that they may need help with thus diverting some traffic to a specialized department capable of serving the customer.
  - Also coming in 2019 to enhance the check-in process to manage the flow of customers better and determine where success and opportunities in our services, will be a new check in system providing the capability to see the history of what customer has come in for but to also determine how long particular services take by specific WP's in order to streamline process and training employees better.

### **WIOA Youth Program Monitoring**

In December 2018 the Monitoring Team conducted a review of the WIOA Youth Program. The monitors found three primary areas of concern.

- Clarification of School Status at Enrollment
- Providing all 14 WIOA Youth Elements
- Insufficient Program Documentation

Monitors made eight recommendations to the youth operations. Of those recommendations these have been implemented.

1. Continue developing and conducting staff trainings on WIOA youth program eligibility, program design, performance, and the regulatory requirements.
2. Conduct quarterly meetings between the Technical Assistance Team, the Policy Director, the Monitor and the youth program staff to assess additional resources

- which might be needed, solicit ideas, streamline processes, and answer any questions.
- Conducted 2 Hour Training to WIOA youth staff on the WIOA Youth Objective Assessment (OA), Individual Service Strategy (ISS) and 14 Program Elements on December 20, 2018
  - Changed Assessment Forms to make it easier to align elements with services
  - Conducted 2 Training Sessions for all workforce center staff on WIOA Youth Program on 12-14-18
3. Encourage staff to seek out further resources and hone their problem-solving skills so that they can better meet the needs of their participants.
    - Additional Reference Material, Templates, Definitions was provided regarding the OA, ISS, Youth Elements, and Services in KANSASWORKS
    - Technical Assistance Team Working with the State and other local areas to simplify youth services in KANSASWORKS
  4. Enforce the Contact Protocol and the Closure of Service Protocol and ensure that staff make adequate contact attempts with youth on their caseloads.
    - Monthly reports on last contact and caseload numbers are sent to the Youth Program Supervisor at the beginning of each month
    - Contact progress discussed at monthly case management meeting
  5. The Youth Program Supervisor could require attendance and progress reports before approving further services or issuing payments of provider invoices.
    - Language added to the Youth Element Plan and Youth Element Checklist Requiring progress and attendance reports be provided
  6. Design and conduct training with the youth contractors to ensure they fully understand the elements which they have contracted to provide and all of the corresponding requirements which will have to be met to maintain their contracts.
    - Planned for April of 2019 prior to new youth contract extensions
  7. Have the Communications Team create and routinely update a public page on the Workforce Alliance website with links to community resources which will benefit youth.
    - Will be explored with new website redesign
  8. WA Technical Assistance staff should provide reviews and guidance to staff regarding new TEGs.
    - Technical Assistance Staff continues to review and provide guidance when new information becomes available

### **Kansas Health Profession Opportunity Program (KHPOP) Monitoring**

In February 2019 the Monitoring Team conducted a review of the Kansas Health Professional Opportunity Program (KHPOP). The monitors found two primary areas of concern.

- Inaccurate documentation of services and inadequate contacts
- Errors in calculating low income status

Monitors made five recommendations to the program operations team. These recommendations were delivered in early March, and WA Staff has not had time to provide a response.

1. Continue developing and conducting staff trainings on all applicable KHPOP protocols and requirements.
2. Enforce the Contact Protocol and the Closure of Service Protocol and ensure that staff make adequate contact attempts with customers on their caseloads.
3. Staff should double check eligibility documentation and any low income calculations prior to submitting a file for eligibility approval.
4. Program Supervisors should thoroughly review eligibility documentation and low income calculations prior to approving eligibility.
5. Supervisors should spot check the case loads of their staff to ensure that services are being entered appropriately and accurately and that case management services are being adequately provided.

**Supports Workforce Alliance Strategic Goal:**

Strengthen relationships with WIOA partners, community organizations and educational/training institutions to leverage resources and align services through the one-stop workforce centers.

**Recommended Action**

*Provide oversight and recommendations to staff.*



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November 9, 2018

To: Workforce Centers of South Central Kansas

From: Workforce Alliance Monitoring and Oversight Team

RE: Career Center File Monitoring Summary

The Workforce Alliance Monitors conducted comprehensive reviews of the provision of Career Center services during the month of October, 2018. A total of 874 unique customers received documented staff assisted services in the Career Center during the month of September 2018; please reference Attachments A & B for further information on these customers. Following is a summary of any significant items requiring attention and recommendations for improvement.

### **WIOA Adult Program Eligibility**

Program eligibility is a critical step in providing services funded under the WIOA Title I Program. The Monitors conducted comprehensive reviews of 20 files that had been submitted for WIOA Adult Program eligibility; these customers are listed in Attachment A. There were several key concerns identified in the files reviewed as requiring attention; the three most pressing issues identified by the Monitors are detailed below.

1. Program Eligibility- Even though these files were eventually submitted for WIOA Adult Program eligibility approval, it was frequently found that staff assisted career services beyond informational activities were being provided prior to the eligibility for these services having been completed, in violation of Section II of the Local Area IV Eligibility Determination Policy for WIOA Adult Program released June 17, 2015. Often the case notes would indicate that self-attestation had been waived per a supervisor, but then significant staff assistance was provided to these individuals, such as assisting them in completing and submitting online job applications, providing customized resume assistance and conducting mock interviews with them. Most of these customers were eventually submitted for self-attestation eligibility and approved, but this was typically after several months of receiving services, and there was one file in which the customer began the eligibility process and received services, but eligibility was later denied.
2. Eligibility Approval-Immediate eligibility approvals are not being done per page 4 of the Local Area IV Intake & Basic Career Services Appointment Protocol. It was noted that in many cases there was a delay of up to two months between when the Career Center staff collected the self-attestation and required documentation for WIOA Adult Program



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eligibility and when a supervisor finally reviewed and either approved or denied the eligibility.

3. Data Validation- Monitors also found in these files a large number of inconsistencies between the information that was recorded in KansasWorks demographics, versus what was recorded in case notes, versus any other documentation and the services entered. It would be impossible to meet the data validation requirements referenced in TEGL 22-15 Section 3 on these files due to the lack of clarity on which information was actually correct for the customer. Given that performance is frequently gauged by a customer's status at program enrollment and the services received by them during participation, it is imperative that these data points be entered accurately and in compliance with the requirements of WIA Section 136 (which is still in effect per TEGL 22-15 until the WIOA performance requirements are fully implemented).

### **Basic Career Center Services**

The Monitors also examined the staff assisted Basic Career Services received by 874 customers in the Wichita Workforce Center for the month of September; these customers are listed in Attachment B. The most pressing findings are detailed below.

1. Eligibility- The Monitors found that over the course of the month, 117 customers received Basic Career Services funded by WIOA that went beyond those that are just informational in nature without ever being submitted for WIOA Adult Program eligibility in violation of the Local Area IV Eligibility Determination Policy for WIOA Adult Program. This means that 13.3% of customers receiving WIOA funded services in the Wichita Workforce Center in September were not accurately charged to the appropriate program and reported for performance, in violation of TEGL 16-16 Section C and the Federal cost principles in the Uniform Guidance at 2 CFR 200.430. Case notes for these customers clearly indicate that they were provided with staff assisted Basic Career Services which required significant staff time and definitely went well beyond those that are merely informational in nature. Both staff from the Workforce Alliance (WA) as well as their One-Stop partners documented that they had provided these services without conducting an eligibility determination; these staff recorded in their case notes that they were directed by supervisors to waive eligibility at the time or that "self-attestation was not completed due to direction from supervisors". Eligibility determination is required prior to providing Basic Career Services that require significant staff time as established by the Local Area IV Eligibility Determination Policy for WIOA Adult Program. Failure to perform eligibility violates federal law and results in incorrect program demographics, performance and accountability issues.



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2. Selective Service- Another major concern regarding these files is that several of them were documented in case notes as being non-compliant with selective service, and yet they were still provided with WIOA funded Basic Career Services for which they were obviously ineligible. Many of these customers came in for several days in a row and received multiple staff assisted services without ever being asked to complete a Selective Service Non-Compliance Evaluation Form WFC098-0910 per Local Area IV Policy and Protocol. This is in violation of the Local Area IV Eligibility Determination Policy for WIOA Adult Program and the Local Area IV Selective Service Protocol released September 23, 2015.

Per the Local Area IV Eligibility Determination Policy for WIOA Adult Program, eligibility for the WIOA Adult Program must be determined for all adult customers who receive WIOA funded staff assisted career services beyond informational activities. The MOU for Local Area IV specifies that partner staff in the One-Stop Center will jointly determine participant eligibility under each Title and work together under the local Integration Plan. This means that staff from any partner agency providing career services to customers in Local Area IV must abide by the locally established policies and procedures regarding WIOA. The MOU also dictates that staff from all partners will be managed by functional supervisors during their day-to-day activities. This means that supervisors from partner programs are providing direction to staff from other partner programs. It is imperative that all supervisors familiarize themselves with the requirements of One-Stop Center operations and programs and provide guidance to all staff that is in compliance with WIOA policies and procedures.

