

	BY '18 WDB/PIC Projected Allocations				
3 month					
6/1/2018	July through September, 2018				
	BY '18				
	Funding	PIC	WDB Budget &		
	Available	Budget	Infrastructure		
Adult					
BY 18 per NOA from NYS	43,566				
Supplemental funds					
+PY 17 Carry-In :	45,569				
	89,135	62,733	22,046		
-10% Admin	-4,357		4,357		
Total Adult	89,135	62,733	26,403		
Dislocated Worker					
BY 18 per NOA from NYS	98,483				
Supplemental funds					
+PY 17 Carry-In :	39,060				
	137,543	75,202	52,493		
-10% Admin	-9,848		9,848		
Total Dislocated Worker	137,543	75,202	62,341		
Youth					
BY 18 per NOA from NYS	88,144				
+PY 17 Carry-In :	45,569				
	133,713	75,289	49,610		
-10% Admin	-8,814		8,814		
Total Youth	133,713	75,289	58,424		
BY17 Admin carry-in formula	14,466		14,466		
Total WIOA Funding	374,858	213,223	161,634		
* TANF Summer Youth	270,713	269,363	1,350		
TOTAL FUNDING	645,571	482,586	162,984		
<i>Plus additional funds for Infrastructure:</i>					
** NYS DOL-Amsterdam	13,530		13,530		
NYS DOL-Cobleskill	5,095		5,095		
NYSED/ACCES-VR	3,742		3,742		
Schoharie Co DSS	1,716		1,716		
Catskill Ctr Independent Living	5,334		5,334		
Subtotal for infrastructure	29,417		29,417		
TOTAL AVAILABLE	674,988	482,586	192,401		
TOTAL REQUIRED	575,420	423,472	151,949		
WDB Formula Reserve			40,452		

**Fulton, Montgomery, and Schoharie Counties
Workforce Development Board, Inc.
2620 Riverfront Center
Amsterdam, NY 12010
Contact: Gail Breen
518-842-3676, ext. 3017**

BY 2017 - 16

WIOA Career Services Policy

Background: WIOA redefines services offered by Workforce NY Career Centers from WIA Core and Intensive Services to Career Services. All Career Centers must make career services available.

Reference Documents: TEGL 3-15

Procedures:

Basic Career Services

- Determinations of whether the individual is eligible to receive assistance from the adult, dislocated worker, or youth programs;
- Outreach, intake (including identification through the state's Worker Profiling and Reemployment Services system of unemployment insurance (UI) claimants likely to exhaust benefits), and orientation to information and other services available through the one-stop delivery system;
- Initial assessment of skill levels including literacy, numeracy, and English language proficiency, as well as aptitudes, abilities (including skills gaps), and supportive service needs;
- Labor exchange services, including—
- Job search and placement assistance, and, when needed by an individual, career counseling, including—
 - Provision of information on in-demand industry sectors and occupations (as defined in sec. 3(23) of WIOA); and,
 - Provision of information on nontraditional employment (as defined in sec. 3(37) of WIOA);
- Provision of referrals to and coordination of activities with other programs and services, including those within the one-stop delivery system and, when appropriate, other workforce development programs;
- Provision of workforce and labor market employment statistics information, including the provision of accurate information relating to local, regional, and national labor market areas, including—
- Job vacancy listings in labor market areas;
- Information on job skills necessary to obtain the vacant jobs listed; and
- Information relating to local occupations in demand and the earnings, skill requirements, and opportunities for advancement for those jobs;
- Provision of performance information and program cost information on eligible providers of training services by program and type of providers;
- Provision of information about how the local area is performing on local performance accountability measures, as well as any additional performance information relating to the area's one-stop delivery system;
- Provision of information relating to the availability of supportive services or assistance, and appropriate referrals to those services and assistance, including: child care; child support; medical or child health assistance available through the State's Medicaid program and Children's Health Insurance Program; benefits under the Supplemental Nutrition Assistance Program (SNAP); assistance through the earned income tax credit; housing counseling and assistance services sponsored through the U.S. Department of Housing and Urban Development (HUD); and assistance under a State program for Temporary Assistance for Needy Families (TANF), and other supportive services and transportation provided through that

program;

