

Tompkins County Workforce Development Board

MINUTES

Tuesday, September 27, 2022 | Coltivare, 235 S. Cayuga St. Ithaca, NY 14850

Present: S. Pronti, K. Babuka, K. Cerasaro, S. Cerquone, J. Cometti, T. Fiacco, K. Franzese, D. Harrington, K. Kersey, R. Olson, S. Pennell, T. Tarshus, J. Tavares, D. Vreeland, C. Whitmore, M. Caci

Excused: T. Bruer, B. Forrest, K. Kephart, P. Levesque, J. Matteson, H. McDaniel, K. Shanks-Booth

Staff: R. Avila, C. Sponn, D. Achilles

Guest: M. Mack, NYATEP

Call to Order

Chairman Pronti called the meeting to order at 8:33 a.m.

Introductions

Mr. Pronti introduced Mr. Sponn, Workforce Development Board Deputy Director

Board Action Items

Approval of Minutes – September 27, 2022

It was moved by Ms. Babuka, seconded by Ms. Tarshus, and unanimously adopted by voice vote of members present to approve the minutes of September 27, 2022, as written.

Ratification of Executive Committee's Approval of Transparency and Integrity Policy

It was moved by Ms. Franzese, seconded by Ms. Fiacco, and unanimously adopted by voice vote of members present to approve the Ratification of the Executive Committee approval of Transparency and Integrity Policy.

Ratification of Executive Committee's Approval of Conflict-of-Interest Disclosure Statement

It was moved by Ms. Whitmore, seconded by Ms. Babuka, and unanimously adopted by voice vote of members present to approve the Ratification of the Executive Committee approval of Conflict-of-Interest Disclosure Statement.

Ratification Of Executive Committee's Approve of Transparency and Integrity Acknowledgement Form

It was moved by Mr. Cerasaro, seconded by Mr. Kersey, and unanimously adopted by voice vote of members present to approve the Ratification of the Executive Committee approval of Transparency and Integrity Acknowledgement form.

Approval of Subrecipient Monitoring Policy

It was moved by Ms. Tarshus, seconded by Mr. Kersey, and unanimously adopted by voice vote of members present to approve the Subrecipient Monitoring Policy.

Presentations - Ms. Mack, Executive Director, New York Association of Training and Employment Professionals (NYATEP)

Ms. Mack's presentation is attached

Mr. Cerasaro and Ms. Caci left at 11:06 a.m.

The meeting adjourned at 11:38 a.m.



Workforce Development Board

Conflict of Interest Disclosure Statement

I understand that it is the policy of Tompkins County Workforce Development Board (TCWDB) that Officers, Board Members, Committee Members, and other key personnel will annually disclose all potential and actual conflicts of interest even if they are questionable. I hereby state that I, or members of my immediate family*, have the following affiliations or interests and have taken part in the following transactions, that, when considered in conjunction with my position with or relation to TCWDB might possibly constitute a conflict of interest. **(Check "None" where applicable)**

1. Outside Interests: Identify all entities, including corporations, partnerships, companies, and unincorporated business enterprises, with which you or an immediate member of your family hold directly or indirectly, a position as an owner, employee, officer, director or trustee in any outside concern from which the individual has reason to believe TCWDB secures goods or services; or which compete directly or indirectly with TCWDB in the purchase or sale of property or property rights, interests or services.

None

Name of Entity	Position	Percentage of Ownership
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

If a vendor of TCWDB, include disclosure of amount billed to TCWDB over the last two fiscal years.

None

2. Investments: List and describe with respect to yourself or your immediate family, all investments that might be within the category of material financial interest, described as such financial interest which represents in excess of 5% of the total outstanding equity securities of an outside concern.

None

3. Outside Activities: Identify any outside activities of yourself, or your immediate family, which render directive, managerial, or consultative services to any outside concern that does business with, or competes with services of TCWDB.

None

*For purpose of definition: Immediate family means any person related within the first degree of affinity (marriage) or consanguinity (blood) to the person involved.

4. Consultant Services: Identify any relationship (financial or otherwise) with any company or organization which furnishes consulting or professional services to TCWDB.

None

5. Inside Information: By signature below, I certify that neither I nor any member of my immediate family have disclosed or used information relating to TCWDB business for the personal profit or advantage of myself or any member of my immediate family.

6. Gifts and Gratuities: I certify that neither I nor any member of my immediate family has accepted gifts, gratuities, or entertainment that might influence my judgment or actions concerning business of TCWDB, except as listed below. (This does not include the acceptance of items of nominal or minor value that are clearly tokens of respect or friendship and not related to any particular transaction or activity.)

None

I hereby agree to report to the Chairperson of the Board any change in the responses to each of the foregoing statements which may result from changes in circumstances before completion of my next disclosure statement.

_____	_____	_____
Date	Name (Printed)	Signature

Renewal:

_____	_____	_____
Date	Name (Printed)	Signature

_____	_____	_____
Date	Name (Printed)	Signature

*For purpose of definition: Immediate family means any person related within the first degree of affinity (marriage) or consanguinity (blood) to the person involved.



Workforce Development Board Transparency and Integrity Policy

The purpose of the policy is to prevent the personal interest of board and committee members from interfering with their duties, or result in personal financial, professional, or political gain on the part of such persons at the expense of other stakeholders. It is also in place to prevent board and committee members from using confidential information to their (or an affiliated party's or relative's) advantage. Workforce boards must also provide a level of stewardship and oversight with respect to the use of federal workforce system funds in a manner that preserves public trust.

CONFIDENTIALITY

In order to protect confidential information to be disclosed during a meeting, board and committee members agree to:

1. Hold the confidential information received in strict confidence and to exercise a reasonable degree of care to prevent disclosure to others.
2. Not disclose either directly or indirectly the confidential information to others.

CONFLICT OF INTEREST

Board and committee members also should not take any official action if the following applies:

- Their own financial interests, or the financial interests of immediate family members, business partners, private employers, or organizations for which they serve as an officer, director, partner, or trustee conflicts.
- Any other circumstance, or in appearance, make it difficult to exercise independent, objective judgment, or perform effectively.
- Their organization stands to benefit from a contract, transaction, or situation.
- The subject of discussion is a contract, transaction, or situation in which there may be a perceived or actual conflict of interest. However, they may be present to provide clarifying information in such a discussion or debate unless objected to by any present board or committee member.
- In a position to make decisions about spending resources– who also stands to benefit from that decision – has a duty to disclose

If one of these matters comes up for consideration at a committee meeting, the member should leave the room during the discussion, and make sure the minutes of the meeting reflect their recusal.

TEGL No. 35-10, TRANSPARENCY AND INTEGRITY IN WORKFORCE INVESTMENT BOARD DECISIONS

The intent of TEGl No. 35-10 was to communicate ETA's expectation that state and local workforce boards and officials will make decisions with transparency and integrity and in a manner consistent with all conflict of interest requirements. Members are required to abide by following Federal laws and regulations:

- *"Sunshine provision" regulations* (20 CFR 661.307) require local boards to conduct business in an open manner and, upon request, to make board activities available to the public, including the development of specific policies and minutes of formal board meetings.
- *Uniform Administration Requirements* for procurement (29 CFR 97.36 and 29 CFR 95.42) set the standards, including those for conflict of interest that all Federal grantees (both government and non-government) must follow. These requirements, codified in the Code of Federal Regulations, describe specific instances that constitute a conflict of interest, characteristics to be considered when making awards to contractors, and the procedural requirements for procurement protests.
- *Conflict of interest regulations* for those entities receiving WIA Title I funds [20 CFR 667.200(a)(4)] specifically mandate that a LWIB member or Youth Council member must neither cast a vote, nor participate in decision-making, on the provision of services by that member or any organization which that member directly represents. The LWIB member or Youth Council member also must not cast a vote, nor participate in decision-making, on any matter that would provide direct financial benefit to that member or a member of his/her immediate family.
- *The Hatch Act and its regulations* (5 CFR 151) restricts political activity of individuals principally employed by state and local executive agencies and who work in connection with programs financed in whole or in part by Federal grants or loans. Among other things, covered state and local employees may not use their official authority or influence to interfere with or affect the results of an election or nomination; or directly or indirectly coerce, attempt to coerce, command, or advise a state or local officer or employee to pay, lend, or contribute anything of value to a party, committee, organization, agency, or person for political purposes.