20 CFR § 680.110 states: *“(a) Registration is the process for collecting information to support a determination of eligibility. This information may be collected through methods that include electronic data transfer, personal interview, or an individual's application. Individuals are considered participants when they have received a Workforce Innovation and Opportunity Act (WIOA) service other than self-service or information-only activities and have satisfied all applicable programmatic requirements for the provision of services, such as eligibility determination (see § 677.150(a) of this chapter).*

*(b) Adults and dislocated workers who receive services funded under WIOA title I other than self-service or information-only activities must be registered and must be a participant.”*

TEGL NO. 16-16 provides guidance on One-Stop operations for the American Job Center network. This details a system where job seekers and employers can access the programs, services, and activities of all required One-Stop partners through a comprehensive physical center in each local area. In describing the options for the provision of career services by partner staff, it clearly states that the partner staff must document their time and efforts appropriately to ensure that they are charged to the appropriate program in compliance with the Federal cost principles in the Uniform Guidance at 2 CFR 200.430. It later details how local WDBs must



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establish the methods by which partner programs will document this time and effort and coordinate services in their MOUs. Local Area IV has an MOU that requires all partners to follow all applicable Local Area policies and protocols regarding WIOA program provision.

The Local Area IV Eligibility Determination Policy for WIOA Adult Program also states the following: “*Adults must meet all the below criteria to be eligible to receive career services:*”

- *Age 18 or over*
- *Compliant with Selective Service requirements*
- *Eligible to work in the United States”*

Per local policy, services cannot be provided to adults who are non-compliant with selective service requirements. This is one of the many reasons why it is imperative that eligibility determination be completed prior to providing career services that are beyond self-services or those that are only informational.

## **Summary**

There were concerns identified by the Monitors which require immediate attention. It is recommended that training on WIOA Adult Program eligibility policy and procedures be provided for partner staff and management to clarify the requirements outlined in the federal regulations, the local area MOU, and local policies and procedures; this would hopefully help us avoid outside monitoring and audit findings in the future. All staff, including supervisors, should understand that the federal laws cannot be waived. Supervisors in particular should have a strong understanding of the federal laws and regulations that govern the programs offered in the One-Stop Center and how they affect the provision of services. Any questions regarding this monitoring report should be directed to the Chief Operations Officer.

## **Recommendations**

The Program Monitors would like to suggest the following possible options for mitigating the identified issues in this monitoring report:

1. Conduct training for supervisors on WIOA eligibility and the regulatory requirements. Topics should include WIOA regulations, Training and Employment Guidance Letters (TEGLs) and Training and Employment Notices (TENs) and how to subscribe to these, Kansas state policies, an overview of the Local Workforce Development Board (LWDB) and their role in operations, and a synopsis of all of our Local, Regional and State Plans, particularly our Integration Plan.
2. Conduct a similar training for all Career Center staff or staff who might cover the Career Center. This should include the basics of WIOA federal regulations, Kansas state



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- policies, TEGLs and TENs, an overview of our Integration Plan and our LWDB, and information on resources such as the Innovation and Opportunity Network website.
3. Conduct training for everyone on the new levels of service under WIOA and how they impact the services that we provide in the Career Center. Clarify which services are general in nature and which require WIOA Adult Program eligibility before they can be provided.
  4. Add a routing system to the check in process on our website: if the customer is requesting services that will require self-attestation eligibility, have them complete that as they first meet with the Career Center staff person so that the eligibility can be submitted and the staff can go over the Career Center orientation materials while the eligibility is being reviewed for approval; if the customer is only requesting general career services, then the staff person can immediately launch into the orientation materials and get them started on their chosen self-guided services.
  5. Conduct training for everyone on the Selective Service policies and protocols and provide scenarios with instructions on how to route customers based on their status. Clarify which circumstances require the attention of a supervisor.
  6. Conduct training for everyone on data validation requirements and the importance of validating the accuracy of information collected from customers.
  7. Assign a staff person to be primarily dedicated to data entry and/or KansasWorks demographics and self-attestation. This could possibly be done by a SCSEP work experience participant, if they were adequately trained and supervised.
  8. Assign a staff person to be primarily dedicated to prompt eligibility reviews/approvals.
  9. Add specific and appropriate deadlines to items returned for corrections in M-Files.
  10. Significantly shorten the Career Center orientation process that is being provided by Career Center staff during their initial meetings with customers, so that they have more time to complete self-attestation for eligibility.
  11. Create a Career Center orientation video in-house that can be easily modified and updated. This could play on a loop on one of the Digi-Signs in the Career Center and/or have an associated YouTube channel that customers could visit on their smart phones and listen to with their own earbuds while they wait in the lobby.
  12. Have the Career Center staff hold a brainstorming session to come up with their own creative ideas for solving the customer flow issues in the Career Center.



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January 28, 2019

To: Workforce Centers of South Central Kansas

From: Workforce Alliance Monitoring and Oversight Team

RE: Workforce Innovation and Opportunity Act (WIOA) Youth Program File Monitoring Summary

The Workforce Alliance Monitoring and Oversight Team conducted a comprehensive review of the provision of services to WIOA youth program participants during December of 2018. A total of 41 participants were evaluated for their impact on program performance, and 8 WIOA youth program files were reviewed for compliance with policies and regulations. Following is a summary of any items requiring attention, and subsequent recommendations for improvement.

### **WIOA Youth Program Eligibility & Service Provision**

The comprehensive review of WIOA Youth approved participant files identified areas of concern. During the review three areas of concern were observed, which require response from program staff.

#### **1. Clarification of School Status at Enrollment**

In School Youth (ISY) versus Out of School Youth (OSY) status at enrollment – There were issues with how school status was being determined by staff at enrollment, which affects which other requirements must be met for a youth to be program eligible, and possibly upsets the balance of OSY to ISY in the program. Since the program is required to maintain a level of at least 75% spending on OSY participants, it is imperative that youth be enrolled into the proper school status category. One of the reviewed files indicated in the initial notes that the participant had dropped out of college and was no longer attending, but a note entered not long after that contradicted this and appeared to indicate that the youth had merely been between school semesters. A second file indicated that a youth had not yet received his high school diploma, yet he had been enrolled as an OSY high school graduate. A third file appeared to indicate that the youth involved went to drop out of high school several days after meeting with youth program staff for eligibility determination. Youth program staff will need to obtain clarifying documentation from these youth participants, and their eligibility could potentially be nullified depending on the results of these contacts.

In regards to the first file mentioned above, DOL Training and Employment Guidance Letter (TEGL) 21-16 clarifies that school status is determined at the time of program enrollment,



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and a youth shall be considered an ISY if they are between school semesters but still enrolled in school. The exception to this would be if they were enrolled in only non-credit-bearing postsecondary classes. Therefore, staff will need to find out when this youth had enrolled in college and what classes she was taking to determine if she might meet this exception.

In regards to the second file mentioned as having a potential school status issue, TEGL 21-16 also states that providers of high school equivalency programs and drop-out re-engagement programs through adult education providers funded under Title II of WIOA are not considered to be schools for the purposes of determining school status. However, the exception is high school equivalency programs funded by the public K-12 school system; youth attending these institutions would be considered ISY. The youth in this second file appeared to be attending just such an exempt institution at the time of enrollment. Staff will need to clarify with this youth when he actually received his high school diploma or if he had dropped out of the public school system funded high school equivalency program prior to his enrollment in the WIOA youth program.

The third file is an example of making sure that the provided documentation verifies the eligibility item. It is suspected that the youth was, in fact, a high school dropout prior to meeting with program staff. However, the documentation requested to establish his eligibility as a high school dropout potentially contradicts his eligibility because of the way it was dated by the school. Staff should request a high school transcript with his dropout date noted on it to verify if he was truly a dropout at program enrollment.

## **2. Providing all 14 WIOA Youth Elements**

All 14 Youth program elements are not clearly being offered to all youth participants – It was noted that a limited selection of the available youth program elements appeared to have been offered to the program participants. The majority of youth appear to have been referred for Adult Basic Education (ABE) to attempt to get their GED, or for work experience placements. If these were truly the only services needed by these participants in order to gain self-sufficiency, then this would be acceptable. However, case notes and their Objective Assessments indicated a need for many of the other youth program elements which are offered. This issue was also an area of concern in the review conducted by the Department of Labor (DOL) in August 2017.

20 CFR § 681.460 lists all of the youth program elements and states that they all must be made available to all youth program participants. TEGL 21-16, released March 2, 2017, provides clarification on all of the program elements and explains the services to be provided under each element. The DOL review conducted last year recommended that “The State should work with the local board to ensure that all local case managers, youth program staff



and all youth providers have a full understanding of each of the 14 youth program elements. The State and/or local board should consider providing training to the entire youth team to clarify each component within each element and to ensure that these component align with the program element descriptors in WIOA regulations and guidance”. Based on this recommendation, the local area has designed a series of staff trainings based on guidance and regulations released by the US Department of Labor.

### **3. Insufficient documentation of program activities**

It was also noted a lack of attendance and progress reports in most of the files, which is necessary to document measurable skills gains in order to meet performance measures. There were a few exceptions to this, but as a whole program staff are not adequately requesting information on the progress being made while participants are in program funded activities. This negatively impacts program performance and also sets a dangerous pattern with the contracted youth program element providers and the youth participants. At the youth provider site visits conducted in program year 2017, all providers indicated that they would have no problem providing attendance and progress reports on program participants at the request of staff. Youth are informed at enrollment that they will be required to provide documentation of their progress and achievements as requested. This issue was also noted as an area of concern in the aforementioned DOL review.

The DOL review recommended that “The State should work with the local youth program to establish and adhere to clear requirements for the provision of each program element. Case managers should obtain and retain supporting documentation, via curriculum, case note and activity summary, for each program element service delivered”. As of this date, the State has not coordinated with the local youth program on this task. The Workforce Alliance Technical Assistance Team has recently provided training and guidance on this topic and some improvement in this area. However, this is still a problem and further training will continue to be offered.

