

Region IV, Chief Elected Officials

Meeting Agenda

Hatch Community Center
400 NM-187
Hatch, NM 87937

Friday, December 13, 2019 at 10:00 a.m.

Mayor Ken Miyagishima—Chair
Trustee Carlos Arzabal—Vice Chair

I. Call to Order

II. Pledge of Allegiance

III. Welcome and Introductions

IV. Roll Call and Abstentions

- a. If necessary, motion to allow members to participate in the meeting telephonically

V. Public Comment (3-Minute Limit)

VI. Approval of Agenda *(Items marked with an asterisk * are considered consent agenda items as shown in the section below. These items are approved with the motion to approve of the agenda unless a member requests that a specific item be removed for its own action. There is no discussion on these items).*

VII. Consent Agenda Items

- a. *Motion to accept the minutes from the September 20, 2019 special meeting **p.3**
- b. *Resolution 19 – 10 concurs with the Southwestern Area Workforce Development Board to approve a Memorandum of Agreement between the Southwestern Area Workforce Development Board and Las Cruces Public Schools to provide mentoring services to students pursuing teacher certifications **p.7**
- c. *Resolution 19 – 11 concurs with the Southwestern Area Workforce Development Board to accept a Memorandum of Understanding between the Administrative Entity of the Southwestern Area Workforce Development Board and Workforce Borderplex for a Peer Sharing Opportunity **p.13**
- d. *Resolution 19 – 12 concurs with the Southwestern Area Workforce Development Board to approve the amendment to the Grievance and Complaint Policy 18-10.1 **p.18**
- e. *Resolution 19 – 13 concurs with the Southwestern Area Workforce Development Board to approve the modifications to the Financial Policies **p.23**
- f. *Resolution 19 – 14 concurs with the Southwestern Area Workforce Development Board to approve the Customized Training Policy 19-01 **p.74**
- g. *Resolution 19 – 15 concurs with the Southwestern Area Workforce Development Board to approve the Required Information in Communications Policy 19-02 **p.83**
- h. *Resolution 19 – 16 concurs with the Southwestern Area Workforce Development Board to approve registration fees, lodging, and travel for Southwestern Area Workforce Development Board members to attend the National Association of Workforce Boards Forum 2020 in

Washington, D.C. in March 2020 **p.90**

- i. *Resolution 19 – 17 concurs with the Southwestern Area Workforce Development Board to designate the Healthcare and Education industries for its two Sector Partnership Strategies **p.93**
- j. *Resolution 19 – 18 concurs with the Southwestern Area Workforce Development Board to approve the Career Pathways Plan **p.96**
- k. *Resolution 19 – 19 concurs with the Southwestern Area Workforce Development Board to approve the PY19 Southwestern Area Workforce Development Board Budget Amendment #1 **p.134**
- l. *Resolution 19 – 20 concurs with the Southwestern Area Workforce Development Board to approve an amendment to Contract No. PY19-WIOA-01 between Youth Development, Inc. and the Southwestern Area Workforce Development Board for WIOA Youth services, and authorizes the SAWDB Board Chair or Vice Chair to sign the contract amendment **p.138**
- m. *Resolution 19 – 21 concurs with the Southwestern Area Workforce Development Board to approve an amendment to Contract No. PY19-WIOA-02 between ResCare Workforce Services and the Southwestern Area Workforce Development Board for WIOA Adult & Dislocated Worker Services pending the approval by the DWS to transfer funds from WIOA Dislocated Worker to Adult, and authorizes the SAWDB Board Chair or Vice Chair to sign the contract amendment **p.149**

VIII. Professional Development

- a. Presentation on the Village of Hatch

IX. Discussion, Consideration and Possible Action Regarding

- a. Resolution 19 – 22 appoint members to the Southwestern Area Workforce Development Board **p.153**
- b. Resolution 19 – 23 amends the CEO Bylaws **p.154**

X. Reports and Information Items **p.167**

- a. Service Provider Reports
- b. One-Stop Operator Report
- c. Administrative & Financial Reports

XI. Other

- a. Member Input

XII. Public Comment (3-Minute Limit)

XIII. Next Meeting

- a. Friday, March 20, 2020

XIV. Adjournment

Region IV, Chief Elected Officials

Special Meeting

Ruth Coleman Memorial Annex
500 North Taft St.
Columbus, NM 88029

Friday, September 20, 2019 at 1:00 p.m.

DRAFT OF MEETING MINUTES

I. Call to Order Allegiance

- a. Mayor Miyagishima called the meeting to order at 1:06 p.m.

II. Pledge of Allegiance

- a. Mayor Miyagishima asked everyone to join him in the Pledge of Allegiance

III. Welcome and Introductions

- a. Mayor Miyagishima welcomed everyone to the meeting, thanked Mayor Salas for hosting, and asked those present to introduce themselves.

IV. Roll Call and Abstentions

- a. Ms. Longovia called roll
- b. Mayor Pro Tem Hicks made **a motion to approve meeting participation by telephone for Commissioner Salas; seconded by Mayor Salas. Motion passed.**

Present:

City Councilor Guadalupe Cano
Commissioner Lynn Ellins
City Councilor Irene Galvan
Mayor Pro Tem Gordy Hicks
Mayor Benny Jasso
Mayor Ken Miyagishima
Mayor Andy Nuñez
Commissioner Jim Paxon
Commissioner Christopher Ponce
Mayor Esequiel Salas
Commissioner Martha Salas*
Commissioner Linda Smrkovsky
Mayor Pro Tem Edna Trager
Mayor Sandy Whitehead

Absent:

Trustee Lucas Carlos Arzabal
Mayor Richard Bauch
Mayor Hilda Kellar
Chapter President Buddy Mexicano
Mayor Javier Perea
County Clerk Keith Riddle
Mayor Richard Rumpf
Mayor Deb Stubblefield
Mayor Diana Trujillo

Staff:

Jay Armijo, SCCOG Executive Director
Carol Craft, WIOA Program Manager
Katherine Gervasio, Fiscal Agent
Angela Longovia, Communications Specialist
Joe McClintock, Project Manager

Guests:

Yvette Bayless, ResCare
Concha Cordova, YDI
Arnold Ontiveros, YDI
Darleen Lopez, MMWC

V. Public Comment

No public comment

VI. Approval of Agenda

- a. **Agenda Approval – Approval of the agenda includes approval of the Consent Agenda Items.** Mayor Miyagishima stated he would like to remove Consent Agenda Item h. Resolution 19 – 07 for discussion. Mayor Pro Tem Hicks made **a motion to approve the agenda with item h, Resolution 19 – 07 removed for discussion; seconded by Councilor Cano. Motion passed.** The members that voted by telephone are as follows:
Commissioner Salas – Yes

Consent Agenda Items – *(Items marked with an asterisk * are considered items that may be voted on with one motion unless a member requests that a specific item be removed for its own action. There is no discussion on these items).*

- a. *Motion to accept the minutes from the June 21, 2019 meeting
- b. *Resolution 19 – 01 concurs with the Southwestern Area Workforce Development Board to authorize the Administrative Entity to dispose of equipment and property
- c. *Resolution 19 – 02 concurs with the Southwestern Area Workforce Development Board to approve new and modified local board policies
- d. *Resolution 19 – 03 concurs with the Southwestern Area Workforce Development Board to authorize the Administrative Entity to negotiate and sign a lease agreement for office space at the Loretto Towne Center in Las Cruces, NM
- e. *Resolution 19 – 04 concurs with the Southwestern Area Workforce Development Board to authorize travel and conference fees for board members to attend the Annual Texas Workforce Conference to be held on December 4 – 6, 2019 in Grapevine, TX
- f. *Resolution 19 – 05 concurs with the Southwestern Area Workforce Development Board to establish an SAWDB Bank account as an interest-bearing account
- g. *Resolution 19 – 06 concurs with the Southwestern Area Workforce Development Board to authorize Board Chair, Joshua Orozco as a signatory on SAWDB bank accounts

VII. Discussion on Resolution 19 - 07

- a. Resolution 19 – 07 concurs with the Southwestern Area Workforce Development Board to approve local board policy revisions. Mayor Miyagishima stated that he wanted this item presented because the effective date on the Individual Training Account (ITA) Policy 17-08.5 may cause some participants to have to pay back some of the money they were awarded. Ms. Craft presented the changes in the policy including final date to enroll students into the ITA program. Mayor Miyagishima suggested an amendment to approve Resolution 19 – 07 only if the U.S. Department of Labor approves a waiver request to the participants already enrolled so they will not be affected by this new policy change. **A motion was made by Commissioner Smrkovsky to amend Resolution 19 – 07 to approve the ITA Policy only if the U.S. Department of Labor approves the waiver for the affected student; seconded by Councilor Cano. Motion passed.** The members that voted by telephone are as follows:
Commissioner Salas – Yes

A motion was made by Councilor Galvan to approve Resolution 19 – 07 as amended; seconded by Commissioner Smrkovsky. Mayor Salas was absent from the vote. Motion passed. The members that voted by telephone are as follows:
Commissioner Salas – Yes

VIII. Professional Development

- a. Presentation on the Village of Columbus. Mayor Salas thanked everyone for attending and spoke about some history and places to visit in the Village of Columbus.

IX. Discussion, Consideration and Possible Action Regarding

- a. Resolution 19 – 08 concurs with the Southwestern Area Workforce Development Board to approve a Grant Agreement modification between the NM Department of Workforce Solutions and the Southwestern Area Workforce Development Board to increase funds in the amount of \$17,462 for a total amount of \$5,530,026.00 and authorizes the SAWDB Chair or Vice Chair to sign the contract. **A motion was made by Councilor Galvan to approve Resolution 19 – 08; seconded by Mayor Jasso. Motion passed.** The members that voted by telephone are as follows:

Commissioner Salas – Yes

- b. Resolution 19 – 09 approves the Chief Elected Officials Agreement. Mr. McClintock summarized the roles and responsibilities of the Chief Elected Officials including liability of funds, grant recipient and signatory, fiscal agent designation, and local board budget approval. Under WIOA, a signed agreement is required from the members. The State is asking that quorum be increased from only 5 members to 51%. **A motion was made by Mayor Pro Tem Hicks to amend Resolution 19 – 09 to increase the quorum requirement to 51%; seconded by Mayor Whitehead. Motion passed.** The members that voted by telephone are as follows:

Commissioner Salas – Yes

A motion was made by Mayor Pro Tem Hicks to approve Resolution 19 – 09 as amended; seconded by Mayor Whitehead. Motion passed. The members that voted by telephone are as follows:

Commissioner Salas – Yes

X. Reports and Information Items

a. Service Provider Report from Youth Development, Inc.

- i. Ms. Cordova and Mr. Ontiveros introduced themselves as the new WIOA Youth services provider for the southwestern region effective July 1, 2019 and provided a presentation that included their organization chart, enrollment goals, and challenges and successes they have experienced.

b. Update on USDOL Monitoring Review; DWS Monitoring Review; and Letter to Local Boards

- i. Ms. Craft provided an update about the current status of the findings from the USDOL Monitoring Review.

c. Fiscal Reports

- i. Ms. Gervasio, the Fiscal Administrator, reported on the financial statements through July 31, 2019 which includes the balance sheet, statement of revenues, expenditures, and changes in fund balances.

d. One-Stop Operator Report

- i. Ms. Lopez presented an overview report about New Mexico Workforce Connection activities throughout the region.

e. Administrative Reports

- i. Ms. Craft, the Program Manager, shared her report on the service provider goals versus actuals for the Alamo Navajo School Board Youth, HELP-New Mexico Youth, and ResCare's Adult & Dislocated Worker services for the same time period.

XI. Other

a. **Member Input –**

- i. Mayor Pro Tem Hicks commented how public officials are going a great job of addressing issues as quickly as possible and shared examples.

XII. Public Comment

- a. Ms. Bayless, Project Director for Adult & Dislocated Worker services, shared with the Board supportive services available to the communities.

XIII. Next Regular Meetings

- a. Friday, December 13, 2019

XIV. Adjournment

Mayor Miyagishima adjourned the meeting at 2:30 p.m.

ATTESTED

Date

AGENDA ITEM SUMMARY

Region IV, Chief Elected Officials Meeting	December 13, 2019
<p>Consent Agenda Item</p> <p>*Resolution 19 – 10 concurs with the Southwestern Area Workforce Development Board to approve a Memorandum of Agreement between the Southwestern Area Workforce Development Board and Las Cruces Public Schools to provide mentoring services to students pursuing teacher certifications</p>	
<p>SUMMARY OF AGENDA ITEM</p> <p>As a function of the Chief Elected Officials, this item is presented for your review and consideration to concur with the Southwestern Area Workforce Development Board.</p> <p>An initiative of the Southwestern Area Workforce Development Board is to assist education with skilled and ready teachers for their classrooms.</p> <ul style="list-style-type: none"> • During the past several months, individuals from Las Cruces Public Schools have been enrolled and are receiving services under our program. • The Department of Workforce Solutions, under the Governor's apprenticeship initiative, has worked jointly with our area to promote the apprenticeship model within this school district. • A requirement of the apprenticeship model is to have a mentor that assists students with guidance through their training to become licensed teachers. • The Memorandum of Agreement provides one licensed teacher to provide the service for a maximum of 10 apprenticeship students at any given time. • The SAWDB will compensate 50% of the mentor's gross wages. The total amount shall not exceed \$30,010.50. Monthly invoices with activity reports will be submitted for review and approval prior to payment being made on the invoices. <p>RECOMMENDATION</p> <p>A motion to approve Resolution 19 – 10.</p> <p>CEO'S OPTIONS ARE TO</p> <ol style="list-style-type: none"> 1. Accept the recommendation 2. Amend the recommendation 3. Reject the recommendation 4. Table the item 5. Take no action on the item <p>DEPENDING ON ACTION TAKEN, ITEM MAY BE REFERRED OR REPORTED TO</p> <ul style="list-style-type: none"> • Staff or committee, as directed. <p>THIS ITEM SUPPORTS STRATEGIC PLAN GOAL(S)</p> <ul style="list-style-type: none"> • Supports all strategic plan goals 	

LIST OF SUPPORTING INFORMATION FOR YOUR REVIEW

- Memorandum of Agreement

MEMORANDUM OF AGREEMENT FOR APPRENTICESHIP MENTORING SERVICES

THIS MEMORANDUM OF AGREEMENT (hereinafter, “MOA”) is made and entered into by and between the Southwestern Area Workforce Development Board (“SAWDB”) and Las Cruces Public Schools (collectively, the “Parties”), for the purposes hereinafter set forth.

I. Recitals

WHEREAS, the SAWDB has identified education as a priority industry due to the demand for licensed teachers in the Southwestern region of New Mexico; and

WHEREAS, the Parties have a mutual interest in supporting an apprenticeship model for training teachers who are employed and in classroom training; and

WHEREAS, Apprenticeship is an “earn and learn” model that provides access to education and on-the-job training; and

WHEREAS, Las Cruces Public Schools, as an employer and public body has education mentors to support individuals training to become licensed teachers in the State of New Mexico; and

WHEREAS, Las Cruces Public Schools, as an employer and public body within the State of New Mexico can benefit from the services offered under the Workforce Innovation and Opportunity Act; and

WHEREAS, the Parties wish to enter into this MOA for their mutual benefit and that of their constituents, in accordance with the terms hereinafter set forth.

II. Agreement

1. Services. Las Cruces Public Schools agrees to provide the following services during the term of this MOA:

A. Mentoring services to apprenticeship students enrolled in the Title I, Workforce Innovation and Opportunity Act program administered by the New Mexico Workforce Connection; Mentoring includes, but is not limited to, providing hands-on training from an experienced mentor at the job site. *The mentor has documented sufficient skills and knowledge of an occupation either through formal apprenticeship or through practical on-the-job experience and formal training.*

B. The mentor will:

- (1) Understand the role of the apprentice
- (2) Recognize apprentices’ skill levels and learning styles
- (3) Explain the trade language (including tools and processes), recognize apprentices skill levels, learning styles
- (4) Be responsible for planning work activities for the apprentices

- (5) Provide for the apprentices on-the-job learning per the established program standards
 - (6) Ensure the training is well rounded and what they are expected to receive
 - (7) Provides supervision and coaching
 - (8) Helps develop good work habits to develop productive skills
 - (9) Advise, provide guidance and supervise apprentices in the learning and training aspects of the apprenticeship
 - (10) Act as a role model to the apprentice
 - (11) Provide feedback
 - (12) Communicate and collaborate effectively
 - (13) Maintain appropriate records to track and monitor apprentices progress
 - (14) Show an aptitude for teaching and leading others
 - (15) Take ownership to ensure success of the apprentices
 - (16) Directly supervise and mentor apprentices
 - (17) Assist apprentices in developing the skills required to earn the industry recognized credential/certification
- C. Las Cruces Public Schools will provide one (1) licensed teacher to provide mentoring services to the apprenticeship students;
- D. Las Cruces Public Schools will submit monthly activity reports documenting the mentoring activities for each apprenticeship student;
2. Compensation. Las Cruces Public Schools will provide the Services set forth above in an amount to not exceed \$30,010.50, payable as follows:
- A. SAWDB will compensate Las Cruces Public School 50% of the mentor's gross wages for services stated in Section II.1.A. and B. of this MOA.
 - B. Las Cruces Public Schools will submit monthly invoices no later than the 15th day of the following month during the term of this MOA, along with the monthly activity reports, as described in Section II.1.A. and B. of this MOA. *In addition, a separate monthly report will contain information regarding each apprenticeship's progress toward meeting their individual goals and if any barriers to their training have or may emerge. Both parties may mutually agree to produce additional reports.*
 - C. Las Cruces Public Schools shall send the invoice and monthly report to the following address:
- Accounts Payable
Southwestern Area Workforce Development Board
P.O. Box 1072
Elephant Butte, NM 87935
- Phone: (575) 744-4857

D. SAWDB will make payments to:

Accounts Receivable
Las Cruces Public Schools
505 S. Main St.
Las Cruces, NM 88001

Phone: (575) 527-6640

3. Term. This MOA shall be effective upon its execution by the authorized officers of each of the Parties, and shall remain in effect through ~~June 30, 2020~~ 2021, unless earlier terminated in accordance with the provisions hereof. This MOA may be extended for an additional term of one (1) year upon the mutual written consent of the Parties.
4. Termination. This MOA may be terminated by either party by giving thirty (30) days written notice of such termination to the other party. In the event of termination, any funds held by either Party in connection with this MOA shall be retained by that party except for unpaid invoices or as otherwise specifically provided in this MOA. ~~In the event the USDOL or the State of New Mexico reduces funding for the current year or retroactively, a unilateral modification to the agreement will be executed.~~
5. Mutual Waiver of Liability; Immunities. Each of the Parties hereto expressly waives any claim for liability or damages of any sort as against the other party in connection with the services to be provided pursuant to this MOA. This waiver of liability shall not be deemed to affect in any way the immunities and limitations of liability of the Parties or either of them under the New Mexico Tort Claims Act, Section 41-4-1 *et seq.*, NMSA 1978, which shall remain in full force and effect and shall not be deemed to be altered by any provision of this MOA.
6. Governing Law. This MOA is entered into in the State of New Mexico for governmental services to be performed in the State, and shall be governed by the laws of the State of New Mexico.
7. Cooperation in the Event of Claim. If any third-party claim is alleged against either of the Parties hereto in connection with the services to be provided under this MOA, the Parties agree to cooperate fully with each other to share documents, records, and other information needed for defense against and resolution of such claim.
8. Entire Agreement. This MOA is the entire agreement between the Parties as to the subject matter hereof, and any prior understandings or agreements between the Parties as to the subject matter hereof shall be of no force and effect after the execution of this MOA, unless incorporated herein.
9. Amendment. This MOA may be amended by the mutual written agreement of the Parties hereto, executed with the same formalities as this MOA.
10. Notice. Any notice required or authorized under this MOA may be made by delivery to the Parties or either of them at the following addresses:

Southwestern Area Workforce Development Board:

Attn: WIOA Administrator
 South Central Council of Governments
 600 Highway 195
 Elephant Butte, New Mexico 87935

Las Cruces Public Schools:

Attn: Administrator
 Las Cruces Public Schools
 505 S. Main St.
 Las Cruces, NM 88001

IN WITNESS WHEREOF the Parties through their authorized officers have executed this Memorandum of Agreement effective as of the date executed on behalf of both of the Parties as shown below.

SOUTHWESTERN AREA
 WORKFORCE DEVELOPMENT BOARD

LAS CRUCES PUBLIC SCHOOLS

By: _____
 Chair

By: _____
 Authorized Signatory

Date: _____

Date: _____

AGENDA ITEM SUMMARY

Region IV, Chief Elected Officials Meeting	December 13, 2019
<p>Consent Agenda Item</p> <p>*Resolution 19 – 11 concurs with the Southwestern Area Workforce Development Board to accept a Memorandum of Understanding between the Administrative Entity of the Southwestern Area Workforce Development Board and Workforce Borderplex for a Peer Sharing Opportunity</p>	
<p>SUMMARY OF AGENDA ITEM</p> <p>As a function of the Chief Elected Officials, this item is presented for your review and consideration to concur with the Southwestern Area Workforce Development Board.</p> <ul style="list-style-type: none"> • As a continuous improvement process, service providers, staff, and board members have attended conferences in New Mexico and Texas to explore best practices that could be adopted in our service delivery models. • In exploring best practices, a peer sharing opportunity is proposed with an adjacent workforce program in El Paso, TX. • Representatives, comprised of services providers, staff, and board members would travel to El Paso to learn more about El Paso's service delivery model. • Please review the accompanying Memorandum of Understanding that outlines the key topics that will be shared in the peer sharing opportunity. • If the MOU is approved, a delegation will be formed in November 2019 and the site visits will begin in January 2020. 	
<p>RECOMMENDATION</p> <p>A motion to approve Resolution 19 – 11.</p>	
<p>CEO'S OPTIONS ARE TO</p> <ol style="list-style-type: none"> 1. Accept the recommendation 2. Amend the recommendation 3. Reject the recommendation 4. Table the item 5. Take no action on the item 	
<p>DEPENDING ON ACTION TAKEN, ITEM MAY BE REFERRED OR REPORTED TO</p> <ul style="list-style-type: none"> • Staff or committee, as directed. 	
<p>THIS ITEM SUPPORTS STRATEGIC PLAN GOAL(S)</p> <ul style="list-style-type: none"> • Supports all strategic plan goals 	
<p>LIST OF SUPPORTING INFORMATION FOR YOUR REVIEW</p> <ul style="list-style-type: none"> • Memorandum of Understanding 	

MEMORANDUM OF UNDERSTANDING FOR A PEER SHARING OPPORTUNITY

THIS MEMORANDUM OF UNDERSTANDING (hereinafter, “MOU”) is made and entered into by and between the Administrative Entity of the Southwestern Area Workforce Development Board, the South Central Council of Governments (“SCCOG”), and Workforce Solutions Borderplex (“WSB”), (collectively, the “Parties”) for the purposes hereinafter set forth.

I. Recitals

WHEREAS, members of the Southwestern Area Workforce Development Board and its Administrative Entity have attended the Annual Texas Workforce Conference to explore best practices; and

WHEREAS, the Southwestern Area Workforce Development Board has expressed interest in exploring best practices through a “peer sharing opportunity” from a neighboring workforce board in El Paso, Texas; and

WHEREAS, the Parties wish to enter into this MOU for their mutual benefit and that of their constituents, in accordance with the terms hereinafter set forth.

II. Agreement

1. Mutual goals and obligations of the Parties. SCCOG, and WSB mutually agree to perform the following actions for their mutual benefit and that of their constituents during the term of this MOU:
 - A. Project Description – The purpose of this peer sharing opportunity is to explore best practices and operational center practices in the WSB area that may be implemented in Southwestern New Mexico as part of a continuous improvement process;
 - B. Detailed Work Schedule – SCCOG and WSB will develop a work schedule for the practices to explore in Section II.1.C of this MOU;
 - C. Practices to Explore: WSB will share its practices with the SCCOG delegation consisting of board members, administrative entity and fiscal staff, one stop operator and service provider staff in the following areas:
 - (i) Overview of Plans and Policies
 - (a) What drives success in the El Paso Workforce region?
 - (b) Four-year plan, and strategic plan – Process, measuring, and reporting
 - (c) Identifying targeted industries and occupations in-demand
 - (d) Policy development & review process
 - (e) Career pathways development process

- (ii) System Structure: Center Operations & Business Services
 - (a) How are industry meetings organized and facilitated?
 - (b) Center locations, structure, design & partners
 - (c) Review of required WIOA partner and non-WIOA required partner collaboration – what is the dynamic; how is success measured; how is it monitored and reported back to the LWB?
 - (d) What are the types of services/workshops available to employers, job seekers, and youth recruitment, engagement, and services; What types of software/technologies are used to help customers?
 - (e) Urban vs rural: How are the welcome, skills, and business teams organized, functioning, measured for success, and reported?
- (iii) Overview of Outreach
 - (a) Outreach plans and teams
 - (b) Promotion and communication
 - (c) Community awareness in rural and urban areas
- (iv) Southwestern Area Systems Structure Review
 - (a) Center Operations & Business Services
- (v) Overview of Awards
 - (a) TWC Annual Conference Employer Awards & local awards (SEAL)
- (vi) Governance
 - (a) Board & Committee Structure, and meetings

C. The goals and obligations of the Parties, all as provided herein and in accordance with applicable ordinances and regulations of the Parties and the provisions of this MOU.

2. Financial obligations. Each Party to this MOU shall be responsible for any costs of performing that Party's obligations under this MOU, except as otherwise specifically provided here: If and when Workforce Solutions Borderplex staff or contractors need to travel to New Mexico to assist in guiding the implementation of a best practice initiative, mileage at a rate of \$0.42 per mile will be paid to WSB or its contractors, along with reimbursement for lodging for overnight stays, as well as the cost of staff time involved in the specific activity. (Said cost will be mutually agreed to in advance of the occurrence.)

Each Party's obligation to perform under this MOU shall be limited to the extent of funds and other resources available for that purpose.

3. Term. This MOU shall be effective upon its execution by the authorized officers of each of the Parties, and shall remain in effect through December 31, 2019, unless earlier terminated in accordance with the provisions hereof. This MOU may be extended for an additional term to be determined upon the mutual consent of the Parties. (We may need to extend the date beyond Dec. 31 given that we are nearly into November and there will be extensive holiday closures over the next 60 days. I suggest February 1, 2020 and then we get organized immediately upon signature with the first visit.)

4. Termination or Withdrawal. This MOU may be terminated by the mutual agreement of the Parties at any time. In the event of termination, any funds held by any Party in connection with this MOU shall be retained by that Party, or as otherwise specifically provided in this MOU. Any Party hereto may withdraw from this MOU upon thirty (30) days' notice to the other Parties, and upon such withdrawal the withdrawing party shall have no further obligations under this MOU.
5. Mutual Waiver of Liability; Immunities. Each of the Parties hereto expressly waives any claim for liability or damages of any sort as against any other party in connection with the services to be provided or activities to be conducted pursuant to this MOU. This waiver of liability shall not be deemed to affect in any way the immunities and limitations of liability of the Parties or any of them under the New Mexico Tort Claims Act, Section 41-4-1 *et seq.*, NMSA 1978, which shall remain in full force and effect and shall not be deemed to be altered by any provision of this MOU.
6. Governing Law. This MOU is entered into in the State of New Mexico and the State of Texas for governmental services to be performed in the State of Texas and New Mexico, and shall be governed by the laws of the State of New Mexico and the State of Texas.
7. Cooperation in the Event of Claim. If any third-party claim is alleged against any of the Parties hereto in connection with the services to be provided under this MOU, the Parties agree to cooperate fully with each other to share documents, records, and other information needed for defense against and resolution of such claim.
8. Entire Understanding. This MOU is the entire understanding and agreement between and among the Parties as to the subject matter hereof, and any prior understandings or agreements between the Parties as to the subject matter hereof shall be of no force and effect after the execution of this MOU, unless incorporated herein.
9. Amendment. This MOU may be amended by the mutual written agreement of the Parties hereto, executed with the same formalities as this MOU.
10. Notice. Any notice required or authorized under this MOA may be made by delivery to the Parties or either of them at the following addresses:

South Central Council of Governments:

South Central Council of Governments
Attn.: Jay Armijo, Executive Director
600 Highway 195
Elephant Butte, New Mexico 87935

Workforce Solutions Borderplex:

Workforce Solutions Borderplex
Attn.: Joyce Wilson, Executive Director
300 E. Main, 8th Floor
El Paso, TX 79901

IN WITNESS WHEREOF the Parties through their authorized officers have executed this Memorandum of Understanding effective as of the date executed on behalf of all Parties below.

**SOUTH CENTRAL COUNCIL OF
GOVERNMENTS**

By: _____
Jay Armijo, Executive Director

Date: _____

**WORKFORCE SOLUTIONS
BOARDERPLEX**

By: _____
Joyce Wilson, Executive Director

Date: _____

DRAFT

AGENDA ITEM SUMMARY

Region IV, Chief Elected Officials Meeting	December 13, 2019
<p>Consent Agenda Item</p> <p>*Resolution 19 – 12 concurs with the Southwestern Area Workforce Development Board to approve the amendment to the Grievance and Complaint Policy 18-10.1</p>	
<p>SUMMARY OF AGENDA ITEM</p> <p>As a function of the Chief Elected Officials, this item is presented for your review and consideration to concur with the Southwestern Area Workforce Development Board to approve the amendment to the Grievance and Complaint Policy 18-10.1.</p> <p>20 CFR 683.600(a)(g)(i) requires Local Boards to develop a procedure to file grievances and complaints within the workforce system.</p> <p>Policy 18-10.1 establishes an effective policy and procedure to:</p> <ul style="list-style-type: none"> • Inform all interested parties of the complete process of filing a grievance or complaint: and • Outline how the policy and procedure will provide information to ensure all participants understand the information <p>As a consent agenda item, any member of the board can pull one, or all items, to discuss and vote on separately from the others.</p>	
<p>RECOMMENDATION</p> <p>A motion to approve Resolution 19 – 12.</p>	
<p>CEO'S OPTIONS ARE TO</p> <ol style="list-style-type: none"> 1. Accept the recommendation 2. Amend the recommendation 3. Reject the recommendation 4. Table the item 5. Take no action on the item 	
<p>DEPENDING ON ACTION TAKEN, ITEM MAY BE REFERRED OR REPORTED TO</p> <ul style="list-style-type: none"> • Staff or committee, as directed. 	
<p>THIS ITEM SUPPORTS STRATEGIC PLAN GOAL(S)</p> <ul style="list-style-type: none"> • Supports all strategic plan goals 	
<p>LIST OF SUPPORTING INFORMATION FOR YOUR REVIEW</p> <ul style="list-style-type: none"> • Grievance and Complaint Policy 18-10.1 	

SOUTHWESTERN AREA WORKFORCE DEVELOPMENT BOARD

GRIEVANCE AND COMPLAINT POLICY 18-10.1

DATE OF ISSUE

July 25, 2019

EFFECTIVE DATE

August 1, 2019

APPLICABILITY

Region IV, Chief Elected Officials (CEO), Southwestern Area Workforce Development Board (LWDB), and all Sub-recipients.