The full text of TEGl No. 35-10 can be found here:

http://wdr.doleta.gov/directives/attach/TEGL/TEGL_35-10-Acc.pdf

Additionally, local workforce boards are also governed in their decision-making by relevant state and local statutes, regulations and policies that include, but are not limited to:

- New York State General Construction Law (GCL) §41
- Open meetings Law (Public Officers Law (POL), Article 7)

Alleged Violations to the Hatch Act will be recorded by Tompkins County Workforce Investment Board Staff and reported to the Tompkins County Compliance Officer. The Tompkins County Compliance Officer will contact the U.S. Office of Special Counsel to request an Advisory Opinion.

Allegations of violations to the Conflict of Interest regulations will be recorded and referred to the Tompkins County Ethics Advisory Board to investigate and report on the alleged violation. Penalties may include removal from the Board, loss, or disqualification from contracts.



Workforce Development Board

Revised: July 29, 2022
Executive Committee Approval:

Transparency and Integrity Policy Acknowledgement Form

I acknowledge that I have received a copy of the Tompkins County Workforce Development Board's Transparency and Integrity in Workforce Development Board Decisions Policy, which describes confidentiality, conflict of interest, and TEGL No. 35-10. I understand that I should consult the Workforce Development Board if I have questions.

I understand and agree that I will read and comply with the policies contained in this policy and any revisions.

Name (Printed)

Signature

Date

Draft: 9/15/2022

Board Approved: PENDING

TOMPKINS COUNTY WORKFORCE DEVELOPMENT BOARD

REMOTE AND/OR ONESITE SUBRECIPIENT OVERSIGHT AND MONITORING FISCAL AND PROGRAM COMPLIANCE MONITORING

BACKGROUND

The Workforce Innovation and Opportunity Act (WIOA) Section 183, *Monitoring*, states: “(a) In General...the Secretary is authorized to monitor all recipients of financial assistance under this title to determine whether the recipients are complying with the provisions of this title, including the regulations issued under this title.”

Monitoring of any type is necessary for the purpose of ensuring compliance and to foster continuous improvement of the individual programs and one-stop system. To further these ends, monitoring activities must:

- Recognize and highlight the positive practices of the entity being reviewed
- Offer efficient technical assistance when issues of non-compliance are identified
- Offer efficient technical assistance to foster continuous improvement
- Allow sufficient time for corrective action
- Ensure implementation through follow-up

I. SCOPE OF MONITORING

A. Program Monitoring

During each program year, pursuant to the schedule outlined in the preceding section, Tompkins County Workforce Development Board conducts program management and oversight defined as reviewing, monitoring and evaluating program activities undertaken with funding provided under the Workforce Innovation and Opportunity Act and the outcomes of those activities related to the federal, state, and local program and system performance goals. This oversight results in the development of recommendations for improvement. WDB Staff conduct the monitoring.

Monitoring activities ensure that contractors are in compliance with the Workforce Innovation and Opportunity Act, Federal Regulations, State policies and locally approved policies. Monitoring consists of a review of customer files and records on the case management system known as the One Stop Operating System- OSOS.

Schedule

- WIOA Title I Adult – Annually
- WIOA Title II Dislocated Worker – Annually
- WIOA Title I Youth – Annually
- Trade Act – Annually
- Subrecipient Contract Reviews – Quarterly
- Desk Review of Performance monitoring of LWDB subrecipient – Quarterly

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B. Fiscal Monitoring

The Tompkins County Workforce Development Board will conduct regular fiscal oversight and monitoring, pursuant to the schedule outlined attached in this document, to ensure that contractors comply with all Federal, State and local laws, regulations and provisions of contracts and agreements. WDB Staff will conduct the monitoring. The purpose is to determine that expenditures made against the cost categories are accurate, appropriate, in compliance, and consistent with the contract budget.

Monthly vouchers are submitted to the WDB and carefully reviewed for accuracy and appropriateness prior to authorizing reimbursement. Vouchers should be submitted in the format provided by the WDB. If there are any questionable costs, the contractor is contacted for further explanation or back-up information/documentation. Once issues are resolved, payment will be authorized. If there are any disallowed costs, the contractor is notified, and the invoice is reduced accordingly. Technical assistance will be made available.

A full and complete monitoring review will include a review of all fiscal records, the cost allocation plan, the financial management and reporting system, all accounts payable, equipment management, and purchasing and procurement policies. In addition, contractors receiving over \$750,000 in federal funds must provide the WDB with a copy of their Single Audit report for the prior year within nine months of the end of the fiscal year or within thirty days after receipt of the auditor's report, whichever is earlier. Single Audit reports will be reviewed for relevant findings. Contractor will be required to provide an update on changes made to respond to Single Audit findings. Per Technical Advisory 21-05 Form IIa.1 the most recent Financial Management/Cost Allocation for Contracted Service Providers will be utilized. It is the policy of the WDB that work papers and reports related to review will be retained by WDB staff for review by Federal and state officials.

Fiscal Records

All contractors must keep records that adequately identify Tompkins County WDB grant funds. The records must contain information pertaining to grant or subgrant awards and authorizations, obligations, unobligated balances, assets, liabilities, outlays or expenditures, and income. The records must be maintained in accordance with Generally Accepted Accounting Principals (GAAP). Contractors may use either the cash or the accrual method of accounting; however, expenditures must be reported to the Tompkins County WDB on an accrual basis. If the records are maintained on a cash basis, the contractor must maintain a set of linking records, typically accrual spreadsheets, so that the reported costs are traceable during monitoring or auditing to the official accounting records or books of account.

Cost Allocation Plan

The contractors cost allocation plan will be reviewed to determine the types of expenses allocated and the methodology used. Actual expenditure allocation will be verified to determine if in accordance with the plan and for reasonableness. If the plan is not reasonable or there is no allocation plan, technical assistance will be provided to remedy the situation. If an indirect cost rate is used, monitor will verify that the rate has been approved by the appropriate agency and that the rate has been properly applied to the program. When an administrative overhead rate is

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applied to the contract, monitor will verify the costs that serve as the basis for the rate and verify that the rate is being properly applied and appropriately updated.

Reports

Reports will be issued as defined in the program monitoring section. Any areas initially noted as disallowed, or potentially disallowed costs, will be immediately addressed. Upon review, the monitor may revise the findings and/or recommendations. Any documentation provided to resolve the specific deficiencies will result in the deletion of the reference to the specific deficiencies in the final report, but may not result in changes to the findings and/or recommendations. It should be noted that the Workforce Development Board will not consider other documentation submitted by the contractor, if such information was not available at the time of the monitoring activity. Also, if the contractor does not respond to the draft report, within the time frame noted above, the Workforce Development Board will assume that the contractor concurs with the findings and the final report will be issued. The final report will note that the contractor did not respond to the draft report.