### **Summary**

There were concerns identified in this report which will still require further attention. It is recommended that continued training on WIOA Youth Program eligibility and services be provided for program staff. All staff should familiarize themselves with the federal laws and the TEGs regarding the WIOA youth program and be aware of how to access resources for providing program services or making appropriate referrals. Staff is encouraged to contact the Technical Assistance Team with any questions regarding accurately determining in school versus out of school status or providing services under the program elements. Any questions regarding this monitoring report should be directed to the Chief Operations Officer.



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## **Recommendations and Suggestions**

As a result of the DOL review done last year, the Technical Assistance Team developed a training plan for the youth program staff, and presented the first installment of this training to the staff on the morning of December 20, 2018. New forms and protocols were created and presented to staff, and feedback was requested. The new Objective Assessment (OA) and Individual Service Strategy (ISS) forms clearly outline all 14 of the program elements, the corresponding services in KansasWorks, and under what circumstances these services might be provided. The elements were discussed in detail, and instructions were given on collecting attendance and progress reports from the varying agencies or resources. Resource guides were created and provided to assist staff with identifying available providers of services and resources in the community, many of which are free. Input was solicited from staff for further improvements and tools which might assist them in better performing their job duties and meeting performance goals in the future. Further trainings on performance and eligibility are scheduled.

Additional suggestions for addressing the identified issues in this monitoring report:

1. Continue developing and conducting staff trainings on WIOA youth program eligibility, program design, performance, and the regulatory requirements.
2. Conduct quarterly meetings between the Technical Assistance Team, the Policy Director, the Monitor and the youth program staff to assess additional resources which might be needed, solicit ideas, streamline processes, and answer any questions.
3. Encourage staff to seek out further resources and hone their problem-solving skills so that they can better meet the needs of their participants.
4. Enforce the Contact Protocol and the Closure of Service Protocol and ensure that staff make adequate contact attempts with youth on their caseloads.
5. Require attendance and progress reports before approving further services or issuing payments of provider invoices.
6. Design and conduct training with the youth contractors to ensure they fully understand the elements which they have contracted to provide and all of the corresponding requirements which will have to be met to maintain their contracts.
7. Have the Communications Team create and routinely update a public page on the Workforce Alliance website with links to community resources which will benefit youth.
8. WA Technical Assistance staff should provide reviews and guidance to staff regarding new TEGs.



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February 28, 2019

To: Workforce Centers of South Central Kansas

From: Workforce Alliance Monitoring and Oversight Team

RE: Kansas Health Profession Opportunity Project (KHPOP) Program File Monitoring Summary

The Workforce Alliance Monitor conducted comprehensive reviews of the provision of services to KHPOP participants during the months of January and February, 2019. A total of 22 files were reviewed for compliance with policies and regulations; please reference Attachment A for further information on these customers. Following is a summary of any items requiring attention, and the Monitor's subsequent recommendations for improvement.

### **KHPOP Eligibility & Service Provision**

The Monitor conducted comprehensive reviews of 9 files, and case management reviews of 13 additional files that had been approved for KHPOP eligibility; these customers are all listed in Attachment A. For the purposes of this report, the terms Career Coach (CC) and Workforce Professional (WP) will be used synonymously; a WP who works specifically with KHPOP customers in Local Area IV (LAIIV) is referred to as a Career Coach. There were several concerns identified in the files reviewed as requiring attention; the two most pressing issues identified by the Monitor are detailed below.

1. Inaccurate documentation of services being provided, and inadequate contacts and provision of services to establish program participation.

The LAIIV KHPOP Eligibility Appointment Protocol stipulates that after KHPOP eligibility has been approved, "Customers have 90 days to complete next steps. If customers do not complete next steps within 90 days, they must restart the eligibility process." The Monitor noted in the majority of the reviewed cases that a KHPOP CC had entered services for the customers which were never provided. These services were opened as "in progress" and had estimated end dates set several years into the future, which artificially holds these customers' accounts open in the system. This practice erroneously inflates program participation numbers on reports and makes CC caseloads appear much larger than they really are.

The Monitor also noted several instances where customers had completed services such as training according to documentation from the school and/or case notes, but the service was still open in the system. Services should not be listed as "in progress" in the system unless the



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customer is actively participating in said service, whether it is a service being provided by the Workforce Alliance staff or an outside agency.

It is also the practice of LAIV to have the KHPOP program adhere to the Case Management Protocol and the Contact Protocol for Case Managed Customers. The Case Management Protocol states that “Workforce Professionals (WPs) are required to maintain regular contact with each of their customers and provide adequate case management throughout their program participation. Regular contact entails a minimum of one contact attempt each month, or every 30 days, by the WP and then progressively more attempts each month, until contact is reestablished or the file is approved for closure of services.” The Contact Protocol goes into further detail about the required contact attempts and documentation that must be made by the CCs. The Monitor noted that these protocols were not being followed by the CCs at the time of this review.

## 2. Errors in calculating low income status.

One of the eligibility requirements for KHPOP is that the customer must meet at least one of following three low income categories:

- Receives or is a member of a family that receives cash payments under Temporary Assistance for Needy Families (TANF)
- Member of a household that receives food stamps (SNAP)
- Received an income, or is a member of a family that received a total family income, for the six-month period prior to application that, in relation to family size, does not exceed 200% of the poverty line.

Accurate documentation of income is imperative to ensure program eligibility. The Monitor noted that on two files contained mistakes in calculating income. Fortunately, in both of these cases the errors did not negate program eligibility by putting the customers over the low income limits. It is important for staff to carefully assess and calculate all sources of countable income for customers, and for supervisors to verify the accuracy of those calculations prior to approving eligibility.



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## **Summary**

The Monitor identified some concerns regarding staff failing to adhere to LAIV protocols. These issues have been brought to the attention of the KHPOP supervisory team, and additional training and clarification is being provided by the Technical Assistance Team in an attempt to prevent these issues going forward. The Monitor will follow up with the KHPOP staff after the training is complete to reassess the need for any further clarifications or training. The Monitor also noted some issues with low income calculations and brought these to the attention of supervisory staff. Staff is encouraged to contact the Technical Assistance Team with any questions regarding KHPOP protocols and policies. Any questions regarding this monitoring report should be directed to the Chief Operations Officer.

## **Recommendations**

As a result of the issues identified in this report, the Monitor met with the Technical Assistance Team and provided some information and resources to assist with staff training. The Technical Assistance Team provided individualized training to staff as deemed necessary, and will continue to work with them to improve their case management skills. Adjustments have been made to the LAIV protocols to clarify the required processes for serving KHPOP customers, and feedback has been requested. Input was solicited from staff for further improvements and tools which might assist them in better understanding and performing their job duties and meeting program requirements in the future. Further trainings will continue to be scheduled as needed.

The Program Monitors would like to make the following suggestions for addressing the identified issues in this monitoring report:

1. Continue developing and conducting staff trainings on all applicable KHPOP protocols and requirements.
2. Enforce the Contact Protocol and the Closure of Service Protocol and ensure that staff make adequate contact attempts with customers on their caseloads.
3. Staff should double check eligibility documentation and any low income calculations prior to submitting a file for eligibility approval.
4. Program Supervisors should thoroughly review eligibility documentation and low income calculations prior to approving eligibility.
5. Supervisors should spot check the case loads of their staff to ensure that services are being entered appropriately and accurately and that case management services are being adequately provided.

**Item**

Kansas Department of Commerce Monitoring Report

**Background**

The Kansas Department of Commerce (KDC) carried out monitoring the governance of the Workforce Alliance in late 2018. The report resulted in 17 findings. Workforce Alliance staff disputed most of these findings, specifically those related to the bylaws and governance structure of the WA. Both of these issues had been addressed as a result of a previous monitoring report conducted in 2017. A response was sent to the KDC and this topic was discussed at the February 13 WA Executive Committee meeting.

**Analysis**

A response was received (see attached) calling for no further action from the WA and it appears the situation is resolved. This means the current governing model and bylaws do not need to be modified. However, WA staff do recognize that changes are required to the Chief Elected Officials Board (CEOB) agreement and operations. Councils of local governments like REAP, WAMPO and the Sedgwick County Association of Cities are not allowed to be voting members of the CEOB. In addition, each municipality in Local Area IV will need to be notified and invited to be part of the CEOB by accepting some financial liability in the event of a disallowed cost of misspent WIOA funds. County governments are obligated under WIOA to share financial liability for funding. Staff are initiating this process.

Related outcomes include release of the re-certification for the WA. (See attached letter.) Staff are also evaluating the release of a Request for Proposal for third party program monitoring to strengthen internal controls and oversight.

It is suggested that an invitation be sent to Secretary David Toland for him to meet with the WA Executive Committee. If the leadership of KDC had a better understand of the role of Local Workforce Development Boards, and the operating philosophy of the WA it would likely strengthen the relationship between the respective organizations.