PURPOSE

As stated in § 683.600 of the Code of Federal Regulations, the purpose of this policy is to "establish and maintain a procedure for participants and other interested parties to file grievances and complaints alleging violations of the requirements of title I of WIOA, according to the requirements of this section."

BACKGROUND

A. The LWDB must:

- (1) Provide information about the content of the grievance and complaint procedures required by this section to participants and other interested parties affected by the local workforce development system, including one-stop partners and service providers;
- ~~(2) Require that every entity to which it awards title I funds provide the information referred to in paragraph (b)(1) of this section to participants receiving title I funded services from such entities; and~~
- (3) Must make reasonable efforts to assure that the information referred to in paragraph (b)(1) of this section will be understood by affected participants and other individuals, including youth and those who are limited-English speaking individuals. Such efforts must comply with the language requirements of 29 CFR 37.35 regarding the provision of services and

information in languages other than English.

B. Local area procedures must provide:

- (1) A process for dealing with grievances and complaints from participants and other interested parties affected by the local workforce development system, including one-stop partners and service providers;
- (2) An opportunity for an informal resolution and a hearing to be completed within 60 days of the filing of the grievance or complaint;
- (3) A process which allows an individual alleging a labor standards violation to submit the grievance to a binding arbitration procedure, if a collective bargaining agreement covering the parties to the grievance so provides; and
- (4) An opportunity for a local level appeal to a State entity when:
 - (i) No decision is reached within 60 days; or
 - (ii) Either party is dissatisfied with the local hearing decision.

ACTION REQUIRED

A. Program complaints against local WIOA programs and policies.

Who may file. Applicants, participants, service providers, recipients and other interested parties, may file a complaint alleging a non-criminal violation of local WIOA programs, agreements or the local workforce development board's policies and activities.

Time and place for filing. Local program complaints shall be filed with the service provider or local administrative entity within 1 year from the date of the event or condition that is alleged to be a violation of WIOA.

- (1) Local complaint process - step 1 - initial review.
 - (i) Written complaints will be

taken by the service provider or local administrative entity from the complainant or the complainant's designated representative. All complaints will be logged.

- (ii) If the complaint alleges a violation of any statute, regulation, policy, or program that is not governed by WIOA, the complaint will be referred to the appropriate organization for resolution. Notice of the referral will be sent to the complainant.
 - (iii) If the complaint is retained, a complaint file should be established that contains: all application and enrollment forms, if appropriate; the complaint statement and form; chronological log of events; relevant correspondence; and a record of the resolution attempted.
- (2) Local complaint process: step 2 - informal resolution. An attempt should be made to informally resolve the complaint to the satisfaction of all parties. This informal resolution process shall be completed within 10 calendar days from the date the complaint was filed. If all parties are satisfied, the complaint is considered resolved. The terms and conditions of the resolution shall be documented in the complaint file.
- (3) Local complaint process: Step 3 - formal resolution.
- (i) When no informal resolution is possible, the service provider will forward the complaint and a copy of the file to the local administrative entity that will review the complaint file, conduct a further investigation if necessary, and issue a determination within 20 calendar days from the date the complaint was filed. If

further review of the determination is not requested, the complaint is considered resolved. The complaint file should be updated to reflect the determination.

- (ii) Any party dissatisfied with the determination may request a hearing within 10 calendar days of the date of the determination. The local administrative entity will schedule the hearing and forward the program complaint to the impartial hearing officer for resolution. The local administrative entity will monitor the processing of the complaint.
- (4) Local complaint process: step 4 - hearing. The hearing officer will schedule a formal hearing by written notice, mailed to all interested parties at least 7 calendar days prior to the hearing. The notice will include the date, time, and place of the hearing. The hearing shall be conducted within 45 calendar days from the date the complaint was filed. Parties may present witnesses and documentary evidence, and question others who present evidence and witnesses. Parties may be represented by an attorney or another designated representative and may request that records and documents be produced. All testimony will be taken under oath or affirmation. The hearing will be recorded. The hearing officer's recommended resolution will include a summary of factual evidence given during the hearing and the conclusions upon which the recommendation is based.
- (5) Local complaint process: step 5 - final decision. The local administrative entity will review the recommendation of the hearing officer and will issue a final decision within 60 calendar days from the date the complaint was filed.
- (6) Local complaint process: step 6 -

appeal.

- (7) Any party dissatisfied with the final decision, or any party who has not received a decision or a final resolution within 60 calendar days from the date the complaint was filed, may file a request for review. A request for review shall be filed with the department of workforce solutions as the state administrative entity within 90 calendar days from the date the complaint was originally filed.

- (8) The state administrative entity will review the record and issue a final decision on appeal within 30 calendar days from the date the appeal was received by the state administrative entity.

B. Program complaints against local WIOA programs and policies.

Who may file. Applicants, participants, service providers, recipients and other interested parties, may file a complaint alleging a non-criminal violation of local WIOA programs, agreements or the local workforce development board's policies and activities.

Time and place for filing. Local program complaints shall be filed with the service provider or local administrative entity within 1 year from the date of the event or condition that is alleged to be a violation of WIOA.

(1) Local complaint process: step 1 – initial review.

- (i) Written complaints will be taken by the service provider or local administrative entity from the complainant or the complainant's designated representative. All complaints will be logged.
- (ii) If the complaint alleges a violation of any statute, regulation, policy, or program that is not governed by WIOA, the complaint will be referred to the appropriate organization for resolution. Notice of the referral will be sent to the complainant.

- (iii) If the complaint is retained, a complaint file should be established that contains: all application and enrollment forms, if appropriate; the complaint statement and form; chronological log of events; relevant correspondence; and a record of the resolution attempted.

(2) Local complaint process: step 2 – informal resolution. An attempt should be made to informally resolve the complaint to the satisfaction of all parties. This informal resolution process shall be completed within 10 calendar days from the date the complaint was filed. If all parties are satisfied, the complaint is considered resolved. The terms and conditions of the resolution shall be documented in the complaint file.

(3) Local complaint process: Step 3 – formal resolution.

- (i) (a) When no informal resolution is possible, the service provider will forward the complaint and a copy of the file to the local administrative entity that will review the complaint file, conduct a further investigation if necessary, and issue a determination within 20 calendar days from the date the complaint was filed. If further review of the determination is not requested, the complaint is considered resolved. The complaint file should be updated to reflect the determination.

- (ii) (b) Any party dissatisfied with the determination may request a hearing within 10 calendar days of the date of the determination. The local administrative entity will schedule the hearing and forward the program complaint to the impartial

hearing officer for resolution. The local administrative entity will monitor the processing of the complaint.

- ~~(4) Local complaint process: step 4 - hearing. The hearing officer will schedule a formal hearing by written notice, mailed to all interested parties at least 7 calendar days prior to the hearing. The notice will include the date, time, and place of the hearing. The hearing shall be conducted within 45 calendar days from the date the complaint was filed. Parties may present witnesses and documentary evidence, and question others who present evidence and witnesses. Parties may be represented by an attorney or another designated representative and may request that records and documents be produced. All testimony will be taken under oath or affirmation. The hearing will be recorded. The hearing officer's recommended resolution will include a summary of factual evidence given during the hearing and the conclusions upon which the recommendation is based.~~
- ~~(5) Local complaint process: step 5 - final decision. The local administrative entity will review the recommendation of the hearing officer and will issue a final decision within 60 calendar days from the date the complaint was filed.~~
- ~~(6) Local complaint process: step 6 - appeal.~~
- ~~(i) Any party dissatisfied with the final decision, or any party who has not received a decision or a final resolution within 60 calendar days from~~

~~the date the complaint was filed, may file a request for review. A request for review shall be filed with the department of workforce solutions as the state administrative entity within 90 calendar days from the date the complaint was originally filed.~~

- ~~(ii) The state administrative entity will review the record and issue a final decision on appeal within 30 calendar days from the date the appeal was received by the state administrative entity.~~

Discrimination and Equal Opportunity Grievance

The grievances related to discrimination and equal opportunity are governed by the New Mexico Administrative Code, 11.2.21, herewith attached. The Southwestern Area Workforce Development Board use this code as its procedure for processing complaints and grievances related to discrimination and equal opportunity grievances.

INQUIRIES

WIOA Administrative Entity; (575) 744-4857.

ATTESTED

This policy was approved through board resolution on April 26, 2019

SAWDB Board Chair Signature

Date

AGENDA ITEM SUMMARY

Region IV, Chief Elected Officials Meeting	December 13, 2019
<p>Consent Agenda Item *Resolution 19 – 13 concurs with the Southwestern Area Workforce Development Board to approve the modifications to the Financial Policies</p>	
<p>SUMMARY OF AGENDA ITEM</p> <p>As a function of the Chief Elected Officials, this item is presented for your review and consideration to concur with the Southwestern Area Workforce Development Board.</p> <p>The following policies are provided for your review and consideration. The policies reflect requirements under the Workforce Innovation and Opportunity Act.</p> <p>Policies that are amended contain colored text for added items or strikethroughs for deleted ones. Fiscal Staff recently had a conversation with the Federal Fiscal Monitor and he had additional recommendations.</p> <p><u>Chapter/Section of Fiscal Policy that has Changes</u></p> <ul style="list-style-type: none"> • Introduction • Manual Maintenance • Chapter 23- Purchasing/Procurement/Contracts/RFP/Competition • Chapter 11- Administrative/Fiscal Controls/Financial Management <p>RECOMMENDATION</p> <p>A motion to approve Resolution 19 – 13.</p> <p>CEO'S OPTIONS ARE TO</p> <ol style="list-style-type: none"> 1. Accept the recommendation 2. Amend the recommendation 3. Reject the recommendation 4. Table the item 5. Take no action on the item <p>DEPENDING ON ACTION TAKEN, ITEM MAY BE REFERRED OR REPORTED TO</p> <ul style="list-style-type: none"> • Staff or committee, as directed. <p>THIS ITEM SUPPORTS STRATEGIC PLAN GOAL(S)</p> <ul style="list-style-type: none"> • Supports all strategic plan goals <p>LIST OF SUPPORTING INFORMATION FOR YOUR REVIEW</p> <ul style="list-style-type: none"> • Policies 	

WIOA FINANCIAL POLICY AND PROCEDURE MANUAL	INTRODUCTION
South Central Council of Governments (SCCOG) Southwestern Area Workforce Development Board	EFFECTIVE DATE: 07/01/2009 REVISION DATE: 04/25/2019 <u>11/07/2019</u>

Background

Effective July 1, 2000 the South Central Council of Governments (SCCOG) formally assumed the Administrative Entity responsibilities for the Southwestern Area Workforce Development Board (SAWDB). Effective July 1, 2003 the SCCOG formally assumed the Fiscal Agent responsibilities for the SAWDB.

The WIOA program requires the Board to contract with a “Service Provider” that will coordinate all programmatic services in the Southwestern Area through a One Stop Center system. The Southwest is comprised of seven counties: Catron, Dona Ana, Grant, Hidalgo, Luna, Sierra and Socorro County. The SAWDB has One Stop Centers in Dona Ana, Grant, Luna and Socorro Counties with itinerant services in Catron, Hidalgo and Sierra Counties. The SAWDB Workforce Connection Offices provide a full range of service to both employers and participants.

Federal legislation/regulations, State legislation/regulations, as well as the NM State Plan and SAWDB five-year plan, should be referenced to obtain additional information on program requirements.

The SAWDB ~~will comply~~complies with 2 CFR 200.302 Financial Management requirement. ~~that Federal Funds. This criteria is further explained in Chapter 11 of this Manual.~~
~~Policy.~~

The SCCOG is responsible for developing “internal” policies and procedures under which the WIOA program will operate in the Southwestern Area. SCCOG – WIOA staff, in conjunction with the Executive Director, have developed this manual which will standardize operating procedures to be used in administering the financial aspect of the WIOA program.

Policies and procedures are essential tools for controlling the operating environment. The purpose of this manual is to assist the WIOA program in documenting internal financial-related processes.

~~This manual is NOT intended to be a desk manual for employees, but is designed to provide general policy and procedures.~~

WIOA FINANCIAL POLICY AND PROCEDURE MANUAL	MANUAL MAINTENANCE
SOUTH CENTRAL COUNCIL OF GOVERNMENTS SOUTHWESTERN AREA WORKFORCE DEVELOPMENT BOARD	EFFECTIVE DATE: 07/01/2009 REVISION DATE: 07/01/2014 <u>11/07/2019</u>

The WIOA Administrative Entity/Fiscal Agent is charged with directing and controlling the programmatic and financial affairs of the WIOA program in the Southwestern Area. SCCOG – WIOA staff will be responsible for developing, maintaining, and updating internal financial policies and procedures to be incorporated in this manual. Changes, updates and new financial policies will be presented to the LWDB for approval and discussion.

The objective of this manual is to:

- Provide guidance and allow for monitoring internal controls
- Ensure compliance with applicable federal and state laws and regulations, and
- Promote efficient financial management with standardized procedures/forms

This manual is not intended to replicate or duplicate federal or state laws, rules or regulations.

~~As new policies are required, SCCOG-WIOA staff will draft such policies for review by the Executive Director.~~

WIOA FINANCIAL POLICY AND PROCEDURE MANUAL	CHAPTER 1 ORGANIZATIONAL STRUCTURE
SOUTH CENTRAL COUNCIL OF GOVERNMENTS SOUTHWESTERN AREA WORKFORCE DEVELOPMENT BOARD	EFFECTIVE DATE: 07/01/2009 REVISION DATE: 07/01/2015

INTRODUCTION

The SCCOG employs staff to administer the WIOA program in the Southwestern Area. The program covers a seven county area: Catron, Dona Ana, Grant, Hidalgo, Luna, Sierra and Socorro, with Dona Ana being the most populous county in the area.

POLICY

The Fiscal Administrator is directly responsible for the financial operation of the WIOA program in the Southwestern Area under the direction of the SCCOG Executive Director, the Southwestern Area Workforce Development Board (SAWDB) and the Chief Elected Officials Board. The Administrator provides fiscal policy advice and guidance for the WIOA program under the SCCOG umbrella.

The WIOA Administrator is directly responsible for the programmatic operation of the WIOA program in the Southwestern Area under the direction of the SCCOG Executive Director. The WIOA Administrator coordinates activities with the State Administrative Entity, Chief Elected Officials, Local and State Board, SCCOG Executive Director and other SCCOG staff.

An organizational chart will be prepared to document the organizational structure within the SCCOG as it relates to the WIOA program.

WIOA –RELATED STAFF

- SCCOG Executive Director
- WIOA Fiscal Administrator
- WIOA Program Administrator
- WIOA Fiscal Clerk

Assignments to the above positions may only be made in writing by the Executive Director.

WIOA FINANCIAL POLICY AND PROCEDURE MANUAL	CHAPTER 2 AUTHORIZED SIGNATURES
SOUTH CENTRAL COUNCIL OF GOVERNMENTS SOUTHWESTERN AREA WORKFORCE DEVELOPMENT BOARD	EFFECTIVE DATE: 07/1/2009 REVISION DATE: 07/01/2015

INTRODUCTION

The SCCOG Executive Director determines the level of authority granted to SCCOG administrators responsible for the Workforce Investment Program. The delegation of this authority will take into consideration internal controls, separation of duties, as well as the efficient and effective operation of the program.

Signature authority will be established for the following areas:

- | | |
|-------------------------------|--------------------------------|
| 1. Budget | 5. Custody of Check Stock |
| 2. Budget Adjustment Requests | 6. Journal Entries |
| 3. Cash Receipts | 7. Preparation and Approval of |
| 4. Disbursements/Payments | Reports |

POLICY

Signature authority for the financial transactions/processes within the WIOA program may only be granted by the SCCOG Executive Director. All such approvals must be in writing and be included in this policy and procedural manual.

1. Budget

An initial budget will be prepared annually and may be amended due to the inclusion of unobligated prior year balances, allocation of additional funds, recapture of unspent funds, or the transfer of funds between funding streams as allowed by legislation. All draft and final budgets must be reviewed and approved by the Executive Director prior to presentation to the Board.

Authorized Signatures:

Recommendation:

- a). WIOA Fiscal Administrator
- b). WIOA Administrator

Approval:

SCCOG Executive Director

WIOA FINANCIAL POLICY AND PROCEDURE MANUAL	CHAPTER 2 AUTHORIZED SIGNATURES
SOUTH CENTRAL COUNCIL OF GOVERNMENTS SOUTHWESTERN AREA WORKFORCE DEVELOPMENT BOARD	EFFECTIVE DATE: 07/01/2009 REVISION DATE: 07/01/2015

2. Budget Adjustment Requests (BAR)

On occasion a budget adjustment request may be required due to a change in requested services or level of funding available.

Authorized Signatures:

Recommendation:

- a). WIOA Fiscal Administrator

Approval:

SCCOG Executive Director

Concurrence:

- a). WIOA Administrator

3. Cash Requests

Requests to draw down funds from the grantor will be prepared on a periodic basis after an analysis of cash balances, projected disbursements, and in conjunction with the requirements of the Federal Cash Management regulation.

Authorized Signatures:

Recommendation:

- a). WIOA Fiscal Administrator

Approval:

SCCOG Executive Director

4. Payments/Disbursements

Disbursements in the WIOA program can be for:

1. Payment of goods/services through the Accounts Payable System
2. Reimbursements to subrecipients
3. Refunds

Authorized Signatures:

Recommendation:

- a). WIOA Fiscal Clerk

Review/Approval:

WIOA Fiscal Administrator

WIOA FINANCIAL POLICY AND PROCEDURE MANUAL	CHAPTER 2 AUTHORIZED SIGNATURES Continued
SOUTH CENTRAL COUNCIL OF GOVERNMENTS SOUTHWESTERN AREA WORKFORCE DEVELOPMENT BOARD	

5. Custody of Check Stock

On a periodic basis, payments and/or disbursements are processed for goods and/or services for the WIOA program. Check stock must be requisitioned from inventory to process the payments.

Authorized Signatures:

Request check stock:

- a). WIOA Fiscal Clerk

Custody of Check Stock:

- a). WIOA Fiscal Administrator
- b). SCCOG Executive Director

6. Check Signatures

After payment vouchers have been entered into the accounting system by the Fiscal Clerk and approved for payment by the WIOA Fiscal Administrator, the AP check batch will be processed to produce the actual checks. All checks will require two signatures. One signature is that of the SCCOG Executive Director and the second signature is that of the SAWDB Chairman or other designee.

Authorized Signatures:

Check Preparer:

- a). WIOA Fiscal Clerk

Check Signer:

- a). SAWDB Board Chair
- b). SAWDB Vice Chair
- c). SCCOG Executive Director
- d). Other Designee by the Board

7. Journal Vouchers

On occasion, a journal voucher (JV) will be required to record beginning balances, year-end closing entries, and corrections or adjustments in the accounting system. The JV will be drafted, reviewed, and approved as follows:

Authorized Signatures:

Preparer of JV:

- a). WIOA Fiscal Administrator

Review/Approval:

- a). SCCOG Executive Director

WIOA FINANCIAL POLICY AND PROCEDURE MANUAL	CHAPTER 2 AUTHORIZED SIGNATURES Continued
South Central Council of Governments (SCCOG) Southwestern Area Workforce Development Board	

8. Financial Reports

Financial reports are submitted on a monthly, quarterly, and annual basis to the Department of Workforce Solutions and to the SAWDB and CEOs. All financial reports will be prepared at the earliest possible date to allow time for review and approval.

Authorized Signatures:

Preparer:

a). WIOA Fiscal Administrator

Approval:

SCCOG Executive Director

9. Procurements/Purchasing

All WIOA procurements will be processed in accordance with the SAWDB Procurement Policy as approved by the SAWDB Board. WIOA staff authorized to review and approve Board purchase orders are as follows:

Authorized Signatures:

Preparer:

a). WIOA Program Staff

Approval:

a). WIOA Fiscal Administrator
b). SCCOG Executive Director

10. Time Sheets/Requests for Leave

WIOA employees will submit time sheets in accordance with SCCOG policy. The employee's immediate supervisor will review and sign the individual time sheet. All time sheets will be reviewed and approved by the SCCOG Executive Director.

WIOA employees will submit a Request for Leave in accordance with SCCOG policy. The employee's immediate supervisor is authorized to approve requests for leave.

WIOA FINANCIAL POLICY AND PROCEDURE MANUAL	CHAPTER 3 INTERNAL CONTROLS
SOUTH CENTRAL COUNCIL OF GOVERNMENTS SOUTHWESTERN AREA WORKFORCE DEVELOPMENT BOARD	EFFECTIVE DATE: 07/01/2009 REVISION DATE: 04/25/2019

INTRODUCTION

Adequate internal control is a key defense against fraud, waste and program abuse. All contractors have a responsibility to reduce the risk of fraud, waste and program abuse by implementing effective internal controls that adequately safeguards assets. This chapter compiles the applicable federal, state and agency requirements and guidance governing internal control. In the event of conflict between these standards and federal statute or regulation, the federal statute or regulation will apply. The development and imposition of internal controls includes: administrative controls, accounting controls, program controls, budget controls, and management controls. Implementing a system of internal controls will not provide absolute assurance that waste, fraud, or abuse will be eliminated, but it will provide a reasonable assurance that attempts to control the processes are in place.

POLICY

When developing and approving policies, processes, and procedures, the SCCOG and SAWDB will consider the components of internal control as defined by the Committee of Sponsoring Organizations of the Treadway Commission (COSO) which issued the 2013 Internal Control-Integrated Framework (Framework) and 2 CFR 200.303 Internal Controls. The five components of internal control are the control environment, risk assessment, control activities, information and communication, and monitoring activities. When considering the concept of internal controls and separation of duties, the organization will also consider the cost benefit of implementing specific processes and controls. The cost of implementing the control should not exceed the cost of the potential loss.

Procedures attempt to prevent errors and improprieties as well as ensure timely detection of errors or impropriety.

Procedures will be re-evaluated periodically and updated as necessary as the result of staff changes or changes in systems, programs, and/or procedures.

Some of the processes directly related to the concept of internal controls for which a specific policy is included in the manual are as follows:

- Vendor maintenance
- Approval of payments/disbursements
- Custody of check stock
- Bank reconciliations

WIOA FINANCIAL POLICY AND PROCEDURE MANUAL	CHAPTER 4 BUDGET PREPARATION
SOUTH CENTRAL COUNCIL OF GOVERNMENTS SOUTHWESTERN AREA WORKFORCE DEVELOPMENT BOARD	EFFECTIVE DATE: 07/01/2009 REVISION DATE: 07/01/2015

INTRODUCTION

On an annual basis, the Southwest Area will receive from the Department of Workforce Solutions allocations for the Workforce Innovation and Opportunity Act (WIOA), which must be in writing. Additionally, funds may be received during the funding year for various programs including, but not limited to, youth, rapid response, and 10% statewide set-aside funds. Upon final reconciliation of a prior year, unobligated funds will be budgeted for expenditure in the following year.

On occasion, the SAWDB may receive additional “direct” funding as the result of a special grant. All funding *must* be received in writing prior to the finalization of a budget and the authorization given to expend funds.

POLICY

The initial draft budget presented to the Board will include the new program year/fiscal year funding exclusive of any prior year unobligated balances. This process should be initiated in April or upon receipt of the funding allocations from the State with presentation to the Board in May. If possible, the PY/FY budget should be finalized by the third week of May in order to present to the Board and allow sufficient time to notify service providers/contractors of their new funding levels. Letters of Authorization should be issued to the service providers/contractors by July 1 of each year. The final contract/contract extension should be finalized no later than August 1 of each year.

PROCEDURES

The WIOA Fiscal Administrator is responsible for creating and maintaining the permanent files relating to all financial processes including, but not limited to, grant requests, grant approvals, funding allocations, funding adjustments, financial reports, approved contracts, etc.

ANNUAL BUDGET

Upon receipt of the funding allocations each year, the WIOA staff will meet to discuss the initial preparation of the budget and any special instructions that may affect the annual budget preparation process.

Based on the initial discussion described above, the Fiscal Administrator and WIOA Administrator will initiate a “draft” budget format for discussion purposes and will make available detailed information on

each budgeted line item. After internal discussions within the SCCOG, a recommendation will be finalized for presentation to the full Board for approval.

After the Board approves the annual budget, the WIOA Administrative Entity staff will initiate a Letter of Authorization for each service provider/contractor, to include the dates of operation and budgeted amount. The WIOA Administrator will include the steps required to finalize an actual contract. The letters will be reviewed and signed by the SAWDB Board Chair. The contracting process may include the issuance of a new contract, or if permitted, a contract extension. The issuance of a new contract may require a Request for Proposal; if so, a Letter of Authorization will not be issued; however, the RFP Process will be initiated by the WIOA Administrator.

BUDGET ADJUSTMENTS

On occasion, the SAWDB may be advised by the DWS that additional funding may be requested or has been issued. Likewise, the SAWDB may request a transfer of funds from one funding stream to another as permitted by federal/state legislation. Additional funds made available to the local area will require the preparation and approval of a Budget Adjustment Request (BAR).

The WIOA Fiscal Administrator and the WIOA Administrator will be responsible for preparing budget adjustment requests and related backup documentation. The BAR will be entered into the accounting system and financial reports. A BAR moving funds between funding streams will require Board approval. A BAR moving funds within a funding stream up to \$25,000 may be approved by the SCCOG Executive Director.

BUDGET PRESENTATION FORMATS

To ensure consistency in application and interpretation, only the *approved* Budget Format will be utilized for presentation to the SAWDB Board and subcommittees. All reports will be dated. All discussion drafts will be clearly marked “DRAFT” in order to avoid confusion. Final budgets will be marked “Approved by the Board on xx/xx/xxxx.”

DISTRIBUTION

Discussion and final budgets will not be distributed outside the SCCOG until the review and approval of the Board Chair has been obtained.

WIOA FINANCIAL POLICY AND PROCEDURE MANUAL	CHAPTER 5 CASH MANAGEMENT
SOUTH CENTRAL COUNCIL OF GOVERNMENTS SOUTHWESTERN AREA WORKFORCE DEVELOPMENT BOARD	EFFECTIVE DATE: 07/01/2009 REVISION DATE: 07/01/2015

INTRODUCTION

Managing cash receipts is one of the most important functions in the area of Accounting and Financial Management. Revenues to fund the program are in the form of cash advances/reimbursements from the State Administrative Entity.

POLICY

To assist in complying with federal regulations regarding cash management the SCCOG will maintain a separate depository account that will be utilized exclusively for WIOA/WIOA-related funding.

The process of managing cash receipts includes determining the need for operating cash on a periodic basis, the process of requesting cash from the grantor, verifying the receipt of cash with the fiscal agent bank, reconciling the bank account, and preparing and posting accounting entries relating to cash requests and cash receipts.

PROCEDURE

1. SAWDB Requests

On an as needed basis the WIOA Fiscal Administrator will analyze the general ledger cash account 1000, actual bank balance, and the amount and timing of projected disbursements. This analysis will be used to determine the amount of cash to be requested from the State Administrative Entity.

Federal and state cash management regulations require federal fund recipients to continually analyze cash needs to ensure “excess cash” is not maintained. Cash drawdowns must be for “immediate need.” The *timing* of disbursements is critical to the overall process of determining cash needs.

As needed, Fiscal Agent staff will prepare a Request for WIOA Funds, DWS Forms, documenting the requested funds by funding stream: Adult, Dislocated Worker, Youth In-School, Youth Out-of-School, Summer Youth, and Administration.

The SCCOG Executive Director will sign the Request for WIOA Funds. The request will be “e-mailed” to the NMDWS. Based on NMDWS procedures, funds will be “*electronically wired*” to the SCCOG - WIOA bank account within approximately 5-7 days from receipt of the request.

WIOA FINANCIAL POLICY AND PROCEDURE MANUAL	CHAPTER 5 CASH MANAGEMENT Continued
South Central Council of Governments (SCCOG) Southwestern Area Workforce Development Board	

The Fiscal Clerk will prepare the revenue/receivable in the Accounts Receivable in the accounting software. The WIOA Fiscal Administrator will then approve and post the transaction.

Once the Receivable is paid to the SAWDB, DWS will inform the WIOA Fiscal Administrator that the Cash Request is paid. Upon actual deposit of the funds in the bank, the Fiscal Clerk will enter a transaction into the accounting system reversing the accounts receivable and recording the cash. The WIOA Fiscal Administrator will then approve the entry and post it to the accounting system.

2. SAWDB Contractors

On a monthly basis, the SAWDB contractors, the contractors with the One Stop Center Operators and the Youth Providers, will submit an invoice documenting the expenditure of funds by funding stream (Adult, Dislocated Worker, Youth In-School, Youth Out-of-School, Summer Youth or Administration) as authorized in their approved contract. The invoice must be approved by an authorized official as identified in their contract and submitted directly to the SCCOG WIOA Fiscal Administrator.