Schedule

- Subrecipient Monitoring – Annually
- Financial Management/Cost Allocation – Annually
- Procurement – Every two years;
- Property Management – Every two years
- Desk Reviews of Expenditure Reports – Monthly

II. MONITORING GUIDES

NYSDOL Monitoring Guides, modified for local use, will be utilized to conduct Program Monitoring.

There are the areas for program review:

- Eligibility and Records Review
- Delivery of Services
- Quality of Services
- Customer Satisfaction
- EEO Requirements/Grievance Procedures
- Performance Requirements

III. MONITORING REPORTS

A. Development of Monitoring Report

Two monitoring reports (Draft and Final) will be issued. These reports will contain at least the following:

- A. Introduction

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- B. Positive practices that indicate a culture that fosters strong customer service, positive outcomes, and continuous improvement
- C. Prior Monitoring Findings Review (if appropriate.)
- D. Current Findings
- E. Recommendations/Corrective Action
- F. Specific Deficiencies (optional)

The Tompkins County Workforce Development Board staff will provide the contractor with a draft report within forty-five (45) business days of completing the review. The contractor will have fifteen (15) days after issuance/transmittal of the draft report to submit written comments. Appropriate supplemental information may be submitted if the contractor believes that it should be considered prior to issuance of the final report.

Upon review of the contractors written comments, the monitor may revise the findings and/or recommendations and shall issue the final report within ten (10) business days. Any documentation provided to resolve the specific deficiencies will result in the deletion of the reference to the specific deficiencies in the final report but may not result in changes to the findings and/ or recommendations.

If the contractor does not respond to the draft report within the time frame noted above, the Workforce Development Board will assume that the contractor concurs with the findings and the final report will be issued. The final report will note that the contractor did not respond to the draft report.

B. Distribution List of Reports

All written reports will be distributed to:

- The agency being reviewed (subrecipient);
- LWDB Chair (or designated LWDB member(s) to receive the report);
- The appropriate NYSDOL Financial Oversight and Technical Assistance (FOTA) and Program representatives;
- Grant Recipient CEO (Tompkins County CEO);
- Members of the Executive Committee of LWDB; and
- Appropriate LWDB staff.

C. Corrective Action Plan

A final monitoring report may require that the contractor submit a proposed corrective action plan, in response to the findings contained in the report. Upon review, the Tompkins County Workforce Development Board staff will accept the plan or request further revisions or clarification. Failure to submit the plan within the time thirty (30) business days or more (indicated in the final report and dependent on the number and severity of deficiencies noted) may result in the suspension/ termination of the subgrant agreement. If the plan is acceptable, the contractor will receive a confirmation of the resolution to the report findings.

The corrective action plan must be specific in describing the steps/procedures that will be implemented to correct the identified problems and must contain a timetable for implementation.

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Subsequent monitoring will include a review of the implementation of the corrective action plan by the contractor. Failure of the contractor to implement the corrective actions may result in the modification, suspension, or termination of the contract.

In the event of any significant findings resulting from the reviews, which may have a material impact on the financial and participant reporting of Tompkins County Workforce Development Board, NYSDOL will be notified immediately.

D. Appeals to Monitoring Reports/Corrective Action

The monitoring report is considered an administrative oversight tool for the Tompkins County Workforce Development Board and the contractor. Therefore, no appeal to the report itself is possible. A contractor may utilize the local area's policy for grievances for resolution and corrective action of any questioned costs.

IV. INDEPENDENT AUDITORS/MONITORING REPORTS

Typically monitoring activities are program specific and relate to activities that may not be in the field of expertise of independent auditors. Therefore, auditors may utilize these reports in their examination of compliance matters only.

V. STATE/FEDERAL MONITORING

Typically, monitoring by the State Department of Labor or United States Department of Labor is scheduled through the Tompkins County Workforce Development Board. If a contractor is notified of a pending monitoring activity by other than the Tompkins County Workforce Development Board, the Workforce Development Board must be notified immediately. Further, if as a result of such monitoring the contractor is requested to provide a corrective action plan or otherwise is provided a report, the contractor is requested to consult with the Tompkins County Workforce Development Board prior to responding.

VI. TECHNICAL ASSISTANCE

Technical assistance will be provided whenever non-isolated deficiencies are found. In addition, technical assistance may be provided solely for the purpose of fostering continuous improvement, even if no specific notable deficiencies are indicated. Technical assistance may be provided in a number of ways, dependent on the area to be addressed, cost, and availability:

- Counseling by the WDB Staff
- Counseling and training by the NYSDOL representatives and experts
- Written materials that provide clarification and offer up best practices
- Workshops and trainings available either locally, through the New York State Department of Labor, New York Association of Training and Employment Professionals, or other appropriate providers and venues

PLAN

2022- 2023

CONTRACTS TO BE MONITORED; SCHEDULE; PERSON(S) RESPONSIBLE

Monitors

ED- Executive Director, Tompkins County Workforce Development Board

DD – Deputy Director, Tompkins County Workforce Development Board

WDA – Workforce Development Associate, Tompkins County Workforce Development Board

Contractor	*Program Monitor	Schedule	Fiscal Monitor	Schedule
Tompkins County Office of Employment and Training (WIOA Adult, Dislocated Worker, Youth, TAA, TET-NDWG, ER-NDWG)	WDA DD	Adult: Annually D/W: Annually Youth: Annually	ED DD	Annually
Tompkins County Office of Employment and Training (SYEP)	WDA DD	September- October	ED DD	Sept- November
Ithaca Youth Bureau (SYEP)	WDA DD	September- October	ED DD	Sept- November
Tompkins County Office of Employment and Training (One-Stop System Operator Consortium)	ED DD	Quarterly	N/A	N/A

**Tompkins County Workforce Development Board
Budget Statement
30-Jun-22**

100% of yr.

	Budget	Jun-21	Jun-22	YTD	Balance	YTD % of Budget
Expenditures						
Staff Wage	272,789	14,520.22	24,535.53	194,195.01	78,593.99	71%
Fringe	143,660	7,652.16	11,531.71	96,724.02	46,935.98	67%
Rent/Taxes	19,926	1,636.00	1,903.99	18,410.99	1,515.01	92%
Professional Services	6,000	0.00	0.00	6,000.00	0.00	100%
Office Supplies	1,100	0.00	0.00	1,083.79	16.21	99%
Office Furniture	1,000	0.00	0.00	939.96	60.04	0%
Heat/Electric	1,275	0.00	0.00	511.76	763.24	40%
Software/Hardware	3,600	0.00	1,600.78	3,540.70	59.30	98%
Computer Equipment	3,030	0.00	482.00	2,992.51	37.49	99%
Postage	35	0.00	0.00	29.40	5.60	84%
Travel Training	4,400	0.00	650.00	4,050.64	349.36	92%
Local Travel	200	0.00	0.00	0.00	200.00	0%
Phone	1,800	0.00	527.50	1,763.65	36.35	98%
Membership Dues	5,600	0.00	900.00	5,550.00	50.00	99%
Sub Contracts	1,521,823	49,364.42	128,342.24	1,257,971.25	263,851.75	83%
IT Services	1,100	0.00	0.00	240.00	860.00	22%
Books, Subs & Periodicals	700	0.00	40.00	669.90	30.10	96%
Advertising	360	0.00	0.00	303.58	56.42	0%
Program Expenses	5,800	0.00	0.00	0.00	0.00	0%
Printing	300	0.00	0.00	69.03	230.97	0%
Meeting Expenses (Food, Supplies & Meeting Space)	0	0.00	0.00	0.00	0.00	0%
Total Expenditures	1,994,498	73,172.80	170,513.75	1,595,046.19	393,651.81	80%