- Assistance in establishing eligibility for programs of financial aid assistance for training and education programs not provided under WIOA; and
- Provision of information and assistance regarding filing claims under UI programs, including meaningful assistance to individuals seeking assistance in filing a claim—
- Meaningful assistance means providing assistance:
 - On-site using staff who are properly trained in UI claims, filing, and/or the acceptance of information necessary to file a claim
 - By phone or via other technology, as long as the assistance is provided by trained and available staff and within a reasonable time;

Individualized Career Services

- Comprehensive and specialized assessments of the skill levels and service needs of adults and dislocated workers, which may include—
- Diagnostic testing and use of other assessment tools; and
- In-depth interviewing and evaluation to identify employment barriers and appropriate employment goals;
- Development of an individual employment plan, to identify the employment goals, appropriate achievement objectives, and appropriate combination of services for the participant to achieve his or her employment goals, including the list of, and information about, eligible training providers;
- Group and/or individual counseling and mentoring;
- Career planning (e.g. case management);
- Short-term pre-vocational services, including development of learning skills, communication skills, interviewing skills, punctuality, personal maintenance skills, and professional conduct to prepare individuals for unsubsidized employment or training, in some instances pre-apprenticeship programs may be considered as short-term pre-vocational services;
- Internships and work experiences that are linked to careers;
- Workforce preparation activities that help an individual acquire a combination of basic academic skills, critical thinking skills, digital literacy skills, and self-management skills, including competencies in utilizing resources, using information, working with others, understanding systems, and obtaining skills necessary for successful transition into and completion of postsecondary education, or training, or employment;
- Financial literacy services;
- Out-of-area job search assistance and relocation assistance; and
- English language acquisition and integrated education and training programs.

Follow-up Services

Follow-up services are provided as appropriate for participants who are placed in unsubsidized employment, for up to 12 months after the first day of employment.

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Eligible Training Provider List Policy and Procedures

Purpose

The Workforce Innovation Opportunity Act (WIOA) requires that providers of training services for WIOA participants be certified as Eligible Training Providers. The Act further requires that states establish criteria by which Local Workforce Development Boards certify Eligible Training Providers. Training providers certified through the process then may serve as the training service providers for the Individual Training Accounts (ITAs) identified within the Act. This requirement is intended to assure that WIOA participants are trained by education and training entities that have demonstrated effectiveness in providing training that leads to program completion, employment in unsubsidized jobs and retention on the job.

Reference Documents: TA# 18-2

Policy:

This policy establishes the procedure and criteria for Eligible Training Provider Certification in the Fulton, Montgomery and Schoharie Counties Workforce Development Area pursuant to WIOA Section 122.

Procedure:

The Workforce Development Board Staff accepts applications from training providers for local listings, determines if the training offerings are for in-demand occupations, provides information on the application process and determines Initial and Continued Eligibility for training providers.

NYSDOL will maintain the State EPTL on the NYS DOL website, Review procedures for Initial and Continued Eligibility of training providers and their offerings. They will also be responsible for providing technical assistance to local areas and training providers as necessary.

Initial Eligibility:

1. Providers that provide services related to the LWDA's Demand Occupation List shall be deemed initially eligible and shall be automatically approved for addition to the ETPL upon the completion and review of the Applicant Questionnaire. Initial Eligibility is for 12 months.
2. Training Providers Eligible to Receive Funding: An institution of higher education that provides a program that leads to a recognized postsecondary credential; an entity that carries out programs under the National Apprenticeship Act; or another public or private provider of a

program of training services, including community-based organizations, joint labor-management organizations, and eligible providers of adult education and literacy activities under Title II if activities are provided in combination with one or more of the following training services:

- Occupational skills training;
 - On-the-job training (OJT);
 - Incumbent worker training;
 - Programs that combine workplace training and related instruction, which may include cooperative education programs;
 - Training programs operated by the private sector;
 - Skill upgrading or retraining; or
 - Entrepreneurial training.
3. Approved providers are not required to list their entire course catalog on the ETPL. Courses participants wish to enroll in are the only required courses listed. Providers who offer training services at multiple locations do not need to apply for each location; if the Provider is approved, the approval extends to all locations.
 4. Inclusion of a provider on the EPTL does not entitle or assure that the provider will receive funding from the local Workforce Development Board. Course offerings being funded must provide training for an occupation identified by the LWDB as an in-demand occupation in the Local Workforce Development Area (LWDA).

