

CORE

MARCH 2019

Progress continues to be made with the development of internal controls and improved communication between contract program staff and fiscal staff. This includes continual review of internal control processing, priority areas, how they are developing and stored through Power DMS. The development and implementation of Power DMS has been a major accomplishment and has facilitated communication on the policy and procedure development between all staff. Specific accomplishments over the past six months have included:

- The Internal Control Work Group meeting to define a process for ensuring internal controls are in place. The Work Group consists of Brandy, Richard, Mary, Jyl, Sandy, and Lee Ann. The Work Group will meet as needed and will have a running agenda item on Friday PDT calls so that updates can be provided and issues discussed. Updates will be provided at CORE meetings as well.
- Jyl will serve as the liaison for Financial staff. She will help to coordinate internal controls that are needed by Financial and will bring any questions to the table for them. Additionally, she will be in contact with Financial staff when Programming staff need internal controls written by Financial.
- A new template for Internal Controls was sent by Brandy. This one has been checked for 508 compliance.
- When a new Internal Control is sent to Brandy, she will give it a number and add it to the numbering Google Doc. This list has been shared with CORE so anyone can view it and easily identify who has written which documents.
- The Work Group identified that it would be difficult to maintain next steps within the Internal Controls themselves. Instead, any next steps and risk assessments should be maintained separately in the IVRS Shared folder. Each MTAG group has their own Shared folder labeled with their area (i.e. Transition, Policy) where you can maintain those items and easily access them. The folder locations are located at: N:\IVRS Shared Perm\PDT_Core\Internal Controls
- Richard and Brandy are holding separate meetings to define how to write all of the Internal Controls that aren't covered by other areas. If they aren't appropriate for someone else to write, we will write them together. We may be in contact with various group members to assign portions to be written for you. For example, if there is a policy that is directly related to Financial or to CRPs, etc. then when we get to that policy we will connect with that PDT specialists) to get it written. We plan on meeting weekly at first to get some of these written and/or assigned.
- All Internal Controls that have been sent to Brandy have been moved to the appropriate template and published in PowerDMS in the Internal Controls folder.
- Priority areas
 - TPCAs
 - Charge Accounts for case services

- Travel within 30 day submittal
- Prior Approval
- Period of Performance
- Pre Employment Transition Services

Ideas for incorporating MTAG – Everyone

Richard can help with ways to incorporate the MTAG into the internal controls. Determine weaknesses in MTAG that should be incorporated into the internal control policies.

Finance needs to get back to having the MTAG meetings. A document has been created with what has been completed so far but the data from it needs transferred into the document the RMs already started.

Jyl is on the Friday PDT calls but may not have any updates to report. Jan wondered if Finance should divide and conquer the internal controls.

The Planning and Development Team went through a change in alignment and mission beginning in January. This was a result of strategic planning efforts and feedback received regarding how to improve work efficiencies. The mission statement of PDT is:

The PDT provides analysis, strategic initiatives and program service delivery enhancing the agency's ability to comply with federal and state regulations in the delivery of our federal grant award. PDT optimizes available resources to enhance implementation of the IVRS agency mission and vision. Restructuring included the development of speciality areas of technical assistance and movement away from area office assignments to specific supervisors. This is combined with an effort to focus on leadership development at the area office level and provide TA in focused areas. These areas include: legal, business development, data, training, quality assurance, transition, community program partnerships, benefits planning and policy/procedures.

DECEMBER 2017

The work of the CORE team continues on a monthly basis. This work team consists of a collaborative effort between representatives of the Rehabilitation Services Bureau and fiscal and financial representatives to provide contract oversight and review. IVRS has seen a significant increase in third party contracts as well as contracts related to field service delivery and our ability to monitor and comply with state and federal regulations is dependent upon careful fiscal and program oversight. The CORE members are tasked with helping ensure that occurs.

CORE members are working through a number of key tasks related to monitoring efforts. These include:

1. State auditors complete an annual review of IVRS fiscal and program service operations. RSA will be pulling thirty case records and reviewing for internal controls demonstrating compliance to:

Date of Application

Date of Eligibility Determination

Date of IPE

Start Date of Employment in primary occupation

Employment Status at Closure

Weekly Earnings at Employment

Type of Closure

Date of Closure

We need to ensure our case recording system matches our reporting system and the data between the two sources supports each other.

2. Transition Plan highlighting our work with pre-employment transitions monies with specific focus on Required, Authorized and Coordinated activities.

RSB is updated our current Transition Plan and then this will be reviewed by CORE for additional strategies for implementation.

3. RSA 2018 Federal Technical Assistance Monitoring Guide was published and will be reviewed in sections by CORE. We had already began this activity based upon 2016 TA information so we will do again with the current guide being used as a tool.