	Budget	Jun-21	Jun-22	YTD	Balance	YTD % of Budget
Revenue						
WIOA Admin	71,000	7,568.70	3,116.65	55,847.07	15,152.93	79%
WIOA Adult	253,164	10,863.71	45,030.66	231,417.89	21,746.11	91%
WIOA Dislocated Worker	152,102	1,901.00	13,847.41	125,898.90	26,203.10	83%
WIOA Youth	446,000	14,183.82	35,337.68	329,171.64	116,828.36	74%
Disability Employment Initiative (RFMH)	70,064	2,258.07	0.00	30,930.40	39,133.60	44%
DEI Grant Round 8	74,000	9,467.69	0.00	65,495.04	8,504.96	89%
SYEP	351,969	0.00	0.00	351,969.00	0.00	100%
County	280,960	61,684.24	23,756.67	187,396.53	93,563.47	67%
Tourism	3,600	0.00	0.00	1,130.75	2,469.25	31%
TET-NDWG	73,500	2,901.16	0.00	22,365.08	51,134.92	30%
ER-NDWG	8,139	0.00	0.00	0.00	8,139.00	0%
Misc - Park Foundation, Community Foundation, Un	85,000	0.00	0.00	85,000.00	0.00	100%
NY-SCION	100,000	0.00	9,452.99	33,015.40	66,984.60	33%
Ticket to Work	25,000	0.00	0.00	16,928.80	8,071.20	68%
Total Revenue	1,994,498	110,828.39	130,542.06	1,536,566.5	457,931.50	77%

*All Expenditures and Revenue are recorded on a cash basis and as such records may show a shortfall or surplus.
This is not an operating expense concern.

**Tompkins County Office of Employment Training
Budget Statement
30-Jun-22**

100% of yr.

	Budget	Jun-21	Jun-22	YTD	Balance	YTD % of Budget
Expenditures						
Staff Wage	360,539	14002.55	22099.42	322286.59	38252.41	89%
Fringe	188,148	7379.35	9793.33	159573.45	28574.55	85%
Rent/Taxes	14,981	2486.13	11724.07	18120.70	-3139.70	121%
Copier Contract	647	39.54	41.36	530.74	116.26	82%
Phone Maintenance	1285	0.00	0.00	493.63	791.37	38%
Office Supplies	452	0.00	46.82	77.25	374.75	17%
Postage	376	0.00	0.00	139.20	236.80	37%
Travel Training	7,359	0.00	0.00	7284.65	74.35	99%
Local Travel	3,903	0.00	32.23	544.51	3358.49	14%
Phone	5404	0.00	165.32	4326.90	1077.10	80%
Membership Dues	226	0.00	0.00	32.90	193.10	15%
Books, Subscriptions & Periodicals	1423	0.00	0.00	711.54	711.46	50%
Computer Software/Hardware	1,753	0.00	0.00	1741.52	11.48	99%
IT Services	1,714	0.00	0.00	1460.93	253.07	85%
Printing	1379	26.94	184.97	493.71	885.29	36%
Supportive Services	27,000	933.00	5270.16	31654.97	-4654.97	117%
Tuition	74458	0.00	28685.00	100948.00	-26490.00	136%
Participant Wages	90000	3156.27	21769.72	78309.98	11690.02	87%
Participant Fringe	12,350	400.85	2503.51	9223.02	3126.98	75%
Total Expenditures	793,397	28424.63	102315.91	737954.19	55442.81	93%

Adm, Adult, IS/OS Youth, DW, ER-NDWG Expenses only in summary



Tompkins WDB Retreat

September 27, 2022



*Workforce
Development
Board*

Agenda

Time	Item	Speaker
8:00 am - 8:30 am	Breakfast Networking	--
8:30 am - 8:40 am	Call to Order Welcome and Introductions	S. Pronti
8:40 am - 9:00 am	Board Action Items	S. Pronti
9:00 am - 9:30 am	Current State in Tompkins County - Labor Market Data	R. Avila
9:30 am - 10:30 am	WIOA and WDB Presentation	M. Mack
10:30 am - 10:40 am	Coffee Break	--
10:40 am – 12:00pm	Future Goals Next Steps and Conclusion	M. Mack

Board Action Items	Speaker	Activity
Approval of Minutes – June 21, 2022	S. Pronti	Vote
Ratification of Executive Committee’s Approval of Transparency and Integrity Policy	S. Pronti	Vote
Ratification of Executive Committee’s Approval of Conflict of Interest Disclosure Statement	S. Pronti	Vote
Ratification of Executive Committee’s Approval of Transparency and Integrity Acknowledgement Form	S. Pronti	Vote
Approval of Subrecipient Monitoring Policy	S. Pronti	Vote



Who We Are

We are New York's Workforce Association.

NYATEP provides its members the leadership, vision, and advocacy for a thriving workforce in New York State.

Our focus is to ensure that every New Yorker and employer in New York State has access to the skills they need to work in and support a robust statewide economy.

Who We Serve

Our membership services over a million people each year and spans New York's

- 33 local workforce development boards
- career centers
- State and City community college systems
- literacy providers
- community-based organizations
- local governments
- labor unions
- economic development agencies
- career and technical education providers, and others