During the Initial Eligibility Review Process LWDBs are responsible for the following:

- Notifying providers of the opportunity to apply to be on the ETPL.
- Acting on a training provider's offering application within 30 days of receipt.
- Setting levels of expected program-specific performance.
- Ensuring that training providers submit for consideration performance and cost.
- Information for each course offering.
- Requiring that training providers be in compliance with State laws by having a current license, certification, registration, approval or exemption from the appropriate State and/or federal oversight agency.
- Evaluating the experience and reputation of the training provider and the schedule of offerings.
- Considering other information that may be locally relevant in making a determination of funding eligibility.

Continued Eligibility:

After a training provider has reached the end of the 12-month period of Initial Eligibility, LWDBs must perform a Continued Eligibility review of the provider as outlined in TA-18-2. The review will cover performance, compliance and training needs of the local area. The eligibility review must be performed every 24 months thereafter.

Retention of Eligibility:

To retain Initial and Continued Eligibility, a training provider must deliver results and provide accurate information to NYSDOL. Eligibility may be denied/terminated for the following reasons:

- The training provider does not have appropriate State and/or federal approval to operate.
- The application is not complete.
- The offering does not meet the definition of WIOA training services.
- Required performance data is not included with the application or the performance data does not meet established performance levels.
- The training provider is delinquent in delivery of reports, payment of debt, or otherwise out of compliance with WIOA or any agreement executed under WIOA.
- The training provider intentionally supplied inaccurate information.
- The training provider violated any requirement under WIOA.

Denial of a Provider or Program Application:

If a local board denies a provider's application for Initial or Subsequent Eligibility, they must, within 30 days, inform the provider in writing; including the reason(s); and provide complete information on the appeal process.

Appeal Process:

Providers that have been denied approval to be included and/or removed from the local area ETPL may appeal this decision. The LWDA retains the right to deny or remove Providers from The ETPL for the following reasons:

- Does not provide training related to the LWDA's Demand Occupation List
- Failure to provide necessary information or improperly filing an application
- Failure to adhere to process and reporting requirements
- Failure to meet performance levels annually
- Failure to provide verifiable accurate information
- Failure to apply for continuation
- Fraud
- The Provider requests to be removed
- If it is determined that the Provider was not in good standing under a previous name; and/or

Apprenticeship Programs on the ETPL:

Registered Apprenticeship programs registered with the U.S. Department of Labor, Office of Apprenticeship, or a recognized State Apprenticeship Agency (NYSDOL) will be automatic eligible to the State ETPL. These programs are eligible for an abbreviated application process.

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BY 2017 - 18

WIOA Program and Sub-Contractor Monitoring Policy

Background

Fulton County serves as grant recipient of the Workforce Innovation and Opportunity Act (WIOA) Title I funds. As outlined in the agreement between the Chief Local Elected Officials and The Fulton, Montgomery & Schoharie Counties Workforce Development Board, Inc. (FMS WDB Inc.), FMS WDB Inc. is the fiscal agent for the WIOA Title I funds. FMS WDB, Inc. shall also operate programs as consistent with WIOA and the rules and regulations promulgated to carry out WIOA as well as other applicable federal, state and local laws, rules and regulations. The FMS WDB, Inc. contracts with the Fulton, Montgomery, and Schoharie Counties Private Industry Council, Inc. (FMS PIC, Inc.) as a subrecipient to provide Adult, Dislocated and Youth WIOA Title 1 Services and act as One Stop Systems Operator. The FMS WDB, Inc. may also contract with other providers and the subrecipients would be responsible for the same monitoring.