**Recommended Action**

Take appropriate action

David C. Toland, Acting Secretary

Laura Kelly, Governor

March 29, 2019

Keith Lawing, Executive Director  
Workforce Alliance of South Central Kansas  
300 W Douglas, Suite 850 • Wichita, KS 67202

Dear Mr. Lawing:

Thank you for your response of February 22, 2019, to Commerce's Regulatory Compliance (CRC) report on the Financial and Administrative Review of Local Area IV dated February 1, 2019. Several of the appointment documents attached were not presented during the review. As you mentioned, the review did raise questions related to WIOA definitions and interpretations, specifically as they relate to the foundational governance structure of Local Area IV. Given the Workforce Alliance has a broader mission apart from WIOA, the traditional WIOA governance structure normally seen in other Local Areas in Kansas, *does* set Area IV apart as being somewhat unique.

To ensure our own monitoring responsibilities are fulfilled in notifying the state of potential problems, and additionally, to ensure consistency and accuracy in reporting; we met with officials from the United States Department of Labor, Employment and Training Administration (ETA) on March 19, 2019, to discuss these issues. As you are aware, ETA reviews all states encompassed in Region V. Therefore, their experience in reviewing a variety of non-traditional WIOA structures was quite helpful. While ETA did not give any tacit approval of Local Area IV's response, they did alleviate many of our own concerns pertaining to the foundational governance of Local Area IV. As a result of that meeting, I am not recommending any corrective action related to these issues.

In closing, thank you for the timely corrective action to the other noted issues (Code of Conduct and Sunshine Provisions) within the report. Should you have any questions or concerns, please contact me at your earliest convenience.

Sincerely,



John Bowes, Director  
Regulatory Compliance - Legal Services  
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David C. Toland, Secretary

Laura Kelly, Governor

April 3, 2019

Workforce Alliance of South Central Kansas  
Keith Lawing, Executive Director  
R.H. Garvey Building 8<sup>th</sup> Floor  
300 W. Douglas  
Wichita, KS 67202

Mr. Lawing:

The Department of Commerce has reviewed all the materials necessary for re-certification of the Local Workforce Development Board (LWDB) in Local Area IV as described in Section 107 of the Workforce Innovation and Opportunity Act (WIOA).

As you know, there had been outstanding questions with the CEO Agreement and governance structure in Local Area IV. Based on your response to Commerce's Regulatory Compliance (CRC) report on the Financial and Administrative Review dated February 1, 2019, CRC is not recommending any corrective action related to these issues.

Therefore, because there are no corrective actions related to the CEO Agreement and governance structure, and based on the materials you previously submitted and the composition of the LWDB as of January 1, 2019, the Department of Commerce officially certifies the LA IV LWDB for a period not to exceed two (2) years from the date of January 1, 2019.

As LWDB membership changes, please forward all changes to the Department of Commerce as outlined in State Policy #5-01-00.

The Department of Commerce recognizes the hard work of Workforce Alliance and the LWDB. We hope that Local Area IV continues to build on a comprehensive workforce system that continually meets the needs of job seekers and employers.

Sincerely,

Mike Beene  
Division Director  
Workforce Services

**Item**

2019 Jobs FORE Youth Golf Tournament

**Background**

The Jobs FORE Youth Golf Tournament is held every year to raise additional funds to help support the Workforce Alliance (WA) Youth Employment Project (YEP).

**Analysis**

The 7th annual Jobs FORE Youth Golf Tournament presented by Meritrust Credit Union is scheduled for Thursday, April 25, 2019 at Hidden Lakes Golf Course in Derby. Last year's tournament resulted in profit of over \$18,000. There will be 30 teams playing in the tournament. Additional \$250 Hole Sponsors are needed.

The following is a list of this year's sponsors and teams:

**2019 Jobs FORE Youth Tournament Sponsors**

April 25, 2019

<b>Title Sponsor</b>		<b>Sponsorship Level</b>
Meritrust Credit Union		\$2,500.00
<i>Total</i>		<u>\$2,500.00</u>
<b>Event Sponsors</b>		<b>Sponsorship Level</b>
AGH - WA Team		\$1,000.00
Arnold Group		\$1,000.00
CPRF		\$1,000.00
Goodwill		\$1,000.00
High Tech Interiors		\$1,000.00
IBEW		\$1,000.00
Manpower		\$1,000.00
NECA		\$1,000.00
Spirit Aerosystems		\$1,000.00
Textron Aviation		\$1,000.00
Westar Energy		\$1,000.00
XLT Ovens (WA Veteran's Team)		\$1,000.00
KWCH #1 (In-Kind)		-
KWCH #2 (In-Kind)		-
<i>Total</i>		<u>\$12,000.00</u>
<b>Prize Sponsors</b>		<b>Sponsorship Level</b>
Larkspur (Gift Certificates for 2 <sup>nd</sup> Place)		
Vornado Air (Door Prizes)		
Butler County Economic Development		\$500.00
INTRUST Bank		\$500.00
<i>Total</i>		<u>\$1,000.00</u>

<b>Beverage Cart Sponsors</b>		<b>Sponsorship Level</b>
BKD		\$500.00
Envision		\$500.00
<i>Total</i>		<u>\$1,000.00</u>
<b>Hole Sponsors</b>		<b>Sponsorship Level</b>
Assisted Living Locators		\$250.00
Cowley College		\$250.00
Foulston Siefkin		\$250.00
Morrow & Company		\$250.00
Professional Engineering Consutants		\$250.00
WMA		\$250.00
WSU		\$250.00
WSU - NIAR		\$250.00
<i>Total</i>		<u>\$2,000.00</u>
<b>Total Sponsorships</b>		<b>\$18,500.00</b>
<b>Team Registrations</b>		
Center Industries		\$360.00
Cowley College		\$360.00
GWP		\$360.00
IBEW #2		\$360.00
IBEW #3		\$360.00
IBEW #4		\$360.00
IBEW #5		\$360.00
Kansas Building & Construction Trades		\$360.00
Morris Laing		\$360.00
Plumbers & Pipefitters #1		\$360.00
Plumbers & Pipefitters #2		\$360.00
Professional Engineering Consultants		\$360.00
WSU Tech		\$360.00
Remediation Contractors #1		\$360.00
Remediation Contractors #2		\$360.00
Remediation Contractors #3 (WA Team)		\$360.00
<i>Total</i>		<u>\$5,760.00</u>
<b>GRAND TOTAL</b>		<b>\$24,260.00</b>

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**Strategic Goals Supported**

This activity supports the following Strategic goals of the Local Workforce Development Board:

- Expand Youth employment opportunities to help develop the workforce of the future.
- Strengthen relationships with WIOA partners, community organizations and educational/training institutions to leverage resources and align services through the one-stop workforce centers (American Job Centers)
- Generate revenue to increase community impact of WIOA and Workforce Centers in South Central Kansas

**Recommended Action**

Receive and file.

**Local Workforce Development Board (LWDB)**  
**Executive Committee Meeting Minutes**  
February 13, 2019 – 11:30 AM

**1. Welcome and Introductions**

Gabe Schlickau welcomed Committee Members, confirmed attendance and called the meeting to order.

**2. One-Stop Operator Report**

With the implementation of WIOA, Eckerd Connects was contracted as the One-Stop operator for Local Area IV. Tisha Cannizzo with Eckerd Connects will provide regular updates to the Committee and LWDB members on actions taken to meet the roles and responsibilities of the contract:

- Administer and oversee the Integrated Service Delivery Plan,
- Coordinate partner services and activities to encourage efficiency and customer service
- Develop and provide staff development opportunities for the one stop partners
- Assist in the development of policies and processes to support the LWDB
- Ensure Workforce Alliance One Stops are certified as required by the US Department of Labor
- Ensure access to career, training and employment services
- Ensure access to data, information and analysis for the local labor market
- Coordinate with core leadership initiatives and activities
- Provide access to Eckerd Connects online training material that has been offered to the Workforce Center for their use.

The Eckerd contract has been in place for a year and a half and ends in June; it can be extended.  
*Report was received, filed and attached to the minutes.*

**3. El Dorado Workforce Center Lease**

The lease for the Butler Workforce Center in El Dorado expires on December 31, 2019 and has no available extensions. The El Dorado Workforce Center has been at its current location at 524 N. Main for over four years. Workforce Alliance (WA) leases approximately 2,433 square feet and pays \$4,472.66 in rent monthly. Staff is currently evaluating space needs and is developing an RFP for release. Anticipated time line would be to release the RFP in early March and close in April. A taskforce will need to be appointed by the Board Chair for review of proposals. Rod Blackburn, Jennifer Hughes, John Weber and Kathy Jewett volunteered to be on the task force.

*Jennifer Hughes (Mark Conway) moved to authorize the Board Chair to appoint the evaluation taskforce. Motion adopted.*

**4. Procurement Updates**

The WA released three RFP's in December that closed on February 1, 2019. Those items are for Website Services, Visitor Management System, and Office Copiers. The WA is also preparing to release two additional RFP's in the coming weeks; one for leased space in El Dorado and one for adaptive equipment.

Website Development, Hosting and Maintenance RFP received six proposals. The request was for a public site and a site accessible only to staff and partners. Proposals were received from CivicPlus, High Touch Technologies, Nye and Associates, Pat Davis Design Group, Pen Publishing and RSM. All proposals met the initial qualifications and were forwarded to a taskforce of staff for evaluation. The taskforce participated in presentations by the proposers on February 8, 2019 and proposals were

evaluated. The taskforce has recommended entering into an agreement with Pen Publishing for website design, hosting, and maintenance. The timeline for a new website to launch is June 30, 2019.