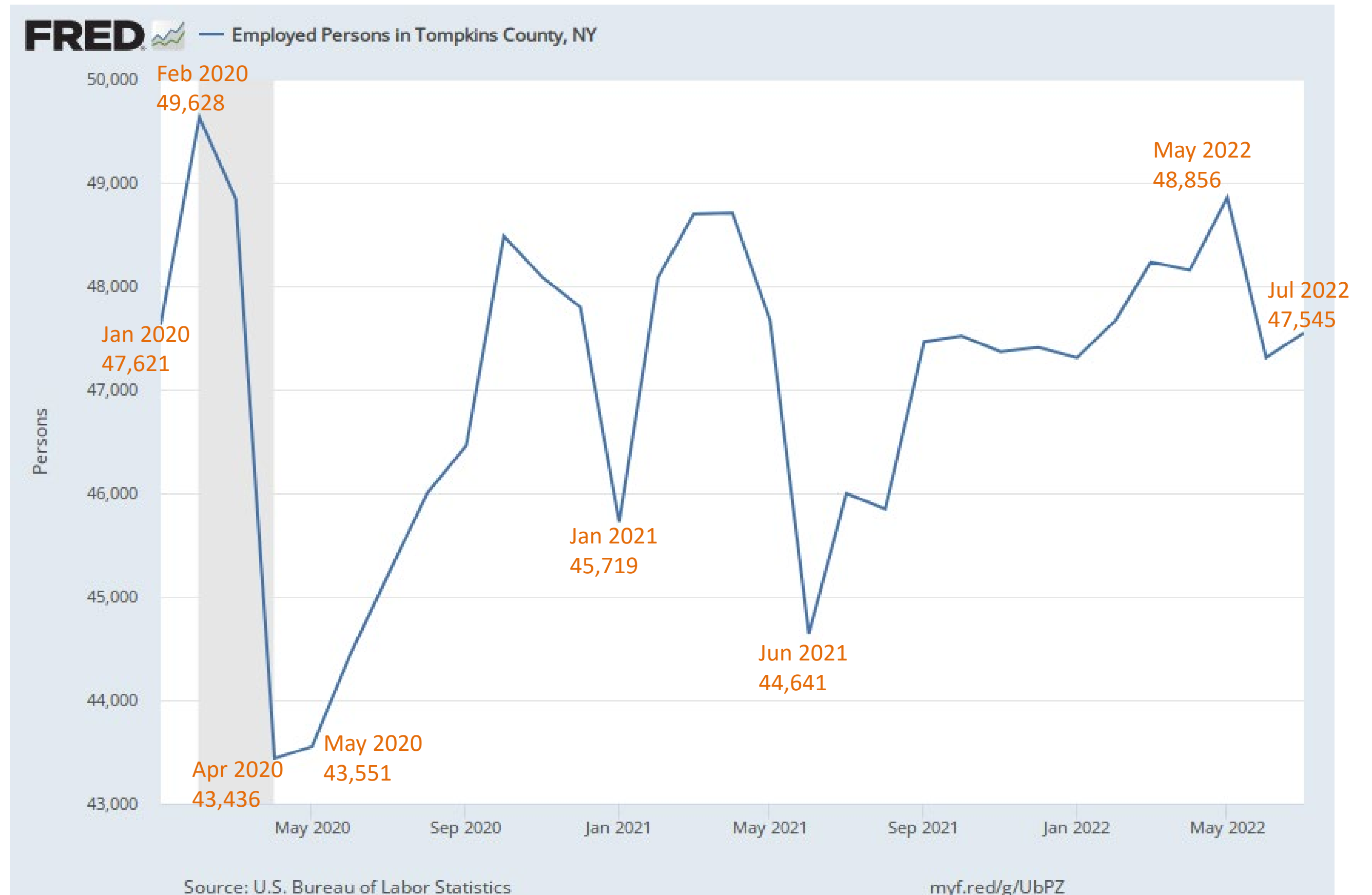


**What was your very first job
and what did you learn from it?**



Tompkins County Population Estimates, July 1, 2021

Population: 105,162





Number of Private Establishments for All Industries in Tompkins County, NY

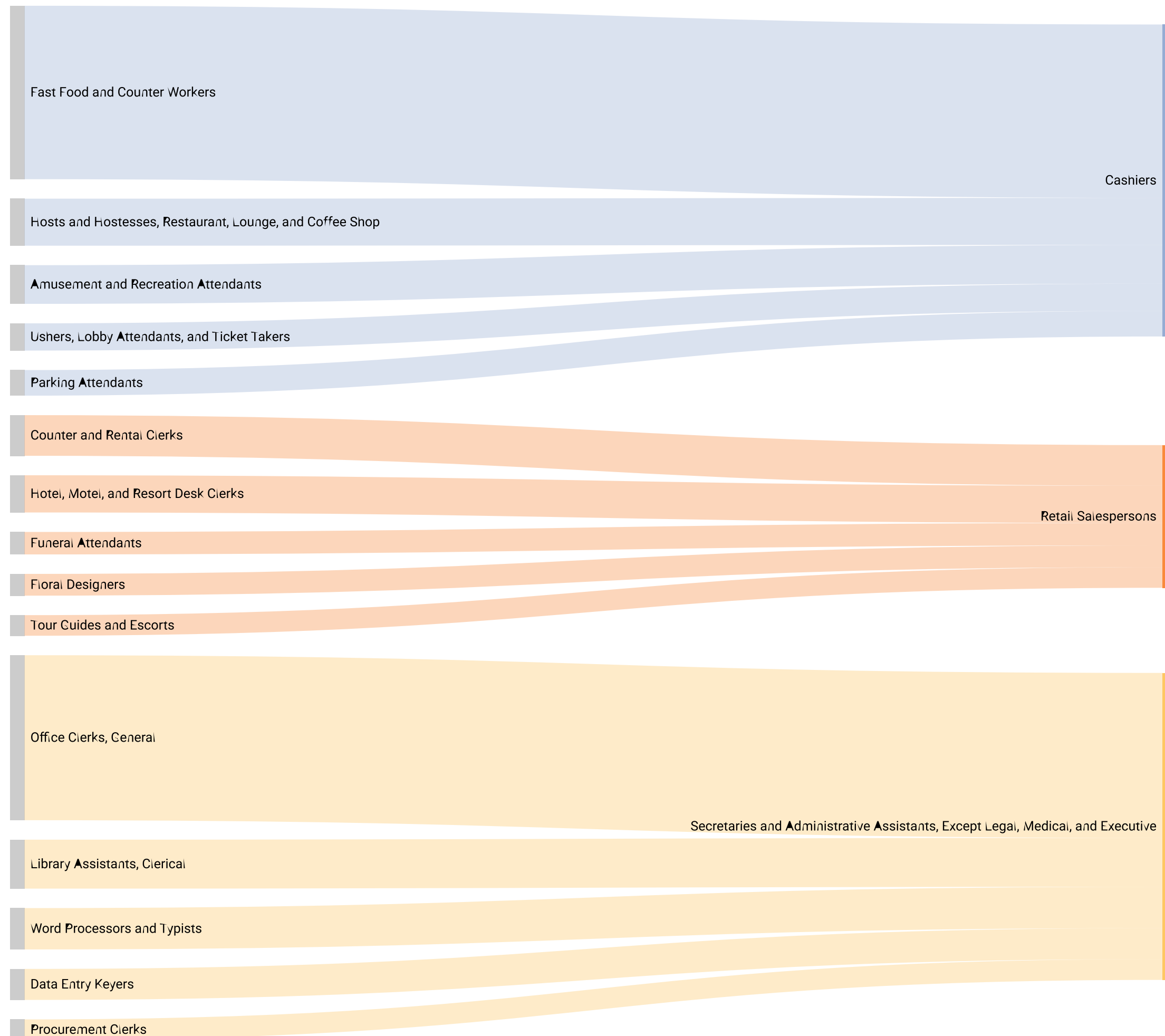


Sources: BLS; St. Louis Fed

myf.red/g/UbOG

Sector Strategy Pathways

Illustrate relationships and potential movement (from left to right) between occupations that share similar skill sets. Developing career pathways as a strategy promotes industry employment growth and workforce engagement.





Unemployed Persons in Tompkins County, NY



Source: U.S. Bureau of Labor Statistics

myf.red/g/UbR3

Unemployment Rate January – August 2022

Source: NYSDOL

Month	Rate
August	3.0%
July	3.2%
June	2.8%
May	2.4%
April	2.3%
March	2.7%
February	3.0%
January	2.8%

Top 5 Sectors

- ✓ Educational Services
- ✓ Health Care & Social Assistance
- ✓ Manufacturing
- ✓ Accommodation & Food Services
- ✓ Retail Trade

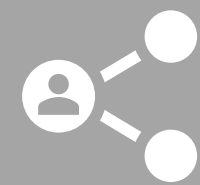
Challenges

- Housing
- Transportation
- Childcare
- Individuals on public assistance

Table Discussion Questions



What surprised you about what was presented?



How does what was shared align with what is happening in your business?



What do you see as the biggest challenges to recruitment, retention and training the workforce in Tompkins County?



BREAK

What's workforce development?

Generally speaking, “workforce development” refers to the education, job training and employment activities, including policies and programs, used by countries, states and localities to create, sustain, and retain a viable workforce.

Simply put: It means ensuring a geography has trained workers for existing unfilled jobs in the labor market, but also the predicted job openings of the future.