Monitoring allows FMS WDB, Inc. or its designee, to fulfill its responsibility for monitoring sub-recipient activities to ensure that federal awards are used for authorized purposes, in compliance with the federal program laws, regulations and grant agreements, and that performance goals are achieved. Program and fiscal monitoring will take place formally through planned site visits and informally at meetings and during desk review. FMS WDB, Inc., or its designee will perform, at minimum, one onsite visit per year.

Scope

FMS WDB, Inc., or its designee, is responsible for financial and programmatic monitoring of sponsored project funds awarded to FMS WDB, Inc. that are subcontracted to another institution, organization, or individual (herein referred to as “subrecipient”).

The monitoring process, as required by 20 CFR 683.410(a) states:

“Each recipient and sub-recipient of funds under Title I of WIOA must conduct regular oversight and monitoring of its program(s) and those of its sub-recipients and contractors as required under Title I of WIOA, as well as under 2 CFR §200 in order to:”

1. Determine that expenditures have been made against the cost categories and within cost limitations specified in the Act and these regulations;
2. Determine whether or not there is compliance with other provisions of the Act and these regulations and other applicable laws and regulations;
3. Assure compliance with CFR §200; AND
4. Determine compliance with the nondiscrimination, disability, and equal opportunity requirements of sec. 188 of WIOA, including the Assistive Technology Act of 1998 (29 U.S.C. 3003).”

Schedule:

Monthly	Quarterly	Annual - Program	Annual - Fiscal	Biennial
Expenditure Report	Subrecipient Contract Review	WIOA Adult	Internal Controls	Procurement
Desk Review	WIOA Youth Performance Reports	WIOA Dislocated Worker	Cost Allocation	Property Management
	WIOA Adult and Dislocated Worker Performance Reports	WIOA Youth	Financial Analysis	
	Service Delivery, Customer Satisfaction and Service Quality	Data Verification	Cost Allowability & Limitations	
	Service Levels	Eligibility Review	Expenditure Analysis	
	Activity Levels	Grievance and Discrimination Notification	Reconciliation Analysis	
	Exit Strategy	OSOS Reporting	Cash Management	
		OSOS Accuracy	Audit Report	
		Performance Requirements		

Subrecipient means a nonfederal entity that expends federal funds received from a pass-through entity to carry out a federal program, but does not include an individual that is a beneficiary of such a program. Subrecipients for which this policy pertains include, but are not limited to, all Title I Adult, Dislocated and Youth Service providers and One-Stop operators, where applicable.

Vendor means a dealer, distributor, merchant, or other seller providing goods or services that are required for the conduct of the federal program.

Program Monitoring

Programmatic monitoring shall produce standardized reports of monitoring and self-evaluation activities, and the observations resulting there from. The reports shall make recommendations for corrective action (improvement) whenever it identifies non-compliance with Federal, State or contractual requirements, or identifies needs to improve existing systems, procedures, or practices.

FMS WDB will provide training to all subrecipients/contractors prior to program start dates on the monitoring process and its requirements. All on-site visits will include a review of a cross section of customer files to ensure compliance with eligibility and to review progress on meeting

required performance measures. File names will be provided to the subrecipient no more than 48 hours prior to file review. Failure to meet performance measures may result in monthly monitoring visits and may require program design changes.

Continued failure to meet performance may result in contract cancellation and the FMS WDB may bar the subrecipient/contractor from further contract awards for services for a minimum of two years.

Fiscal Monitoring

The review process will include a financial desk review that will occur on a monthly basis. Also, monitoring of the subrecipient's/contractor/vendor financial reporting practices will be conducted annually. The purpose of the reviews is to ensure compliance with all Federal, State and local laws and regulations and the provisions of the contract. FMS WDB or its designee will review expenditures to ensure they meet the provisions of 20 CFR 200. The review is also conducted to ensure that:

- the recorded amounts are accurate;
- adequate support documentation exists; and
- the costs are related to the activities of the program.

Additionally, the reviews will cover internal controls and cost allocation.