The Fiscal Clerk will audit the invoice to ensure expenditures are in accordance with the approved contract. If a problem exists, the Fiscal Clerk will notify the requestor and the WIOA Fiscal Administrator of the problem and the adjustments that will be made.

If problems or concerns surface in the overall area of cash management, the WIOA Fiscal Administrator will present the issue to the SCCOG Executive Director and the WIOA Program Administrator.

WIOA FINANCIAL POLICY AND PROCEDURE MANUAL	CHAPTER 6 VENDOR MAINTENANCE
SOUTH CENTRAL COUNCIL OF GOVERNMENTS SOUTHWESTERN AREA WORKFORCE DEVELOPMENT BOARD	EFFECTIVE DATE: 07/01/2009 REVISION DATE: 07/01/2014

INTRODUCTION

The chapter on Internal Controls discussed the need to have a separation of duties and a system of internal controls to review and approve payment processes to avoid waste, fraud, and abuse. Establishing new vendors in the accounting system will allow staff to process payments and/or disbursements. This process requires a separation of duties which includes the initial setup of new vendors versus the process of entering payments and processing actual checks.

PROCEDURE

PARTICIPANTS – supportive service payments are approved by One Stop or Youth Provider staff based on established guidelines for the WIOA program. Participant files and all required participant documents are the responsibility of the One Stop Center and/or Youth Provider, and will be maintained at their locations. In addition, originals of all One Stop documents will be sent to the Fiscal Agent for its files.

Payments made directly to a participant by the Fiscal Agent are for supportive services, which may include transportation, child care, temporary shelter, etc. Upon approval of supportive services, the One Stop Center must submit to the fiscal agent an approved Form WIOA-4, Supportive Services Request and Approval, for each participant. This document will also serve as notice that a new participant must be entered into the accounting system as a new vendor.

Supportive service payments will not be processed unless completed WIOA-4 forms are received.

New WIOA-4 forms will be given to the WIOA Fiscal Administrator who is authorized and responsible for creating new participant vendors in the accounting system. After new participant records have been created, the Fiscal Clerk can then proceed with entering and processing payments per the established schedule.

VENDORS – payments to vendors are made for goods and/or services provided under the WIOA Program. A purchase order or a contract will be issued for goods and/or services. New vendors may have to be established in the accounting system in order to process payments. As required, the WIOA Fiscal Administrator will review/audit approved purchase orders or contracts and create new vendors in the accounting system. After the new vendor files have been created, the Fiscal Clerk can proceed with entering and processing payments based on original invoices.

WIOA FINANCIAL POLICY AND PROCEDURE MANUAL	CHAPTER 6 VENDOR MAINTENANCE Continued
SOUTH CENTRAL COUNCIL OF GOVERNMENTS SOUTHWESTERN AREA WORKFORCE DEVELOPMENT BOARD	

ADDRESS AND NAME CHANGES - address and name changes will follow the same procedures listed above. The Fiscal Clerk will batch required changes and forward to the WIOA Fiscal Administrator in order to update the vendor files.

DELEGATION – in the absence of the SCCOG Fiscal Administrator, a designee will be authorized to create new vendor records.

WIOA FINANCIAL POLICY AND PROCEDURE MANUAL	CHAPTER 7 CHECK STOCK
SOUTH CENTRAL COUNCIL OF GOVERNMENTS SOUTHWESTERN AREA WORKFORCE DEVELOPMENT BOARD	EFFECTIVE DATE: 7/01/2009 REVISION DATE: 07/01/2014

INTRODUCTION

The development of this chapter is to further the goal of developing processes and procedures that will ensure proper internal controls and a separation of duties.

POLICY

The SCCOG staff authorized to enter invoices for payment and generate actual checks for payment will not have open access to the inventory of blank checks. The SCCOG will assign an employee that is not authorized to enter WIOA payments to serve as the “check stock custodian” and will ensure blank check stock is maintained in a secure area with access limited to only approved individuals. Blank check stock will be inventoried, and a log maintained of all incoming and outgoing blank checks.

PROCEDURE

1. Blank Checks

After a payment batch has received final approval and is ready for actual payment, the WIOA Fiscal Administrator will determine the *exact* number of blank checks required to process the payments/disbursements. The required number of blank checks will be requisitioned from the check stock custodian who will enter the information in the check stock log. The disbursement of check stock will be entered into the check stock log with an issuance date and signature of the custodian. The WIOA Fiscal Clerk will also initial the log as receiving the checks.

Upon receipt of the blank checks the WIOA Fiscal Clerk will proceed with the payment process as normal.

2. Voided Checks

On occasion it may be necessary to “void” a check that has already been processed for payment. A log of voided checks shall be maintained by the WIOA Fiscal Administrator. Upon determination that a check should be voided, the WIOA Fiscal Clerk will immediately stamp VOID across of the front of the check, if the check is still in the possession of SCCOG. The voided check will be entered into the Voided Check Log stating the check number, check date, void date, and reason for voiding the check. The checks and log will be maintained until the external audit has been completed.

The voided check information will be entered into the accounting system which will re-establish the Accounts Payable pending invoice. The pending invoice, at this time, may be re-issued with the correct information or canceled.

WIOA FINANCIAL POLICY AND PROCEDURE MANUAL	CHAPTER 8 PAYMENTS/DISBURSEMENTS
SOUTH CENTRAL COUNCIL OF GOVERNMENTS SOUTHWESTERN AREA WORKFORCE DEVELOPMENT BOARD	EFFECTIVE DATE: 07/01/2009 REVISION DATE: 07/01/2014

INTRODUCTION

Disbursing public funds is a critical function of a government operation. Internal controls must be in place to ensure payments are for approved, legitimate goods and services that have been obtained through appropriate procurement standards.

POLICY

All payments/disbursements must be approved, in writing, by a supervisor other than the staff member entering the pending invoice/payment into the accounting system. Payments will only be processed for goods received and/or services rendered. As a general rule, every payment must be supported by an original or certified copy of the invoice. Supportive service payments must be supported by an approved time and attendance report or other approved invoice.

PROCEDURES

Supportive Service Payments – All supportive service payments must be processed through the submittal of a Time and Attendance Report that will identify the type of payment, amount and/or rate(s) of payment, the approval of a supervisor/career advisor, as well as the participant's signature.

Time and Attendance Reports will be forwarded to the WIOA SCCOG Administrative Entity for review and approval. Once approved by the Administrative Entity the Invoice will be forwarded on to the Fiscal Clerk. Each Time and Attendance Report will be, again, audited and approved by the WIOA Fiscal Administrator to ensure compliance with the stipulations in the approved WIOA-4, Supportive Services Request and Approval. After approval the Fiscal Clerk will enter the payments into the accounting system, accounts payable module. After all payments have been entered and verified, the report "Unposted Accounts Payable Transactions" will be printed. The Unposted Transaction report and the Time and Attendance reports will be batched and forwarded to the WIOA Fiscal Administrator for review and approval. After approval, the payment batch will be returned to the Fiscal Clerk in order to produce the checks for payment.

Tuition and Related Payments – Tuition, books and other allowable items must be processed through the submittal of an Individual Training Account (ITA). The ITA must contain an itemization of the costs to be covered, including tuition, registration fees, books, supplies, and/or other allowable items. The ITA must be signed by the participant, training provider, and One Stop Center career advisor in addition to obtaining the final approval of the One Stop Center director or designee.

Invoices will be forwarded to the WIOA SCCOG Administrative Entity for review and approval. Once approved by the Administrative Entity the Invoice will be forwarded on to the Fiscal Clerk. The WIOA Fiscal Clerk will again review the invoices and reconcile to the participant contracts on file. Approved

invoices will be entered into the Accounts Payable module of the Accounting System by the WIOA Fiscal Clerk. After all payments have been entered and verified, the “Unposted Accounts Payable Transactions” report will be batched with the ITAs and forwarded to the WIOA Fiscal Administrator for review and approval. After approval, the payment batch will be returned to the Fiscal Clerk to produce the checks for payment.

On-the-Job Contracts – An OJT contract must be finalized between the One Stop Center and the employer which will identify, at a minimum, the number of participants, occupations and wages to be paid. Invoices will be forwarded to the WIOA SCCOG Administrative Entity for review and approval. Once approved by the Administrative Entity the Invoice will be forwarded on to the Fiscal Clerk. The Fiscal Clerk will audit the invoice to ensure the invoice is in compliance with the terms of the OJT contract prior to entering the payment voucher into the Accounts Payable module. Upon entering audited invoices into the Accounts Payable system, the Fiscal Clerk will produce the report “Unposted Accounts Payable Transactions.” The Unposted Transaction report, the original invoice and approved OJT contract will be batched and forwarded to the WIOA Fiscal Administrator for review and approval and posting. After approval, the unposted payment batch will be returned to the Fiscal Clerk to produce the checks for payment.

Goods and Services – A purchase order must be completed to procure goods and/or services for the WIOA program. Invoices for goods and services will be forwarded to the WIOA Fiscal Administrator for review and approval. Upon entering audited invoices into the Accounts Payable system, the Fiscal Clerk will produce the report “Unposted Accounts Payable Transactions”. The Unposted Transaction report, the original invoice and approved purchase document will be batched and forwarded to the WIOA Fiscal Administrator for review and approval and posting. After the batch will be returned to the Fiscal Clerk in order produce the checks for payment.

Service Provider Reimbursements – In accordance with the approved contract, the One Stop Center and Youth Services Provider will submit an invoice to request reimbursement of valid expenditures. The cash request and any required supporting documentation will be submitted directly to the WIOA Fiscal Agent. The WIOA Fiscal Administrator will audit the invoice and verify that the expenditures are in accordance with the approved contract. After the invoice has been audited by the WIOA Fiscal Administrator, the Fiscal Clerk will enter the invoice into the accounts payable module. The “Unposted Transactions” report will be batched with the original invoice and forwarded to the WIOA Fiscal Administrator for review and approval and posting. After approval, the unposted payment batch will be returned to the Fiscal Clerk to produce the actual check.

WIOA FINANCIAL POLICY AND PROCEDURE MANUAL	CHAPTER 9 BANK RECONCILIATION
SOUTH CENTRAL COUNCIL OF GOVERNMENTS SOUTHWESTERN AREA WORKFORCE DEVELOPMENT BOARD	EFFECTIVE DATE: 07/01/2009 REVISION DATE: 07/01/2014

INTRODUCTION

Timely reconciliation of a bank account will allow staff to detect errors in posting in the general ledger or to the account by the fiscal agent bank. This process will also uncover attempts at fraud in connection with the bank and cash account.

POLICY

The bank account must be reconciled by an employee who is not responsible for the receipt or disbursement of WIOA cash. The reconciliation must be completed on a monthly basis. Each reconciliation and the supporting documentation must be maintained until the external audit has been completed and in accordance with state record retention schedules. The SCCOG will utilize the accounting system Bank Reconciliation module and will follow the software instructions to complete the reconciliation on a monthly basis.

PROCEDURE

All correspondence from the fiscal agent bank should remain “unopened” and forwarded to the person responsible for the reconciliation. The employee responsible for the reconciliation should not be responsible for either cash receipts or disbursement for the WIOA program.

Typical Steps

1. Record the date and account number on the bank statement top of the worksheet.
2. Record the bank statement balance on the worksheet.
3. List and total all outstanding deposits.
4. List all outstanding check numbers and total the corresponding amounts.
5. Record the GL cash account balance, adjust for any unrecorded bank activity such as interest earned and service charges. This is the adjusted bank balance.
6. Compare the adjusted bank balance to the adjusted cash balance – they must equal.
7. If the accounts do not balance, a full explanation must be documented on the reconciliation form.
8. The employee responsible for preparing and reviewing the reconciliation must both sign and date the reconciliation.

WIOA FINANCIAL POLICY AND PROCEDURE MANUAL	CHAPTER 10 TRANSACTION NUMBERING
SOUTH CENTRAL COUNCIL OF GOVERNMENTS SOUTH WESTERN AREA WORKFORCE DEVELOPMENT BOARD	EFFECTIVE DATE: 07/01/2009 REVISION DATE: 07/01/2014

INTRODUCTION

Accounting systems are designed to record financial transactions in a consistent and routine manner. Financial information should be designed to support administrators in the successful operation of programs. Designing the user-defined portions of a system must be well thought out in order to provide information in a useful and timely manner.

POLICY

The user-defined portions of the accounting system will be designed with input from consultants, software support experts, and in consultation with other similar users of the system. Changes to the system will be recommended and discussed internally with the SCCOG Fiscal Administrator and Executive Director prior to implementation.

PROCEDURE

The Chart of Accounts have been developed in consultation with the software support vendor, consultant support, as well as other WIOA users of the accounting system. See appendix for a copy of the Chart of Accounts.

Listed below is the approved numbering sequence for the various types of accounting transactions.

Transaction Type Numbering Series

Supportive Service Payments –	LNameMM/DD LName- Last Name of Participant MM/DD- Month and Date of Pay Period Ending
Accounts Payable Invoices – API Session	XXXXXXX API0408001 Calendar year = 04 Month = 08 Sequential # = 001
Accounts Payable Checks – APC Session	XXXXXXX APS0408001 Calendar year = 04 Month = 08 Sequential # = 001

WIOA FINANCIAL POLICY AND PROCEDURE MANUAL	CHAPTER 10 TRANSACTION NUMBERING Continued
South Central Council of Governments (SCCOG) Southwestern Area Workforce Development Board	

Cash Receipts – CR Session	XXXXXXX	DR0408001 Calendar year = 04 Month = 08 Sequential # = 001
Journal Voucher – JV Session	XXXXXXX	JV0408001 Calendar year = 04 Month = 08 Sequential # = 001
Interest		
Bank Charges		
Revenues		
Adjustments/Corrections		
Accounts Receivable –AR Session	XXXXXXX	ARI0408001 Calendar year = 04 Month = 08 Sequential # = 001
Voided Checks – VC Session	XXXXXXX	0408001 Calendar year = 04 Month = 08 Sequential # = 001

Each program year (July 1st) the numbering series will start again with the new funding year designation.

WIOA FINANCIAL POLICY AND PROCEDURE MANUAL	CHAPTER 11 ADMINISTRATIVE/FISCAL CONTROLS/FINANCIAL MANAGEMENT
SOUTH CENTRAL COUNCIL OF GOVERNMENTS SOUTHWESTERN AREA WORKFORCE DEVELOPMENT BOARD	EFFECTIVE DATE: 07/01/2009 REVISION DATE: 07/01/2015 11/07/2019

INTRODUCTION

Federal regulations require the establishment of fiscal controls and accounting procedures in order to assure proper disbursement of, and accounting for, WIOA funds. Financial transactions and accounting records must be in accordance with generally accepted accounting principles.

POLICY

The SAWDB, including Chief Elected Officials, Local Board members, Administrative Entity/Fiscal Agent staff and service providers receiving WIOA funds, except as provided in the regulations, shall comply with the applicable Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments codified at 2 CFR Chapter I, Chapter II, and Part 200.

PROCEDURE

The SAWDB Administrative Entity and Fiscal Agent staff will review the Administrative Rules, Costs, and Limitations under the 2 CFR Chapter I, Chapter II, and Part 200 and ensure compliance. Specific rules include the following:

1. Workforce Innovation and Opportunity Act of 2014
2. WIOA Joint Final Rule
3. New Mexico Administrative Code
4. State Technical Assistance Guidance
5. Procurement contracts between local boards and units of State or local governments must be conducted on a cost reimbursement basis.
6. Program income must be recorded under the "Addition Method" for all program income earned under WIOA Title I grants.
7. Accounting Systems/Financial Management Systems utilized by the SAWDB will comply with 2 CFR 200.302 Financial Management criteria that ensures that Federal Funds are expended in compliance with Federal statutes, regulations, and the terms and conditions of the Federal award, must be sufficient to permit the preparation of reports required by general and program-specific terms and conditions; and the tracing of funds to a level of expenditures adequate to establish that such funds have been used according to the Federal statutes, regulations, and the terms and conditions of the Federal award.
 - a. Financial Management Systems utilized by the SAWDB will provide the following:
 - i. Clear identification of Federal Funds Received and expended (by awarding agency and year).
 - ii. Accurate, current, and complete disclosure of the financial results of each Federal award or program in accordance with the reporting requirements set

- Costs that are not part of administration but are charged directly to program costs include:

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WIOA FINANCIAL POLICY AND PROCEDURE MANUAL	CHAPTER 12 WIOA ADMINISTRATIVE COST LIMITS AND FUNCTIONS
SOUTH CENTRAL COUNCIL OF GOVERNMENTS SOUTHWESTERN AREA WORKFORCE DEVELOPMENT BOARD	EFFECTIVE DATE: 07/01/2009 REVISION DATE: 07/01/2014

INTRODUCTION

Under the Workforce Innovation and Opportunity program, local area expenditures are limited to no more than ten percent (10%) of the amount allocated to the local area under section 128(b) Youth Activities and 133(b) Adult/Dislocated Worker activities included in the Act. The Act states that local administrative costs need not be allocated back to the individual funding streams.

POLICY

The SAWDB will ensure the requirements within the Uniform Administrative Requirements, Cost Principles and Audit Requirements are complied with by the administrative entity, fiscal agent, and service providers or other sub-recipients.

PROCEDURES

The administrative entity will ensure all sub-grants and/or contracts written within the Southwest Area utilizing WIOA funds will provide program funds if the subrecipient/contractor performs any of the following functions:

1. Accounting, budgeting, financial and cash management functions;
2. Procurement and purchasing functions;
3. Property management functions;
4. Personnel management functions;
5. Payroll functions;
6. Coordinating the resolution of findings arising from audits, reviews, investigations, and incident reports;
7. Audit functions;
8. General legal services functions;
9. Developing systems and procedures, including information systems, required for these administrative functions;
10. Performing oversight and monitoring responsibilities related to WIOA administrative functions;
11. Costs of goods and services required for administrative functions;
12. Travel costs incurred for official business in carrying out administrative activities;
13. Costs of information systems related to administrative functions, for example, personnel, procurement, purchasing, property management, accounting and payroll. The costs include the purchase, systems development, and operating cost of these systems; and
14. Awards to subrecipients or vendors that are solely for the performance of administrative functions;

WIOA FINANCIAL POLICY AND PROCEDURE MANUAL	CHAPTER 13 REPORTING REQUIREMENTS
SOUTH CENTRAL COUNCIL OF GOVERNMENTS SOUTHWESTERN AREA WORKFORCE DEVELOPMENT BOARD	EFFECTIVE DATE: 07/01/2009 REVISION DATE: 07/01/2014

INTRODUCTION

The State Administrative Entity (SAE) has established the reporting requirements for the Local Areas. The report format and applicable due dates are also established by the SAE.

POLICY

The SAWDB will comply with all established reporting requirements as set forth by the State Administrative Entity. In accordance with federal regulations, reported expenditures and program income, including any profit earned, must be on the accrual basis of accounting and cumulative *by fiscal year of appropriation*.

The monthly financial report will be submitted to the SAE by the 20th of the following month in accordance with the established due dates. A final financial report is required forty-five (45) days after the expiration of a funding period or termination of a grant.

PROCEDURES

The Office of Workforce Training and Development has distributed the required Monthly Financial Status Report (MFSR) that Local Areas must complete and submit to the SAE by the 20th of the following month.

An MFSR will be prepared for each available funding year in addition to a report for the Governor's 10% Incentive Funds that have been awarded to the SAWDB.

All financial transactions for a particular month will be entered and posted in the accounting system by the last day of the month. The WIOA accounting staff will run the Revenue and Expenditure Report for the applicable month in order to begin preparing the required monthly MFSR. The MFSR will reflect the authorized allocations from the State for each individual funding year, PY and FY. Unexpended balances will not be added to a subsequent year budget but will continue to be reflected in the year in which the funds were originally allocated.

WIOA FINANCIAL POLICY AND PROCEDURE MANUAL	CHAPTER 14 COST PRINCIPLES
SOUTH CENTRAL COUNCIL OF GOVERNMENTS SOUTHWESTERN AREA WORKFORCE DEVELOPMENT BOARD	EFFECTIVE DATE: 07/01/2009 REVISION DATE: 07/01/2015

INTRODUCTION

Uniform Administrative Requirements, Cost Principles and Audit Requirements establishes the Cost Principles for State, Local and Indian Tribal Governments. The principles and standards are used to provide a uniform approach for determining costs for Federal grants, cost reimbursement contracts, and other agreements with State and Local governments. The principles are for determining allowable costs and to promote effective program delivery, efficiency, and better relationships between governmental units and the Federal Government.

POLICY

The SAWDB program administrators will ensure the WIOA program complies with the principles set forth in the Uniform Administrative Requirements, Cost Principles and Audit Requirements.

PROCEDURES

Staff should refer to the Circular for a full and complete reading of the regulation.

Administrative and Fiscal staff responsible for the WIOA program will consider the principles prior to authorizing procurements, incurring expense, or charging costs to the WIOA program. Listed below is a general presentation used to determine allowable/unallowable costs:

- **Allowable**
 - Necessary and reasonable
 - Allocable to the federal grant
 - Authorized – not prohibited
 - Conforms to limitations/exclusions in the grant
 - Accorded consistent treatment
 - In accordance with generally accepted accounting principles
 - Not included as a cost/matching requirement for another federal grant
 - Net of credits
 - Adequately documented
- **Reasonable**
 - Does not exceed amount a prudent person under the same conditions would incur
 - Is ordinary and necessary for the operation of the government
 - Complies with sound business practice, arm's length bargaining, terms/conditions of the award
 - Market prices for comparable goods/services
 - Program officials proceed with prudence in governmental responsibilities

WIOA FINANCIAL POLICY AND PROCEDURE MANUAL	CHAPTER 14 COST PRINCIPALS Continued
South Central Council of Governments (SCCOG) Southwestern Area Workforce Development Board	

- Does not deviate from established practices of the government which unjustifiably increases the costs to the federal grant
- **Allocable**
 - Costs of goods/services are chargeable/assignable in accordance with relative benefits received
 - Activities which benefit from the government's indirect cost receive an allocation of the indirect cost
 - Costs under a grant may not be charged to another grant in order to avoid fund deficiencies
 - A cost allocation plan will be prepared for an accumulation of indirect costs
- **Applicable Credits**
 - Discounts, rebates, recoveries or overpayments will be credited to the federal grants as they relate to allowable costs, either direct or indirect.
 - Cost sharing or matching requirement amounts should be netted against federal funded expenditures in order to determine the amount charged to a federal grant

The Circular lists approximately forty-two items that are allowable/unallowable for reference by federal program administrators. Listed below are the most common items typically discussed.

ALLOWABLE ITEMS

1. **Accounting** – costs of establishing and maintaining accounting and other information systems.
2. **Advertising** – for the recruitment of personnel, procurement of goods/services, disposal of surplus materials.
3. **Public Relations** – when required to communicate specific activities or accomplishments of the federal program. Allowed as a direct cost.
4. **Legal Defense** – costs incurred in defense of any civil or criminal fraud proceeding or similar proceeding is allowable.
5. **Meetings/Conferences** – where the primary purpose is the dissemination of technical information, including meals, transportation, rental of facilities and other incidental costs.
6. **Membership in Civic/Community Organizations** – membership in such organizations may be approved as a direct cost with the approval of the federal awarding agency. However, membership is not allowable if the organization is substantially involved in lobbying.
7. **Pre-award Costs** – pursuant to negotiation and when necessary to comply with a proposed delivery schedule, such costs are allowable to the extent they would be allowable if incurred after the date of award.
8. **Proposal Costs** – may be charged directly to a federal award with the prior approval of the federal awarding agency.

WIOA FINANCIAL POLICY AND PROCEDURE MANUAL	CHAPTER 14 COST PRINCIPALS Continued
South Central Council of Governments (SCCOG) Southwestern Area Workforce Development Board	

UNALLOWABLE ITEMS

1. **Advertising and Public Relations** – costs of displays, demonstrations, exhibits, meeting rooms, hospitality rooms, special events, promotional items such as models, gifts or souvenirs and the salaries of employees engaged in setting up the above activities, if for the purpose of a *general government unit*.
2. **Bad Debt Expense** – losses arising from uncollectible accounts or claims.
3. **Legal Expenses** – the prosecution of claims against the Federal Government are unallowable.
4. **Entertainment** – including amusement, social activities, and tickets to shows/sporting events, meals, lodging, rentals, or transportation.
5. **Fines and Penalties** – fines, penalties, damages and other settlements resulting from violations (or alleged violations) of, or failure of the governmental unit to comply with Federal, State or Local laws or regulations.
6. **Costs of Investment Counsel/Staff** – expenses incurred to enhance income from investments unless specifically related to pension, self-insurance or other funds which include federal participation.
7. **Costs of Idle Facilities or Idle Capacity** – the costs are unallowable except if necessary to meet fluctuations in workload or the facility was necessary when acquired; however, changes in program requirements has since caused the facility to become idle.
8. **Lobbying** – the cost of certain influencing activities associated with obtaining grants, contracts, agreements, or loans is an unallowable cost.

WIOA FINANCIAL POLICY AND PROCEDURE MANUAL	CHAPTER 15 CENTRAL SERVICE COST ALLOCATION PLAN
SOUTH CENTRAL COUNCIL OF GOVERNMENTS SOUTHWESTER AREA WORKFORCE DEVELOPMENT BOARD	EFFECTIVE DATE: 07/01/2009 REVISION DATE: 07/01/2015

INTRODUCTION

Most governmental entities arrange for and provide certain services, such as accounting, purchasing, computer services etc. to agencies or divisions on a centralized basis. A Central Service Cost Allocation Plan provides a process where these costs can be identified and assigned/allocated to agencies/divisions on a reasonable and consistent basis.

POLICY

The Central Service Cost Allocation Plan will include all central service costs that will be claimed under federal awards and will be documented as required.

Applicable definitions as listed in the circular are as follows:

Billed central services – central services that are billed to benefited agencies/programs on an individual fee-for-service or similar basis. Typical examples of billed central services include computer services, insurance, and fringe benefits.

Allocated central services – central services that benefit operating agencies but are not limited to the agencies on a fee-for-service or similar basis. These costs are allocated to benefited agencies on some reasonable basis. Examples of these services include accounting, personnel administration, purchasing services, etc.

Agency or operating agency – organizational unit or sub-division of a governmental unit that is responsible for the performance or administration of awards.

PROCEDURES

A plan may be prepared or updated each year in which it claims central service costs under federal awards. The plan will include:

1. A projection of the next year's allocated central service cost, based on actual costs for the most recently completed year or based on the budget projection for the coming year, and;
2. A reconciliation of actual allocated central service costs to the estimated costs used for the most recently completed year or the year immediately preceding the most recently completed year.

WIOA FINANCIAL POLICY AND PROCEDURE MANUAL	CHAPTER 15 CENTRAL SERVICE COST ALLOCATION PLAN Continued
South Central Council of Governments (SCCOG) Southwestern Area Workforce Development Board	

If the local government has been designated as a “major local government”, then the plan must be submitted to the appropriate agency annually. If not a “major local government,” then the plan must be prepared with related supporting documentation; however, the plan is not required to be submitted for federal approval. Where a local government only receives funds as a sub-recipient, the primary recipient will be responsible for negotiating rates and monitoring the plan.

The central service cost allocation plan will be prepared six months prior to the beginning of each fiscal year in which the governmental unit proposes to claim central service costs.

Required Plan Documentation

The proposed plan will include the following documentation:

General Information:

1. Organizational Chart – detailed to show operations including the central service activities.
2. Comprehensive Annual Financial Report – a copy of the CAFR or Executive Budget if budgeted costs are proposed. This will be used to support the allowable costs of each central service activity included in the plan.
3. Certification – that the plan was prepared in accordance with 2 CFR 200 and treats similar costs consistently among the various federal grants and non-federal awards/activities.

Allocated Central Services:

1. Description of the central service.
2. Identification of the unit providing the service and the agency/unit receiving the service.
3. Item of expense included in the cost and method to distribute the cost.
4. Summary schedule showing the allocation of each service to the specific benefited agency/unit.

Negotiation and Approval of Central Service Plans

Uniform Administrative Requirements state once an agreement has been reached between the agency and the governmental unit, the agreement will be accepted and used by all federal agencies, unless prohibited or limited by statute.

WIOA FINANCIAL POLICY AND PROCEDURE MANUAL	CHAPTER 16 INDIRECT COST RATE
SOUTH CENTRAL COUNCIL OF GOVERNMENTS SOUTHWESTERN AREA WORKFORCE DEVELOPMENT BOARD	EFFECTIVE DATE: 07/01/2009 REVISION DATE: 07/01/2015⁴

INTRODUCTION

Indirect costs are those that have been incurred for common or joint purposes. These costs benefit more than one cost objective and cannot be readily identified with a particular final cost objective without effort disproportionate to the result achieved. After direct costs have been determined and assigned directly to the federal award and other activities as appropriate, indirect costs are those remaining to be allocated to benefited cost objectives. A cost may not be allocated to a federal award as an indirect cost if any other costs incurred for the same purpose in like circumstances has been assigned to a federal award as a direct cost.

POLICY

The SCCOG **may** prepare and update as required by Federal Regulations, an Indirect Cost Rate Plan. The Indirect Costs will include 1) the indirect costs of each governmental unit, and 2) the costs of central governmental services distributed through the central service cost allocation plan. The following conditions will apply:

1. The **base** to determine the indirect cost rate will consist of direct salaries and wages.
2. The **base period** will be the fiscal year, 7/1 - 6/30.
3. The rate will be a “**Predetermined Rate**” and will be based on an estimate of the costs to be incurred during the period and only under very unusual circumstances, the rate will not be subject to adjustment. The rate will be established for a period of four (4) years.

The **Simplified Method** will be used to compute and allocate indirect costs for the SCCOG governmental organization. Federal regulations allow this method to be used when all the major functions benefit from the indirect costs to approximately the same degree.