What workforce development is not:

- A *NEW* idea
- Just getting someone a job
- A freeride for businesses
- “Training and praying”
- A second chance system
- A program focused ONLY on jobseekers or businesses



1930's - 1940's

- 1935 – Wagner Peyser; Works Progress Administration (WPA); Social Security Act
- 1937 National Apprenticeship Act
- 1946 Employment Act for Veterans

1950's - 1960's

- 1962 -3 Manpower Development and Training Act and Youth Services
- 1962 Social Security Act – Community Work and Training
- 1963 Vocational Education Act
- 1964 Economic Opportunity Act
- 1965 Higher Ed Act/Pell
- 1966-68 Concentrated Employment Programs and WIN

1970's

- 1971 Emergency Employment Act
- 1973 Rehabilitation Act & Comprehensive Employment & Training Act (CETA)
- 1974 Trade Act: Trade, Globalization Adjustment Assistant
- 1975 Earned Income Tax Credits
- 1977 Youth Employment Demonstration Projects Act
- 1978 CETA, established PICs

1980's

- 1981 Omnibus allowed for the Community Work Experience Program.
- 1982 Job Training Partnership Act
- 1984 Work Supplementation / Grant Diversion and Perkins Vocational Education Act
- 1988 Family Support Act replaced WIN with the Job Opportunities and Basic Skills program (JOBS)

1990's

- 1990 American with Disabilities Act
- 1995 Personal Responsibility and Work Opportunity Reconciliation Act replaced the Family Support Act and JOBS, and Temporary Assistance for Needy Families replaced AFDC
- 1998 Workforce Investment Act
- 1999 Ticket to Work

2000's

- 2001 New Freedom Initiative
- 2015 Workforce Innovation and Opportunity Act
- What's next?!

A Decade of Federal Trends

Earn and learn, i.e. apprenticeship –concept of Industry Recognized Apprenticeships (I-RAPs); work-based learning

Focus on Community Colleges as a driver for employer engagement and student success (i.e. \$2B TACCCT grants, wrap around supports, accountability)

Job quality and equity

Skill-based hiring

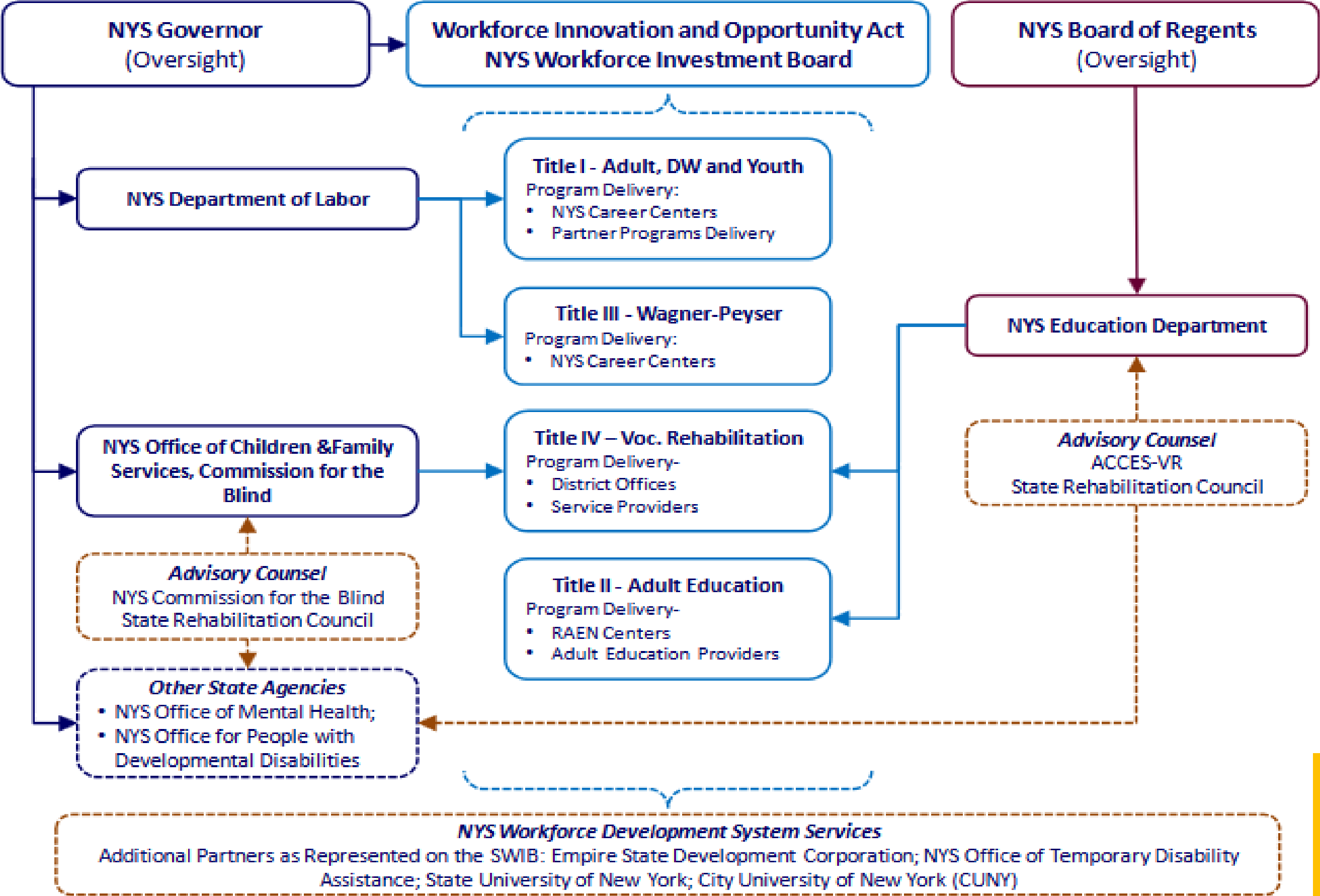
Focus on clean energy – electrification; broadband; infrastructure

WIOA – and a focus on underserved populations

What is the Purpose of WIOA?

- Increase access to education, training and employment; particularly for people with barriers
- Create a high-quality workforce development system by aligning education and workforce development systems
- Improve the quality of labor market relevance
- Promote improvement within the structure and delivery of services
- Increase the prosperity of workers and employers
- Reduce dependency, meet employer needs, enhance productivity and competitiveness in the nation