Subrecipients meeting the current expenditure threshold requirements must have an audit performed in accordance with Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards and provide copies to FMS WDB, Inc. or its designee. Copies of the audit report will be collected in accordance with the NYSDOL's prescribed time period of nine months from the end of the subrecipient's fiscal year or 30 days after receipt of the audit report.

In the event that disallowed costs are found, costs are not properly supported by documentation, not included in the contract's budget or not clearly linked to program activities, future reimbursement will be offset by the respective amounts or a return of funds requested. The subrecipient will be promptly notified of any deficiencies and provided the rationale for the disallowances. In the event an audit report identifies a weakness, exposure or other significant problem the subrecipient will be promptly notified and will provide a corrective action plan to the FMS WDB, Inc.

Reports

The monitoring of subrecipients follows a standardized review methodology that results in written reports which record findings, any needed corrective actions, and due dates for accomplishment of corrective actions. Unless noted otherwise in this guide, subrecipients will receive written notification of any findings resulting from the reviews within at least 30 days of the completion of the review; reports will also be forwarded to the FMS WDB, Inc. Executive Director, the FMS WDB, Inc. Chair, and other recipients, as deemed appropriate.

Any findings found to be not in compliance with the law, regulations, federal, state or local policies will be included in a corrective action plan as part of the formal written notice of the findings. Subrecipients shall have 10 business days to develop their response to the corrective

action plan, with specific timetables for implementation and improvement. FMS WDB, Inc. reserves the right to negotiate the plan, and initiate contract termination proceedings if resolution of corrective action does not produce the intended results (compliance, performance, etc.) as outlined in the subrecipients contract. The LWDA will conduct subsequent monitoring to ensure all facets of the corrective action plan are implemented.

All written reports and workpaper documentation pertaining to monitoring will be retained by the FMS WDB, Inc. for six years and made available for review by Federal and State officials.

FMS WDB, Inc. will notify NYSDOL in writing within five (5) business days of any significant findings resulting from the reviews which may have a material impact on the financial and participant reporting of the LWDA to NYSDOL.

1. The Leadership Team, consisting of the FMS WDB, Inc. Executive Director, One-Stop System Operator/WIOA Services Sub-Contractor Director, NYSDOL Local Office Manager and Catskill Center for Independence Assistant Director, will meet monthly (at a minimum) to discuss issues, concerns, and suggestions regarding WIOA programs, One-Stop Center, and System operations. The FMS WDB, Inc. Executive Director and the One-Stop Operator report back to the Workforce Systems Oversight Committee on issues discussed and action taken.
2. A report of Center traffic, youth enrollments, businesses services, and trainings will be created and reviewed by the Leadership Team and by FMS WDB Accountability and One-Stop Oversight committees each month.
3. FMS WDB Inc. staff will monitor the Business Contacts made by WIOA Business Services Representatives (BSRs) each month via OSOS and NYSDOL reports. Each WIOA BSR is expected to make a minimum of 10 "new contacts" (not contacted within the last 12 months) each month. If the minimum of 10 new contacts is not met, Section 14 of the Subrecipient Basic Agreement outlines the procedures that will be followed.
4. FMS WDB, Inc. staff will review the monthly Customer Service Indicators (CSI) Performance Report, the quarterly Data Error Reports, and the quarterly Common Measures Performance Report when provided by NYSDOL. Performance will be monitored closely, with a strong focus on data entry into the OSOS system. Use of Management Reports and individual staff data entry, will be reviewed to identify both problems and best practices. Lists of data entry errors will be distributed to individual staff members for correction following each report. Based on the Management Reports and OSOS Data Entry training will be delivered, as needed.
5. FMS WDB, Inc. staff will work closely with the NYSDOL Field Rep as he/she conducts monitoring and file reviews and will follow up with any findings, recommendations and/or observations. Hard copy file reviews will be done on an as-needed basis.
6. Data Element Validation (DEV) Monitoring for the WIOA subrecipient, FMS PIC, will be conducted during the Program Year by the One-Stop System Operator using a combination of data entry into the OSOS system and hard copy file reviews.

