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Monitoring Report

Workforce Innovation Fund

Housing and Employment Navigator Program

South Central Workforce Development Council
Date of Review: June 26, 2017

Date of Report: August 15, 2017



Introduction:

The U.S. Department of Labor (DOL) awarded a consortium of workforce development councils in Washington State a Workforce Innovation Fund (WIF) grant to implement a Housing and Employment Navigator model for homeless families interested in career development and employment services. The purpose of WIF grant was to encourage workforce service “innovation at the system level” and to create changes “necessary to support service delivery strategies that result in better outcomes and lower costs.” To this end, WIF prioritized projects that sought to “support greater coordination in the delivery of services, particularly among agencies and programs with overlapping missions and clients.” Furthermore, the WIF grants were intended to “support changes in the structures and policies that enable a closer alignment and integration of workforce development, education, human services, social insurance, and economic development programs.”

The consortium of workforce development councils (WDCs) for this study include WorkForce Central (WFC), acting as lead agency and fiscal agent for the grant, South Central Workforce Development Council (SCWDC), and Northwest Workforce Council (NWC).

As the lead agency for the grant, WorkForce Central has the responsibility for the overall coordination and oversight of the Housing and Employment Navigator program including the required reporting to DOL. As the fiscal agent, WFC is responsible for budget coordination and ensuring that expenditures comply with relevant DOL and Office of Management and Budget (OMB) circulars particularly those related to cost principles.

This monitoring review was conducted in accordance with the requirements of the grant and within the purview of the Uniform Administrative Requirements; 2 CFR Part 200; the Workforce Innovation and Opportunity Act (WIOA) and other requirements as established by federal rules, laws and regulations. The review period covered services performed from January 1, 2016 to October 31, 2016.



Executive Summary

Monitoring Review:

WorkForce Central conducted a monitoring review of South Central Workforce Development Council on June 26, 2017. Program, administrative and financial reviews were performed to evaluate the management and administration of WIF grant if they are operating in compliance with applicable federal regulations, laws, and policies.

Scope:

In keeping with general monitoring practices, not all transactions and activities were examined. WFC monitor randomly selected individual participant files and financial documents for review. The Program and Financial areas examined and tested were the following:

Program Review:

Participants file review:

1. Eligibility and documentation
2. Training services provided
3. Supportive Services provided
4. MOU with housing partners

Administrative and Financial Review:

1. Internal Control
2. Cost Allocation
3. Procurement/Contracting
4. Time and effort
5. Financial transactions testing for allow ability and supporting documentation.
6. Sub-recipient monitoring

Review Results and Observations

Program Review:

Participant files review – randomly selected six participants for review of eligibility, training provided and supportive services.

1. All selected participants met the eligibility requirements to participate in the



Housing and Employment Navigator program. Selected participants were homeless or in transition housing and receiving some form of government assistance, e.g., TANF, food stamp.

2. All selected participant files that received training and internship services were reviewed for documentation of WEX, OJT, etc. Service plans are complete and entered in SKIES/ETO.
3. All selected participants received supportive services for various needs, e.g., daycare, transportation, clothing, and rent. None of the supportive services exceeded the policy limit. Documentation of needs and availability of other resources were clearly identified prior to approval of the supportive services.
4. All selected participants exited from the program on or prior to October 31, 2016.
5. Five of the selected participants found unsubsidized employment while one participant continued enrollment with WIOA adult program to enhance employability.

Memorandum of Understanding (MOU) with Housing Partners – SCWDC collaborated with local housing agencies to implement the Housing and Employment Navigator program in Yakima area. Triumph Treatment Center, Yakima Neighborhood Health Services, YWCA Yakima and Yakima Housing Authority were signatory to the MOU and participated in identifying, assessing, and referral of appropriate and eligible homeless families to the program.

Administrative and Financial Review:

1. **Internal Control-** Reviewed with the Finance Manager the internal control measures in the fiscal operations. SCWDC maintains appropriate segregation of duties (checks and balances) in the transaction review and approval process. All of its policies, procedures and internal controls are maintain in a manual that serves as reference guide for everyone. Adequate controls are in place. No issues identified in this area.
2. **Cost Allocation** – SCWDC’s current Cost Allocation Plan – Indirect Cost Rate was approved by its’ cognizant agency, WA Employment Security Department (ESD), on a final basis for fiscal year ended June 30, 2015 and on a provisional basis for the period ending June 30, 2016 and June 30, 2017. Reviewed the September 2016 cost allocation to verify that appropriate allocation was charged to the WIF grant. No issues identified in this area.



3. **Procurement/Contracting** – SCWDC contracted with its WIA/WIOA sub-recipient, People for People for providing direct services to Housing & Employment Navigator participants. Since the sub-recipient contract was current at the start of the project and its WIA mandates were in alignment with WIF activities, it is the opinion of DOL that competitive procurement was not necessary. SCWDC did not execute any other procurement or contract related to the WIF grant. No issues identified in this area.
4. **Time and Effort** – Reviewed the August 2016 timesheets and payroll journal of four (4) staff to verify that proper time/payroll were charged to the WIF grant. All hours (53) charged to the grant were appropriate and payroll calculations are in order. No issues identified in this area.
5. **Transactions testing** – Reviewed sixteen (16) transactions from June 2016 invoice submitted by its sub-recipient. All transactions were allowable and properly classified. No issues identified in this area.
6. **Sub-recipient monitoring** – Reviewed a copy of the Program and Fiscal monitoring reports (specific to WIF grant) based on the review conducted by SCWDC. Monitoring of sub-recipient is part of SCWDC's oversight function. Both reports contained no findings or concerns. No issues identified in this area.

I would like to thank South Central Workforce Development Council staff for the assistance and cooperation given me during this monitoring review.

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