PROCEDURE

Total organization costs will be obtained from the accounting system for the previous fiscal year separated by direct costs and cost categories defined as indirect costs. Indirect costs are those costs that are incurred for common or joint purposes which cannot easily be identifiable with a particular cost objective. The total indirect costs will then be divided into the direct base costs. The resulting indirect cost rate will then be used to distribute indirect costs to individual grants/activities.

The Indirect Cost Worksheet with supporting accounting reports will be retained for audit purposes in accordance with approved record retention schedules. The indirect cost plan may be submitted to the

WIOA FINANCIAL POLICY AND PROCEDURE MANUAL	CHAPTER 16 INDIRECT COST RATE Continued
SOUTH CENTRAL COUNCIL OF GOVERNMENTS SOUTHWESTERN AREA WORKFORCE DEVELOPMENT BOARD	

SCCOG's appropriate agency for approval. The plan may be prepared within six (6) months of the end of the fiscal year, June 30th.

In accordance with the provisions under the Uniform Administrative Requirements once the rate is approved by the appropriate agency, it will be accepted and used by all federal agencies unless prohibited or limited by statute. As encouraged by the circular, the approved predetermined rate will be for a period of four (4) years.

The Indirect Cost Plan will include the following:

Required Plan Documentation

1. Organizational Chart – detailed to show operations along with a functional statement noting the duties and/or responsibilities of all units that comprise the organization.
2. Indirect Cost Worksheet, including any subsidiary worksheets or other data cross-referenced and reconciled to the financial data.
3. Central Service cost allocation plan costs.
4. Copies of financial data used to calculate the rate, i.e., CAFR, budget and accounting reports.
5. Report/worksheet of direct costs broken out between salaries/wages and other direct costs.
6. Certification – that the plan was prepared in accordance with applicable regulations, cost are allowable and are properly allocable to federal grants on the basis of a beneficial relationship. Additionally, certifying that the costs treated as indirect costs have not been claimed as a direct cost and have been accounted for consistently.

WIOA FINANCIAL POLICY AND PROCEDURE MANUAL	CHAPTER 17 INDIVIDUAL TRAINING ACCOUNTS
SOUTH CENTRAL COUNCIL OF GOVERNMENTS SOUTHWESTERN AREA WORKFORCE DEVELOPMENT BOARD	EFFECTIVE DATE: 07/01/2009 REVISION DATE: 07/01/2014

INTRODUCTION

An Individual Training Account (ITA) is established for eligible individuals to finance training services. The ITA which is established on behalf of a participant allows him/her to select training services from eligible training providers in consultation with a SAWDB One Stop Center staff.

SAWDB WIOA program administrators, in conjunction with the WIOA State Administrative Entity, are responsible for the development of a detailed programmatic policy on training services in accordance with WIOA. The program policy will detail such items as demand occupations, eligible providers, assessment and counseling, individual development plans, etc.

This policy is intended to address the payment process of invoices relating to approved Individual Training Accounts.

POLICY

The SAWDB will comply with the provisions of the State policy and the SAWDB Policy on Individual Training Accounts. ITAs will be prepared by the approved SAWDB One Stop Center. The ITA must include all approved training costs, such as books, fees, supplies, equipment/tools uniforms, registration and tuition. If financial aid (i.e., Pell grants, Lottery Scholarships, or other scholarships) is also obtained by the participant, this amount should be reflected on the ITA. The original of the approved ITA will be forwarded to the SAWDB's Fiscal Agent for payment.

The SAWDB One Stops will be responsible for ensuring the cumulative ITAs do not exceed the amount approved by the SAWDB.

A training institution will submit an invoice directly to the SAWDB Administrative Entity. The amounts included on the invoice will be audited and compared to the ITA. SCCOG Fiscal Agent staff and Administrative Entity staff, along with One Stop Center staff, will ensure invoiced amounts do not exceed allowable costs by category as listed on the ITA. After the invoice has been reviewed for completeness and accuracy, it will be processed for payment.

A payment voucher will be prepared for payment to the training facility with payment information available by facility and by participant. Payments will reduce the outstanding encumbrance.

At year end (June) the fiscal agent will analyze the outstanding ITAs to determine the amount that applies to June 30th and prior and the amount that applies to July 1st and forward.

WIOA FINANCIAL POLICY AND PROCEDURE MANUAL	CHAPTER 17 INDIVIDUAL TRAINING ACCOUNTS Continued
SOUTH CENTRAL COUNCIL OF GOVERNMENTS SOUTHWESTERN AREA WORKFORCE DEVELOPMENT BOARD	

Document Processing

Fiscal Agent Staff

Invoices from the training institutions will be forwarded directly to the Administrative Entity to audit/review after which the payment voucher will be prepared, entered into the accounting system, and readied for payment. All payment vouchers and payment batches will be forwarded to the Fiscal Clerk for review and final approval.

The fiscal agent will forward a periodic report to the One Stop Operator advising them of the ITAs that have been paid by institution, participant and amount. The fiscal agent will address billing issues and other questions/issues to the applicable One Stop Center staff.

WIOA FINANCIAL POLICY AND PROCEDURE MANUAL	CHAPTER 18 ON THE JOB TRAINING CONTRACTS
SOUTH CENTRAL COUNCIL OF GOVERNMENTS SOUTHWESTERN AREA WORKFORCE DEVELOPMENT BOARD	EFFECTIVE DATE: 07/01/2009 REVISION DATE: 07/01/2014

INTRODUCTION

On the Job Training (OJT) is training by an employer provided to a paid participant while engaged in productive work in a job that 1) provides knowledge or skills essential to the full and adequate performance of the job; 2) provides reimbursement to the employer of up to 50% of the wage rate of the participant and 3) is limited in duration as appropriate to the occupation for which the participant is being trained.

POLICY

The SAWDB and SCCOG will comply with the provisions of the State policy on OJT contracts. SAWDB WIOA program administrators, in conjunction with the WIOA State Administrative Entity, are responsible for the development of a detailed local area programmatic policy on OJT services in accordance with WIOA.

The SAWDB One Stop Center Staff will be responsible for preparing all required OJT documents.²

An OJT contract may be written with an employer in the public, private nonprofit, or private sector. Occupational training is provided by the employer to the participant in exchange for reimbursement. Allowable reimbursement rates will be referenced in the current SAWDB OJT Policy.

The One Stop Center career staff will ensure all other wage and conditions of employment are in accordance with the regulations and established state and local policy.

PROCEDURE

One copy of the completed and approved OJT contract will be forwarded to SAWDB Fiscal Agent by the One Stop Center.

WIOA FINANCIAL POLICY AND PROCEDURE MANUAL	CHAPTER 18 ON THE JOB TRAINING CONTRACTS Continued
SOUTH CENTRAL COUNCIL OF GOVERNMENTS SOUTHWESTERN AREA WORKFORCE DEVELOPMENT BOARD	

The employer will submit a monthly Progress Report/Invoice and Timesheet – Time, Attendance and Evaluation Report directly to Service provider. The amounts included on the invoice will be audited and compared to the approved OJT contract. WIOA Service Provider staff will ensure invoiced amounts do not exceed the contract amount and maximum number of hours per participant. After the invoice has been reviewed for completeness and accuracy it will be forwarded to WIOA Fiscal Staff for payment.

A payment voucher will be prepared for payment to the employer with payment information available by employer and by participant. Payments will reduce the outstanding encumbrance.

At year end (June) the fiscal agent will analyze the outstanding OJT contracts to determine the amount that applies to June 30th and prior and the amount that applies to July 1st and forward.

The fiscal agent will forward a report to the One Stop Operator advising of the OJT payments by employer, participant, and amount.

Fiscal Agent Staff

After Service Provider Staff verify the Invoices from the OJT employer, the Case Manager will forward directly to the Fiscal Agent to audit and prepare for payment, after which the payment voucher will be prepared, entered into the accounting system and readied for payment. All payment vouchers and payment batches will be forwarded to the Fiscal Clerk for review and final approval.

The fiscal agent will forward copies of the payments to the One Stop Operator, advising of the OJT contracts that have been paid by employer, participant, and amount. The Fiscal Agent/Administrative Entity will address billing issues to the OJT employer while all other questions/issues will be forwarded to the One Stop Center career advisor.

WIOA FINANCIAL POLICY AND PROCEDURE MANUAL	CHAPTER 19 SUPPORTIVE SERVICES
SOUTH CENTRAL COUNCIL OF GOVERNMENTS SOUTHWESTERN AREA WORKFORCE DEVELOPMENT BOARD	EFFECTIVE DATE: 07/01/2009 REVISION DATE: 07/01/2014

INTRODUCTION

Services that are necessary to enable an individual to participate in activities authorized under WIOA are transportation, child care, dependent care, basic readjustment services, medical and health care services and other needs-related payments. These services may be provided to individuals who are 1) participating in core, intensive or training; and 2) unable to obtain supportive services from other programs.

POLICY

SAWDB WIOA program administrators, in conjunction with the WIOA State Administrative Entity, are responsible for the development of a detailed local area programmatic policy on supportive services in accordance with WIOA. The program policy details such items as, eligibility, definition of needs-related, limitations to include time and funding, assessment and counseling, individual development plans, etc.

This policy is intended to address the payment process of invoices/time sheets relating to approved Supportive Services.

As with all WIOA services, the One Stop Center staff is responsible for advising individuals of the supportive services available through the WIOA program, as well as services available from other community programs. The One Stop Center staff is also responsible for determining and documenting “need” for each individual as well as completing and approving the WIOA-4(Supportive Services Request and Approval Form).

PROCEDURE

The One Stop Center is responsible for forwarding a completed and approved WIOA-4 for each participant. The fiscal agent staff will maintain files for all participants to include a copy of the WIOA-4 which lists the specific services approved and related amount.

On a bi-weekly basis the participant is required to deliver a WIOA-5 (Time and Attendance) to the One Stop Center, and at the same time pick up from his/her career advisor his/her supportive services payment for the prior period. The One Stop Center will submit all WIOA-5 Time and Attendance Reports to the fiscal agent per the established schedule. This report will document the actual days of attendance that will allow for the payment of daily amounts for supportive services. Fiscal agent staff will ensure the proper rates, as listed in the program policy, are paid for days of attendance. When processing requested payments, the amounts will be verified against the WIOA-4 authorized services and amounts. Payments will be made to the individual participant or; if for medical care, health care or

WIOA FINANCIAL POLICY AND PROCEDURE MANUAL	CHAPTER 19 SUPPORTIVE SERVICES Continued
SOUTH CENTRAL COUNCIL OF GOVERNMENTS SOUTHWESTERN AREA WORKFORCE DEVELOPMENT BOARD	

other services, payments will be made to the vendor/service provider. As stated above, participant checks will be distributed to the participant by the One Stop Center career staff.

Fiscal Agent Staff

Upon receipt of the approved WIOA-4's from the WIOA program staff, the Fiscal Clerk will establish the permanent file.

WIOA-5 (Time and Attendance Reports) will be forwarded by the One Stop Center directly to the Fiscal Clerk to audit and review for payment, after which the payment voucher will be prepared, entered into the accounting system, and readied for payment. All payment vouchers and payment batches will be forwarded to the Fiscal Administrator for review and final approval.

The fiscal agent will forward a periodic report to the One Stop Operator advising them of the Supportive Service Payments that have been paid by institution, participant and amount. The fiscal agent will address Time and Attendance Report issues to the One Stop Center career staff.

WIOA FINANCIAL POLICY AND PROCEDURE MANUAL	CHAPTER 20 WORKERS' COMPENSATION
SOUTH CENTRAL COUNCIL OF GOVERNMENTS SOUTHWESTERN AREA WORKFORCE DEVELOPMENT BOARD	EFFECTIVE DATE: 12/2/2010 REVISION DATE: 07/01/2014

INTRODUCTION

The Worker's Compensation Law, Chapter 52, of the Laws of New Mexico establishes the requirements for the provision of workers compensation coverage for workers as well as the required fees that are assessed against employers and employees.

POLICY

The SAWDB and SCCOG will comply with the provisions of the State law and State Administrative Entity policy on Worker's Compensation coverage. State law requires all employers of three or more employees to have a worker's compensation insurance policy. There is a special provision for employers in the construction trades, which requires employers to have coverage, regardless of the number of employees. Non-construction employers who employ less than three employees may elect to provide coverage, if not; the WIOA program will provide coverage in this instance.

State law also requires the imposition of a Worker's Compensation personnel assessment per employee per quarter. Employers must assess and pay this fee each quarter based on the number of employees on the last working day of the quarter.

WIOA FINANCIAL POLICY AND PROCEDURE MANUAL	CHAPTER 21 AUDIT REQUIREMENTS & AUDIT APEALS
SOUTH CENTRAL COUNCIL OF GOVERNMENTS SOUTHWESTERN AREA WORKFORCE DEVELOPMENT BOARD	EFFECTIVE DATE: 12/2/2010 REVISION DATE: 07/01/2016

INTRODUCTION

2 CFR Part 200 Subpart F ensures that an organization will maintain audit and audit resolution processes that will ensure that audits are conducted and resolved in a timely manner.

REFERENCES

- 2 CFR 200.501

POLICY

The SAWDB will comply with the requirements of 2 CFR Part 200.501 and will ensure all entities contracting with the SAWDB utilizing Federal funds are required contractually will comply as well.

As required by Federal legislation, non-federal entities that expend, on an annual basis, \$750,000 or more in Federal awards shall have a single audit conducted for that year. Non-federal entities that expend less than \$750,000 annually in Federal funds are exempt from Federal audit requirements but must maintain records for review or audit by appropriate officials of the Federal agency, State Administrative Entity, SAWDB or other authorized officials.

An entity may be a recipient, a sub-recipient, or vendor. Federal funds awarded to a recipient or sub-recipient are subject to audit under 2 CFR Part 200.501.

It is the responsibility of the pass-through entity to establish in the contract compliance requirements which may include pre-award audits, monitoring during the contract, and post-award audits.

WIOA FINANCIAL POLICY AND PROCEDURE MANUAL	CHAPTER 21 AUDIT REQUIREMENTS & AUDIT APEALS Continued
SOUTH CENTRAL COUNCIL OF GOVERNMENTS SOUTHWESTERN AREA WORKFORCE DEVELOPMENT BOARD	

Compliance with the requirements of 2 CFR 200.501- Audit requirements, do not limit or constrain the grantor or pass-through entity from carrying out additional audits. Any additional audits should be performed in a way to build upon work performed by other auditors.

Unless otherwise required, audits shall be conducted annually for the period July 1 – June 30. Federal agencies and pass-through entities shall take appropriate action using sanctions if a recipient/subrecipient is unable or unwilling to have an audit conducted in accordance with 2 CFR 200.501. Sanctions may include:

- Withholding a percentage of award until the audit is completed;
- Withholding or disallowing overhead costs;
- Terminating the federally funded contract.

PROCEDURE

1. SAWDB Standards:

The SAWDB through the Administrative Entity will be responsible for monitoring the activities of subrecipients to ensure the provisions of contracts and/or agreements are being met in addition to specific compliance with Federal laws, regulations, and performance goals.

The SAWDB's Administrative Entity, SCCOG, will also be responsible for arranging for required audit services of the SAWDB in accordance with Federal regulations and local procurement policy. The SCCOG will assist the auditors in obtaining required reports, statements and records. The external auditor, in conjunction with SAWDB staff, will ensure all procedures comply with the New Mexico State Auditor Rule, which is updated on an annual basis.

Upon receipt of the draft audit report, the Administrative Entity will review and respond in writing to all findings to be included in the final report. After receipt of the final audit report, the Administrative Entity will ensure all entities take appropriate and timely corrective action.

Final audit reports, upon approval by the State Auditor will be released to the State Administrative Entity, Cognizant Agency, Federal Clearinghouse and any other specified entities. Auditees will retain copies of the Federal Clearinghouse collection form and all audit supporting documentation for a period of three (3) years unless the State requires an extended retention period.

WIOA FINANCIAL POLICY AND PROCEDURE MANUAL	CHAPTER 21 AUDIT REQUIREMENTS & AUDIT APEALS Continued
SOUTH CENTRAL COUNCIL OF GOVERNMENTS SOUTHWESTERN AREA WORKFORCE DEVELOPMENT BOARD	

2. Sub-recipient Standards:

Sub-recipients must:

1. Review the audit report of their subrecipients to ensure compliance with the requirements of 2 CFR 200.501.
2. Establish an audit resolution file to document the disposition of reported questioned costs and corrective actions taken for all findings.
3. Complete a control log. (The log must contain the date of the audit, the period covered by the audit, the date that the audit was received, the auditor, the questioned costs, the administrative findings, the date or dates of the Initial and Final Determinations, and documentation of decisions regarding the disallowed costs and administrative findings.)
4. Issue a letter of Initial Determination based on the audit review. The Initial Determination letter includes:
 - a. A list of all questioned costs.
 - b. Whether the costs are allowed or disallowed, including the reasons with appropriate citations for such actions.
 - c. Acceptance or rejection of any corrective action taken to date, including corrective action on administrative findings.
 - d. Possible sanctions.
 - e. The opportunity for informal resolution of no more than 60 days from the date of Initial Determination.
5. During informal resolution, the auditee may provide documentation to support allowability of costs and proposed corrective action of administrative findings. Informal resolution discussions may be held by telephone, if necessary, but in person is preferable. When a meeting is held, provide a sign-in sheet. The sign-in sheet must be retained as part of the audit file. The meeting must be documented either with a voice recording or written notes. Negotiations of repayments can be initiated at this time.
6. Issue a written Final Determination. The Final Determination includes:
 - a. Reference to the Initial Determination.
 - b. Summation of the informal resolution meeting, if held.
 - c. Decisions regarding the disallowed costs, listing each disallowed cost and

WIOA FINANCIAL POLICY AND PROCEDURE MANUAL	CHAPTER 21 AUDIT REQUIREMENTS & AUDIT APEALS Continued
SOUTH CENTRAL COUNCIL OF GOVERNMENTS SOUTHWESTERN AREA WORKFORCE DEVELOPMENT BOARD	

- d. Noting the reasons for each disallowance.
 - e. Questioned costs that have been allowed by the awarding agency and the basis for the allowance.
 - f. Demand for repayment of the disallowed costs.
 - g. Description of the debt collection process and other sanctions that may be imposed if payment is not received.
 - h. Rights to a hearing.
 - i. The status of each administrative finding.
7. The audit resolution process must be completed within six months after receipt of the subrecipient's audit report and must ensure that the sub-recipient takes appropriate and timely corrective action.
8. The audit file must be assembled for ease of reference in the event of future action. The file must be tabulated with the most current documentation first. The file should include the following:
- a. Final Determination and proof of receipt by the sub-recipient.
 - b. Additional documentation submitted as part of the informal resolution process: – Notes related to the informal resolution.
 - c. Sign-in sheets from any informal resolution meetings.
 - d. Initial Determination and proof of receipt by the sub-recipient.

WIOA FINANCIAL POLICY AND PROCEDURE MANUAL	CHAPTER 22 Program Income
SOUTH CENTRAL COUNCIL OF GOVERNMENTS SOUTHWESTERN AREA WORKFORCE DEVELOPMENT BOARD	EFFECTIVE DATE: 04/03/2019 REVISION DATE:

Purpose:

This document establishes a Program Income Policy for Southwestern Area Workforce Development that adheres to the federal requirements regarding Workforce Innovation and Opportunity Act program income.

Scope:

This policy requires that all subrecipients expending WIOA funds shall comply with federal laws and regulations regarding program income.

REFERENCES:

Note: References from WIOA are from the Act, as signed into law in July 2014. References from Title 20 of the Code of Federal Regulations (CFR) are cited from the Notice of Proposed Rulemaking, and are therefore subject to change pending issuance of final Federal Regulations.

- WIOA Section 185(f)
- Title 20 Code of Federal Regulations (CFR), Subpart B, Section 683.200
- OMB Title 2 CFR 200.307

POLICY AND PROCEDURES:**Definition:**

Program income means gross income earned by the non-Federal entity that is directly generated by a supported activity or earned as a result of the Federal award during the period of performance except as provided in §200.307 paragraph (f). (See §200.77 Period of performance.) Program income includes but is not limited to income from fees for services performed, the use or rental of real or personal property acquired under Federal awards, the sale of commodities or items fabricated under a Federal award, license fees and royalties on patents and copyrights, and principal and interest on loans made with Federal award funds. Interest earned on advances of Federal funds is not program income. Except as otherwise provided in Federal statutes, regulations, or the terms and conditions of the Federal award, program income does not include rebates, credits, discounts, and interest earned on any of them. See also §200.407 Prior written approval (prior approval). See also 35 U.S.C. 200-212 “Disposition of Rights in Educational Awards” applies to inventions made under Federal awards.

Policy:

Cost of generating program income. If authorized by Federal regulations or the Federal award, costs incidental to the generation of program income may be deducted from gross income to determine program income, provided these costs have not been charged to the Federal award.

Governmental revenues. Taxes, special assessments, levies, fines, and other such revenues raised by a non-Federal entity are not program income unless the revenues are specifically identified in the Federal award or Federal awarding agency regulations as program income.

Property. Proceeds from the sale of real property, equipment, or supplies are not program income; such proceeds will be handled in accordance with the requirements of Subpart D— Post Federal Award Requirements of this part, Property Standards §§200.311 Real property, 200.313 Equipment, and 200.314 Supplies, or as specifically identified in Federal statutes, regulations, or the terms and conditions of the Federal award.

The addition method, described at 2 CFR 200.307, must be used for all program income earned under title I of WIOA. When the cost of generating program income has been charged to the program, the gross amount earned must be returned to the WIOA program. However, the cost of generating program income must be subtracted from the amount earned to establish the net amount of program income available for use under the grants when these costs have not been charged to the WIOA program. Fiscal Staff will report Program income on Cash Requests and Monthly Financial Status Reports to the State Administrative Entity.

There are no Federal requirements governing the disposition of income earned after the end of the period of performance for the Federal award, unless the Federal awarding agency regulations or the terms and conditions of the Federal award provide otherwise. The Federal awarding agency may negotiate agreements with recipients regarding appropriate uses of income earned after the period of performance as part of the grant closeout process. See also §200.343 Closeout.

Unless the Federal statute, regulations, or terms and conditions for the Federal award provide otherwise, the non-Federal entity has no obligation to the Federal awarding agency with respect to program income earned from license fees and royalties for copyrighted material, patents, patent applications, trademarks, and inventions made under a Federal award to which 37 CFR part 401, “Rights to Inventions Made by Nonprofit Organizations and Small Business Firms Under Government Awards, Contracts and Cooperative Agreements” is applicable.

Action:

This policy is effective on the date approved by the Southwestern Area Workforce Development Board. Retain this policy until further notice.

Inquiries:

If you have questions, please contact the SAWDB WIOA Program Administrator or the SAWDB Fiscal Administrator at (575) 744-4857.

WIOA FINANCIAL POLICY AND PROCEDURE MANUAL	CHAPTER 23 PURCHASING/PROCUREMENT CONTRACTS/RFP/COMPETITION
SOUTH CENTRAL COUNCIL OF GOVERNMENTS SOUTHWESTERN AREA WORKFORCE DEVELOPMENT BOARD	EFFECTIVE DATE: 04/25/2019 REVISION DATE: <u>11/07/2019</u>

INTRODUCTION

SAWDB ~~uses SCCOG's purchasing regulations that~~ follows New Mexico State Procurement Code, 1.4.1 NMAC State Procurement Code Regulations which is more strict than Federal: 2 CFR (UG) 200.94 & 200.319.

When SAWDB is purchasing capital equipment – those over \$5000 – the NMDWS grant officer must be informed and approval given.

All purchases require an approved Purchase Order. Purchase Orders will include, when applicable, an explanation of necessity and allocation and source documentation.

No purchases/contracts are to be made from debarred service providers or contractors.

Generally, all purchases will be completed with the use of SAWDB's procurement system including State approved vendors and State contracted pricing when possible.

Micro purchases of \$3,000 or less may be made without competitive quotations if price is reasonable with an attempt to share amongst available US suppliers.

Contracting/RFPs/Methods of Procurement

SCCOG, directed by SAWDB board, will prepare all Contracts and RFP's for Contractors and sub awarded Subrecipients in accordance with New Mexico procurement code, 1.4.1 NMAC State Procurement Code Regulations:

All Contractors / Subrecipients must not be barred from receiving Federal Funds at a minimum.

Methods of Procurement and Limitations that SAWDB will utilize are outlined in 1.4.1 NMAC State Procurement Code Regulations

Proper RFP 2 CFR 200-320 (d) documentation for selection is maintained by SCCOG, processes include risk assessments, provider prior service history, Contractor's Internal Control policies, conflict of interest provisions, past performance of objectives, any recent Federal funds awarded, current single or 3rd party audit reports for risk a proper assessment.

Competition

SAWDB complies with 2 CFR 200.319 Competition in which all procurement transactions must be conducted in a manner providing full and open competition consistent with the standards of this section. In order to ensure objective contractor performance and eliminate unfair competitive advantage, contractors that develop or draft specifications, requirements, statements of work, or invitations for bids or requests for proposals must be excluded from competing for such procurements.

Some of the situations considered to be restrictive of competition include but are not limited to:

- (1) Placing unreasonable requirements on firms in order for them to qualify to do business;
- (2) Requiring unnecessary experience and excessive bonding;
- (3) Noncompetitive pricing practices between firms or between affiliated companies;
- (4) Noncompetitive contracts to consultants that are on retainer contracts;
- (5) Organizational conflicts of interest;
- (6) Specifying only a “brand name” product instead of allowing “an equal” product to be offered and describing the performance or other relevant requirements of the procurement; and
- (7) Any arbitrary action in the procurement process.

References:

2 CFR 200.319 Competition.

1.4.1 NMAC State Procurement Code Regulations

WIOA FINANCIAL POLICY AND PROCEDURE MANUAL	CHAPTER 24 Subrecipient/Contractor and Pass- Through Entity Determination Requirements
SOUTH CENTRAL COUNCIL OF GOVERNMENTS SOUTHWESTERN AREA WORKFORCE DEVELOPMENT BOARD	EFFECTIVE DATE: 04/25/2019 REVISION DATE:

INTRODUCTION:

This policy communicates the requirements regarding Subrecipients/Contractors and Pass-Through Entities as outlined in the Workforce Innovation and Opportunity Act (WIOA) Title I and 2 CFR 200.331.

POLICY:

LWDB agreements with other entities may be classified as either a Subrecipient or a Contractor (determination is made using the criteria set forth in 2 CFR 200.330). If the agreement meets the requirements of a subrecipient, the LWDB is a Pass-Through Entity. The information below is provided to assist with Subrecipient and Contractor determinations and the requirements of a Pass-Through Entity.

2 CFR 200.331 Requirements for pass-through entities

All Pass-Through Entities must:

A. Ensure that every subaward is clearly identified to the Subrecipient as a subaward and includes the following information at the time of the subaward, and if any of these data elements change, include the changes in subsequent subaward modification. When some of this information is not available, the pass-through entity must provide the best information available to describe the Federal award and subaward. Required information includes:

1. Federal Award Identification

- (a) Subrecipient name (which must match the name associated with its unique entity identifier);
- (b) Subrecipient's unique entity identifier;
- (c) Federal Award Identification Number (FAIN);
- (d) Federal Award Date (see 2 CFR 200.39 Federal award date);
- (e) Subaward Period of Performance Start and End Date;
- (f) Amount of Federal Funds Obligated by this action;
- (g) Total Amount of Federal Funds Obligated to the subrecipient;
- (h) Total Amount of the Federal Award;
- (i) Federal award project description, as required to be responsive to the Federal Funding Accountability and Transparency Act (FFATA);
- (j) Name of Federal awarding agency, pass-through entity, and contact information for awarding official;

- (k) Catalog of Federal Domestic Assistance (CFDA) Number and Name; the pass-through entity must identify the dollar amount made available under each Federal award and the CFDA number at time of disbursement;
- (l) Identification of whether the award is Research and Development;
- (m) Indirect cost rate for the Federal award (including if the de minimis rate is charged per 2 CFR 200.414 Indirect (F&A) costs).

2. All requirements imposed by the pass-through entity on the Subrecipient so that the Federal award is used in accordance with Federal statutes, regulations and the terms and conditions of the Federal award.
 3. Any additional requirements that the pass-through entity imposes on the subrecipient in order for the pass-through entity to meet its own responsibility to the Federal awarding agency including identification of any required financial and performance reports;
 4. A requirement that the subrecipient permit the pass-through entity and auditors to have access to the Subrecipient's records and financial statements as necessary for the pass-through entity to meet the requirements of this part; and
 5. Appropriate terms and conditions concerning closeout of the subaward.
- B. Evaluate each Subrecipient's risk of noncompliance with Federal statutes, regulations, and the terms and conditions of the subaward for purposes of determining the appropriate subrecipient monitoring described in paragraphs (d) and (e) of this policy, which may include consideration of such factors as:
- (a) The subrecipient's prior experience with the same or similar subawards;
 - (b) The results of previous audits including whether or not the subrecipient receives a Single Audit in accordance with Subpart F-Audit Requirements, and the extent to which the same or similar subaward has been audited as a major program;
 - (c) Whether the subrecipient has new personnel or new or substantially changed systems;
 - (d) The extent and results of Federal awarding agency monitoring.
- C. Consider imposing specific subaward conditions upon a subrecipient if appropriate as described in 2 CFR Part 200.207 - Specific conditions.
- D. Monitor the activities of the Subrecipient as necessary to ensure that the subaward is used for authorized purposes, in compliance with Federal statutes, regulations, and the terms and conditions of the subaward; and that subaward performance goals are achieved. Pass-through entity monitoring of the subrecipient must include:
1. Reviewing financial and performance reports required by the passthrough entity
 2. Following-up and ensuring that the Subrecipient takes timely and appropriate action on all deficiencies pertaining to the Federal award provided to the subrecipient from the pass-through entity detected through audits, on-site reviews, and other means
 3. Issuing a management decision for audit findings pertaining to the Federal award provided to the subrecipient from the pass-through entity as required by 2 CFR Part 200.521 - Management decision.