Based upon the 2017 financial status report, published 12/6/17, IVRS matches from our contracts \$1,159,215.47 which allows us to maximize our federal monies available to Iowa in the amount of \$3,302,933.72.

Our projected contract costs for 2017, which include Youth Leadership (which was not renewed), Department of Aging, Transition Alliance Program, Making the Grade, Intermediary Network, Iowa School for the Deaf, Project Search, Independent Living Contracts, State-Wide Independent Living Council, Iowa Jobs for America Graduates-Boone High School, are over \$2.6 million dollars. Efforts for 2018 will expand these contracts with the inclusion of the TEAM contract with the Des Moines Public Schools. These contracts are not including the fifty plus contracts we have with Community Rehabilitation providers in the Menu of Service related to Supported Employment Services.

ADMINISTRATIVE SERVICES BUREAU/FISCAL POLICY REVIEW

Progress was stalled on the completion of a Fiscal Policy Review document. The goal was to capture relevant fiscal policies in one location that could be used for training and resource information in a one size fits all image. This has proven to be a difficult project to complete given the size and scope of the efforts required. Work was sidetracked this fall, with the focus on the state audit process, implementation of WIOA goals and priorities including tracking of pre-employment transition monies along with new data tracking that was required for RSA 911-reporting. It should be noted that Iowa was the first state agency in the country to be able to submit the RSA 911 report and this was recognized at the national level.

Several other key changes occurred this past fall impacting fiscal policies including a change in how we track administrative and field service travel, post-secondary funding changes, and a RSA TA monitoring guide was shared. IVRS is not identified as being a state scheduled for a

review in 2018, but we will be reviewing and monitoring RSA efforts and feedback that is identified in the Monitoring Guide.

March 2017

The CORE Group has changed to integrate into Strategic Plan Initiatives. In the February, 2017 meeting it was outlined to change the direction of CORE to further support planning efforts in compliance with the 2017 RSA Technical Assistance Monitoring Guide. CORE will continue with our agenda of reporting on contract issues, but the focus will really be on either positive success stories that the Committee will want to share in or on specific issues that need problem solving by the Committee members. Additionally, new attention will change to work groups that are tasked with working through the Monitoring and TA Guide.

The first task if for all members to review pages 1-12 of the Guide to obtain a basic understanding of the purpose. The Program Team and fiscal team will then be given work assignments for specific sections and be asked to respond to the questions.

The RSB Bureau will also be reviewing sections with the area office supervisors and will draft a SWOT report by November 2017 following their annual office supervisor retreat.

This work will help CORE review our status, increase our active involvement as an agency in reviewing and monitoring strategic objectives and how data performance results impact decisions. It will help ensure we are integrating discussion and perspectives from staff at different viewpoints to help make sure we move forward as an agency. The CORE Work Groups will do the heavy lifting on addressing these policy and procedure questions and play a critical role in providing feedback on fiscal/financial oversight and impact on service delivery strategies. Jeff Haight will play a key role in helping provide data consistent with what we can obtain through Appendix C and will make that available to CORE as it is completed. This data will be shared through the CORE shared folder. Focus for Jeff will be on the Iowa data, we may have limited access to current national averages and numbers. Kelley Rice will be the task master and be involved in helping facilitate progress from both groups to ensure task completion and timely progress. She will also be reviewing the TA Monitoring Guide and help oversee our internal monitoring and compliance process.

The results of the CORE group will occur over time as we chip away at the Guide. This work will influence strategic planning, the comprehensive state wide needs assessment, follow-through on our state unified plan and service strategies impacting employment outcomes and fiscal compliance.

The CORE folder maintained electronically will be updated and organized for improved access for members. We will also be identifying a way to share the CORE minutes for staff review for those interested.

Administrative Services Bureau/Fiscal Policy Review

There has been an internal ASB Fiscal work group that has continued to meet on a regular basis in efforts to develop fiscal financial services manual. Communication has recently occurred in March, 2017 to provide staff with guidance on how to create standard operating procedures in the template we've created and what will happen to those documents as a part of

the ASB Policy and Procedure manual. Once the documents are approved, the expectation is that these will become the internal processing policy.

A priority for the agency remains the full completion of the ASB Policy and Procedures manual by September 30, 2017. Due to the size of this project, we are providing guidance to help everyone manage the large volume of documents that will be compiled for the manual.

Action steps needed:

1. Effective immediately, all procedures must be saved in the ASB Policy and Procedures (ASBP&P) folder at this path: \\VRDSMFS2\DSM_vrdsmfs1\ASB Policy and Procedure Manual\2.DRAFT INSTRUCTIONS
 - a. If you know the category, please locate your document in folder categories 1 – 11, or simply place in the “All Draft Documents Uncategorized” folder.
2. Only one version can exist of each procedure you document and all revisions should be made to that document.
3. When a procedure draft is completed and ready for Jan to review, do not send to her as an attachment. Please send an email to Jan, and within the email, note the file name and file location where it can be found within the ASBP&P folder.