An RFP was released to procure a Customer Check-In Management System. The RFP request was for an online system the public can access and request to check-in or setup an appointment and view current wait times for specific services. The RFP closed on February 1, 2019 and two proposals were received: Waitwhile and High Touch Technologies. A taskforce of staff evaluated the proposals and participated in presentations by the proposers. The Waitwhile proposal provided for a two week installation time and the flexibility to make changes as needed had an evaluation ranking of 678 while the High Touch proposal would need to be created and did not offer that flexibility had an evaluation ranking of 377. The taskforce has recommended entering into an agreement with Waitwhile for a Visitor Check-In Management System. The timeline for launch is March 29, 2019.

An RFP for office copiers was released and closed February 1, 2019; four proposals were received: Digital Office Systems, SumnerOne, 360 Document Solutions and ImageQUEST. Staff is still evaluating the proposals and will bring a recommendation to the committee in the near future.

WA staff is leading a procurement for the Kansas Association of Workforce Boards (KAWB) to update the adaptive equipment at the Workforce Centers (16) across Kansas. The Kansas Department of Commerce has agreed to cover the cost of the procurement, with the hope that the Kansas Department of Children and Families Vocational Rehabilitation will reimburse the costs as part of their required infrastructure costs. Area I recently updated all their equipment and will not be participating in the KAWB procurement. The RFP will be available in a week or two and will close in March. The RFP will be evaluated by the KAWB members and it is estimated the cost will be \$3,000 to \$4,000 for each location.

*Jennifer Hughes (Kathy Jewett) moved to authorize the President and CEO to enter into contracts with Pen Publishing for Website Services and Waitwhile for a Visitor Check In Management System. Motion adopted.*

## **5. Kansas Department of Commerce Monitoring Report**

The Kansas Department of Commerce's (KDC) Regulatory Compliance Division conducted a desk and on-site monitoring review of Local Area IV's financial and administrative operations. The monitoring visit was conducted in September of last year. The Monitoring Report was received on February 1, 2019 and it contained 17 findings. Most of the findings were in regard to the bylaws, local government representation on the Chief Elected Officials Board (CEOB), local government Chief Elected Officials Agreement, designations, statutorily required duties and internal controls. Keith Lawing presented the report to Committee members.

In 2013, the Workforce Alliance Inc. (WA) modified its governing structure to create a smaller Board of Directors focused on leveraging resources and aligning services to create a more significant community impact from the annual allocations from the Workforce Investment Act (WIA). The intent was to have the Local Workforce Board focus on its statutory obligations of operating the WIA programs and the workforce centers in the region, and for the WA Inc. Board to focus on generating non-WIA resources as part of the same organization. With the adoption of the Workforce Innovation and Opportunity Act in 2014 (WIOA) that replaced WIA, the governing structure of the Workforce Alliance was monitored by the KDC and concerns were presented that the organization was out of compliance with WIOA. The interpretation by the compliance monitors is the Workforce Board is a separate organization from WA Inc. and the structure created a procurement issue in terms of staff support for the Workforce Board. In order to complete the implementation of WIOA and to remain in compliance with the rules and regulations, an amendment to the bylaws and the articles of incorporation for the WA was completed in consultation with KDC Chief Legal Counsel.

Prior to adoption, WA staff reviewed the revised bylaws and amended incorporation documents with chief legal counsel for the KDC; however in the February 1 monitoring report, it was determined

that the revised bylaws refer to the Workforce Alliance of South Central Kansas, Inc. and LWDB as two separate entities. This was not the intent, and WA staff are confused as to what seems to be conflicting messages. In regard to the CEOB, the review indicates that its board must invite municipalities to be members; those municipalities that would choose to serve on the CEOB would have to accept liability for any possible misspending of WIOA funds just as the counties do currently.

Staff is performing research and consulting with WA legal advisors and KDC officials and are currently preparing a formal response to this report and will dispute many of the findings. Staff will continue to keep the Committee updated and share the written response with the Committee before it is sent to KDC.

**6. Youth Employment Project (YEP) 2019 Update**

Staff provided an update on the progress and outcomes so far in 2019 for the Youth Employment Project (YEP). YEP is a program run by the Workforce Alliance (WA) under the Helping Youth Prepare for Employment (HYPE) Network, a collaboration of community partners including the WA, the City of Wichita, the Greater Wichita YMCA, Wichita State University, USD 259 and other school districts throughout the region. High school students have participated in a logo contest for the new brand; first place will receive \$500 and second place \$100. The winner will be announced at the Wichita Regional Chamber of Commerce Chairman's Lunch on February 20. Other changes to the program will be announced at the luncheon. Two youth ambassadors will be selected to help promote the HYPE and a new program for 14 to 15 years old will be implemented. The WA has obtained additional funding for YEP from the City of Wichita and Sedgwick County and is applying for a youth apprenticeship grant through the National Fund for Workforce Solutions.

*Report was received and filed.*

**7. Consent Agenda and Committee Reports**

Minutes from the September 12, 2018 and November 14, 2018 conference call meeting, Workforce Center Operations Update for July, PY18 Budget Report, WIOA Programs performance reports, confirmation of actions taken at the LWDB meeting on January 23, 2019, On-the-Job Training Contracts for Kuhn Mechanical, Martsolf Enterprises and Trinity Precision presented to the Committee for review and/or approval.

The POP Committee reviews WIOA Programs Reports at all of their meetings. The only measure that Local Area IV is not meeting is that of Youth Program Credential Attainment due to changes introduced by WIOA that require the participant be employed upon earning the credential. Staff presented a corrective action plan to POP Committee at its January 3, 2019 meeting and it was approved.

After the January 23<sup>rd</sup>, 2019 LWDB meeting, it was determined that a quorum was not present. Actions proposed at that meeting were presented to the Executive Committee for final approval.

*Rod Blackburn (Jennifer Hughes) moved to approve the Consent Agenda as presented. Tony Naylor, Wichita Electrical Training Center abstained from the vote. Motion adopted.*

**8. Other Business**

- The Wichita Workforce Center was chosen to host the Wichita Regional Chamber's Taking Care of Business, "How to Deal with Difficult People and Resolve Conflict" on February 28<sup>th</sup>. The WA will be provided a list of attendees prior to the event and will tailor a brief presentation on WA services to that audience. Some WA staff will also be participating in the seminar. There are sponsorships available for this event for board members.
- Kathy Jewett is a National Association of Workforce Board member and the 3<sup>rd</sup> quarter meeting of that board will be in Wichita in July. This will provide an excellent opportunity to showcase

workforce center services and programs in the area as well as the many partnerships within the community. Representative Ron Estes will participate during part of the visit.

- February is Career and Technical Education (CTE) month and USD 259 has highlighted this in the February issue of their CTE Update. Copies of the issue were distributed to the Committee.

**9. Adjourn (1:00)**

LWDB Executive Committee Members

Gabe Schlickau, Chair  
Jennifer Hughes, Vice Chair  
Rod Blackburn  
Mark Conway  
Michele Gifford  
Kathy Jewett  
Patrick Jonas  
Pat Jonas  
Tony Naylor  
John Weber

Staff/Guests

Keith Lawing  
Tisha Cannizzo  
Amanda Duncan  
Denise Houston  
Shirley Lindhorst  
Chad Pettera

Ty Issa, LWDB Community Impact Committee

## **Item**

### **Conflict of Interest**

#### **Background**

All LWDB members have been required to sign Conflict of Interest forms. As a result of firewall and monitoring discussions, all non-LWDB committee members will now also be required to sign Conflict of Interest forms. The forms have been updated due to this change and all LWDB and non-LWDB committee members will be required to sign new Conflict of Interest forms.

#### **Analysis**

The Local Workforce Development Board and Committee Member Conflict of Interest Policy lays out the requirements concerning conflict of interest. LWDB and Committee members should avoid all conflict of interest, both actual and perceived.

The following create conflicts of interest and must be avoided by all Board and Committee members and staff of the organization in procuring goods or services with federal/state funds:

- Gratuities - Soliciting, demanding, accepting or agreeing to accept or to offer, give or agree to give, from/to another person any economic opportunity, future employment, gift, loan, special discount, trip, favor or service, except nominal gifts as specified in state requirements
- Procurement Documents - Any individual's participation in the development of procurement documents, review of procurement packages prior to release to potential bidders, acceptance by deadline, initial review of procurement packages, negotiation, selection, discussion, award or administration of a procurement supported by funds where, to the individual's knowledge, any of the following has a financial or other substantive interest in any organization which may be considered for award:
  - The individual
  - Any member of his or her immediate family
  - His/her partner or
  - Any organization in which any of the above has a material financial or other substantive interest
- Contingent Fees - To solicit or secure a contract upon agreement or understanding for a commission, percentage, brokerage or contingent fee except for retention of bona fide employees or established commercial selling agencies for the purpose of securing business
- Confidentiality and Nondisclosure – Certain information may not be disclosed until a particular point in the procurement process has been reached. Other information must be kept confidential permanently. The following are examples of procurement information not to be used by any person for actual or anticipated personal gain or for the gain of any other person:
  - Information about the funds available or related data, until the information is made known to all bidders
  - Number and names of bidders until the contract is awarded and the decision is made public
  - Technical or cost/price information to anyone not officially involved in the procurement while the procurement is in progress and
  - Certain technical or proposal information the bidder has designated as proprietary

or trade secret, even after the award is made and publicized

- Illegal Acts - Accepting or paying bribes or kickbacks, conspiring to thwart the competitive procurement process
- Other Actions – Other actions which create real or apparent conflicts of interest

Substantive interest means any interest of a substantial nature, whether or not financial in nature, including membership on an organization's governing board, acting as the agent for an organization or employed as an officer of an organization.