WIOA FINANCIAL POLICY AND PROCEDURE MANUAL	CHAPTER 25 Equipment Policy
SOUTH CENTRAL COUNCIL OF GOVERNMENTS SOUTHWESTERN AREA WORKFORCE DEVELOPMENT BOARD	EFFECTIVE DATE: 04/25/2019 REVISION DATE:

INTRODUCTION:

This policy describes the requirements for the management and inventory of equipment and supplies. The Workforce Innovation and Opportunity Act (WIOA) requires each state, local workforce development board, subrecipient, and service provider receiving funds under the Workforce Innovation and Opportunity Act to comply with the Uniform Administrative Requirements.

POLICY:

The SAWDB and its Subrecipients are responsible for the safeguarding and management of equipment obtained using WIOA funds.

At a minimum, equipment records must be maintained and provide the following information:

- a) An item description
- b) The serial number or other identification number
- c) Source of the funding
- d) Acquisition date and cost
- e) Location and condition of the property
- f) And disposition information when applicable

At least every two years, SAWDB and Subrecipients must perform and document an inventory of all equipment purchased with WIOA funds. Inventory results must be reconciled with current records and discrepancies shall be investigated.

References:

- Workforce Innovation and Opportunity Act (WIOA)
- 2 CFR Part 200 Uniform Administrative Requirements, Cost Principles, and Audit Requirements of Federal Rewards

AGENDA ITEM SUMMARY

Region IV, Chief Elected Officials Meeting	December 13, 2019
Consent Agenda Item *Resolution 19 – 14 concurs with the Southwestern Area Workforce Development Board to approve the Customized Training Policy 19-01.	
SUMMARY OF AGENDA ITEM As a function of the Chief Elected Officials, this item is presented for your review and consideration to concur with the Southwestern Area Workforce Development Board to approve the Customized Training Policy. The Board has been using the Customized Training Policy provided by the State. This local policy has been created to meet the specific needs of the Southwestern Area.	
RECOMMENDATION A motion to approve Resolution 19 – 14.	
CEO'S OPTIONS ARE TO <ol style="list-style-type: none"> 1. Accept the recommendation 2. Amend the recommendation 3. Reject the recommendation 4. Table the item 5. Take no action on the item 	
DEPENDING ON ACTION TAKEN, ITEM MAY BE REFERRED OR REPORTED TO <ul style="list-style-type: none"> • Staff or committee, as directed. 	
THIS ITEM SUPPORTS STRATEGIC PLAN GOAL(S) <ul style="list-style-type: none"> • Supports all strategic plan goals 	
LIST OF SUPPORTING INFORMATION FOR YOUR REVIEW <ul style="list-style-type: none"> • Customized Training Policy 19-01 	

**Southwestern Area
Workforce Development Board**

**Customized Training Policy
Policy 19-01**

Date of Issue

November 7, 2019

Effective Date

November 12, 2019

Applicability

WIOA Adults and Dislocated Workers

PURPOSE. The purpose of this policy is to provide direction to Southwestern Area Workforce Development Board (SAWDB) Service Provider regarding the permissible use of adult and dislocated worker funds for customized training activities.

REFERENCES.

- Workforce Innovation and Opportunity Act (WIOA), July 22, 2014, §108, §122, §134, §181 and §194.
- WIOA Final Rules – U.S. Department of Labor (Title I): 20 CFR §680.760, §680.830, and §680.840.
- Office of Management and Budget (OMB), Uniform Guidance at 2 CFR §200, et al., Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards.
- Training and Employment Guidance Letter WIOA No. 19-16 Operating Guidance for the Workforce Innovation and Opportunity Act.
- Fair Labor Standards Act (FLSA) §203.

BACKGROUND.

The Workforce Innovation and Opportunity Act (WIOA) of 2014 explicitly allows for the use of customized training contracts as a workforce strategy. This training strategy is designed to meet the special requirements of an employer (including groups of employers) with the commitment that the employer(s) hire an individual upon successful completion of the training.

DEFINITIONS.

- **Appropriate Commitment** to hire an individual means to maintain an employer-employee relationship meeting the requirements of the Fair Labor Standards Act for a minimum of one (1) year.
- **Customized Training** is a training by an employer or group of employers generally for the hiring of new or recent employees and not for retraining existing employees.
- **High-Priority Occupation (HPO)** is an in-demand occupation that has higher skill needs and is likely to provide a self-sufficient wage. Statistical data, regional expertise,

and local workforce development area inputs are combined to determine whether or not an occupation meets the high-priority criteria.

- ***Incumbent Worker*** is an individual who is employed, meets Fair Labor Standards Act requirements for an employer-employee relationship, and has an established employment history with the employer for six (6) months or more.
- ***Incumbent Worker Training (IWT)*** is training provided to an incumbent worker that is designed to meet the needs of an employer(s) to retain a skilled workforce or avert the need to lay off employees; increase the competitiveness of the employer or employee; and be conducted with a commitment by the employer to retain or avert the layoffs of the incumbent worker trained. Such training may also include the upskilling of an employer's current workforce, which may lead to additional opportunities for potential jobseekers.
- ***In-Demand Industry Sector*** is an industry sector that has a substantial current or potential impact (including jobs that lead to economic self-sufficiency and opportunities for advancement) on the state, regional, or local economy, as appropriate, and that contributes to the growth or stability of other supporting businesses, or the growth of other industry sectors.
- ***In-Demand Occupation*** is an occupation that currently has or is projected to have a number of positions (including positions that lead to economic self-sufficiency and opportunities for advancement) in an industry sector so as to have a significant impact on the state, regional, or local economy, as appropriate.

Note: The determination of whether an industry sector or occupation is in-demand in a local area is made by the local board, as appropriate, using business and labor market projections and statistics. Customized Training must lead to an in-demand occupation, but does not necessarily have to lead to an HPO. However, all HPOs are considered in-demand occupations, and therefore, eligible for customized training.

- ***Recent Employee*** is an individual who is employed, meets Fair Labor Standards Act requirements for an employer-employee relationship, and has an established employment history with the employer for six (6) months or less.

EMPLOYER PAYMENT OF SIGNIFICANT COST OF TRAINING.

Employers receiving funds for customized training are required to pay a significant cost of the customized training. This can be done through both cash and fairly evaluated in-kind contributions. Rules for matching funds can be found in the Uniform Guidance at 2CFR 200.306 and 2 CFR 2900.8.

The share of the cost of training can include elements such as the expenses related to the:

- Instruction or the instructor
- Curriculum development
- Course materials or books

Expenses that are **not** permissible under the match and are not reimbursable through a customized training contract include:

- Equipment purchases
- Administration
- Facility upgrades/ renovations
- Travel and incidentals

The employer share is based on the size of the workforce as follows:

- At least 10 percent of the cost for employers with 50 or fewer employees;
- At least 25 percent of the cost for employers with 51 to 100 employees; and
- At least 50 percent of the cost for employers with more than 100 employees.

SAWDB Service Providers will track and document employer cost share contributions.

The employer size means the number of employees currently employed at the local operation where the customized training placement will be made. Employer size is determined by the number of employees at the time of the execution of the customized training contract. This applies at all employers, including employers with seasonal or intermittent employee size fluctuations.

RESTRICTIONS.

SAWDB will comply with the limitations and prohibitions on the use of funds allocated to the local area under WIOA title I-B §181 and Part 680 of federal regulations, as follows.

- WIOA funds cannot be used to pay the wages of employees during their participation in an economic development activity provided through a statewide workforce development system.
- When a relocation of a business results in the loss of employment of any employee of such business, no funds provided for employment training can be used for customized training until after 120 days has passed since the relocation that caused the loss of employment at an original business location in the United States.
- WIOA work-based training funds must not be used to directly or indirectly assist, promote, or deter union organizing.
- WIOA work-based training funds may not be used to directly or indirectly aid in the filling of a job opening which is vacant because the former occupant is on strike, or is being locked out in the course of a labor dispute, or the filling of which is otherwise an issue in a labor dispute involving a work stoppage.
- WIOA work-based training funds must not be used to directly or indirectly provide supportive services described in §680.900 or §681.570.

ELIGIBILITY CRITERIA.

Customized Training Agreement

SAWDB will address the following factors when developing a customized training agreement:

- Special training requirements of the employer (or group of employers);
- Agreement that the employer will pay for the significant cost of the training;

- Agreement that an appropriate commitment is made by the employer to employ the individual upon successful completion of the training;
- Curriculum;
- Performance and;
- A clearly stated goal.

SAWDB Service Providers will document the factors that were considered in approving a customized training agreement with an employer (or group of employers).

Employer Eligibility

SAWDB will consider the following factors when determining the eligibility of employers to receive the WIOA customized training funds.

1. The strategy of the LWDB in fulfilling the vision and goals established for the local area (i.e., the local plan)
2. The characteristics of the workers to be trained (i.e., the extent to which these individuals historically represent individuals with barriers to employment as defined in WIOA Section 3(24), and how such individuals would benefit from a skill gain that results in retention or advancement).
3. The quality of the training (e.g., industry-recognized credentials, advancement opportunities, etc.).
4. The number of participants the employer plans to train.
5. The wage and benefit levels of participants (before and after training).
6. The occupation(s) for which customized training is being provided must be in-demand as defined by WIOA Section 3(23) and as determined by workforce development area-specific labor market information.
7. Employer's industry status. Is the employer in:
 1. An in-demand industry as defined by WIOA Section 3(23) and determined by labor market information; or
 2. A stable industry as determined by labor market information; or
 3. A declining industry, but there are compelling reasons (e.g., evidence of long-term viability of the employer) justifying investment in customized training?
8. Recent lay-offs and relocations. The employer must not have laid off workers within 120 days to relocate from another state.
9. Employer's unemployment insurance and workers' compensation status. The employer must be current on unemployment insurance and workers' compensation taxes, penalties, and/or interest or related payment plan (including timely Quarterly Reports).
10. Be located in and have operations in the Southwestern Area.
11. Employ at least one full-time employee.
12. Keep accurate records of the project's implementation process for audit purposes for a minimum of five years.

SAWDB will document the factors that were considered in approving a customized training contract with an employer (or group of employers).

Employed Worker Eligibility

Customized Training funds may be used to provide training to eligible employed workers for an employer (or group of employers) when the following conditions are met:

- Employee is not earning a self-sufficient wage;
- All other provisions of Customized Training are met; and

- Customized Training relates to the introduction of new technologies, introduction to new production or service procedures, upgrading to new jobs that require additional skills or workplace literacy.

Exception: Customized training is generally for hiring new or recent employees (less than six months) and not for retraining existing employees which is reserved for incumbent worker training, although there may be instances where customized training is appropriate in that circumstance. In those instances, customized training may be used for individuals making more than self-sufficient wages if all appropriate criteria are met and it leads to comparable or higher than previous employment.

PERFORMANCE ACCOUNTABILITY.

Due to the unique eligibility requirements in WIOA sec. 134, individuals who receive only customized training are reportable individuals, but not participants required for inclusion in the WIOA performance accountability calculations. As a result, an individual who only receives customized training and does not become a core program participant will not be included in the calculation of the primary indicators of performance for negotiations and accountability purposes. However, LWDBs are required to collect and report the outcomes of individuals in receipt of customized training on the primary indicators of performance, among other required elements.

CONFLICT OF INTEREST.

State and local board members and members of standing committees may not vote or nor participate in any decisions regarding the provision of services by such members or any organization they directly represent, nor on any matter that would provide any direct financial benefit to that member or the member's immediate family. For example, a SAWDB member who is also an employer who wants to use services on a fee-for-service basis would be prohibited from voting to approve the use of local area services, facilities, or equipment for employment and training activities to such board member's workers. Neither membership on the state board, local board, or standing committee, nor receipt of WIOA funds to provide training and related services, by itself, violates these conflict of interest provisions. In accordance with §200.112 of the Uniform Guidance, recipients of federal awards must disclose in writing any potential conflicts of interest. Sub-recipients must disclose in writing any potential conflict of interest to the recipient of grant funds.

PROCESS FOR CONTRACTING

Process

While customized training is a service that focuses on the needs of business, it shall still follow all the regular requirements for providing individual participant training. All required customized training documentation shall be kept on file with the service provider, business and Workforce Connection Online System (WCOS). Service providers shall make all files and documentation available for monitoring, audits and data validation as required.

1. Eligibility shall be determined and eligibility documents shall be compiled and kept on file with the service provider and business.

2. An individual employment plan shall be completed for each participant identifying the need for customized training and kept on file with the service provider and business.
3. Customized training processes can include the following.
 - a. Service providers may work with an employer to provide the eligibility documentation on potential trainees (staff-assisted service without significant staff involvement). Special attention shall be paid to eligibility documentation requirements to ensure all data validation requirements are met.
 - b. Once eligibility is determined, the service provider may work with the employer to complete an individual employment plan for each participant, identifying the need for customized training. For purposes of the customized training activity, an individual employment plan may consist of the employment goal, achievement objective and services to achieve the employment goals.
 - c. Service providers do not have to maintain individual file folders for each participant as long as all required information and documentation is kept on file collectively for each customized training contract by the service provider and business.

Customized training agreement provisions

Customized training agreements shall at a minimum include the following elements:

1. The occupation for which training will be provided; the skills and competencies to be achieved and the length of time for the training.
2. The name of each employee to be trained, social security number, date of birth, gender, selective service registration, I-9 on file with employer, hourly pay, hours per week, and employee start date.
3. The employer's assurance that customized training is needed based upon the individual skill sets of trainees.
4. Training outline.
5. Method and maximum amount of reimbursement.
6. The cost and documented description of any ancillary items or supportive services that may be needed.
7. Other appropriate training outcomes related to the training (includes obtainment of veteran status, highest grade completed, household/family size and increases in earnings after training if applicable).
8. Appropriate assurances and certifications as defined in the agreement:
 - a. Employer shall provide worker's compensation coverage for the participants on the same basis as the compensation is provided to other individuals in the same employment. 20 CFR 680.700 (b).
 - b. Employer shall verify that the training will relate to the introduction of new technologies, introduction to new production or service procedures, or is an upgrade to a new job that requires additional skills, work place literacy, or other appropriate identified by the local WDB. 20 CFR 680.710 (C).
 - c. Employer certifies that the company is financially solvent on the date of the contract, and the employer's best projection is that they will remain financially

able to meet contract obligations at the end of the training period, including training participant retention.

- d. Employer agrees that wage and labor standards will be adhered to and to pay the participants at the same rates, including increases, and benefits as trainees or employees who are situated in similar jobs. Such rates shall be in accordance with applicable law, but in no event less than the higher rate specified in section 6(a) (1) of the Fair Labor Standards Act of 1938 (and as amended in 1996) or the applicable state or local minimum wage law and WIOA 20 CFR Part 683.275.
- e. Conditions of employment and training will be in full accordance with all applicable federal, state, and local laws and ordinances (including but not limited to anti-discrimination, labor and employment laws, environmental laws or health and safety laws), 29 CFR part 38.
- f. Employer certifies that the training will not impair existing agreements for services or collective bargaining agreements and that either it has the concurrence of the appropriate labor organization as to the design and conduct of training, or it has no collective bargaining agreement with a labor organization that covers the participants' position.
- g. Employer assures that they are not debarred or suspended in regard to federal funding. 29CFR 180 Sub Part H, (Verifiable at <https://www.sam.gov/portal/SAM/#1#1>).
- h. Employer further assures that federal funds will not be used to assist, promote or deter union organizing, 20 CFR 663.730.
- i. Employer certifies that no member of the training participant's immediate family will directly supervise the participant. For the purpose of this contract, immediate family is defined as spouse, children, parents, grandparents, grandchildren, brothers, sisters or person bearing the same relationship to the participant's spouse, 20 CFR 683.200 (a).
- j. Employer assures that the participants will not be employed to carry out the construction, operation or maintenance of any part of a facility that is used or to be used for sectarian instruction or as a place for religious worship, 29 CFR part 2, Subpart D.
- k. Employer assures that the participant(s) has not been hired into or will remain working in any position when any other person is on layoff from the same or a substantially equivalent job within the same organizational unit or has been bumped and has recall rights to that position, nor if the training is created in a promotional line that infringes on opportunities of current employees, 20 CFR 680.710.
- l. Employer is committed to employ and/or retain the individual upon successful completion of the training for a minimum of twelve months as specified in section 680.760 (b), WIOA July 22, 2014.

Customized training documentation.

The Customized Training Agreement and its related information and documentation may be kept by the service provider and business. The local board and service provider are responsible for ensuring the information and documentation is available for monitoring and review as required:

1. Customized Training Agreement and supporting documentation.
2. Customized Training Plan.
3. Customized Training Modification(s), if applicable.
4. Customized Training Progress Report and Invoice.
5. All Provider and Participant Files required documentation submitted in the Workforce Connection Online System (WCOS).

ACTIONS REQUIRED

LWDBs must establish a local customized training policy that outlines the following;

1. Criteria for determining employer eligibility.
2. How the significant cost of the training' will be established;
3. Define what constitutes an appropriate commitment to hire the individual on behalf of the employer.
4. The process for collecting, from the employer, performance information and data entry into the Workforce Connection Online System.
5. Contracting process with employers providing customized training.

APPLICABILITY:

All WCCNM –initiated customized training contracts and all service provider-initiated customized training contracts.

INQUIRIES:

WIOA Administrator 575-740-5381

Attested

This policy was reviewed and approved by the SAWDB

SAWDB Chairman

Date

AGENDA ITEM SUMMARY

Region IV, Chief Elected Officials Meeting	December 13, 2019
Consent Agenda Item *Resolution 19 – 15 concurs with the Southwestern Area Workforce Development Board to approve the Required Information in Communications Policy 19-02.	
SUMMARY OF AGENDA ITEM As a function of the Chief Elected Officials, this item is presented for your review and consideration to concur with the Southwestern Area Workforce Development Board to approve the Required Information in Communications Policy 19-02. In compliance with the Consolidated Appropriations Act, 2017, the Southwestern Area Workforce Development Board will inform the public of how much funds comes from Federal sources in any program, project, or grant activity when issuing statements, press releases, requests for proposals, bid solicitations, and other documents describing its projects or programs funded in whole or in part with Federal funds. In compliance with Code of Federal Regulations Title 29, Part 38, Subpart B, the Southwestern Area Workforce Development Board will provide notice in communications of the nondiscrimination and equal opportunity provisions of the Workforce Innovation and Opportunity Act (WIOA) which are contained in section 188 of WIOA (29 U.S.C. 3248) Policy 19-02 outlines specific requirements. Training and monitoring will be provided to ensure staff are adequately educated and the region is in compliance. As a consent agenda item, any member of the board can pull one, or all the policies, to discuss and vote on separately from the others. Policies that are amended contain colored text for added items or strikethroughs for deleted ones. Upon board approval, the policy will be signed by the board chair or vice-chair.	
RECOMMENDATION A motion to approve Resolution 19 – 15.	
CEO'S OPTIONS ARE TO <ol style="list-style-type: none"> 1. Accept the recommendation 2. Amend the recommendation 3. Reject the recommendation 4. Table the item 5. Take no action on the item 	
DEPENDING ON ACTION TAKEN, ITEM MAY BE REFERRED OR REPORTED TO <ul style="list-style-type: none"> • Staff or committee, as directed. 	
THIS ITEM SUPPORTS STRATEGIC PLAN GOAL(S) <ul style="list-style-type: none"> • Supports all strategic plan goals 	

LIST OF SUPPORTING INFORMATION FOR YOUR REVIEW

- Required Information in Communications Policy 19-02

SOUTHWESTERN AREA WORKFORCE DEVELOPMENT BOARD

REQUIRED INFORMATION IN COMMUNICATIONS POLICY 19-02

DATE OF ISSUE

November 7, 2019

EFFECTIVE DATE

December 1, 2019

APPLICABILITY

New Mexico Workforce Region IV, Southwestern Area New Mexico Workforce Connection in all seven counties: Catron, Doña Ana, Grant, Hidalgo, Luna, Sierra, Socorro

PURPOSE

In compliance with the Consolidated Appropriations Act, 2017, the Southwestern Area Workforce Development Board will inform the public of how much funds comes from Federal sources in any program, project, or grant activity when issuing statements, press releases, requests for proposals, bid solicitations, and other documents describing its projects or programs funded in whole or in part with Federal funds.

In compliance with Code of Federal Regulations Title 29, Part 38, Subpart B, the Southwestern Area Workforce Development Board will provide notice in communications of the nondiscrimination and equal opportunity provisions of the Workforce Innovation and Opportunity Act (WIOA) which are contained in section 188 of WIOA (29 U.S.C. 3248)

BACKGROUND

Public Law 115-31 – May 5, 2017, Division H, Title V, Section 505, stipulates when issuing statements, press releases, requests for proposals, bid solicitations and other documents describing projects or programs funded in whole or in part with Federal money, all grantees receiving Federal funds included in the Act, including but not limited to State and local governments and recipients of Federal research grants, shall clearly state –

- A. The percentage of the total costs of the program or project which will be financed with Federal money;
- B. The dollar amount of Federal funds for the project or program; and
- C. Percentage and dollar amount of the total costs of the project or program that will be financed by non-governmental sources.

Section 188 of WIOA prohibits discrimination on the basis or race, color, religion, sex, national origin, age, disability, or political affiliation or belief, or, for beneficiaries, applicants, and participants only, on the basis of citizenship status or participation in a WIOA Title I-financially assisted program or activity.

ACTION

- A. For consistency in all forms of communications, internal and external, either verbal or print, including digital forms, such as but not limited to emails, letterhead, issued statements, press releases, policies, outreach materials to include business cards, brochures, fliers, banners, posters, social media posts and the like, will contain at a minimum the following tagline:

Funded by the U.S. Department of Labor

B. Per CFR §38.34: Recipients' obligations to disseminate equal opportunity notice

- 1) A recipient must provide initial and continuing notice as defined in §38.36 that it does not discriminate on any prohibited basis. This notice must be provided to:
 - a. Registrants, applicants, and eligible applicants/registrants;
 - b. Participants;
 - c. Applicants for employment and employees;
 - d. Unions or professional organizations that hold collective bargaining or professional agreements with the recipient;
 - e. Subrecipients that receive WIOA Title I financial assistance from the recipient; and
 - f. Members of the public, including those with impaired vision or hearing and those with limited English proficiency.
- 2) As provided in §38.15, the recipient must take appropriate steps to ensure that communications with individual with disabilities are as effective as communications with others and that this notice is provided in appropriate languages to ensure meaningful access for LEP individuals as described in §38.9.

C. Per CFR §38.34: Equal opportunity notice/poster

- 1) The notice must contain the following specific wording:

Equal Opportunity Is the Law

It is against the law for this recipient of Federal financial assistance to discriminate on the following bases: Against any individual in the United States, on the basis of race, color, religion, sex (including pregnancy, childbirth, and related medical conditions, sex stereotyping, transgender status, and gender identity), national origin (including limited English proficiency), age, disability, or political affiliation or belief, or, against any beneficiary of, applicant to, or participant in programs financially assisted under Title I of the Workforce Innovation and Opportunity Act, on the basis of the individual's citizenship status or participation in any WIOA Title I-financially assisted program or activity.

The recipient must not discriminate in any of the following areas:

Deciding who will be admitted, or have access, to any WIOA Title I-financially assisted program or activity;

providing opportunities in, or treating any person with regard to, such a program or activity; or making employment decisions in the administration of, or in connection with, such a program or activity.

Recipients of federal financial assistance must take reasonable steps to ensure that communications with individuals with disabilities are as effective as communications with others. This means that, upon request and at no cost to the individual, recipients are required to provide appropriate auxiliary aids and services to qualified individuals with disabilities.

What To Do If You Believe You Have Experienced Discrimination

If you think that you have been subjected to discrimination under a WIOA Title I-financially assisted program or activity, you may file a complaint within 180 days from the date of the alleged violation with either:

The recipient's Equal Opportunity Officer (or the person whom the recipient has designated for this purpose); or

The Director, Civil Rights Center (CRC), U.S. Department of Labor, 200 Constitution Avenue NW., Room N-4123, Washington, DC 20210 or electronically as directed on the CRC Web site at www.dol.gov/crc.

If you file your complaint with the recipient, you must wait either until the recipient issues a written Notice of Final Action, or until 90 days have passed (whichever is sooner), before filing with the Civil Rights Center (see address above).

If the recipient does not give you a written Notice of Final Action within 90 days of the day on which you filed your complaint, you may file a complaint with CRC before receiving that Notice. However, you must file your CRC complaint within 30 days of the 90-day deadline (in other words, within 120 days after the day on which you filed your complaint with the recipient).

If the recipient does give you a written Notice of Final Action on your complaint, but you are dissatisfied with the decision or resolution, you may file a complaint with CRC. You must file your CRC complaint within 30 days of the date on which you received the Notice of Final Action.

D. Per CFR §38.36: Recipients' obligations to publish equal opportunity notice

- 1) At a minimum, the Equal Opportunity Notice required by §38.34 and 38.35 must be:
 - a. Posted prominently, in reasonable numbers and places, in available and conspicuous physical locations and on the recipient's webs tie pages;
 - b. Disseminated in internal memoranda and other written or electronic communications with staff;
 - c. Included in employee and participant handbooks or manuals regardless of form, including electronic and paper form if both are available; and
 - d. Provided to each participant and employee; the notice must be made part of each employee's and participant's file. It must be part of both paper and electronic files, if both are maintained.
- 2) The notice must be provided in appropriate formats to registrants, applicants, eligible applicants/registrants, applicants for employment and employees and participants with visual impairments. Where notice has been given in an alternate format to registrants, applicants, eligible applicants/registrants, participants, applicants for employment and employees with a visual impairment, a record that such notice has been given must be made a part of the employee's or participant's file.
- 3) The notice must be provided to participants in appropriate languages other than English as required in §38.9.
- 4) The notice required by §§38.34 and 38.35 must be initially published and provided within 90 days of January 3, 2017, or of the date this part first applies to the recipient, whichever comes later.

E. Per CFR §38.37: Notice requirement for service providers

The Governor or the LWDA grant recipient, as determined by the Governor and as provided in that State's Nondiscrimination Plan, will be responsible for meeting the notice requirement provided in Per CFR § Per CFR §38.34 and 38.35 with respect to a State's service providers.

F. Per CFR §38.38: Publications, broadcasts, and other communications

- 1) Recipients that publish or broadcast program information in the news media must ensure that such publications and broadcasts state that the WIOA Title I-financially assisted program or activity in question is an equal opportunity employer/program (or otherwise indicate that discrimination in the WIOA Title I-financially assisted program or activity is prohibited by Federal law), and indicate that auxiliary aids and services are available upon request to individuals with disabilities.
- 2) A recipient must not communicate any information that suggests, by text or illustration, that the recipient treats beneficiaries, registrants, applicants, participants, employees or applicants for employment differently on any prohibited basis specified in §38.35, except as such treatment is otherwise permitted under Federal law or this part.

G. Per CFR §38.39: Communication of notice in orientations

During each presentation to orient new participants, new employees, and/or the general public to its WIOA Title I-financially assisted program or activity, in person or over the internet or using other technology, a recipient must include a discussion of rights and responsibilities under the nondiscrimination and equal opportunity provisions of WIOA and this part, including the right to file a complaint of discrimination with the recipient or the Director. This information must be communicated in appropriate languages as required in §38.9 and in formats accessible for individuals with disabilities as required in this part and specified in §38.15.

H. Per CFR §38.40: Affirmative outreach

Recipients must take appropriate steps to ensure that they are providing equal access to their WIOA Title I-financially assisted programs and activities. These steps should involve reasonable efforts to include members of the various groups protected by these regulations including but not limited to persons of different sexes, various racial and ethnic/national origin groups, various religions, individuals with limited English proficiency, individuals with disabilities, and individuals in different age groups. Such efforts may include, but are not limited to:

- 1) Advertising the recipient's programs and/or activities in media, such as newspapers or radio programs, that specifically target various populations;
- 2) Sending notices about openings in the recipient's programs and/or activities to schools or community service groups that serve various populations; and
- 3) Consulting with appropriate community service groups about ways in which the recipient may improve its outreach and service to various populations.

I. Training

- 1) The administrative entity will provide training on the required communications within the Act to SAWDB's service providers' management, One-Stop Operator, and SAWDB Board

J. Monitoring

- 1) The administrative entity will work with the One-Stop Operator to review materials and online information which will include procurement solicitations
- 2) The administrative entity will review procurement and other printed materials during the annual on-site monitoring review for compliance

INQUIRIES

Questions related to this policy may be directed to the Administrative Entity at (575) 744-4857.

ATTESTED

This policy was approved through board resolution on November 7, 2019

SAWDB Board Chair Signature

Date

AGENDA ITEM SUMMARY

Region IV, Chief Elected Officials Meeting	December 13, 2019
<p>Consent Agenda Item</p> <p>*Resolution 19 – 16 concurs with the Southwestern Area Workforce Development Board to approve registration fees, lodging, and travel for Southwestern Area Workforce Development Board members to attend the National Association of Workforce Boards Forum 2020 in Washington, D.C. in March 2020</p>	
<p>SUMMARY OF AGENDA ITEM</p> <p>As a function of the Chief Elected Officials, this item is presented for your review and consideration to concur with the Southwestern Area Workforce Development Board to approve funding for board members to travel to and attend the National Association of Workforce Boards (NAWD) Forum 2020 in Washington, D.C. scheduled for Saturday, March 21 through Tuesday, March 24, 2020 at The Washington Hilton in Washington, D.C.</p> <p>This Forum is the premier event where workforce development professionals and leaders in business, government, labor, and education gather to gain insights into the current state of our nation's workforce system and consider the goals and policy framework affecting the future of human capital development. The Forum addresses the needs of regional economies by strengthening the ability of American businesses and career seekers to compete in a global economy. The Forum is for:</p> <ul style="list-style-type: none"> • Workforce Development Professionals, Leaders, and Board Members • Business Leaders • Industry and Trade Association Representatives • Labor Representatives • Economic Developers • Community College and Education System Leaders • Local Government Officials • National Organizational Partners <p>The Forum 2020 will feature a host of high-impact speakers who are developing cutting edge solutions for the future of work. There will be interactive workshops, thought-provoking dialogue, and hard-hitting issue sessions, as well as the opportunity to engage with and hear from top leadership in Congress, the Department of Labor, business, and industry.</p> <p>RECOMMENDATION</p> <p>A motion to approve Resolution 19 – 16.</p> <p>CEO'S OPTIONS ARE TO</p> <ol style="list-style-type: none"> 1. Accept the recommendation 2. Amend the recommendation 3. Reject the recommendation 4. Table the item 5. Take no action on the item 	

DEPENDING ON ACTION TAKEN, ITEM MAY BE REFERRED OR REPORTED TO

- Staff or committee, as directed.