APPENDIX 1: WIOA ORGANIZATIONAL CHART



ESD Office of Economic and Workforce

Local Workforce Boards

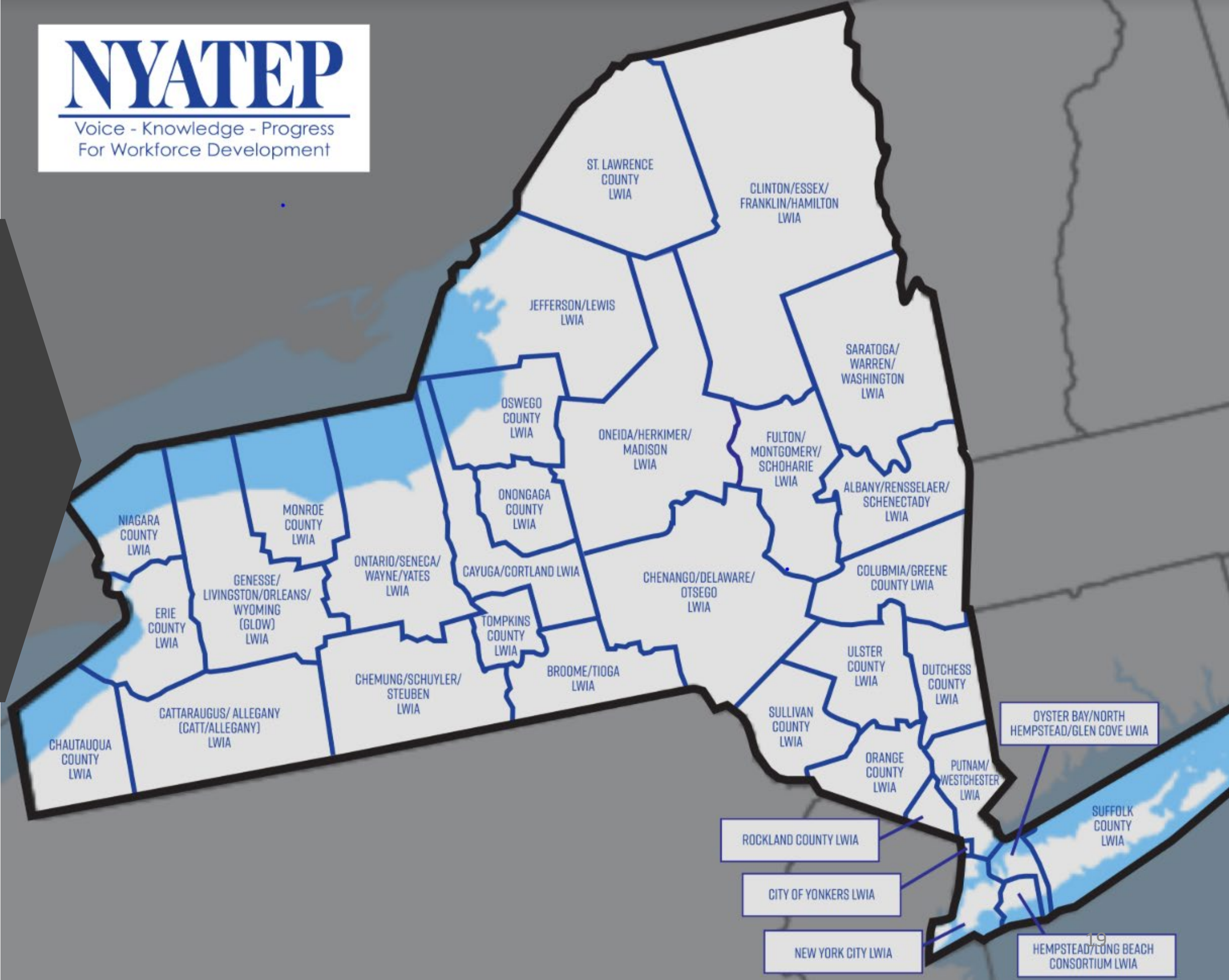
The State Workforce Board

- The SWIB is the governance body for state workforce development programs in New York. It has not convened since 2016-ish and is being “reconstituted by the Governor”
- Appointed by the Governor, membership includes the WIOA-required partners from business, labor unions, local government, NYS Executive and Legislative branches, and other representatives with experience addressing the workforce needs of those with barriers to employment.
- In October 2014, the previous SWIB Chairman Cozzolino established five standing committees – with the goal of alignment with the Regional Economic Development Councils:
 - Communications & Improving Regional Planning
 - Education & Credentials
 - Significant Industries
 - Aligning Workforce Programs
 - Outcomes & Metrics

NYATEP

Voice - Knowledge - Progress
For Workforce Development

33 Local Workforce Areas in NYS



What is the Role of a Local Workforce Board

Vision	The Board sets the vision for how the system should operate; put customers (business & job- or career-seekers) at the center; and the service delivery model
Structure	The Board determines the best structure for the system (i.e. virtual vs. bricks and mortar; contracting services vs. in house)
Alignment & Integration	The Board understands the system; and works to align programs that duplicate work or can expand work that aligns with its vision
Leveraging Investments	The Board works to bring in outside investment into the system or to leverage the WIOA funds

Role of Local Workforce Development Boards

Policy	Operations	Strategy
<p>Writing/Approving Local Plan</p> <p>Program Oversight: Local Board Policies – <i>decisions need to be made in Open Meetings</i></p> <p>Must make info publically available (i.e. on websites)</p> <p>Performance Negotiations w/NYSDOL</p>	<p>Technology Improvements</p> <p>Selection of Operators and Providers (RFPs)</p> <p>Budget and Administrative Oversight</p> <p>Accessibility for Individuals with Disabilities</p> <p>Programmatic Continuous Improvement</p>	<p>Workforce Research & LMI</p> <p>Convening Brokering and Leveraging</p> <p>Employer Engagement</p> <p>Career Pathways</p> <p>Promoting Promising Practices</p> <p>Coordination with Education providers</p>

Role of Workforce Boards in Action

Strategy

Workforce Research
& LMI

→ What is the role of the Board in highlighting local issues; industries in demand; ensuring economic & workforce development & education is using the same LMI info?

Convening Brokering
and Leveraging

→ How is the board the CATALYST for new partnerships? How are local initiatives related to workforce supported by the Board?

Employer
Engagement

→ Are Board Members hiring from the system? Using training? Serving as youth mentors? Do we need an intermediary?

Career Pathways

→ Are Board policies (i.e. training caps and in demand list) supportive of Pathways? How does the Board help create new pathways?

Promoting
Promising Practices

→ Are the Centers are engaging in high quality customer service? Are sector strategies & coordinated business engagement occurring? Does the LWIA need a request waivers? How is technology changing service delivery strategy?

Coordination with
Education providers

→ Is the Board engaging with local educational training providers to support pathways; business engagement; education incentives?

Why Does the WIOA Funding Vary Annually?

Adult

- Number of unemployed persons in areas with an unemployment rate of 6.5 percent or more
- Number of unemployed in excess of 4.5 percent of the civilian labor force
- Number of Adults/Youth whose income, or whose family income, was below poverty or below 70% of the lower living standard income level.

Dislocated Worker

- Total number of UI beneficiaries and long term unemployed;
- Number of unemployed persons in areas with an unemployment rate of 6.5 percent or more
- Number of unemployed under the Mass Layoff Statistics program
- Change in employment in industries with job losses in past five years
- Number of farms with net losses.

WIOA Adult Program
Program Year 2021 WIOA Title 1 Allocations
NYS Local Workforce Development Areas

Local Workforce Development Area	Adult Program			
	PY 2021 actual	PY 2020 actual	\$ Change 2021-2020	% Change 2021-2020
Capital Region	\$1,116,223	\$1,173,452	-\$57,229	-4.88%
Broome/Tioga	\$571,162	\$593,988	-\$22,826	-3.84%
Allegany/Cattaraugus	\$377,075	\$389,192	-\$12,117	-3.11%
Cayuga/Cortland	\$290,119	\$302,094	-\$11,975	-3.96%
Chautauqua	\$349,658	\$366,301	-\$16,644	-4.54%
Chemung/Shuyler/Steuben	\$516,750	\$537,866	-\$21,115	-3.93%
Chenango/Delaware/Otsego	\$344,249	\$352,388	-\$8,139	-2.31%
North Country	\$476,682	\$499,322	-\$22,641	-4.53%
Columbia/Greene	\$196,815	\$201,835	-\$5,020	-2.49%
Dutchess	\$510,872	\$473,893	\$36,978	7.80%
Erie County	\$2,296,594	\$2,333,790	-\$37,196	-1.59%
Fulton/Mont/Schoharie	\$360,568	\$370,203	-\$9,635	-2.60%
GLOW	\$487,592	\$498,382	-\$10,790	-2.16%
Hempstead/Long Beach	\$1,507,172	\$1,295,427	\$211,745	16.35%
Jefferson/Lewis	\$414,698	\$430,227	-\$15,529	-3.61%
Monroe County	\$1,767,334	\$1,949,205	-\$181,870	-9.33%
New York City	\$23,489,133	\$24,557,467	-\$1,068,334	-4.35%
Niagara County	\$637,708	\$688,466	-\$50,758	-7.37%
Herkimer/Madison/Oneida	\$886,113	\$927,528	-\$41,415	-4.47%
Onondaga County	\$954,868	\$942,522	\$12,346	1.31%
Finger Lakes	\$485,147	\$499,040	-\$13,893	-2.78%
Orange County	\$757,348	\$603,436	\$153,912	25.51%
Oswego County	\$382,672	\$400,003	-\$17,332	-4.33%
Oyster Bay	\$805,882	\$442,401	\$363,481	82.16%
Rockland County	\$557,665	\$500,262	\$57,403	11.47%
Saratoga/Warren/Wash	\$583,201	\$544,822	\$38,379	7.04%
St. Lawrence County	\$348,576	\$366,113	-\$17,537	-4.79%
Suffolk County	\$2,895,926	\$2,247,538	\$648,388	28.85%
Sullivan County	\$174,617	\$174,713	-\$96	-0.06%
Tompkins	\$155,147	\$164,373	-\$9,225	-5.61%
Ulster County	\$369,268	\$350,273	\$18,995	5.42%
Westchester/Putnam	\$1,359,126	\$1,208,658	\$150,468	12.45%
Yonkers, City of	\$602,624	\$618,712	-\$16,088	-2.60%
TOTAL	\$47,028,586	\$47,003,895	\$24,691	0.05%