Immediate family means any person related within the second degree of affinity (marriage) or within third degree of consanguinity (blood) to the party involved. The prohibited relationships are as follows:

- First degree of affinity Husband, wife, spouse's father or mother, son's wife, daughter's husband
- Second degree of affinity Spouse's grandfather or grandmother, spouse's brother or sister
- First degree of consanguinity Father, mother, son, daughter
- Second degree of consanguinity Grandfather, grandmother, brother, sister, grandson, granddaughter and
- Third degree of consanguinity Great grandfather, great grandmother, uncle, aunt, brother or sister's son or daughter, great grandson, great granddaughter

Individuals who violate this policy will face disciplinary action and be terminated from the Board or Committee.

**Recommended Action:** Obtain signatures on Conflict of Interest Forms from LWDB and Committee members.

## Local Workforce Development Board and Committee Member Conflict of Interest Policy

LWDB and Committee members should avoid all conflict of interest, both actual and perceived.

Federally funded programs have specific requirements concerning conflict of interest. Board and Committee members and staff involved in the procurement process are prohibited from accepting gifts, favors or anything of monetary value from existing or potential contractors or parties to sub-agreements.

Every reasonable course of action shall be taken in order to maintain the integrity of the expenditure of public funds and to avoid any favoritism or questionable conduct. Any situation suggesting a decision was influenced by prejudice, bias, special interest or personal gain shall be avoided. Before being awarded a contract a person may be required to ensure, in writing, such person has not been retained in violation of the ethical standards. Failure to do so constitutes a breach of ethical standards.

In order to avoid conflicts of interest, if an individual has a conflict of interest, whether real or perceived, they must declare a conflict on the official record, remove themselves from the discussion, and abstain from voting on and participating in the procurement.

The following create conflicts of interest and must be avoided by all Board and Committee members and staff of the organization in procuring goods or services with federal/state funds:

- Gratuities - Soliciting, demanding, accepting or agreeing to accept or to offer, give or agree to give, from/to another person any economic opportunity, future employment, gift, loan, special discount, trip, favor or service, except nominal gifts as specified in state requirements
- Procurement Documents - Any individual's participation in the development of procurement documents, review of procurement packages prior to release to potential bidders, acceptance by deadline, initial review of procurement packages, negotiation, selection, discussion, award or administration of a procurement supported by funds where, to the individual's knowledge, any of the following has a financial or other substantive interest in any organization which may be considered for award:
  - The individual
  - Any member of his or her immediate family
  - His/her partner or
  - Any organization in which any of the above has a material financial or other substantive interest
- Contingent Fees - To solicit or secure a contract upon agreement or understanding for a commission, percentage, brokerage or contingent fee except for retention of bona fide employees or established commercial selling agencies for the purpose of securing business
- Confidentiality and Nondisclosure – Certain information may not be disclosed until a particular point in the procurement process has been reached. Other information must be kept confidential permanently. The following are examples of procurement information not to be used by any person for actual or anticipated personal gain or for the gain of any

# Local Workforce Development Board and Committee Member Conflict of Interest Policy

other person:

- Information about the funds available or related data, until the information is made known to all bidders
- Number and names of bidders until the contract is awarded and the decision is made public
- Technical or cost/price information to anyone not officially involved in the procurement while the procurement is in progress and
- Certain technical or proposal information the bidder has designated as proprietary or trade secret, even after the award is made and publicized
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Immediate family means any person related within the second degree of affinity (marriage) or within third degree of consanguinity (blood) to the party involved. The prohibited relationships are as follows:

- First degree of affinity Husband, wife, spouse’s father or mother, son’s wife, daughter’s husband
- Second degree of affinity Spouse’s grandfather or grandmother, spouse’s brother or sister
- First degree of consanguinity Father, mother, son, daughter
- Second degree of consanguinity Grandfather, grandmother, brother, sister, grandson, granddaughter and
- Third degree of consanguinity Great grandfather, great grandmother, uncle, aunt, brother or sister’s son or daughter, great grandson, great granddaughter

Individuals who violate this policy will face disciplinary action and be terminated from the Board or Committee.

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Printed Name

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Signature

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Date

**Item**

Consent Agenda

**Background**

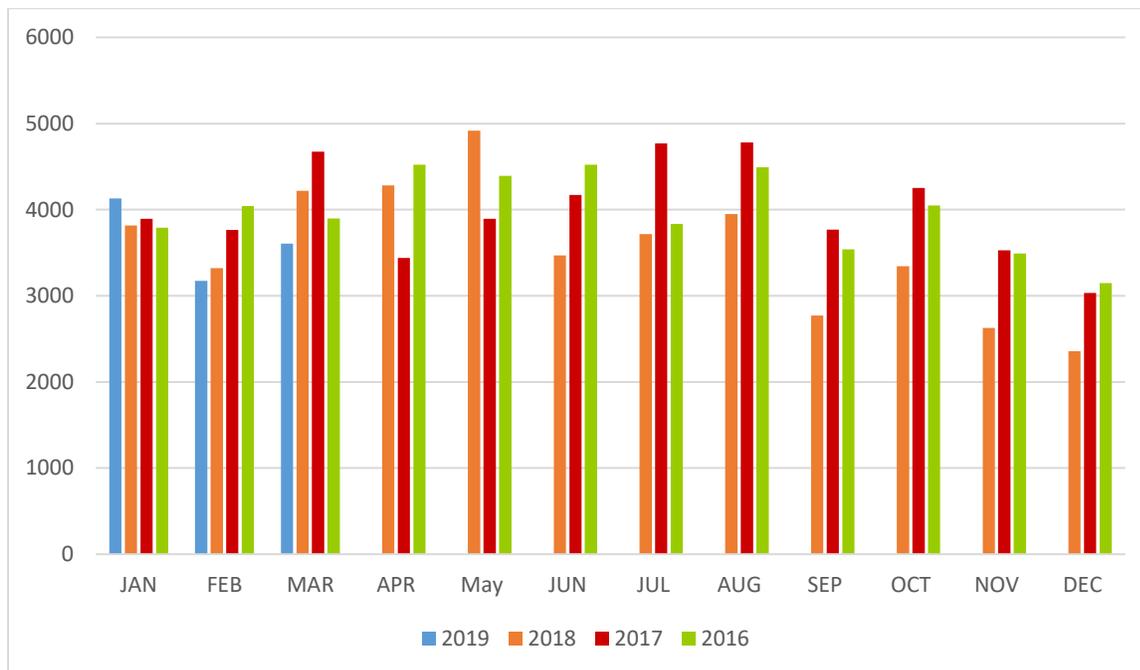
Workforce Centers Operations Update

**Analysis**

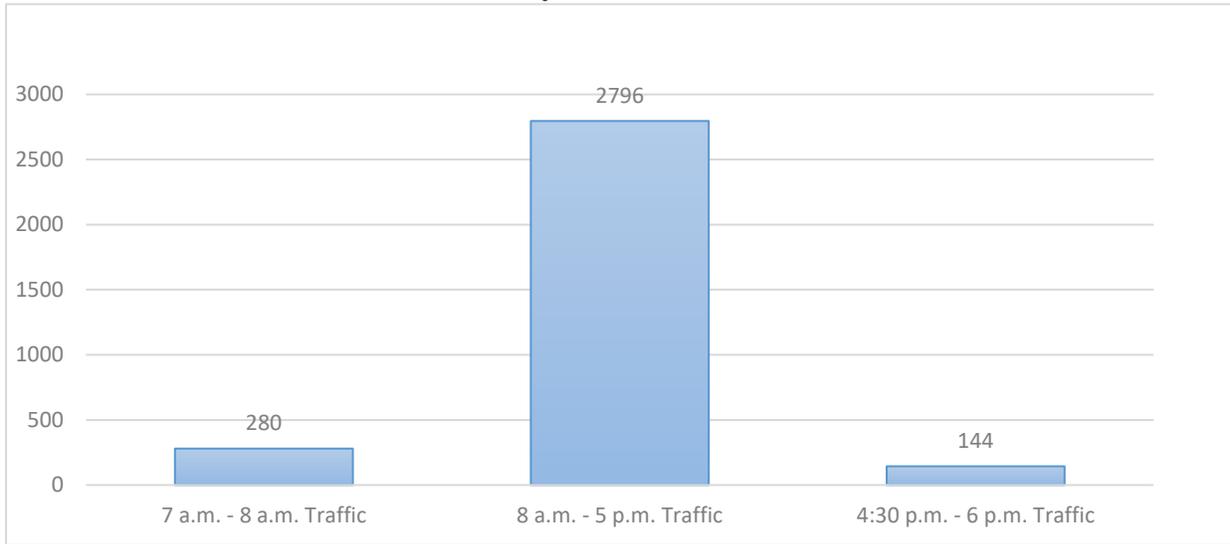
Business Services –

The Fourth Annual Statewide Job Fair was held on Thursday March 7th from 2-6 pm at the Wichita Workforce Center and El Dorado Train Depot. The Wichita Workforce Centers saw 545 jobseekers with the El Dorado Train Depot seeing 100 jobseekers attend the event. Feedback from employers was very positive saying that they all met with high quality candidates for many of their open positions. Overall, for the month of March the Business Services team conducted 4 job fairs that served 102 employers and provided opportunities to 718 jobseekers.