THIS ITEM SUPPORTS STRATEGIC PLAN GOAL(S)

- Supports all strategic plan goals

LIST OF SUPPORTING INFORMATION FOR YOUR REVIEW

- NAWB Forum 2020 schedule

Saturday, March 21st

- 7:00 am - 5:00 pm | Forum Registration
- 10:00 am - 2:30 pm | Workshops:
 - Board Governance
 - Analyzing Labor Market Data
 - Technologically Enabled
 - Leveraging and Diversifying Funding
- 10:00 am - 2:30 pm | NAWB Executive Bootcamp
- 3:00 pm - 4:00 pm | Leadership Academies :
 - New Director
 - Experienced Director
 - New Board Member
 - Experienced Board Member
- 4:00 pm - 5:15 pm | Policy Chat with Ron Painter and NAWB Annual Meeting
- 7:00 pm | Welcome Reception in Exhibit Hall

Sunday, March 22nd

- 7:00 am - 5:00 pm | Forum Registration
- 7:30 am - 8:45 am | Breakfast in Exhibit Hall
- 9:00 am - 10:15 am | Workshops Round 1 & Toolshops 1
- 10:15 am - 10:45 am | Coffee Break in Exhibit Hall
- 10:45 am - 12 pm | Workshops Round 2
- 12:15 pm - 2:00 pm | Luncheon Session with Awards Presentation
- 2:00 pm - 3:00 pm | Coffee Break with Exhibitors
- 3:00 pm - 4:30 pm | Super Issue Sessions
- 4:45 pm - 5:45 pm | Rapid Fire Issue Roundtables & Toolshops 2
- 5:45 pm - 6:45 pm | Leadership Academies Convening
- 6:00 pm - 7:00 pm | Reception

Monday, March 23rd

- 7:00 am - 5:00 pm | Forum Registration
- 7:30 am - 8:30 am | Breakfast with Exhibitors
- 8:30 am - 10:45 am | General Session and Award Presentation
- 11:00 am - 12:00 pm | Industry Insights
- 12:15 pm - 1:15 pm | Luncheon Session and Award Presentation
- 1:30 pm - 3:00 pm | Super Issue Sessions
- 3:15 pm - 4:30 pm | Workshops Round 3 & Toolshops 3
- 4:45 pm - 5:45 pm | Advocacy Session
- 6:00 pm - 7:00 pm | Reception & Entertainment (Capitol Steps)

Tuesday, March 24th

- 7:00 am - 10:00 am | Forum Registration
- 7:30 am - 8:30 am | Breakfast
- 8:30 am - 9:30 am | General Session
- 10:00 am - 11:30 am | Department of Labor Technical Sessions

AGENDA ITEM SUMMARY

Region IV, Chief Elected Officials Meeting	December 13, 2019
<p>Consent Agenda Item</p> <p>*Resolution 19 – 17 concurs with the Southwestern Area Workforce Development Board to designate the Healthcare and Education industries for its two Sector Partnership Strategies</p>	
<p>SUMMARY OF AGENDA ITEM</p> <p>As a function of the Chief Elected Officials, this item is presented for your review and consideration to concur with the Southwestern Area Workforce Development Board.</p> <p>The following Planning Committee recommendation is provided for your review and consideration.</p> <p>An analysis of regional economic conditions and Labor Market Information (LMI) was utilized by the committee to choose Healthcare and Education as the two industries to develop workforce sector strategies. Included with this summary is an overview of the LMI information used to make the decision.</p> <p>A sector strategy is a partnership of employers within a critical industry that brings together education, economic development, workforce systems, and community organizations to identify and collaboratively meet the workforce needs of that industry within a regional labor market.</p>	
<p>RECOMMENDATION</p> <p>A motion to approve Resolution 19 – 17.</p>	
<p>CEO'S OPTIONS ARE TO</p> <ol style="list-style-type: none"> 1. Accept the recommendation 2. Amend the recommendation 3. Reject the recommendation 4. Table the item 5. Take no action on the item 	
<p>DEPENDING ON ACTION TAKEN, ITEM MAY BE REFERRED OR REPORTED TO</p> <ul style="list-style-type: none"> • Staff or committee, as directed. 	
<p>THIS ITEM SUPPORTS STRATEGIC PLAN GOAL(S)</p> <ul style="list-style-type: none"> • Supports all strategic plan goals 	
<p>LIST OF SUPPORTING INFORMATION FOR YOUR REVIEW</p> <ul style="list-style-type: none"> • Industry Projection Table (2016 – 2026) • Area Profile for SW NM, Jobs and Candidates by Occupation Group Table 	

Industry Projections (Long-term) for Multiple Industries in Southwestern in 2016-2026

Industry Projections Table

The table below shows the long-term industry projections for Multiple Industries in Southwestern for the 2016-2026 projection period.

Industry	Industry Code	2016 Estimated Employment	2026 Projected Employment	Total 2016-2026 Employment Change	Annual Percent Change	Total Percent Change
Total, All Industries	00	107,016	114,516	7,500	0.68%	7.01%
Health Care and Social Assistance	62	18,638	22,609	3,971	1.95%	21.31%
Accommodation and Food Services	72	10,173	11,038	865	0.82%	8.50%
Educational Services	61	13,776	14,445	669	0.48%	4.86%
Professional, Scientific, and Technical Services	54	4,373	4,863	490	1.07%	11.21%
Administrative and Support and Waste Management and Remediation Services	56	3,246	3,553	307	0.91%	9.46%
Government	9	12,946	13,220	274	0.21%	2.12%
Construction	23	4,573	4,822	249	0.53%	5.45%
Local, Excluding Education and Hospitals	93	5,420	5,665	245	0.44%	4.52%
Retail Trade (44-45)	44-45	10,959	11,109	150	0.14%	1.37%
Agriculture, Forestry, Fishing and Hunting	11	4,871	4,986	115	0.23%	2.36%
Transportation and Warehousing (48-49)	48-49	1,840	1,955	115	0.61%	6.25%
Other Services (except Public Administration)	81	1,658	1,727	69	0.41%	4.16%
Arts, Entertainment, and Recreation	71	1,106	1,147	41	0.36%	3.71%
Finance and Insurance	52	2,230	2,270	40	0.18%	1.79%
Federal Government	91	4,644	4,680	36	0.08%	0.78%
Real Estate and Rental and Leasing	53	950	980	30	0.31%	3.16%
Management of Companies and Enterprises	55	231	244	13	0.55%	5.63%
Utilities	22	630	634	4	0.06%	0.63%
Information	51	814	812	-2	-0.02%	-0.25%
Public Administration	92	2,882	2,875	-7	-0.02%	-0.24%
Wholesale Trade	42	1,438	1,426	-12	-0.08%	-0.83%
Mining	21	1,560	1,537	-23	-0.15%	-1.47%
Manufacturing (31-33)	31-33	3,693	3,497	-196	-0.54%	-5.31%

Source: NMDWS, Employment Projections program
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Area Profile for Southwestern, NM

Jobs and Candidates by Occupation Group Table

The table below shows the distribution number of **job openings advertised online, as well as potential candidates** in the workforce system in Southwestern, NM by occupation group on **October 30, 2019** (Jobs De-duplication Level 2).

Rank	Occupation Group	Job Openings	Candidates
1	Healthcare Practitioners and Technical Occupations	1,082	287
2	Food Preparation and Serving Related Occupations	354	610
3	Management Occupations	287	610
4	Sales and Related Occupations	218	727
5	Computer and Mathematical Occupations	213	208
6	Office and Administrative Support Occupations	186	1,638
7	Healthcare Support Occupations	185	398
8	Installation, Maintenance, and Repair Occupations	139	468
9	Transportation and Material Moving Occupations	118	695
10	Architecture and Engineering Occupations	106	155
11	Education, Training, and Library Occupations	104	154
12	Personal Care and Service Occupations	101	195
13	Building & Grounds Cleaning & Maintenance Occup.	77	283
14	Production Occupations	68	623
15	Business and Financial Operations Occupations	57	199
16	Protective Service Occupations	53	212
17	Community and Social Services Occupations	52	169
18	Arts, Design, Entertainment, Sports, and Media Occ	48	137
19	Construction and Extraction Occupations	48	1,089
20	Life, Physical, and Social Science Occupations	16	94
21	Legal Occupations	6	27
22	Farming, Fishing, and Forestry Occupations	4	919
23	Military Specific Occupations	4	26

Job Source: Online advertised jobs data
Candidate Source: Individuals with active résumés in the workforce system.
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AGENDA ITEM SUMMARY

Region IV, Chief Elected Officials Meeting	December 13, 2019
Consent Agenda Item *Resolution 19 – 18 concurs with the Southwestern Area Workforce Development Board to approve the Career Pathways Plan	
SUMMARY OF AGENDA ITEM As a function of the Chief Elected Officials, this item is presented for your review and consideration to concur with the Southwestern Area Workforce Development Board. WIOA sec. 107(d)(s) and 20 CFR § 679.370(f) stipulates that the local workforce board, with representatives of secondary and postsecondary education programs, must lead efforts in the local area to develop and implement career pathways within the local area by aligning the employment, training, education, and supportive services needed by adults and youth, particularly individuals with barriers to employment. The SAWDB Planning Committee has developed a <i>Career Pathways Plan</i> for consideration of the Board. This plan implements a combination of rigorous and high-quality education, training and other services that assist individuals entering or advancing within an industry or occupation cluster.	
RECOMMENDATION A motion to approve Resolution 19 – 18.	
CEO'S OPTIONS ARE TO <ol style="list-style-type: none"> 1. Accept the recommendation 2. Amend the recommendation 3. Reject the recommendation 4. Table the item 5. Take no action on the item 	
DEPENDING ON ACTION TAKEN, ITEM MAY BE REFERRED OR REPORTED TO <ul style="list-style-type: none"> • Staff or committee, as directed. 	
THIS ITEM SUPPORTS STRATEGIC PLAN GOAL(S) <ul style="list-style-type: none"> • Supports all strategic plan goals 	
LIST OF SUPPORTING INFORMATION FOR YOUR REVIEW <ul style="list-style-type: none"> • Career Pathways Plan 	



Career Pathways Plan PY 2019

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Executive Summary

The Southwestern Area Workforce Development Board continues the process of improving its service delivery model to support economic development through workforce development. A key pillar to this process is the career pathways system and how employers are directly in developing solutions to their workforce needs within their industry.

This career pathways plan was developed in consideration of the U.S. Department of Labor Career Pathways Toolkit: An Enhanced Guide and Workbook for System Development and the sector partnership strategies model that is being implemented throughout New Mexico. The toolkit provides the teams with a variety of tools to use to strengthen its processes and the development of career pathways. It calls for the alignment of cross-agency planning, performance, and strategies resulting in a skilled and ready workforce.

A two-pronged approach describes how the traditional roundtable and the sector partnership strategies models will be used in PY19. The sector partnership strategies model will first be used with the healthcare and education industries. In future program years, the other priority industries of the board will also use the sector partnership strategy model.

As described in the plan, the building of cross-agency partnerships will help organize partners to be an integral part of the process that leads to the engagement of businesses within their respective industries. This group is referred to as the Core Team. The Core Team consisting of businesses, workforce development, economic development, and education all working together to develop training programs that meet the needs of the employers. The Core Team also works together developing the career pathway information that will be used within the workforce centers and system. The braiding of programs and services also leads to the search for additional funding and other resources to support the training needs of the industry. The Southwestern Area Workforce Development Board will also work with the Core Team to align policies and programs that will improve services. The leadership team will measure change and report its conclusions to business, its partners, the Southwestern Area Workforce Development Board and the Chief Elected Officials on a quarterly basis.

To truly change the economy, those involved in the career pathways systems must align their strategies and resources to build upon traditional approaches that result in more effective programs. By implementing the career pathways plan, our local economy becomes stronger as education, workforce development and industry connect to address the workforce readiness of the region.

Introduction to Career Pathways

This plan has been created to support the workforce system and local leaders in the Southwestern area of New Mexico. It outlines the process of the career pathways system: who is involved; what is produced; and how change is measured and reported to benefit employers within industries, job seekers, and youth. This plan underscores the participation of business leaders through industry meetings, needs assessments, measuring, and reporting process. The Southwestern Area Workforce Development Board has chosen to use a model provided by the U.S. Department of Labor (USDOL), The Career Pathways Toolkit, that is organized around the Six Key Elements of Career Pathways (Appendix A).

What are Career Pathways?

According to the information in the Toolkit,

Career pathways are the new way of doing business and they operate at two levels—a system level and an individual program level. At the systems level, career pathways development is a broad approach for serving populations that may experience significant barriers to employment and can substantially alter the way the workforce system delivers its services and its relationship with partner organizations and stakeholders. Career pathways programs offer a clear sequence, or path, of education course and/or training credential aligned with employ-validated work readiness standards and competencies (Introduction p.6).

What is the Relationship Between Career Pathways and Sector Strategies?

Career Pathways are complementary to Sector Strategies. Using the Industry Demand for Skills, Sector Strategies are used to identify industry requirements. Then the sector strategy information is used to develop career pathways to provide educational options (Toolkit p.8). The work with industries is ongoing so Career Pathways are continually being updated based on new information from the particular industry sector.

Career Pathways and Sector Strategy Partnerships are new to the New Mexico public workforce system. In the SAWDB's contract with the State of New Mexico, two industries must be identified to use the sector strategy partnership model during PY19. The SAWDB Planning Committee has chosen Healthcare and Education as the two industries for sector partnership strategies. The partners may also opt to join existing roundtable discussions or convenings within the region. The benefits are that time and resources do not have to be expensed to invent a “new wheel” and businesses leaders do not have to attend multiple meetings to discuss similar meeting topics – minimizing employer fatigue.

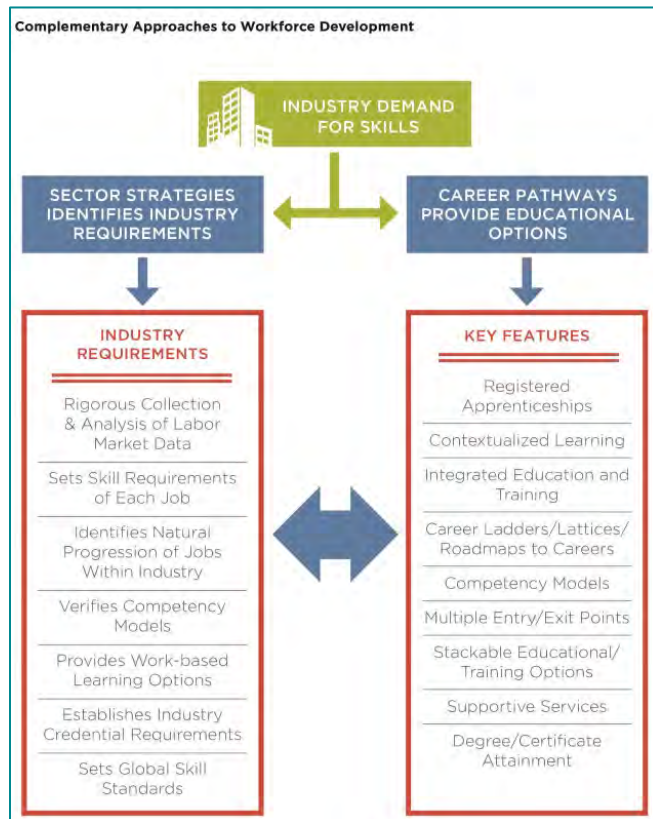
The State Administrative Entity of the NM Department of Workforce Solutions has contracted with a trainer to assist the four local workforce boards in New Mexico with the deployment of the sector strategy model.

This sector approach is different than the traditional industry partnership model that has been used with the Board's priority industries in the past. The traditional model uses an Employer Needs Guide (Attachment B) to engage employers and to open discussions. This guide seeks to learn about the

industry needs for entry, technical, and supervisory positions. Under this approach, each industry

partnership will have a business leader as its chair and have a process to sustain and grow the partnership.

The advantage of the traditional approach is that Career Pathways could be developed quickly for the eight Priority Industries selected by the board in 2018. However, the traditional industry partnership model may only be used as an interim approach during PY2019. This approach may allow for the development of career pathways more quickly, but those career pathways would not be informed by any sector strategies work and would, therefore, need to be revisited. According to the Toolkit, in order for the career pathways to reflect the needs of local and regional businesses and industries, the sector strategies work should occur first. (Toolkit: Complementary Approaches to Workforce Development, p. 8.)



A Two-pronged Approach

In order to satisfy the SAWDB's contract with the State of New Mexico to identify two industries for the sector strategy partnership model during PY19 and to quickly develop Career Pathways for the Priority Industries, a two-pronged approach should be attempted. First, use the traditional approach to produce the initial Career Pathways for the eight Priority Industries. Then, use the sector partnership strategy approach from the Toolkit to revisit and update the Healthcare and Education Career Pathways.

Initial Career Pathways

In November 2019, the partners will convene to identify its leadership team (Team) and begin their work on developing the Career Pathways for the eight Priority Industries. A Leadership Team (WIOA Project Manager [Lead], SAWDB Chair [or his appointed representative], WIOA Administrator, and One Stop Operator) will identify entry points, recruitment strategies, career ladders, and lattices. Industry leaders will be involved in the design process of the career pathways system.

Based on this information, the leadership team will develop and disseminate info sheets for each industry throughout the region. Partners and educational providers will be encouraged to post a link to the career pathways webpage and provide hardcopy info sheets to the public and their staff. The

leadership team will provide a quarterly webcast on the career pathway system and info sheets to the public and other stakeholders.

Sector Partnership Strategies (Toolkit)

After developing the Initial Career Strategies, developing and disseminating information, and training service providers, work can then begin on using the Toolkit to develop the Sector approach for Education and Healthcare. Fortunately, the Toolkit integrates sector strategies and career pathways. In addition, the final section of the Toolkit is the ETA Sector Strategies Technical Assistance Initiative, which is a Guide for Action for Sector Partnerships, so the Toolkit could easily be used to develop Sector Partnerships in the Healthcare and Education sectors.

The focus is to organize the program partners identified by the Workforce Innovation and Opportunity Act (Act) across the region. The region consists of the following seven counties in Southwestern New Mexico: Catron, Doña Ana, Grant, Hidalgo, Luna, Sierra, and Socorro.

The core team for each industry will be drawn from cross-agency partners and employers in the region:

- 1) WIOA Project Manager (Lead)
- 2) SAWDB Chair
- 3) WIOA Administrator
- 4) One Stop Operator Manager
- 5) Employers
- 6) Core program partners
 - a. WIOA Adult program
 - b. WIOA Dislocated Worker program
 - c. WIOA Youth program
 - d. WIOA Wagner-Peyser program
 - e. WIOA Adult Education Services program
 - f. WIOA Vocational Rehabilitation program
- 7) Education (K-12 and higher education)
- 8) Economic Development
- 9) Community based organizations

The Team will use the process described in the Six Key Elements in the Toolbox to create their shared vision, mission, and strategies for the two chosen industries—Healthcare and Education. The Leadership team should begin with the Six Key Elements Readiness Assessment (Toolkit, p. 10) and the Next Steps Action Planning Tool (Toolkit, p.16). “The flexible action-planning tool . . . can help the team carry out prioritized actions steps identified in the Six Key Elements Readiness Assessment. It may help the team decide which key element to concentrate on first (Toolkit, p. 17).

The goal for this work is to obtain Optimal Alignment. When Optimal Alignment is achieved, the following statements will describe the work of the SAWDB region.

Leadership vision and strategy is operational. System focuses on targeted sector strategy,

engages employers, and reflects clear pathways education components. State-level policies support long-term sustainability with federal and/or state funding plan. Metrics and outcomes reflect evidence-based evaluation processes and continuous improvement” (Toolkit, p. 11).

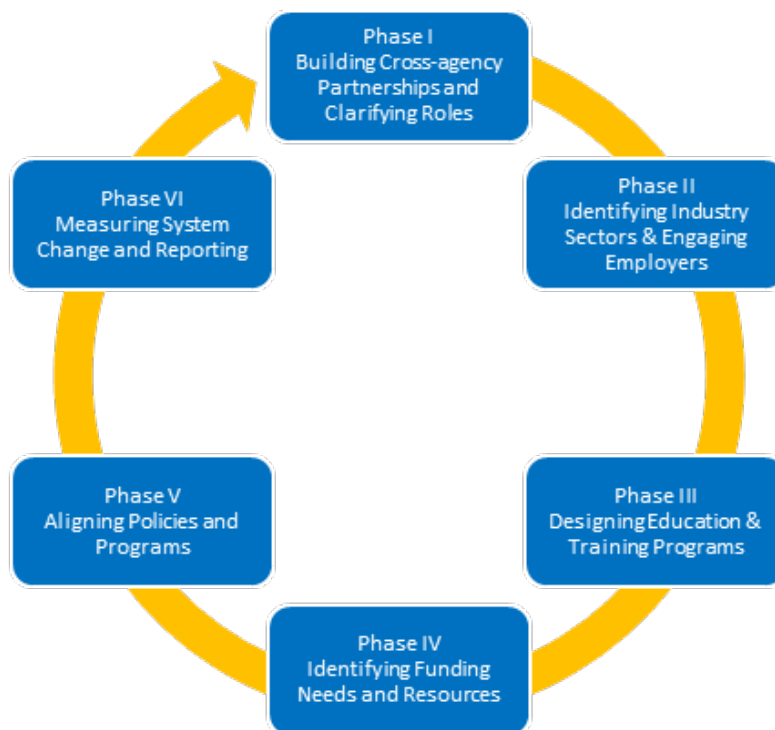
Using the Toolkit

Six Key Elements of Career Pathways

Career pathways are developed through collaboration of partners and industry, who gather and analyze information to help customers make informed career choices. A key goal is to engage workforce partners, businesses, and education to form a team that work together to meet the workforce needs of the industry through workforce development.

The six elements are a guide for the following:

1. Building cross-agency partnerships and clarifying roles within the workforce system
2. Identifying industry sectors and engaging employers
3. Designing education and training programs to meeting the needs of employers
4. Identifying funding needs and sources
5. Aligning policies and programs
6. Measuring system change and performance



Phase I: Building Cross-Agency Partnerships and Clarifying Roles

Key Element Components:

- Engage cross-agency partners and employers.
- Establish a shared vision, mission, and set of goals.
- Define the roles and responsibilities of all partners.
- Develop a work plan and/or Memorandum of Understanding for the partnership.

Organizing the Partners and Clarifying their Roles

In this phase of the process, the focus is to organize the program partners identified by the Workforce Innovation and Opportunity Act (Act) across the region. The region consists of the following seven counties in Southwestern New Mexico: Catron; Doña Ana; Grant; Hidalgo; Luna; Sierra; and Socorro. The public workforce system's structure under the Act intends to braid a variety of partners' resources and specialties into one system to coordinate services to customers.

As part of developing a career pathways process, the partners will provide input based on their individual experiences. This type of input is essential to understanding each other's roles and how they can better serve customers with the board's priority industries. The Act requires that each local workforce board, like the SAWDB, have set of core program and other required partners who bring their special skills and resources to the table to better serve the needs of each individual or employer. Their role of the partners is to develop a pipeline for skilled workers through training opportunities that meet the workforce needs of businesses.

The administrative entity and one-stop operator of the Southwestern Area Workforce Development Board will lead in the initial phase of forming the leadership team.

WIOA Core Program Partners

The core program partners work in collaboration in various areas of the public workforce system. Working together as part of the career pathways process provides the system with a variety of perspectives that enhance the quality of services to employers, job seekers, and youth.

The core programs consist of:

- 1) WIOA Title I – Adult Program (funding by the SAWDB)
- 2) WIOA Title I – Dislocated Worker Program (funded by the SAWDB)
- 3) WIOA Title I – Youth Program (funded by the SAWDB)
- 4) WIOA Title II – Adult Education Services (funded by the NM Department of Higher Education)
- 5) WIOA Title III – Wagner-Peyser Employment Program (funded by NM Department of Workforce Solutions)
- 6) WIOA Title IV – Vocational Rehabilitation Program (funded by the NM Department of Education)

WIOA Additional Partners

The Code of Federal Register, 20 CFR § 678.400, as listed below, identify the additional partners who have a role in the public workforce system. Like the core programs under the Act, these partners specialize in providing employment or education to specific populations within our communities. Their rolls are essential to addressing the unique and diverse needs of those within our workforce system.

- 1) The Senior Community Service Employment Program authorized under title V of the Older Americans Act of 1965 (42 U.S.C. 3056et seq.);
- 2) Career and technical education programs at the postsecondary level authorized under the Carl D. Perkins Career and Technical Education Act of 2006 (20 U.S.C. 2301et seq.);
- 3) Trade Adjustment Assistance activities authorized under chapter 2 of title II of the Trade Act of 1974 (19 U.S.C. 2271et seq.);
- 4) Jobs for Veterans State Grants programs authorized under chapter 41 of title 38, U.S.C.;
- 5) Employment and training activities carried out under the Community Services Block Grant (42 U.S.C. 9901et seq.);
- 6) Employment and training activities carried out by the Department of Housing and Urban Development;
- 7) Programs authorized under State unemployment compensation laws (in accordance with applicable Federal law);
- 8) Programs authorized under sec. 212 of the Second Chance Act of 2007 (42 U.S.C. 17532); and
- 9) Temporary Assistance for Needy Families (TANF) authorized under part A of title IV of the Social Security Act (42 U.S.C. 601et seq.), unless exempted by the Governor under § 678.405(b).

In addition to the core and additional partners under WIOA, K-12 education providers are additional partner that have an important role in the process. The region has over 20 public school districts and numerous private schools that will be invited to convene and participate in both the sector partnership strategy process and industry roundtable discussions. Having K-12 education providers provides a sound balance and adds value to the workforce system.

Community based organizations and government agencies that are not WIOA or K-12 partners should also be invited to partner depending on the value that they can bring to the workforce system. Such partners are valuable as they can potentially fill gaps in the delivery of wrap-around services for individuals or their families.

Phase II - Identifying Industry Sectors & Engaging Employers

Key Element Components:

- Conduct labor market analysis to target high demand and growing industries
- Survey and engage key industry leaders from targeted industries and sector partnerships.
- Clarify the role of employers in the development and operation of programs.
- Identify existing training systems within industry as well as the natural progression and/or mobility (career ladders/lattices)

- Identify the skill competencies and associated training needs
- Sustain and expand business partnerships.

Priority Industries

This identification of industry sectors was completed in 2018 with the modification to the SAWDB's four-year plan. The SAWDB's priority industries are:

- Aerospace
- Agricultural
- Education
- Health care
- Logistic and warehousing
- Manufacturing
- Mining
- Hospitality and tourism

In addition to the priority industries, other industries that are emerging in the region can also be engaged to develop sector strategy partnerships or through industry roundtables discussions. The leadership team will make this determination on a case-by-case basis.

Self-assessment

In **December of 2019**, the Leadership Team (Team) will conduct a self-assessment using a career pathways tool (View Attachment A). The self-assessment gauges how the workforce system in the Southwestern area of New Mexico if it is a high-performing sector-focused organization. Based on the results of the self-assessment, the Leadership Team and develop strategies to improve its performance.

In addition, the Team will begin reviewing labor market information for the career pathways that will also be used for the modification of the 2020 Four-year plan by analyzing labor market information and identifying high-demand industries with family sustaining wages. The labor market analysis for the career pathway will also be used for the four-year plan to support the targeted high demand industries. The labor market information will be drawn from the Bureau Labor Statistic and LASER to search for industry projections and occupations in demand, as well as industry concentrations within the region.

Career Pathway System Objectives

The career pathway partners will have key tasks that are measurable indicators of the progress within the region. The Toolkit provides 20 key elements of a high-performing sector-focused workforce system.

High-performing Sector-focused Workforce System

The following are a list of the areas for assessment from the Employment Training Administration (ETA) Sector Technical Assistance Initiative Sector Strategies Organizational Self-Assessment tool (Attachment A):

Data-Informed Decision Making

Is your organization/partnership using rigorous data to make decisions about target industries and education and training investments?

- 1) Understanding of the region's most important industry sector(s) through use of rigorous economic, industry and labor market data collection and analysis.
- 2) Process in place to identify specific skill needs, level of demand, and area education and training program gaps within target industry sector(s)
- 3) Provision of data that is understandable and shared across partners to enable joint, collaborative decision-making

Industry Engagement

How broad and deep is the involvement of targeted industry sector(s) employers in designing and delivering programs and services?

- 1) Regional influence to bring key industry leaders to the table and understand the needs of their businesses
- 2) Industry as a strategic partner in designing and executing services and programs
- 3) Capability to take on the sector partnership intermediary role if required

Sector-Based Service Delivery

How effectively are you and your partners facilitating the development and delivery of workforce opportunities that are responsive to the needs of an entire targeted industry?