“No one can whistle a symphony. It takes a whole orchestra to play it.”

This is a challenging project – we thank everyone for the team effort!

The template will involve several steps that will seek out guidance and involvement from many. This will help narrow the tasks identified in a manner that can be captured for the completion of the Manual. The above steps identify the process the work group is taking to communicate to fiscal staff their roles and responsibilities. This is a large undertaking, but we continue to make progress in the development of the Manual.

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CORE – September 2016

CORE is an abbreviation for Contract Oversight Review Experts. It is a collaboration of financial and field service staff who meet on a monthly basis to review policies and procedures impacting the agency contracting process.

The work also includes a review of the financial website, updates from the state financial accounting process, a review of RSA financial and program monitoring criteria, state auditor's review criteria, and group discussions regarding individual contracts that cross between financial and field services.

During August and September of 2016, CORE hosted a series of webinars for team members on the following topics:

- EDGAR Rules From Procurement Through Equipment Management: June 9, 2016 at 1:00 pm
- Presented by Erin Auerbach, Esq.

- How to Draft and Update Compliant Policies and Procedures: July 12, 2016 at 1:00 pm -
Presented by Brette Kaplan Wurzburg, Esq.

- EDGAR Part 200 Allowability and Use of Funds (including Time and Effort): August 10, 2016
at 1:00 pm - Presented by Mike Bender, Esq.

- Indirect Cost Requirements Under EDGAR: September 13, 2016 at 1:00 pm - Presented
by Bonnie Little Graham, Esq.

- How to Prepare For and Defend An Audit: October 12, 2016 at 1:00 pm - Presented by Mike Bender, Esq.

Agenda and minutes are kept from each meeting and we will be working to find a way to post those for IVRS staff interested in getting more detail on the work the CORE group does.

AUGUST 2016

Fiscal Policy:

The Administrative Services Bureau provides budgeting and accounting services, human resources services, and information technology services among others. Efforts are underway in all of these areas toward cross-training, and documentation of policy and procedures to assure that critical functions continue in the event of staff absence or vacancy. Specifically, cross-training has occurred in the following areas:

- Human Resources document processing
- Contract Management
- Information Technology Services Help Desk
- Closed Case File processing
- Financial Processing Control Book processing
- IRSS Expenditure code management
- Monthly/Quarterly/Annual transactions processing

A fiscal policy manual is being compiled as a repository for the numerous financial policies and procedures required to maintain the flow of revenue and expenditure transactions as well as the numerous budgeting, forecasting and tracking activities necessary to maintain the operations of the agency.

Administrative Services Bureau/Planning and Development Team customer satisfaction survey:

A survey is distributed to all IVRS staff annually or semi-annually to gauge satisfaction with the Administrative Services Bureau and the Planning and Development Team. The survey questions have remained constant for several years so that increases or decreases in internal customer satisfaction are easily detected and analyzed. Key areas of services include Financial Processing, Human Resources, and Information Technology. The internal customer satisfaction in these three areas comprise a component of the IVRS Agency Performance Plan and Report that are part of the state budget system. The target level of customer satisfaction in these key areas is 85%. Also within the survey are questions that allow internal staff to make narrative comments regarding their satisfaction, or lack of satisfaction, with ASB and PDT services. These narrative comments are carefully reviewed by the Administrator, Bureau Chief, section Supervisors and section staff in the interest of improving processes and services. We recognize that there are aspects of administrative services with which internal staff may disagree, such as expense reimbursement limitations or information technology security requirements, and therefore express less than 100% satisfaction. The ASB/PDT goal is to provide prompt, accurate, professional, and pleasant service to our internal and external customers.

Cross-Bureau Cooperation efforts:

DDSB paperless process. The project team included staff from the Disability Determination Services Bureau and the Financial Processing Section of the Administrative Services Bureau, as well as the Iowa Department of Administrative Services – State Accounting Enterprise. This

project focused on development of an efficient paperless process to pay medical billings for Social Security applicants. The project resulted in a cost savings of more than \$100,000 annually, increased labor efficiency, quality improvements, and increased customer satisfaction. IRSS Project Management Team includes staff from the Rehabilitation Services Bureau, the Financial Processing Section, and the Information Technology Section. This team oversees management of and enhancements to the Iowa Rehabilitation Services System which is the case management and financial management tool in use by IVRS since 2008. Contract Oversight and Review Team (CORE) includes staff from the Rehabilitation Services Bureau, the Planning and Development Team, the Budget Analyst, the Chief Financial Officer, and the Financial Processing Section. This team oversees management of all the contractual relationships for the agency, along with the policies and procedures involved in with contractual relationships.