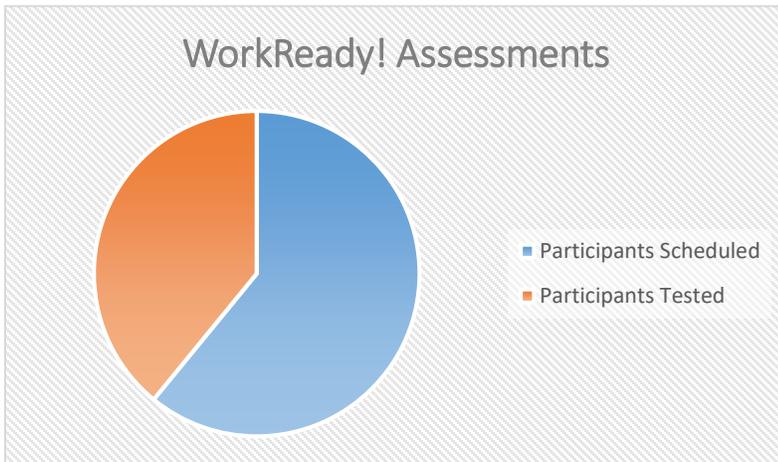
**Total Traffic March 2019**



### Traffic by Hours March 2019



### Business Report March 2019



*WorkReady! Testing March 2019*  
*32 - Testing Sessions*  
*64.2% - % Attendance Rate*

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*WorkReady! Certificates March 2019*  
*389 - Certificates Awarded*  
*92.8% - % Award Rate*

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March 2019  
*250 – Pre-Employment Skills Assessments Administered*  
*159 - Prescreens & Applications Received*  
*104 - Services to Employers*  
*346 - Job Postings*

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**Recommended Action**  
*Receive and File.*

## Workforce Alliance Consolidated Budget PY18

July 2018 - June 2019

Category	WIOA			Community Impact Funds			Consolidated		
	Budget	Feb Expenditures	YTD Expenditures	Budget	Feb Expenditures	YTD Expenditures	Budget	Feb Expenditures	YTD Expenditures
Wages	\$ 1,352,690	\$ 133,092	\$ 937,093	\$ 815,604	\$ 63,532	\$ 742,350	\$ 2,168,294	\$ 196,624	\$ 1,679,443
Fringe	\$ 417,986	\$ 31,420	\$ 211,109	\$ 205,012	\$ 12,342	\$ 168,351	\$ 622,998	\$ 43,762	\$ 379,460
Facilities	\$ 236,556	\$ 38,953	\$ 188,161	\$ 131,470	\$ 17,666	\$ 162,644	\$ 368,026	\$ 56,619	\$ 350,805
Contract/Pro Fees	\$ 330,143	\$ 12,555	\$ 145,085	\$ 121,213	\$ 7,227	\$ 137,736	\$ 451,356	\$ 19,782	\$ 282,821
Supplies/Equipment	\$ 56,599	\$ (853)	\$ 8,541	\$ 27,531	\$ 2,812	\$ 31,039	\$ 84,130	\$ 1,959	\$ 39,580
Outreach/Gap Building	\$ 42,356	\$ 1,584	\$ 29,053	\$ 42,444	\$ 3,196	\$ 66,988	\$ 84,800	\$ 4,780	\$ 96,041
Travel/Conferences	\$ 39,832	\$ 3,477	\$ 30,012	\$ 43,363	\$ 2,161	\$ 32,599	\$ 83,195	\$ 5,638	\$ 62,611
Grants Awarded	\$ -	\$ -	\$ -	\$ -	\$ (125)	\$ 11,500	\$ -	\$ -	\$ 11,500
Staff Development	\$ 14,624	\$ 54	\$ 11,087	\$ 513	\$ 217	\$ 11,005	\$ 15,137	\$ 271	\$ 22,092
Misc	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Work Experience	\$ 893,255	\$ 50,058	\$ 450,560	\$ 281,000	\$ -	\$ 18,215	\$ 1,174,255	\$ 50,058	\$ 468,775
On The Job Training	\$ 125,000	\$ 366	\$ 366	\$ 231,000	\$ 20,069	\$ 141,154	\$ 356,000	\$ 20,435	\$ 141,520
Incentives	\$ 11,500	\$ 675	\$ 3,725	\$ 22,500	\$ -	\$ 1,755	\$ 34,000	\$ 675	\$ 5,480
Occupational Training	\$ 498,385	\$ 16,363	\$ 161,012	\$ 1,401,337	\$ 109,185	\$ 535,202	\$ 1,899,722	\$ 125,548	\$ 696,214
Supportive Services	\$ 89,489	\$ 4,584	\$ 40,316	\$ 388,784	\$ 7,594	\$ 43,545	\$ 478,273	\$ 12,178	\$ 83,861
<b>Total</b>	\$ 4,108,415	\$ 292,328	\$ 2,216,120	\$ 3,711,771	\$ 245,876	\$ 2,104,083	\$ 7,820,186	\$ 538,204	\$ 4,320,203
			% Budget Remaining			% Budget Remaining			% Budget Remaining
			46%			43%			45%

**Analysis**

Budget: The PY18 budget with expenditures through the end of the February 2018. The budget includes a breakdown between WIOA (LWDB budget) and non-WIOA Funding (Community Impact Funds) and combined totals.

The PY18 budget allocates 50% on direct client spending including classroom training, work experience, on-the-job training and supportive services. Through February 28, 2019, direct client spending for WIOA is \$655,979 CIF \$739,871 for a total of \$1,395,850 which equates to 32% of total expenditures. The budget has 45% remaining which is slightly better than expected.

Wages and Fringe are low in CIF funds, a budget modification for KAMP is in process with U.S. Department of Labor to adjust to reflect case load counts and the allocation plan. Items of note include: Facilities is waiting on several partners payments for 3rd quarter rent. Staff Development brought in Mike Fazio in Oct of 2019 and also purchased Beverly Ford Case Manager Training, and supplies were purchased for Leadership Kansas. Contract/Pro Fees will be fixed with the KAMP Budget Modification. Outreach is over spent due to commitments to Project Wichita and Great Wichita Partnership.

**Strategic Goals Supported**

This activity supports the following Strategic goals of the Local Workforce Development Board:

- Expand Youth Employment Opportunities to help develop the workforce of the future
- Strengthen relationships with WIOA partners, community organizations and educational/training institutions to leverage resources and align services through the one-stop workforce centers (American Job Centers) Central Kansas
- Create and implement a more effective and comprehensive communication plan to increase public awareness about employment and training services, and skills needed for current and future careers in South
- Generate revenue to increase community impact of WIOA and Workforce Centers

**Recommended Action**

Receive and file.

## **Item**

### **Staff Reports**

#### **Background**

##### WIOA Adult, Dislocated Worker, and Youth (PY18)

Program Year 2018 began on July 1, 2018 and we are through the third quarter and just beginning the fourth quarter.

The Adult Program projected third quarter performance for LAIV is to meet the goal for Entered Employment 2nd Quarter and Entered Employment 4<sup>th</sup> Quarter. LA IV is projected to exceed the goal for Credential Rate. LAIV is currently not meeting the sanction level for Median Earnings.

The Dislocated Worker Program projected third quarter performance is to meet the goal for Entered Employment 2<sup>nd</sup> Quarter. LAIV is projected to exceed the goal for and Entered Employment 4<sup>th</sup> Quarter, Credential Rate, and Median Earnings.

The Youth Program projected third quarter performance is to meet the goal for Placement in Employment, Education, or Training 2nd Quarter. LAIV is projected to exceed the goal for Placement in Employment, Education, or Training 4th Quarter. LAIV is currently not meeting the sanction level for Credential Rate. Median Earnings for the third quarter is currently \$2,234.80.

Information on Measurable Skills Gain has begun to be entered. The numbers will continue to increase as data entry concludes.

Local Area IV is looking fairly good for annual PY18 performance and is very close with overall State performance. Local Area IV is projected to meet the goal on 5 measures, exceed the goal on 4 measures, and not meet the sanction level on 2 measures. The State is projected to meet the goal for 4 measures, exceed the goal on 5 measures, and not meet the sanction level on 2 measures.

##### Wagner Peyser (PY18)

Local Area IV is projected to exceed the goal for all three measures in the third quarter.