Exceptions: The monitoring schedules listed above are minimum standards. Circumstances that may warrant more frequent monitoring include: awards in excess of \$2,000,000; subrecipients with a history of poor performance or who have not conformed to the terms and conditions of previous awards; new programs or programs in which key staff has changed; where the subrecipient has requested more frequent visits. At the discretion of FMS WDB Inc., specialized reviews may be conducted to

investigate allegations of mismanagement, to clarify any unusual findings, or for other reasons, as warranted.

Technical Assistance

FMS WDB Inc. staff is available for on-going technical assistance regarding OSOS, WIOA rules and regulations, and system operations.

Reference Documents: Technical Advisories #04-19, #05-15; 20 CFR 683.410

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BY 2017 - 19

Functional Alignment Policy– Staff Oversight and Supervision

Background: Functional Alignment requires Workforce Innovation and Opportunity Act (WIOA), New York State Department of Labor (NYSDOL), and other partner staff to work collaboratively in the delivery of services available under multiple programs. Consequently, state and local staff receives direction and assignments on a day-to-day basis by someone other than their local or state supervisor.

Purpose: To communicate the (NYSDOL) policy regarding the allowable roles of Division of Employment and Workforce Solutions (DEWS) Local Managers and other Career Center Managers and the One Stop System Operator in their supervision of Career Center staff under state contractual obligations.

Policy: Collaboration between the Career Center Managers/One-Stop System Operator and the NYSDOL Local Manager is a priority. While it is recognized that one or the other may have a major responsibility for certain tasks within a functional team, neither supervisor can operate without the collaboration of and communication with the other. However, it is also recognized that the collaboration between the individuals must not include the sharing of information deemed by NYSDOL policy or union contract to be confidential. This policy requires consistent communication between the Career Center Managers /One-Stop System Operator and the NYSDOL Local Manager to avoid potential difficulties and to ensure efficiency and the best possible service to the customer.

Responsibilities of NYSDOL Local Manager: The NYSDOL Local Manager provides daily oversight to DOL staff. Each of the following managerial responsibilities is contractually mandated. The Career Center Managers/One-Stop System Operator may provide feedback to the Local Manager on DOL staff, but the following may only be conveyed to DOL staff by the DOL Supervisor:

- Changes to permanent work schedule, including lunches and breaks;
- Approval of bi-weekly attendance records;
- Pre-approval for vacations, sick leaves, and personal leaves;
- Counseling and Discipline;

- Performance Evaluations/Probation;
- Travel and Travel Expense approvals; and
- Approvals for contract negotiated training and in-service courses.

Responsibilities of One-Stop System Operator: The following are allowable activities in situations where a One-Stop System Operator has responsibility for DOL employees.

- Scheduling and conducting regular Center staff meetings;
- Setting daily work assignments and work flow;
- Making temporary changes in meal/break periods to assure proper coverage;
- Setting Resource Room schedules/coverage; and
- Setting office coverage during vacations and unscheduled/emergency absences.

Collaborative Responsibilities of NYSDOL Local Manager and Career Center Managers/One-Stop System Operator: All Managers are responsible for assuring that:

1. Staffing plans provide adequate office coverage at all times, including vacation periods, conferences, and holiday times (the staffing plan should be set up to allow equal percentages of both State and local staff opportunities for time off);
2. All staff is properly trained;
3. All staff understand and adhere to all internal security policies and procedures, both local and NYSDOL;
4. All staff present a positive image of the NYS Career Center System to customers; and
5. Consistent communication with staff occurs to initiate feedback and ideas for serving customers.

References:

20CFR 652.216
 Technical Advisory #15-12

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Election of the Executive Committee Members
for the Board Year 2018-2019

The Executive Committee

Officers:

Chairman, Scott S. Stevens
Vice-Chairman, Donald Snoop
Secretary, Laurie Bargstedt
Past Chairman, Martin Callahan

Members at Large:

Fulton County, Andrea Fettinger
Montgomery County, Jeff Stark
Schoharie County, Karen Miller

**Each will be voted on separately*