

Workforce Solutions Borderplex Exit Conference Report Project #24.10.0001

To: Board's Staff, Other Representatives, & TWC Monitoring Team
From: Janna Hart, Project Manager
Date: February 7, 2024
Time: 2PM CST / 1PM MST
RE: Exit Conference Report with the Workforce Solutions **Borderplex**

I. Introductions & Sign-In:

Please enter your name, title, and department in Teams "Chat Box" section. Please distinguish between Board or subrecipient.

II. Scope

The scope of this review encompassed the program year beginning November 1, 2022, to October 31, 2023.

III. Issues and Documentation

Fiscal

Disbursements

An initiative project with a local college could not be determined by TWC Monitors as allowable at the time of review for three (3) transactions. The Board was notified that TWC Monitors will continue additional research and discussions to determine allowability for the transactions which may result in questioned costs.

Support Services transactions tested resulted in errors pertaining to lack of documentation for purchases and no oversight on participant purchases which led to participants using funding for items unrelated to the approved support service. In addition, the Workforce Service Provider Subrecipient's policies and procedures differed from actual processes reviewed and observed.

Cash Management

The Board did not ensure fiscal controls were maintained after identifying four (4) transactions on a Board employee's credit card were fraudulent. In late November 2023, the Board discovered a Board employee's credit card information was stolen and the Board canceled the credit card in January 2024.

Procurements

The Board did not ensure signed conflict of interest forms for two (2) of seven (7) evaluators were maintained.

Issues and potential questioned costs identified in this report may require additional research regarding the status as findings and the final amount of costs. Therefore, we will continue communications with Board staff, as necessary, after our return to Austin. If circumstances warrant, an issue may be removed from this review and addressed in a subsequent special review. Findings from previous reports that are still in process with TWC Audit Resolution may be included in this year's report as a prior year issue.

IV. Reporting Process:

You will receive a report of our findings, if any, upon completion of our fieldwork. The Executive Director (or appropriate representative for non-Board reviews) will be provided a courtesy copy of the final report twenty-four (24) hours prior to its dissemination. If the review results in no issues identified, a management letter will be issued, and the review closed. (40 T.A.C. 802.65(a))

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V. Resolution Process:

After issuance of the monitoring report, TWC Audit Resolution will issue you an Initial Resolution Notification regarding administrative findings and questioned costs noted in the report. The monitored entity will have 45 calendar days from the issuance of the Initial Resolution Notification to respond. (40 T.A.C. 802.65(b)(1) and (2)).

Administrative Findings: If administrative findings are resolved based on the responses to the Initial Resolution Notification, a monitoring closure letter is issued. (40 T.A.C. 802.65(b)(1)(A)). Unresolved administrative findings remain open; TWC's Audit Resolution Department will continue to work with the monitored entity until the next scheduled review to ensure follow-up. ((40 T.A.C. 802.65(b)(1)(B))

Questioned Costs: If questioned costs are resolved based on the responses to the Initial Resolution Notification, a monitoring closure letter is issued. (40 T.A.C. 802.65(b)(2)(A)). Unresolved questioned costs will result in the issuance of an Initial Determination. (40 T.A.C. 802.65(b)(2)(B)).

VI. Special Requests:

Special requests for or any of the following areas can be facilitated by the Subrecipient Monitoring Department or in conjunction with other departments.

A. Monitoring Technical Assistance – For monitoring tools, procedures and training: informal or formal.

Contact person is: Alma I. Gonzalez, Training Coordinator/Monitoring TA
Telephone: (512) 936-2513 (O); (512) 755-5546 (C); Fax: (512) 936-3517
Email: alma.gonzalez2@twc.texas.gov

B. Fiscal Technical Assistance – For answers to financial questions, you may email TWC fiscal technical assistance workgroup at Fiscal.ta@twc.texas.gov

C. Program Technical Assistance Requests:

Applicable Contract Manager:
Tangela Niemann
(737) 443-0559
tangela.niemann@twc.texas.gov

Workforce Policy & Program Assistance:
Email wfpolicy.clarifications@twc.texas.gov

VII. Customer Service

The Subrecipient Monitoring Department strives to continually improve our processes and procedures. As such, a *Customer Satisfaction Survey* will be provided to the Executive Director. We would greatly appreciate your time in completing the survey and returning it to:

Charles E. Ross, Jr.,

Director

Fraud Deterrence and Compliance Monitoring Division

Email: chuck.ross@twc.texas.gov

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VIII. Closing Remarks & Questions

IX. Acknowledgement

The purpose of the exit conference report is to provide monitored entities, upon completion of the on-site review, a written record of potential issues and questioned costs which could be included in the monitoring report. It also documents one of our primary goals; assurance that entities we monitor are provided daily feedback, verbally and/or in writing as requested by the entity, throughout the duration of the on-site review.

Signatures below acknowledge that the TWC team gave frequent verbal and written updates on the status of the monitoring visit. It also acknowledges that the Board understands that the issues identified may be written as findings in the TWC Monitoring Report. ***The signature below does not acknowledge agreement or disagreement with the issues noted, merely that the issues and potential questioned costs were communicated during the course of the review.***

Executive Director or Designee

Date

TWC SRM Project Manager

Date

Charles E. Ross, Jr.

Charles E. Ross, Jr.
Director, Division of Fraud Deterrence and Compliance Monitoring
Texas Workforce Commission

Date