#### **Strategic Goals Supported**

This activity supports the following Strategic goals of the Local Workforce Development Board:

- Strengthen relationships with WIOA partners, community organizations and educational/training institutions to leverage resources and align services through the one-stop workforce centers (American Job Centers)

**Recommended Action:** Receive and file.



**WIOA Programs  
Program Year 2018  
3rd Quarter Performance Report  
Comparison of Local Areas as of 04/03/2019**

Adults	Report Period*	Goal	LA IV South Central Kansas 6 Counties	LA I Western Kansas 62 Counties	LA II North East Kansas 17 Counties	LA III Kansas City Area 3 Counties	LA V South East Kansas 17 Counties	State
		Sanction						
Employment Rate (2nd Qtr. after Exit)	01/01/18 to 03/31/18	78.7%						
		70.83%	70.86	86.21	72.50	67.86	73.04	71.11
Employment Rate (4th Qtr. after Exit)	07/01/17 to 09/30/17	76.6%						
		68.94%	71.74	90.00	70.27	73.94	71.74	73.29
Earnings (Median Earnings 2nd Qtr. after Exit)	01/01/18 to 03/31/18	\$6,225.00						
		\$5,602.50	\$4,881.01	\$5,903.83	\$6,942.83	\$5,062.27	\$4,902.65	\$5,062.27
Credential Attainment (Within 4 Qtrs. after Exit)	07/01/17 to 09/30/17	67.4%						
		60.66%	90.00	76.47	58.82	100.00	60.00	70.00
Measurable Skills Gain (Real Time Measure)	01/01/19 to 03/31/19	N/A						
		N/A	4.17	6.58	0.00	35.16	4.67	9.07

**Dislocated Workers**

Employment Rate (2nd Qtr. after Exit)	01/01/18 to 03/31/18	81.7%						
		73.53%	76.47	80.00	0.00	66.67	83.33	74.07
Employment Rate (4th Qtr. after Exit)	07/01/17 to 09/30/17	80.2%						
		72.18%	81.08	100.00	100.00	69.57	50.00	79.75
Earnings (Median Earnings 2nd Qtr. after Exit)	01/01/18 to 03/31/18	\$8,084.00						
		\$7,275.60	\$8,677.70	\$9,939.62	\$0.00	\$13,709.86	\$8,866.18	\$9,720.72
Credential Attainment (Within 4 Qtrs. after Exit)	07/01/17 to 09/30/17	69.0%						
		62.10%	90.00	83.33	0.00	100.00	50.00	84.85
Measurable Skills Gain (Real Time Measure)	01/01/19 to 03/31/19	N/A						
		N/A	0.00	5.00	0.00	16.00	0.00	8.57

**Youth**

Education and Employment Rate (2nd Qtr. after Exit)	01/01/18 to 03/31/18	72.6%						
		65.34%	66.67	61.54	63.64	75.00	44.00	63.96
Education and Employment Rate (4th Qtr. after Exit)	07/01/17 to 09/30/17	67.4%						
		60.66%	70.83	71.43	92.00	92.31	62.50	76.64
Earnings (Median Earnings 2nd Qtr. after Exit)	01/01/18 to 03/31/18	N/A						
		N/A	\$2,234.80	\$6,655.54	\$2,718.00	\$2,445.65	\$4,964.65	\$2,718.00
Credential Attainment (Within 4 Qtrs. after Exit)	07/01/17 to 09/30/17	63.3%						
		56.97%	35.29	33.33	50.00	85.71	86.67	54.29
Measurable Skills Gain (Real Time Measure)	01/01/19 to 03/31/19	N/A						
		N/A	0.00	7.55	1.35	8.11	5.41	3.94

**Quarterly Summary - All 5 Local Areas / State**

	LA IV			LA I			LA II		
	Adult	DW	Youth	Adult	DW	Youth	Adult	DW	Youth
Met Goal	1	3	1	3	3	1	1	1	1
Met Sanction	2	1	1	1	1		2		
Did Not Meet Sanction	1		1			2	1	3	2

	LA III			LA V			State		
	Adult	DW	Youth	Adult	DW	Youth	Adult	DW	Youth
Met Goal	1	2	3		2	1	1	2	1
Met Sanction	1			2		1	2	2	
Did Not Meet Sanction	2	2		2	2	1	1		2

The Kansas Department of Commerce accesses confidential databases to obtain additional wage data; therefore, the actual performance rating cannot be released, only whether the rating met,exceeded, or was below the goal or sanction level.

^^^ No data showing in the quarter yet even though it is within the current reporting period.

\* Reporting Period = Participants who exited during the time frame indicated will count in performance measures

**Wagner-Peyser  
Program Year 2018  
Performance Report of LAIV  
as of 04/03/2019**

Job Service	Goal		PY18 1st Qtr July 18 - Sept 18		PY18 2nd Qtr Oct 18 - Dec 18		PY18 3rd Qtr Jan 19 - Mar 19		PY18 4th Qtr Apr 19 - June 19		*Reporting Period
	Sanction										
<b>Employment Rate</b> <i>(2nd Qtr. after Exit)</i>	67.9%		3047	2243	2181	2181	2181	2181	2181	2181	3rd Qtr= 01/01/18 to 03/31/18
	61.11%		4008	3023	2876	2876	2876	2876	2876	2876	Annual= 07/01/17 to 06/30/18
	68.2%		2254	2208	3057	3057	3057	3057	3057	3057	3rd Qtr= 07/01/17 to 09/30/17
	61.38%		3114	3101	4067	4067	4067	4067	4067	4067	Annual= 01/01/17 to 12/31/17
<b>Earnings</b> <i>(Median Earnings 2nd Qtr. after Exit)</i>	\$4,701.00										3rd Qtr= 01/01/18 to 03/31/18
	\$4,230.90		N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	Annual= 07/01/17 to 06/30/18

Wagner-Peyser	Goal		PY18 Annual Report July 18 - June 19		PY18 State / Annual Report July 18 - June 19		*Reporting Period		
	Sanction								
<b>Employment Rate</b> <i>(2nd Qtr. after Exit)</i>	67.9%		9420	20846	20846	20846	20846	20846	3rd Qtr= 01/01/18 to 03/31/18
	61.11%		12724	29700	29700	29700	29700	29700	Annual= 07/01/17 to 06/30/18
<b>Employment Rate</b> <i>(4th Qtr. after Exit)</i>	68.2%		9713	22736	22736	22736	22736	22736	3rd Qtr= 07/01/17 to 09/30/17
	61.38%		13426	32982	32982	32982	32982	32982	Annual= 01/01/17 to 12/31/17
<b>Earnings</b> <i>(Median Earnings 2nd Qtr. after Exit)</i>	\$4,701.00								3rd Qtr= 01/01/18 to 03/31/18
	\$4,230.90		N/A	N/A	N/A	N/A	N/A	N/A	Annual= 07/01/17 to 06/30/18

Summary LA IV	Quarterly Local Area IV			
	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr
Met Goal	3	3	3	
Met Sanction				
Did Not Meet Sanction				

Summary Annual LA IV / State	Program to Date	
	LAIV	State
Met Goal	3	3
Met Sanction		
Did Not Meet Sanction		

\*\*\*\*\* The Kansas Department of Commerce accesses confidential databases to obtain additional wage data; therefore, the actual performance rating cannot be released, only whether the rating met, exceeded, or was below the goal or sanction level

\* Reporting Period = Participants who exited during the time frame indicated will count in performance measures

A full year of data will not be available for Employment Rate (4th Qtr.) until the 2nd Qtr. of PY2018

**Item**

On-the-Job Training (OJT) Contracts for the Eligible Training Provider List (ETP)

**Background**

*1. Approval of Addition to the ETP List for OJT*

The following employer has submitted an application to be added to the ETP list for OJT.

Employer:	<b>Hi-Tech Interiors, Inc.</b>
Company Description:	Construction contractor for framing, drywall and acoustic ceilings.
Location:	Wichita, Sedgwick County
Occupation(s):	Carpenter helper, metal stud framers, drywall hangers, finishers, ceiling mechanics
Training Length:	Up to 6 months
Average Wage Range:	\$12.02 average wage
Benefits:	Health, Dental and Vision Insurance 401(k) Plan Paid Hotel Per Diem Paid Mileage Supplemental Insurance Available Through AFLAC Paid Vacation Time On the Job Training Our Own Safety & Training Team Profit Sharing Safety Point Program for Tools
Comments:	Founded in 1991 in Manhattan KS, Hi-Tech Interiors has four locations in Kansas including a Wichita location since 2012. Hi-Tech Interiors currently employs 27 in Wichita with a projected growth of 30 positions over the next two years.
OJT Funding Streams <i>subject to availability</i>	<input checked="" type="checkbox"/> WIOA Adult/Dislocated Worker – \$4,500 per trainee max <input checked="" type="checkbox"/> WIOA Youth – \$4,500 per trainee max <input type="checkbox"/> KAMP– \$3,000 per trainee max

**Recommended Action:**

Approve addition of Hi-Tech Interiors, Inc. to OJT ETP list.

**Item**

On-the-Job Training (OJT) Contracts for the Eligible Training Provider List (ETP)

**Background**

*1. Approval of Addition to the ETP List for OJT*

The following employer has submitted an application to be added to the ETP list for OJT.

Employer:	<b>Starkey, Inc.</b>
Company Description:	Nurtures development and promotes independence of people with intellectual disabilities.
Location:	Wichita, Sedgwick County
Occupation(s):	Direct Support Professionals, Supervisors and Job Coach positions.
Training Length:	3 - 4 weeks
Average Wage Range:	\$9.75 to \$20.00 average entry wage depending on position
Benefits:	Dental, Health, and Vision Insurance, KPERs Retirement, paid time off, Paid Training, Holiday pay and Tuition Assistance, YMCA Membership Discount and a C.N.A. & C.M.A. Tuition Assistance Program.
Comments:	Founded in 1930, Starkey, Inc. is the oldest community-based nonprofit in Sedgwick County serving people with disabilities. Starkey provides a wide range of business, employment, residential, life enrichment and case management programs. Starkey currently employs 324 full time and 36 part-time employees with a projected growth of 340 positions in the next two years.
OJT Funding Streams <i>subject to availability</i>	<input checked="" type="checkbox"/> WIOA Adult/Dislocated Worker – \$4,500 per trainee max <input checked="" type="checkbox"/> WIOA Youth – \$4,500 per trainee max <input type="checkbox"/> KAMP– \$3,000 per trainee max

**Recommended Action:**

Approve addition of Starkey, Inc. to OJT ETP list.