WIOA Adult Program
Program Year 2022 WIOA Title 1 Actual Allocations
NYS Local Workforce Development Areas

Local Workforce Development Area	Adult Program			
	PY 2022 actual	PY 2021 actual	\$ Change 2022-2021	% Change 2022-2021
Capital Region	\$1,242,857	\$1,116,223	\$126,634	11.34%
Broome/Tioga	\$632,459	\$571,162	\$61,297	10.73%
Allegany/Cattaraugus	\$415,930	\$377,075	\$38,855	10.30%
Cayuga/Cortland	\$321,447	\$290,119	\$31,328	10.80%
Chautauqua	\$388,652	\$349,658	\$38,994	11.15%
Chemung/Shuyler/Steuben	\$572,457	\$516,750	\$55,707	10.78%
Chenango/Delaware/Otsego	\$378,160	\$344,249	\$33,911	9.85%
North Country	\$529,809	\$476,682	\$53,127	11.15%
Columbia/Greene	\$216,416	\$196,815	\$19,601	9.96%
Dutchess	\$534,517	\$510,872	\$23,645	4.63%
Erie County	\$2,513,390	\$2,296,594	\$216,796	9.44%
Fulton/Mont/Schoharie	\$396,648	\$360,568	\$36,080	10.01%
GLOW	\$535,197	\$487,592	\$47,605	9.76%
Hempstead/Long Beach	\$1,521,259	\$1,507,172	\$14,087	0.93%
Jefferson/Lewis	\$458,635	\$414,698	\$43,937	10.59%
Monroe County	\$2,017,381	\$1,767,334	\$250,047	14.15%
New York City	\$31,727,365	\$23,489,133	\$8,238,232	35.07%
Niagara County	\$719,853	\$637,708	\$82,145	12.88%
Herkimer/Madison/Oneida	\$984,475	\$886,113	\$98,362	11.10%
Onondaga County	\$1,029,901	\$954,868	\$75,033	7.86%
Finger Lakes	\$534,233	\$485,147	\$49,086	10.12%
Orange County	\$738,625	\$757,348	-\$18,723	-2.47%
Oswego County	\$424,834	\$382,672	\$42,162	11.02%
Oyster Bay	\$701,535	\$805,882	-\$104,347	-12.95%
Rockland County	\$574,215	\$557,665	\$16,550	2.97%
Saratoga/Warren/Wash	\$612,270	\$583,201	\$29,069	4.98%
St. Lawrence County	\$387,914	\$348,576	\$39,338	11.29%
Suffolk County	\$2,791,792	\$2,895,926	-\$104,134	-3.60%
Sullivan County	\$189,647	\$174,617	\$15,030	8.61%
Tompkins	\$173,427	\$155,147	\$18,280	11.78%
Ulster County	\$390,580	\$369,268	\$21,312	5.77%
Westchester/Putnam	\$1,393,770	\$1,359,126	\$34,644	2.55%
Yonkers, City of	\$662,971	\$602,624	\$60,347	10.01%
TOTAL	\$56,712,621	\$47,028,586	\$9,684,035	20.59%

PROGRAMS

Basic Skills, Credentials & Work

- K-12 work-based programs (P-tech models, early college, and CTE)
- High School Equivalency (BOCES; Libraries, CBOs; Jail-based programs)
- CBOs and counties (WEP and transitional jobs)
- Pre-apprenticeship programs

Vocational Training & Employment

- CUNY/SUNY/BOCES non-credit workforce programs, Co -Ops and credential -based programs
- CBO-credential -based and employer -based programs
- Proprietary Schools
- Apprenticeship programs

Advanced Training & Employment

- CUNY/SUNY/BOCES Credit-bearing and credential -based programs; 2 -4 year degrees
- Union-based programs
- Licensing programs
- Proprietary Schools
- Apprenticeship programs

FUNDING

- For K-12: Local Tax Levy, State Aid
- NYSED: WIOA Title II, EPE, and ALE, Vocational Rehab
- NYSDOL: WIOA
- Limited Resources from
- OTDA
- OCFS
- DOCS
- Private Philanthropy

- NYSED: WIOA Title II and VR
- NYSDOL: WIOA Title I and WP
- OTDA
- NYSERDA
- DOCS; DOS
- State funding to Community Colleges
- Local tax levy
- Private Philanthropy
- Union funded
- Employer -funded

- NYSED: WIOA Title II and VR
- NYSDOL: WIOA Title I and WP
- OTDA
- NYSERDA
- SUNY/CUNY State \$; Pell; TAP
- Student Loans or tuition payments
- Local tax levy
- Private Philanthropy
- Union funded
- Employer-funded

←.....
Low Wage and/or Entry-Jobs

.....→
Higher Wage or Senior-Level Jobs

Potential Disrupters



Politics:

New Governor/Redistricting/Election Year

Economy:

Inflation and continued supply chain disruptions; some sectors are still lagging in recovery/Automation/AI

Health:

COVID-19 lingers, and mental health is at the forefront

Labor Market:

Wages are trending upwards, so it's a worker's market – employers are having to do more to attract talent

Educational Attainment in Tompkins

Educational attainment	# of people	% of people
Less than 9 th Grade	1,423	2.4%
9 th – 12 th Grade – no diploma	1,314	2.2%
High School Grade (inc. HSE)	10,291	17.2%
Some college, no degree	1,249	11%

What Can We Do Right Now?



Engage

Engage young adults early and often; work experience

Invest

Invest in incumbent worker training and those with high school diplomas or less - - especially as the technology changes the landscape of work

Adapt

Recognize the changing 'requirements' of the workforce – (and retaining workers adds to the bottom-line). The quality of the jobs you create matters.

It's MORE than Training

Economic and workforce entities need to ensure adequate housing, affordable broadband and childcare, healthcare, transportation exist in the region to support workforce expansion.

Table Discussion Questions

Understanding the role of the Board, what should the Tompkins WDB prioritize for the year, i.e. a specific sector, population or project?

Who else should the Board staff be engaging to help you achieve this goal?

What can/should individual Board Members be committing too? (i.e. Committee? Fundraising?, etc.)

A black and white photograph of a wide, modern staircase. The stairs are made of light-colored concrete or stone and lead upwards from the bottom left towards the top center. To the right of the stairs is a wall with a prominent, textured, horizontal ribbed pattern. The lighting is soft, creating subtle shadows on the steps and the wall. In the background, a small, dark, rectangular vent or window is visible on the wall.

Next Steps...
Conclusions



CONTACT INFORMATION

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