- 1) Capability to fill the industry's near-term workforce needs
- 2) Capability to meet the industry's longer-term pipeline needs across a range of skill levels
- 3) Ability to overcome barriers for lower-wage workers in order to facilitate employment and career advancement within the targeted sector(s)
- 4) Experience with and capability to develop effective, employer-validated career pathways in support of the target sector(s)
- 5) Experience with and capability to design and implement, with employers, work-based learning models in targeted sector(s)
- 6) Partnerships with the right regional organizations to deliver comprehensive solutions in response to target industry sector(s) needs—while minimizing the duplication of services
- 7) Willingness and ability to respond to non-workforce needs directly related to the industry's economic development or growth opportunities

Sustainability & Continuous Improvement

Is your organization able to measure sector strategy outcomes and sustain sector work overtime?

- 1) Ability to “build the buzz” about the value of sector partnerships as a means to continuously secure stakeholder buy-in
- 2) Sector partnership measures of success identified and tracked with continuous improvement processes built in
- 3) Sustainable funding source(s) to establish and expand sector partnerships

Organizational Capacity & Alignment

Does your organization have the personnel, policies, vision, and resources in place to support sector strategy outcomes?

- 1) Organizational commitment to bring partners to a shared vision
- 2) Organizational culture that promotes a demand-driven approach within a sectors framework
- 3) Organizational structure (administrative policy, committee structure) that supports industry engagement within a sectors framework
- 4) Staff have expertise about current target industries and have opportunities to hone knowledge as targets change”

Roundtables

In **January of 2020**, the Team will conduct industry round table discussions with businesses and industry leaders from the areas of Workforce and Education to inventory of training systems and career ladders and lattices, and to identify skill competencies. In this process, the Team will not only learn about the industry’s needs, but their interests in other areas of the workforce system.

Phase III - Designing Education & Training Programs

Key Element Components

- Identify and engage education and training partners.
- Identify target populations, entry points, and recruitment strategies. Review, develop, or modify competency models with employers and develop and validate career ladders/lattices.
- Analyze the State’s and region’s education and training resources and response capability.
- Research and promote work-based learning opportunities within business and industry.
- Develop integrated, accelerated, contextualized learning strategies.
- Provide flexible delivery methods.
- Provide career services, case management, and comprehensive support services. Provide employment assistance and retention services.

Benefits of Existing Partnership with Education

The benefit of having education partners for various industries in the sector partnership strategies and career pathways process is that they will be involved in understanding the needs of the industry and be a part of designing the solution that will fill the skill gaps of individuals. In 2000, the Workforce Investment Act (WIA) included a workforce system that established relationships between workforce boards and education. The reauthorization of WIA, the Workforce Innovation and Opportunity Act (WIOA), continued the same framework to assist job seekers with training. Accordingly, the SAWDB has established relationship with various eligible training providers within the its public workforce systems and in **January 2020** the Core Team will work with cross-agency partners and employers from Healthcare and Education to develop new or modify existing educational programs to bridge the workforce gaps within the industries.

Phase IV - Identifying Funding Needs and Resources

Key Element Components

- Identify the costs associated with system and program development and operations.
- Identify sources of funding available from partner agencies and related public and private resources and secure funding.
- Develop long-term sustainability plan with state or local partners.

In **January 2020**, the Team will explore how it will braid its funding, measure performance, and establish a strategy for the long-term sustainability of newly funded projects.

Braided Funding

A key step that the Team will examine is it funding needs for future services related to program development cost and participant costs. The Team will identify its existing sources of funding and how it can best braid them to meet its needs and how it will deliver services more effectively and efficiently.

Beyond the existing sources of funding, the Team will explore addition sources of funding, both public and private. Private organizations provide start-up funding for new concept ideas that help special populations. The advantage to having an existing partnership with so many organizations is the ability to be more competitive in the application process for funding. This consortium model typically leads to higher points of a proposal during the evaluation process and results in an award.

Measuring the Return on Investment

The partners in the public workforce system measure their performance at different levels, one being after the participant exits the program. WIOA Title I service providers examine whether a participant was employed after the second quarter and fourth quarter after exit. It also measures the median earnings of the participants after exit. By taking median earning of the number of individuals in the measure, a computation can be made relative to annual earnings over the cost of the training. Taking this measure on an annual basis can establish a barometer of how the public workforce system is performing year to year.

Long-term Sustainability for New Projects

A major area of consideration when applying for new project funds, whether public or private, is how will the project be sustained beyond the start-up period? Funding is typically the main issue for sustainability. An advantage to the Team is having access to a consortium of partners that can set aside and commit funds from their respective organizations to support the project beyond the start-up period. This places the SAWDB in a good position for the sustainability for future projects with its partners.

Phase V - Aligning Policies and Programs

Key Element Components

- Identify state and local policies necessary to implement career pathways systems.
- Identify and pursue needed reforms in state and local policy.
- Implement statutory and administrative procedures to facilitate cross-agency collaboration.

Strategies for Aligning Policies and Programs

The SAWDB has and is now more geared to consider the effects of its policies with workforce partners. One example is the supportive service policy that helps those in training programs pay for transportation, childcare, and medical costs that are barriers to education or training.

In **February 2020**, the Team will work with the administrative policy committee to examine the SAWDB's and partners' policies for policies changes that can improve the service delivery model and career pathways for customers. The Team will examine how it can promote better program alignment among the partners in the workforce system and how it will measure the outcomes.

High schools, community colleges, and other post-secondary schools are an important part of this examination for alignment. This holistic view involves a cross-section of partner who are all involved and have an important role in the career pathways process.

The Team will produce a report no later than **February 29, 2020** with its recommendations.

Phase VI - Measuring System Change and Reporting

Key Element Components

- Define desired system program, and participant outcomes.
- Identify the data needed to measure system, program, and participant outcomes.
- Implement a process to collect, store, track, share, and analyze data.
- Design and implement a plan for reporting system and program outcomes.

Measuring system change is an important part of examining how a program is improving its services. In respect the career pathway system, the Team will identify the desired outcomes for participants and the overall system. It will identify what type of data will be collected and analyzed to establish conclusions and how it will report this information to the partnering programs and SAWDB.

Measuring Change

Quarterly Basis

On a quarterly basis, the leadership team will submit a report called, Career Pathways Quarterly Brief that summarizes the career pathway activities and progress of the quarter. The first report will be for the period of October through December and published on February 1, 2020. Subsequent reports will be on:

Period	Publication Date
January 1 – March 31, 2020	May 1, 2020
April 1 – June 30, 2020	August 1, 2020
July 1 – September 30, 2020	December 1, 2020

Biannual Basis

On a biannual basis, the leadership team will measure the overall system change of each industry by comparing baseline workforce data to current data. The leadership team will, at a minimum, measure and report on changes on:

- 1) Funding resources
- 2) Activities and services
- 3) Outputs
- 4) Outcomes
- 5) Impacts

In this process, the leadership team will involve its partners and employers who are willing to assist in measuring change. The leadership team will at a minimum submit its report to the following bodies:

- 1) Businesses/Employers
- 2) Workforce partners
- 3) Education (Higher Education and K-12)
- 4) Economic development
- 5) Local elected officials and local government managers
- 6) Cabinet Secretary of the NM Department of Workforce Solutions



Sector Strategies Organizational Self-Assessment

Data-Informed Decision Making	<i>Is your organization/partnership using rigorous data to make decisions about target industries and education and training investments?</i>				
<i>Elements of a high-performing sector-focused organization</i>	<i>If you think your organization rates as a "5" (see ratings key below) you consider it to have the following in place:</i>				
1 Understanding of the region's most important industry sector(s) through use of rigorous economic, industry, and labor market data collection and analysis	<ul style="list-style-type: none"> You use tools (e.g. location quotient analysis, traditional and real-time LMI), to regularly quantify your region's most competitive and emerging industries. You have agreement across partners (e.g. economic development entities) about target industry sectors. You use LMI and target industry data that focuses on your <i>actual</i> regional economy (e.g. where labor and goods flow) rather than on only a WIB's service delivery area or a county border). You have a formal process for an ongoing review of data and for making adjustments to target industry sectors. 	1 <input type="radio"/>	2 <input type="radio"/>	3 <input type="radio"/>	4 <input type="radio"/>
		5 <input type="radio"/>			
		<i>Action Items:</i>			

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Elements of a high-performing sector-focused organization	If you think your organization rates as a "5" (see ratings key below) you consider it to have the following in place:						
2 Process in place to identify specific skill needs, level of demand, and area education and training program gaps within target industry sector(s)	<ul style="list-style-type: none"> You regularly use both traditional and real-time data sources as well as focus groups and/or interviews with employers to identify growth occupations within target sectors and specific skill and hiring needs. You have a formal and continuous process involving education partners to work with employers to review labor market demand, and identify/validate workforce needs and specific KSAs of critical occupations. You have a formal process to identify gaps among existing regional education, training worker support, business services, and the needs of the target industry sector(s) employers. You have a clear grasp of the employment disparities (e.g. based on race, ethnicity, gender) and individual and systemic barriers to economic security faced by job seekers/workers in your region 	1 <input type="radio"/>	2 <input type="radio"/>	3 <input type="radio"/>	4 <input type="radio"/>	5 <input type="radio"/>	Action Items:
3 Provision of data that is understandable and shared across partners to enable joint, collaborative decision-making	<ul style="list-style-type: none"> You have up-to-date materials (i.e. reports, industry briefs) that clearly and compellingly identify regional target industry sectors and their workforce needs. You have the reputation, regionally, as a "go-to" source for target industry data and workforce needs. 	1 <input type="radio"/>	2 <input type="radio"/>	3 <input type="radio"/>	4 <input type="radio"/>	5 <input type="radio"/>	Action Items:

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Industry Engagement	<i>How broad and deep is the involvement of targeted industry sector(s) employers in designing and delivering programs and services?</i>					
<i>Elements of a high-performing sector-focused organization</i>	<i>If you think your organization rates as a "5" you consider it to have the following in place:</i>					
4 Regional influence to bring key industry leaders to the table and understand the needs of their businesses	<ul style="list-style-type: none"> You have relationships with business organizations within the target industry sector(s). You've developed criteria (e.g. high job quality, career paths, a great reputation among workers and job seekers) to identify which employers to focus on involving and supporting through use of sector partnership resources. You have the ability to easily identify and convene a network of large and small employers (and key decision-makers from those employers) within the sector(s), or credible relationships with business organizations that will include you in their meetings and conversations. 	1 <input type="radio"/>	2 <input type="radio"/>	3 <input type="radio"/>	4 <input type="radio"/>	5 <input type="radio"/>
		<i>Action Items:</i>				
5 Industry as a strategic partner in designing and executing services and programs	<ul style="list-style-type: none"> You have specific vehicles for soliciting ongoing workforce needs from industry partners (not just during periodic meetings or surveys). You have industry partners that help define program strategy and goals, identify necessary skills, competencies, and resources to support education (e.g., equipment, instructors, internships), and, where appropriate, hire qualified students who complete programs. 	1 <input type="radio"/>	2 <input type="radio"/>	3 <input type="radio"/>	4 <input type="radio"/>	5 <input type="radio"/>
		<i>Action Items:</i>				

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6 Capability to take on the sector partnership intermediary role if required	<ul style="list-style-type: none"> When necessary, you can play the intermediary role, including guiding the partnership; managing its work; maintaining strong relationships with employers; maintaining an up-to-date understanding of employer needs and opportunities; and guiding efforts to evaluate and make improvements to a sector partnership. You have credibility with the target industry sector(s) and entrepreneurial attitude to guide sector partnerships where employers want to take it. 	<div> <div>1</div> <div>2</div> <div>3</div> <div>4</div> <div>5</div> </div> <div> <input type="radio"/> <input type="radio"/> <input type="radio"/> <input type="radio"/> <input type="radio"/> </div> <div>Action Items:</div>
Sector-Based Service Delivery		<i>How effectively are you and your partners facilitating the development and delivery of workforce opportunities that are responsive to the needs of an entire targeted industry?</i>
<i>Elements of a high-performing sector-focused organization</i>	<i>If you think your organization rates as a "5" (see ratings key below) you consider it to have the following in place:</i>	
7 Capability to fill the industry's near-term workforce needs	<ul style="list-style-type: none"> You've had success in working with education partners through a sector strategy to develop responsive curriculum/courses for target sectors to provide immediate access to customized training and certification programs as needed. You've had success in providing systematic support to employer needs—across an entire industry—in business outreach, hiring services, retention programs, etc. Your organization (e.g. WIB, AJC) has the agility and flexibility to develop new programs rapidly in response to target industry workforce needs. 	<div> <div>1</div> <div>2</div> <div>3</div> <div>4</div> <div>5</div> </div> <div> <input type="radio"/> <input type="radio"/> <input type="radio"/> <input type="radio"/> <input type="radio"/> </div> <div>Action Items:</div>

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<i>Elements of a high-performing sector-focused organization</i>	<i>If you think your organization rates as a "5" (see ratings key below) you consider it to have the following in place:</i>				
8 Capability to meet the industry's longer-term pipeline needs across a range of skill levels	<ul style="list-style-type: none"> You have an up-to-date inventory of regional education and training programs relevant to the targeted industry sector(s) in order to determine assets and gaps. You can facilitate area educational units (e.g. K-12, adult education, community colleges, career & technology institutions, universities) to work together in response to targeted industry sector(s) to address identified regional long-term workforce needs at all educational levels. You have experience and the ability to influence target sector(s) employers to develop, incorporate, and/or expand industry-recognized credentials. 				
9 Ability to overcome barriers for lower-wage workers in order to facilitate employment and career advancement within the targeted sector(s)	<ul style="list-style-type: none"> You've identified barriers to work that are individual and systemic in nature (e.g. lack of work experience, substance abuse, transportation, child care), created solutions, and brought about industry-wide changes that support them as standard practices. You've worked across an industry on career advancement solutions (e.g. tuition assistance, enhanced credentialing structure, on-the-job coaching) to encourage worker mobility. 				

1	2	3	4	5
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Action Items:

1	2	3	4	5
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

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Elements of a high-performing sector-focused organization	If you think your organization rates as a "5" (see ratings key below) you consider it to have the following in place:						
10 Experience with and capability to develop effective, employer-validated career pathways in support of the target sector(s)	<ul style="list-style-type: none"> With partners, you have experience with mapping and designing modularized curricula and career pathways across a range of skill needs (entry-level to advanced) to serve target industries. You've had success in designing education and training pathways that enable students and adults to move seamlessly between academic and career technical programs, to and from work, and to achieve advanced credentials. 	1 <input type="radio"/>	2 <input type="radio"/>	3 <input type="radio"/>	4 <input type="radio"/>	5 <input type="radio"/>	Action Items:
11 Experience with and capability to design and implement, with employers, work-based learning models in targeted sector(s)	<ul style="list-style-type: none"> You have experience building and funding—on an industry level—models such as: <ul style="list-style-type: none"> ✓ On-the-job training ✓ Cooperative education ✓ Paid internships ✓ Pre-apprenticeship or Registered Apprenticeship programs 	1 <input type="radio"/>	2 <input type="radio"/>	3 <input type="radio"/>	4 <input type="radio"/>	5 <input type="radio"/>	Action Items:

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Elements of a high-performing sector-focused organization	If you think your organization rates as a "5" (see ratings key below) you consider it to have the following in place:									
<p>12 Partnerships with the right regional organizations to deliver comprehensive solutions in response to target industry sector(s) needs—while minimizing the duplication of services</p>	<p>• You have dynamic alliances (including clearly defined roles) with the following organizations in executing sector strategies:</p> <ul style="list-style-type: none"> ✓ K-12, community colleges, adult education programs, private training providers, labor unions, and universities: To align curricula to career pathways and provide a bridge from secondary, pre-GED, and post-secondary education to a career. ✓ Local industry associations, chambers of commerce, and economic development agencies: To identify target industry sectors, convene industry, and jointly address regional growth strategies. ✓ Community-based organizations: To reach populations that are currently underrepresented in the target sector(s) and allow CBO services to be effectively integrated into sector-based strategies. 					<p>1</p> <input type="radio"/>	<p>2</p> <input type="radio"/>	<p>3</p> <input type="radio"/>	<p>4</p> <input type="radio"/>	<p>5</p> <input type="radio"/>
		<p><i>Action Items:</i></p>								
<p>13 Willingness and ability to respond to non-workforce needs directly related to the industry's economic development or growth opportunities</p>	<p>• You are open and have the capacity to engage sector partners to address non-workforce issues with employers (e.g. access to technology and innovations, streamlining suppliers or supply chains, transportation and logistics issues) depending on industry sector(s) needs.</p>					<p>1</p> <input type="radio"/>	<p>2</p> <input type="radio"/>	<p>3</p> <input type="radio"/>	<p>4</p> <input type="radio"/>	<p>5</p> <input type="radio"/>
		<p><i>Action Items:</i></p>								

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Sustainability & Continuous Improvement	Is your organization able to measure sector strategy outcomes and sustain sector work over time?				
<i>Elements of a high-performing sector-focused organization</i>	<i>If you think your organization rates as a "5" (see ratings key below) you consider it to have the following in place:</i>				
14 Ability to "build the buzz" about the value of sector partnerships as a means to continuously secure stakeholder buy-in	<ul style="list-style-type: none"> You have marketing material developed to promote existing sector partnerships. You have close connections with area media to build awareness about partnership goals and community support. 	1 <input type="radio"/>	2 <input type="radio"/>	3 <input type="radio"/>	4 <input type="radio"/>
		5 <input type="radio"/>			
15 Sector partnership measures of success identified and tracked with continuous improvement processes built in	<ul style="list-style-type: none"> You have a common agreed-upon dashboard of success indicators (i.e. consensus around sector partnership "outcomes"), determined in part by indicators needed to bring about systems changes. Your measures reflect services to business. You have a process in place for collecting and analyzing data, and using metrics to make future adjustments. Your board, executive committee, or program committee routinely reviews sector partnership metrics. 	1 <input type="radio"/>	2 <input type="radio"/>	3 <input type="radio"/>	4 <input type="radio"/>
		5 <input type="radio"/>			

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<i>Elements of a high-performing sector-focused organization</i>	<i>If you think your organization rates as a "5" (see ratings key below) you consider it to have the following in place:</i>					
16 Sustainable funding source(s) to establish and expand sector partnerships	<ul style="list-style-type: none"> You have an understanding of available funding sources (e.g. grants, foundation support, repurposed program funds, discretionary funds, industry support), and a commitment to identify emerging sources that could support sector initiatives. You develop strategies for sustainability and pursue them from the beginning of sector partnership operations. You have a willingness to be innovative in finding, braiding, and utilizing resources to support sector partnerships (including public, philanthropic, and private sector resources). You've had success in obtaining funding from multiple sources that pays for the intermediary roles, services, systems change strategies, and other costs of the sector initiative. The business community contributes resources to the partnerships. 	1 <input type="radio"/>	2 <input type="radio"/>	3 <input type="radio"/>	4 <input type="radio"/>	5 <input type="radio"/>
		Action Items:				
Organizational Capacity & Alignment		Does your organization have the personnel, policies, vision, and resources in place to support sector strategy outcomes?				
17 Organizational commitment to bring partners to a shared vision	<ul style="list-style-type: none"> You've had success in collectively developing, with your partners (e.g. economic development, higher education), a shared vision around target industry growth and economic security for workers. You have the capacity to serve in a sector partnership intermediary role when required (i.e. as the neutral and credible party/convener brokering relationships among sector partners).for the intermediary roles, services, systems change strategies, and other costs of the sector initiative. The business community contributes resources to the partnerships. 	1 <input type="radio"/>	2 <input type="radio"/>	3 <input type="radio"/>	4 <input type="radio"/>	5 <input type="radio"/>
		Action Items:				

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<i>Elements of a high-performing sector-focused organization</i>	<i>If you think your organization rates as a "5" (see ratings key below) you consider it to have the following in place:</i>				
18 Organizational culture that promotes a demand-driven approach within a sectors framework	<ul style="list-style-type: none"> You have the leadership (executives, board) that understands the importance of and prioritizes a focus on serving employers for the purposes of aligning the workforce system to target sector needs. Your organization has a strategic plan/vision that emphasizes the organization's role in driving regional economic security and industry growth through sector partnerships. 				
19 Organizational structure (administrative policy, committee structure) that supports industry engagement within a sectors framework	<ul style="list-style-type: none"> You have staff member(s) with explicit roles to examine, across businesses, broader industry workforce trends for the purpose of executing sector strategies. Your organization's board/oversight group includes private sector representatives that reflects the target industry mix. You have an administrative structure that promotes and supports sector strategies (e.g. organizational or committee structure oversees sector initiatives). You have administrative policies that support sector strategies (e.g. sector partnership concepts are explicitly built into organization's policy goals; American Job Center has a policy to prioritize services for target industry employers). 				

1	2	3	4	5
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Action Items:

1	2	3	4	5
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

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Elements of a high-performing sector-focused organization	If you think your organization rates as a "5" (see ratings key below) you consider it to have the following in place:							
<p>20 Staff have expertise about current target industries and have opportunities to hone knowledge as targets change</p>	<ul style="list-style-type: none"> • Your staff has ample opportunities to attend targeted industry-related professional development events for the purposes of staying fresh on technologies, growth trends, and workforce needs. • Your staff understands the industry sector's language, pain points, high-leverage opportunities, and culture, and they respect the industry sector's culture. • All staff members, regardless of position, understand why a sector strategy approach makes sense, and their role within it. 			<p>1</p> <input type="radio"/>	<p>2</p> <input type="radio"/>	<p>3</p> <input type="radio"/>	<p>4</p> <input type="radio"/>	<p>5</p> <input type="radio"/>
			<p><i>Action Items:</i></p>					

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2.5a EMPLOYER NEEDS GUIDE

The Employer Needs Guide may help the employer engagement team gather preliminary information on the workforce needs of an individual employer or an industry sector. Use this guide during an industry focus group or one-on-one with an individual employer. This guide has been adapted from the work of CORD.

Industry Needs

This assessment divides workers into three broad levels: entry-level, skilled workers (technical workers), and supervisory. These categories may or may not work for all industries. Modify the instrument as needed.

Entry-level Positions

1. Name the top three critical **entry-level positions** for your industry (*critical to your ability to grow and stay competitive*), their corresponding skills/competencies, and credentials needed:

Position	Skills/Competencies	Credentials Needed

2. Why did you identify these positions as your most critical needs in the **entry-level arena**? Check all boxes that apply, and, where applicable, provide the additional data needed.

- ☐ Hardest to fill with the right skills/competencies.

What skills/competencies are hardest to find?

- ☐ Large number of positions needed.

Number projected needed by quarter?

- ☐ Highest turnover rate.

What is the turnover rate?

What factors contribute to the turnover?

- ☐ Working conditions
 ☐ Training
☐ Shift work
 ☐ Adequate supervision
☐ Competitive salary
☐ Other:

- ☐ The **entry-level positions** require a great deal of company staff time to provide adequate on-the-job training before the employee is productive.

How many weeks/months?

3. I anticipate a number of **entry-level positions** will become vacant due to retirements in the next five years.

☐ yes
 ☐ no
 ☐ somewhat

What percentage of the workforce?

Technical-level (skilled) Positions

1. Name the top three critical **technical/skilled-level positions** for your industry (*critical to your ability to grow and stay competitive*), their corresponding skills/competencies and credentials needed:

Position	Skills/Competencies	Credentials Needed

2. Why did you identify these positions as your most critical needs in the **technical/skilled-level arena**? Check all boxes that apply, and, where applicable, provide the additional data needed.

- ☐ Hardest to fill with the right skills/competencies.

What skills/competencies are hardest to find?

- ☐ Large number of positions needed.

Number projected needed by quarter?

- ☐ Highest turnover rate.

What is the turnover rate?

What factors contribute to the turnover?

- ☐ Working conditions

- ☐ Training

- ☐ Shift work

- ☐ Adequate supervision

- ☐ Competitive salary

- ☐ Other:

- ☐ The **technical-level/skilled positions** require a great deal of company staff time to provide adequate on-the-job training before the employee is productive.

How many weeks/months?

3. I anticipate a number of **technical-level/skilled positions** will become vacant due to retirements in the next five years.

☐ yes ☐ no ☐ somewhat

What percentage of the workforce?

Supervisory Positions

1. Name the top three critical **supervisory-level positions** for your industry (*critical for your ability to grow and stay competitive*), their corresponding skills/competencies and the natural progression and credentials needed:

Position	Skills/Competencies	Career Ladder to Obtain this Position (Natural Progression to this Position) and Credentials Needed:

2. Why did you identify these positions as your most critical needs in the **supervisory-level arena**? Check all boxes that apply, and, where applicable, provide the additional data needed.

- ☐ Hardest to fill with the right skills/competencies.

Skills/competencies hardest to find?

- ☐ Large number of them.

projected needed by quarter?

- ☐ Highest turnover rate.

What is the turnover rate?

What factors contribute to the turnover?

- ☐ Working conditions

- ☐ Training

- ☐ Shift work

- ☐ Adequate supervision

- ☐ Competitive salary

- ☐ Other:

- ☐ The ***supervisory-level positions*** require a great deal of company staff time to provide adequate on-the-job training before the employee is productive.

How many weeks/months?

3. I anticipate a number of supervisor-level positions will become vacant due to retirements in the next five years.

☐ yes ☐ no ☐ somewhat

What percentage of the workforce?

Future Needs

1. What positions in your industry are disappearing?

2. What are you doing to retrain these employees?

3. Are you planning major layoffs in upcoming quarters?

☐ yes ☐ no

If so, what positions?

4. What new positions will you need in your industry in the future?

Future Position	Skills/Competencies

a. Have you done a job analysis to determine the essential skills/competencies for the positions?

☐ yes ☐ no

If so, what were the results of the job analysis?

b. If you have not done a job analysis for the future positions, how do you plan to identify the new skills/competencies required?

5. What challenges have you encountered in helping workers keep pace with industry advances?

6. Is your company willing to allow release time for incumbent workers or new employees to participate in training on the company clock?

☐ yes ☐ no

7. What policies do you have in place to support a diverse workforce?
- a. Do you offer telecommuting?
☐ yes ☐ no
- b. Do you offer training incorporating new technologies in the workplace?
☐ yes ☐ no
- c. Do you have an employee mentorship program?
☐ yes ☐ no
- d. Do you provide special accommodations to employees with a disability if needed?
☐ yes ☐ no
- e. Do you provide tuition reimbursement?
☐ yes ☐ no

Training/Upward Mobility

1. What are the potential growth opportunities for employees to advance within your company or industry?
-
2. Have you mapped out the natural career advancement avenues for entry-level workers?
☐ yes ☐ no
3. What positions have the greatest opportunity for upward mobility?
-

4. What type of in-house company or industry-supported training do you use to train entry-level workers?

5. What type of in-house company or industry-supported training do you use to train technical/skilled-level workers?

6. Do you have a labor union in which employees participate?

☐ yes ☐ no

7. Does the labor union offer training for your employees?

☐ yes ☐ no

8. List the local training institutions that have provided or are providing training in areas where skill gaps are most plentiful?

Institution	Training Provided

9. Have local training institutions been able to fulfill your needs for qualified workers?

☐ yes ☐ no

a. If no, how could they improve?

10. How do you recruit qualified job applicants?

☐ Electronic job boards

☐ Word-of-mouth

☐ Newspaper ads

☐ Training institutions

☐ American Job Centers

☐ Private nonprofit organizations

☐ Employee referrals

☐ Union hiring hall

☐ Other:

☐ Other:

☐ Other:

☐ Other:

☐ Other:

What method is most effective?

AGENDA ITEM SUMMARY

Region IV, Chief Elected Officials Meeting	December 13, 2019
Consent Agenda Item *Resolution 19 – 19 concurs with the Southwestern Area Workforce Development Board to approve the PY19 Southwestern Area Workforce Development Board Budget Amendment #1	
SUMMARY OF AGENDA ITEM <ul style="list-style-type: none"> Presented for your consideration is the budget amendment that recognizes the final prior year balances in the amount of \$2,548,291.00. This budget is for the period of July 1, 2019 through September 30, 2020 in the amount of \$8,004,141.00. It is a balanced budget with zero Unobligated Balances. The budget contains four funding streams: The Adult program; Dislocated Worker program; Youth program; and the Administrative funds. Please view the three attachments to this item. Current Budget Proposed Budget Amendment No. 1 Differences Between the Current Budget and the Proposed Budget Amendment (this attachment shows the additional program allocations) 	
RECOMMENDATION A motion to approve Resolution 19 – 19.	
CEO'S OPTIONS ARE TO <ol style="list-style-type: none"> Accept the recommendation Amend the recommendation Reject the recommendation Table the item Take no action on the item 	
DEPENDING ON ACTION TAKEN, ITEM MAY BE REFERRED OR REPORTED TO <ul style="list-style-type: none"> Staff or committee, as directed. 	
THIS ITEM SUPPORTS STRATEGIC PLAN GOAL(S) <ul style="list-style-type: none"> Supports all strategic plan goals 	
LIST OF SUPPORTING INFORMATION FOR YOUR REVIEW <ul style="list-style-type: none"> Budget 	

Southwestern Area Workforce Development Board
Workforce Innovation and Opportunity Act
 Program Year 2019 / Fiscal Year 2020 Budget

Program Revenue	Total	Administration	Adult	Dislocated Worker	Youth	Percent of Total
Administration	\$ 545,585	\$ 545,585				7%
Adult	\$ 1,186,024		\$ 1,186,024			15%
Dislocated Worker	\$ 2,003,131			\$ 2,003,131		26%
Youth	\$ 1,721,110				\$ 1,721,110	22%
Sub-total	\$ 5,455,850	\$ 545,585	\$ 1,186,024	\$ 2,003,131	\$ 1,721,110	70%
Projected Prior Year(s) Carry-in	\$ 2,299,135	\$ 366,725	\$ 893,752	\$ 524,556	\$ 514,102	30%
*Transfer from Dislocated Worker to Adult	\$ -					0%
Total	\$ 7,754,985	\$ 912,310.00	\$ 2,079,776.14	\$ 2,527,687.00	\$ 2,235,212.08	100%

Program Allocations	Total	Administration	Adult	Dislocated Worker	Youth	Percent of Total
Adult & Dislocated Worker Provider	\$ 3,462,000	\$ -	\$ 1,515,000	\$ 1,947,000		45%
Youth Service Provider	\$ 1,882,000				\$ 1,882,000	24%
Youth Service Providers (Alamo Navajo)	\$ 145,000				\$ 145,000	2%
Administrative Entity	\$ 488,000	\$ 110,000	\$ 180,695	\$ 75,000	\$ 122,305	6%
One Stop Operator	\$ 270,000	\$ -	\$ 135,000	\$ 85,000	\$ 50,000	3%
Fiscal Agent	\$ 175,000	\$ 175,000				2%
Board & CEO	\$ 513,000	\$ 513,000				7%
Reserves (July 1, 2019 - June 30, 2020)	\$ 37,129	\$ 5,193.00	\$ 11,876.00	\$ 20,060.00		0.48%
Reserves (July 1, 2020 - Sept. 30, 2020)	\$ 782,856.22	\$ 109,117.00	\$ 237,205.14	\$ 400,627.00	\$ 35,907.08	10.09%
Total	\$ 7,754,985.22	\$ 912,310.00	\$ 2,079,776.14	\$ 2,527,687.00	\$ 2,235,212.08	100%

Unobligated Balance	\$ -	\$ -	\$ -	\$ -	\$ -	
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Southwestern Area Workforce Development Board
Workforce Innovation and Opportunity Act
 Program Year 2019 / Fiscal Year 2020 Budget
 Proposed Budget Amendment No. 1

Program Revenue	Total	Administration	Adult	Dislocated Worker	Youth	Percent of Total
Administration	\$ 545,585	\$ 545,585				7%
Adult	\$ 1,186,024		\$ 1,186,024			15%
Dislocated Worker	\$ 2,003,131			\$ 2,003,131		25%
Youth	\$ 1,721,110				\$ 1,721,110	22%
Sub-total	\$ 5,455,850	\$ 545,585	\$ 1,186,024	\$ 2,003,131	\$ 1,721,110	68%
Prior Year Balances	\$ 2,548,291	\$ 378,038	\$ 1,008,968	\$ 567,059	\$ 594,226	32%
Transfer from Dislocated Worker to Adult	\$ -		\$ 1,150,000	\$ (1,150,000)		0%
Total	\$ 8,004,141	\$ 923,623	\$ 3,344,992	\$ 1,420,190	\$ 2,315,336	100%

Program Allocations	Total	Administration	Adult	Dislocated Worker	Youth	Percent of Total
Adult & Dislocated Worker Provider	\$ 3,567,000	\$ -	\$ 2,750,642	\$ 816,358		45%
Youth Service Provider	\$ 1,962,000				\$ 1,962,000	25%
Youth Service Providers (Alamo Navajo)	\$ 145,000				\$ 145,000	2%
Administrative Entity	\$ 488,000	\$ 110,000	\$ 180,695	\$ 75,000	\$ 122,305	6%
One Stop Operator	\$ 270,000		\$ 135,000	\$ 85,000	\$ 50,000	3%
Fiscal Agent	\$ 175,000	\$ 175,000				2%
Board & CEO	\$ 513,000	\$ 513,000				6%
Reserves (July 1, 2019 - June 30, 2020)	\$ 101,285	\$ 16,506	\$ 41,450	\$ 43,205	\$ 124	1.27%
Reserves (July 1, 2020 - Sept. 30, 2020)	\$ 782,856	\$ 109,117	\$ 237,205	\$ 400,627	\$ 35,907	9.78%
Total	\$ 8,004,141	\$ 923,623	\$ 3,344,992	\$ 1,420,190	\$ 2,315,336	100%

Unobligated Balance	\$ -	\$ -	\$ -	\$ -	\$ -	
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Southwestern Area Workforce Development Board
Workforce Innovation and Opportunity Act
 Program Year 2019 / Fiscal Year 2020 Budget
 Differences Between Current and Proposed Budget

Program Revenue	Total	Administration	Adult	Dislocated Worker	Youth
Administration	\$ -	\$ -			
Adult	\$ -	\$ -			
Dislocated Worker	\$ -		\$ -		
Youth	\$ -			\$ -	
Sub-total	\$ -	\$ -	\$ -	\$ -	\$ -
Prior Year Balances	\$ 249,156	\$ 11,313	\$ 115,216	\$ 42,503	\$ 80,124
Transfer from Dislocated Worker to Adult	\$ -	\$ -	\$ 1,150,000	\$ (1,150,000)	\$ -
Total	\$ 249,156	\$ 11,313	\$ 1,265,216	\$ (1,107,497)	\$ 80,124

Program Allocations	Total	Administration	Adult	Dislocated Worker	Youth
Adult & Dislocated Worker Provider	\$ 105,000	\$ -	\$ 1,235,642	\$ (1,130,642)	\$ -
Youth Service Provider	\$ 80,000	\$ -	\$ -	\$ -	\$ 80,000
Youth Service Providers (Alamo Navajo)	\$ -	\$ -	\$ -	\$ -	\$ -
Administrative Entity	\$ -	\$ -	\$ -	\$ -	\$ -
One Stop Operator	\$ -	\$ -	\$ -	\$ -	\$ -
Fiscal Agent	\$ -	\$ -	\$ -	\$ -	\$ -
Board & CEO	\$ -	\$ -	\$ -	\$ -	\$ -
Reserves (July 1, 2019 - June 30, 2020)	\$ 64,156	\$ 11,313	\$ 29,574	\$ 23,145	\$ 124
Reserves (July 1, 2020 - Sept. 30, 2020)	\$ -	\$ -	\$ -	\$ -	\$ -
Total	\$ 249,156	\$ 11,313	\$ 1,265,216	\$ (1,107,497)	\$ 80,124

Unobligated Balance	\$ -	\$ 0	\$ -	\$ -	\$ -
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AGENDA ITEM SUMMARY

Region IV, Chief Elected Officials Meeting	December 13, 2019
<p>Consent Agenda Item</p> <p>*Resolution 19 – 20 concurs with the Southwestern Area Workforce Development Board to approve an amendment to Contract No. PY19-WIOA-01 between Youth Development, Inc. and the Southwestern Area Workforce Development Board for WIOA Youth services, and authorizes the Board Chair or Vice Chair to sign the contract amendment</p>	
<p>SUMMARY OF AGENDA ITEM</p> <p>As a function of the Chief Elected Officials, this item is presented for your review and consideration to concur with the Southwestern Area Workforce Development Board to increase the youth services contract with Youth Development, Inc. in the amount of \$80,000.00 to provide WIOA youth services.</p> <ul style="list-style-type: none"> YDI submitted a request for an \$80,000.00 increase to their \$1,882,000.00 contract. This will increase their contract to a total of \$1,962,000.00 through June 30, 2019. In consideration, YDI will provide services to nine additional youth and pay for activities for carry-in youth from PY18. Other adjustments also include operational costs (please view the budget on subsequent pages) that include rent for two additional satellite offices in Sunland Park and Lordsburg. 	
<p>RECOMMENDATION</p> <p>A motion to approve Resolution 19 – 20.</p>	
<p>CEO'S OPTIONS ARE TO</p> <ol style="list-style-type: none"> Accept the recommendation Amend the recommendation Reject the recommendation Table the item Take no action on the item 	
<p>DEPENDING ON ACTION TAKEN, ITEM MAY BE REFERRED OR REPORTED TO</p> <ul style="list-style-type: none"> Staff or committee, as directed. 	
<p>THIS ITEM SUPPORTS STRATEGIC PLAN GOAL(S)</p> <ul style="list-style-type: none"> Supports all strategic plan goals 	
<p>LIST OF SUPPORTING INFORMATION FOR YOUR REVIEW</p> <ul style="list-style-type: none"> Contract amendment 	

WIOA SERVICES CONTRACT COVER SHEET	1. CONTRACT/AMENDMENT NO. PY19-WIOA-01 / Amendment No. 2	CONTRACT PERIOD July 1, 2019 through June 30, 2020		
<p>This Contract Amendment is made and entered into by the Southwestern Area Workforce Development Board, hereinafter referred to as the LWDB, and Youth Development, Inc., hereinafter referred to as the Sub-Grantee. The Sub-Grantee agrees to provide <u>WIOA Youth Services</u> in the geographic area within the State of New Mexico, as stated in the scope of work, pursuant to the provisions of the Workforce Innovation and Opportunity Act (WIOA), and in accordance with the provisions of this Agreement.</p> <p>This Amendment consists of this WIOA Contract Cover Sheet; Scope of Work; and Budget.</p>				
2. NAME OF PROVIDER Youth Development, Inc.		3. NAME OF PROVIDERS POINT OF CONTACT Diego Gallegos, Ed.d.		
ADDRESS 6301 Central Ave, NW		TITLE OF POINT OF CONTACT Chief Operating Officer		
CITY, STATE & ZIP Albuquerque, NM 87105		TELEPHONE/FAX/EMAIL Phone: 505-831-6308 Fax: 505-352-3400 Email: dgallegos@ydi.org		
4. FUNDING TYPE(S) (Check those that apply) TITLE I <input type="checkbox"/> Adult <input type="checkbox"/> Dislocated Worker <input checked="" type="checkbox"/> Youth <input type="checkbox"/> Administration		5. TYPE OF CONTRACT ACTION <input type="checkbox"/> New <input checked="" type="checkbox"/> Modification <input type="checkbox"/> Other		
AMOUNT OF CONTRACT				
ADMINISTRATION	ADULT	DISLOCATED WORKER	YOUTH	TOTAL
	\$0.00	\$0.00	\$1,882,000.00	\$1,882,000.00
AMOUNT OF MODIFICATION				
ADMINISTRATION	ADULT	DISLOCATED WORKER	YOUTH	TOTAL
\$0.00	\$0.00	\$0.00	\$80,000.00	\$80,000.00
AMOUNT OF TOTAL CONTRACT				
ADMINISTRATION	ADULT	DISLOCATED WORKER	YOUTH	TOTAL
\$0.00	\$0.00	\$0.00	\$1,962,000.00	\$1,962,000.00

**SECOND AMENDMENT
TO THE
SUB RECIPIENT AGREEMENT No. PY19-WIOA-01
BETWEEN
SOUTHWESTERN WORKFORCE DEVELOPMENT BOARD
AND
YOUTH DEVELOPMENT, INC.**

This Contract Amendment to the Grant Agreement ("Agreement") is between the Southwestern Workforce Development Board (LWDB), and Youth Development, Inc. (SUBRECIPIENT) under the Workforce Innovation and Opportunity Act (WIOA) Youth Program.

WHEREAS, LWDB and SUBRECIPIENT are parties to the Agreement effective as of July 1, 2019; and

WHEREAS, the LWDB has reviewed the SUBRICIPIENT'S scope of work and budget adjustment; and

WHEREAS, the Agreement contains provisions to allowing the modification of the Agreement when agreeable to both parties; and

NOW THEREFORE, in consideration of the forgoing premises, the LWDB and SUBRECIPIENT agree to the following on the effective date of this Contract Amendment, which is on the most recent date of signature of the LWDB and SUBRECIPIENT;

1. Scope of Work

- (a) Attachment A – The scope of work is modified to reflect changes to sections in the original contract agreement's scope of work.

2. Budget Amount

- (a) Attachment B – Budget is removed from the contract agreement and replaced with Attachment B-1 Amended Budget.

Attachment B-1 reflects:

- i. a budget increase in the amount of \$80,000.00 in Youth funds for a total contract amount of \$1,962,000.00.
- ii. increases in participant services
- iii. staff and other operational costs as reflected in the budget to support servicing the additional participants.

3. Modification

- (a) Except as modified by this Amendment, the terms and conditions of the Agreement, remain in full force and effect.

LWDB
SOUTHWESTERN AREA
WORKFORCE DEVELOPMENT BOARD

SUBRECIPIENT
YOUTH DEVELOPMENT, INC.

By: _____

By: _____

Name

Name

Title

Title

Date

Date

ATTACHMENT A -1 SCOPE OF WORK

Youth Development, Inc. (YDI)
WIOA Youth Services - Southwestern Area
MOD2 – Scope of Work – PY 19

Modifications to the Scope of Work (SOW) include:

Operational:

- **Decreased percent of work hours for Vice-President (-\$9,832.16)**

The percent of work hours for the Vice-President, Concha Cordova, was decreased from 30% to 19%. More of the VP's original duties have been transitioned to the Program Managers. VP will continue to have overall oversight of the program, continue to support and train Program Managers, and actively engage in partnership development for the Region.

- **Eliminated the Associate Director Position (-\$16,640.68)**

With the resignation of Arnold Ontiveros, the Associate Director position was eliminated from the agency. These duties have been taken on by Vice-President.

- **Decreased total work hours for (1) Career Advisor position (-\$2,140.65)**

Due to late hire, total work hours for Career Advisor position in Lordsburg was decreased from 2080 hours to 1943.4 hours.

- **Addition of 1 FTE position (+\$26,035.20)**

One (1) FTE position was added: Business Practitioner

1 FT Business Practitioner: The Business Practitioner will be responsible for overall business development and engagement to secure worksites for the work experience component and promote youth employment opportunities. The Business Practitioner will also assist with and participate in Job Fairs to ensure youth opportunities and engage Career Advisors and youth participants. Work of the Business Practitioner will prioritize sector strategies and demand occupations to create career pathway opportunities for youth participants. The Business Practitioner will be supervised by the Program Managers and be located in Las Cruces for full support of Dona Ana, Sunland Park and Deming, and offer assistance to the remaining five counties.

The program will staff 12 Full-time equivalent positions: (2) Program Managers, (8) Career Advisors, (1) Business Practitioner, and (1) Quality Assurance Practitioner, in addition to the (1) split management position mentioned above.

- **Increases in operating line items to cover unanticipated costs (+\$45,828.41)**

- In-State Travel – increase of \$4,247.41 to cover unanticipated travel costs and hotel and per diem costs for staff trainings in Albuquerque and T or C.
- Consumables – increase of \$11,681 to cover unanticipated costs of furniture for Sunland and Loretto offices and all cost allocations for both sites related to set-up
- Staff onboarding costs – increase of \$1,000 for CPR and backgrounds for staff (staff turnover)
- Property – increase of \$10,900 to cover unanticipated equipment costs for all staff. Equipment included desktops, monitors and keyboards.
- Facility Rental – increase of \$18,000 to cover unanticipated costs for Sunland Park, Loretto and Lordsburg leases.

• **Increase in YDI Indirect Cost Rate (+\$3,877)**

YDI's Indirect Cost Rate increases by \$3,877 with a higher operating budget

Program:

• **Increased number of participants receiving work experience (+\$21,286)**

The total number of participants allocated to receive paid work experience increased by 9 from 274 to 283.

Below is the modified breakdown of enrollments and work experience slots per county:

COUNTY	IN SCHOOL ENROLLMENTS	OUT OF SCHOOL ENROLLMENTS	TOTAL YEAR ENROLLMENTS	IN SCHOOL WORK PLACEMENTS	OUT OF SCHOOL WORK PLACEMENTS	TOTAL YEAR WORK PLACEMENTS
Catron	5	10	17	5	10	15
Dona Ana	30	90	120	24	85	109
Grant	11	32	45	11	32	43
Hidalgo	5	14	15	5	14	19
Luna	10	29	39	8	28	36
Sierra	8	22	30	6	21	27
Socorro	9	25	36	9	25	34
TOTAL	78	222	300	68	215	283

NOTE: WIOA services will be provided to **300 youth** in PY 19, however, WIOA work experience funds will only be utilized for 283 participants. The remaining 17 participants will receive core WIOA services and/or leveraged funding to move straight into employment.

• **Work experience wages for carry-in participants from PY18 (+\$11,512.79)**

Increase of \$11,512.79 to cover unanticipated wages to continue work experience in the first quarter for carry-in participants from PY18.

TOTAL BUDGET: \$1,962,000

TOTAL OPERATING: \$917,822.40

TOTAL PROGRAM: \$1,044,177.60

IN-SCHOOL = 19%

OUT-OF-SCHOOL = 81%

WORKFORCE INNOVATION AND OPPORTUNITY ACT										
Budget Worksheet - Youth Services										
Attachment B-1 Amended Budget										
Sub-grant Number		Contract Period					Name of Provider			
PY19 - WIOA - 01		July 1, 2019 - June 30, 2020					Youth Development, Inc. (YDI)			
MOD 2 - November 2019										
Budget Category		Budget								
		Current Budget			Budget Adjustment			*Revised Budget		
		In-School	Out-of-School	Total	In-School	Out-of-School	Total	In-School	Out-of-School	Total
Staff Salaries	Wage x % of Program x Project Hours									
Vice-President - Concha Cordova	\$53.50 x 19% x 2080 hours	\$ 6,814.57	\$ 24,160.79	\$ 30,975.36	\$ (2,163.08)	\$ (7,669.08)	\$ (9,832.16)	\$ 4,651.49	\$ 16,491.71	\$ 21,143.20
Associate Director - Arnold Ontiveros	\$28.76 x 40% x 2080 hours	\$ 5,264.23	\$ 18,664.09	\$ 23,928.32	\$ (3,660.95)	\$ (12,979.73)	\$ (16,640.68)	\$ 1,603.28	\$ 5,684.36	\$ 7,287.64
Business Practitioner	\$18.08 x 100% x 1440 hours	\$ -	\$ -	\$ -	\$ 5,727.74	\$ 20,307.46	\$ 26,035.20	\$ 5,727.74	\$ 20,307.46	\$ 26,035.20
Program Manager	\$22.95 x 100% x 2080 hours	\$ 10,501.92	\$ 37,234.08	\$ 47,736.00			\$ -	\$ 10,501.92	\$ 37,234.08	\$ 47,736.00
Program Manager	\$22.95 x 100% x 2080 hours	\$ 10,501.92	\$ 37,234.08	\$ 47,736.00			\$ -	\$ 10,501.92	\$ 37,234.08	\$ 47,736.00
Career Advisor	\$15.67 x 100% x 2080 hours	\$ 7,170.59	\$ 25,423.01	\$ 32,593.60			\$ -	\$ 7,170.59	\$ 25,423.01	\$ 32,593.60
Career Advisor	\$15.67 x 100% x 2080 hours	\$ 7,170.59	\$ 25,423.01	\$ 32,593.60			\$ -	\$ 7,170.59	\$ 25,423.01	\$ 32,593.60
Career Advisor	\$15.67 x 100% x 2080 hours	\$ 7,170.59	\$ 25,423.01	\$ 32,593.60			\$ -	\$ 7,170.59	\$ 25,423.01	\$ 32,593.60
Career Advisor	\$15.67 x 100% x 2080 hours	\$ 7,170.59	\$ 25,423.01	\$ 32,593.60			\$ -	\$ 7,170.59	\$ 25,423.01	\$ 32,593.60
Career Advisor	\$15.67 x 100% x 2080 hours	\$ 7,170.59	\$ 25,423.01	\$ 32,593.60			\$ -	\$ 7,170.59	\$ 25,423.01	\$ 32,593.60
Career Advisor	\$15.67 x 100% x 2080 hours	\$ 7,170.59	\$ 25,423.01	\$ 32,593.60			\$ -	\$ 7,170.59	\$ 25,423.01	\$ 32,593.60
Career Advisor	\$15.67 x 100% x 2080 hours	\$ 7,170.59	\$ 25,423.01	\$ 32,593.60			\$ -	\$ 7,170.59	\$ 25,423.01	\$ 32,593.60
Career Advisor	\$15.67 x 100% x 2080 hours	\$ 7,170.59	\$ 25,423.01	\$ 32,593.60			\$ -	\$ 7,170.59	\$ 25,423.01	\$ 32,593.60
Career Advisor	\$15.67 x 100% x 2080 hours	\$ 7,170.59	\$ 25,423.01	\$ 32,593.60			\$ -	\$ 7,170.59	\$ 25,423.01	\$ 32,593.60
Career Advisor	\$15.67 x 100% x 1943.4 hours	\$ 7,170.59	\$ 25,423.01	\$ 32,593.60	\$ (470.91)	\$ (1,669.74)	\$ (2,140.65)	\$ 6,699.68	\$ 23,753.27	\$ 30,452.95
Quality Assurance Practitioner	\$18.08 x 100% x 2080 hours	\$ 8,273.40	\$ 29,333.00	\$ 37,606.40			\$ -	\$ 8,273.40	\$ 29,333.00	\$ 37,606.40
Total Staff Salaries		\$ 98,720.76	\$ 350,010.12	\$ 448,730.88	\$ (567.20)	\$ (2,011.09)	\$ (2,578.29)	\$ 98,153.56	\$ 347,999.03	\$ 446,152.59
Fringe Benefits	Percentage or Cost	In-School	Out-of-School	Total	In-School	Out-of-School	Total	In-School	Out-of-School	Total
FICA/Medicare	7.693% x \$446,152.59	\$ 7,550.82	\$ 26,771.10	\$ 34,321.92	\$ 0.13	\$ 0.47	\$ 0.60	\$ 7,550.95	\$ 26,771.57	\$ 34,322.52
FUTA				\$ -			\$ -	\$ -	\$ -	\$ -
SUTA	5.641% x \$446,152.59	\$ 5,537.27	\$ 19,632.14	\$ 25,169.41	\$ (0.43)	\$ (1.51)	\$ (1.94)	\$ 5,536.84	\$ 19,630.63	\$ 25,167.47
Workmans Comp. Ins.	5.028% x \$446,152.59	\$ 4,935.18	\$ 17,497.45	\$ 22,432.63	\$ (0.02)	\$ (0.06)	\$ (0.08)	\$ 4,935.16	\$ 17,497.39	\$ 22,432.55
Workmans Comp. Fee				\$ -			\$ -	\$ -	\$ -	\$ -
Health Care Ins.	18.712% x \$446,152.59	\$ 18,349.70	\$ 65,058.03	\$ 83,407.73	\$ 16.79	\$ 59.55	\$ 76.34	\$ 18,366.49	\$ 65,117.58	\$ 83,484.07
Retirement	5.540% x \$446,152.59	\$ 5,437.96	\$ 19,280.06	\$ 24,718.02	\$ (0.26)	\$ (0.91)	\$ (1.17)	\$ 5,437.70	\$ 19,279.15	\$ 24,716.85
Total Fringe Benefits		\$ 41,810.93	\$ 148,238.78	\$ 190,049.71	\$ 16.21	\$ 57.54	\$ 73.75	\$ 41,827.14	\$ 148,296.32	\$ 190,123.46
Travel	Description	In-School	Out-of-School	Total	In-School	Out-of-School	Total	In-School	Out-of-School	Total
In-State Travel										
Mileage reimbursement for local travel; hotel & per diem costs for out-of-city training	Average 200 miles per month x \$0.405/mile per employee	\$ 7,233.60	\$ 25,646.40	\$ 32,880.00	\$ 934.43	\$ 3,312.98	\$ 4,247.41	\$ 8,168.03	\$ 28,959.38	\$ 37,127.41
Out-of-State Travel										
				\$ -			\$ -	\$ -	\$ -	\$ -
Total Travel		\$ 7,233.60	\$ 25,646.40	\$ 32,880.00	\$ 934.43	\$ 3,312.98	\$ 4,247.41	\$ 8,168.03	\$ 28,959.38	\$ 37,127.41
Materials & Supplies	Description	In-School	Out-of-School	Total	In-School	Out-of-School	Total	In-School	Out-of-School	Total
Consumables	files, paper, pens, furniture for offices, etc.	\$ 990.00	\$ 3,510.00	\$ 4,500.00	\$ 2,569.82	\$ 9,111.18	\$ 11,681.00	\$ 3,559.82	\$ 12,621.18	\$ 16,181.00
Cellular phones	\$50/month average x 11 lines + usage+ cell phone purchase	\$ 2,662.00	\$ 9,438.00	\$ 12,100.00			\$ -	\$ 2,662.00	\$ 9,438.00	\$ 12,100.00
Staff onboarding costs	CPR training + backgrounds for 12 new staff	\$ 330.00	\$ 1,170.00	\$ 1,500.00	\$ 220.00	\$ 780.00	\$ 1,000.00	\$ 550.00	\$ 1,950.00	\$ 2,500.00
				\$ -			\$ -	\$ -	\$ -	\$ -
Total Materials & Supplies		\$ 3,982.00	\$ 14,118.00	\$ 18,100.00	\$ 2,789.82	\$ 9,891.18	\$ 12,681.00	\$ 6,771.82	\$ 24,009.18	\$ 30,781.00
Property	Description	In-School	Out-of-School	Total	In-School	Out-of-School	Total	In-School	Out-of-School	Total
Laptops & peripherals	3 @ \$1165 for remote staff	\$ 770.00	\$ 2,730.00	\$ 3,500.00	\$ -	\$ -	\$ -	\$ 770.00	\$ 2,730.00	\$ 3,500.00
Desktops & Monitors for all staff				\$ -	\$ 2,398.00	\$ 8,502.00	\$ 10,900.00	\$ 2,398.00	\$ 8,502.00	\$ 10,900.00
Total Property		\$ 770.00	\$ 2,730.00	\$ 3,500.00	\$ 2,398.00	\$ 8,502.00	\$ 10,900.00	\$ 3,168.00	\$ 11,232.00	\$ 14,400.00

Profit Incentives	Descriptions	In-School	Out-of-School	Total	In-School	Out-of-School	Total	In-School	Out-of-School	Total
Profit Incentives		\$ 11,000.00	\$ 39,000.00	\$ 50,000.00	\$ -	\$ -	\$ -	\$ 11,000.00	\$ 39,000.00	\$ 50,000.00
Total Profit Incentives		\$ 11,000.00	\$ 39,000.00	\$ 50,000.00	\$ -	\$ -	\$ -	\$ 11,000.00	\$ 39,000.00	\$ 50,000.00
Indirect Costs	Descriptions	In-School	Out-of-School	Total	In-School	Out-of-School	Total	In-School	Out-of-School	Total
Indirect Costs	8.95% of operating costs of \$842,425.07	\$ 15,734.40	\$ 55,785.60	\$ 71,520.00	\$ 852.94	\$ 3,024.06	\$ 3,877.00	\$ 16,587.34	\$ 58,809.66	\$ 75,397.00
Total Indirect Cost Rate		\$ 15,734.40	\$ 55,785.60	\$ 71,520.00	\$ 852.94	\$ 3,024.06	\$ 3,877.00	\$ 16,587.34	\$ 58,809.66	\$ 75,397.00
Participant Training Costs	Descriptions	In-School	Out-of-School	Total	In-School	Out-of-School	Total	In-School	Out-of-School	Total
In School Work Experience	44 participants x \$9.00/hr x 200 hours	\$ 66,600.00		\$ 66,600.00	\$ 12,600.00		\$ 12,600.00	\$ 79,200.00	\$ -	\$ 79,200.00
	FICA, WC, Unemployment	\$ 12,161.16		\$ 12,161.16	\$ 2,299.96		\$ 2,299.96	\$ 14,461.12	\$ -	\$ 14,461.12
Out of School Work Experience	130 participants x \$9.00/hr x 300 hours		\$ 345,600.00	\$ 345,600.00		\$ 5,400.00	\$ 5,400.00	\$ -	\$ 351,000.00	\$ 351,000.00
	FICA, WC, Unemployment		\$ 63,106.56	\$ 63,106.56		\$ 986.04	\$ 986.04	\$ -	\$ 64,092.60	\$ 64,092.60
In School Work Experience (Dona Ana)	24 participants x \$10.10/hr x 200 hours	\$ 48,480.00		\$ 48,480.00				\$ 48,480.00	\$ -	\$ 48,480.00
	FICA, WC, Unemployment	\$ 8,852.45		\$ 8,852.45				\$ 8,852.45	\$ -	\$ 8,852.45
Out of School Work Experience (Dona Ana)	85 participants x \$10.10/hr x 300 hours		\$ 257,550.00	\$ 257,550.00				\$ -	\$ 257,550.00	\$ 257,550.00
	FICA, WC, Unemployment		\$ 47,028.64	\$ 47,028.64				\$ -	\$ 47,028.64	\$ 47,028.64
								\$ -	\$ -	\$ -
Supportive Services	\$300 PP x estimated 270 participants in need	\$ 12,150.00	\$ 68,850.00	\$ 81,000.00				\$ 12,150.00	\$ 68,850.00	\$ 81,000.00
Participant Incentives	\$300 PP x estimated 270 participants qualify	\$ 12,150.00	\$ 68,850.00	\$ 81,000.00				\$ 12,150.00	\$ 68,850.00	\$ 81,000.00
Carry-in Work Experience	Completion of work experience hours for				\$ 2,579.10	\$ 8,933.69	\$ 11,512.79	\$ 2,579.10	\$ 8,933.69	\$ 11,512.79
	carry-in participants from PY18									
				\$ -						
Total Participant Services		\$ 160,393.61	\$ 850,985.20	\$ 1,011,378.81	\$ 17,479.06	\$ 15,319.73	\$ 32,798.79	\$ 177,872.67	\$ 866,304.93	\$ 1,044,177.60
TOTAL BUDGET EXPENSE		\$ 351,930	\$ 1,530,070	\$ 1,882,000	\$ 27,863	\$ 52,136	\$ 80,000	\$ 379,793	\$ 1,582,206	\$ 1,962,000
		Current Budget			Budget Adjustment			*Revised Budget		
AVERAGE PARTICIPANT COSTS		In-School	Out-of-School	Total	In-School	Out-of-School	Total	In-School	Out-of-School	Total
Number of Participants		61	213	274	7	2	9	68	215	283
Average Cost per Participant (Operating + Participant Training)		\$ 5,769.35	\$ 7,183.43	\$ 6,868.61	\$ 3,980.47	\$ 26,068.20	\$ 8,888.85	\$ 5,585.20	\$ 7,359.10	\$ 6,932.86
Average Cost per Participant (Operating Costs Only)		\$ 3,139.94	\$ 3,188.19	\$ 3,177.45	\$ 1,483.46	\$ 18,408.34	\$ 5,244.54	\$ 2,969.42	\$ 3,329.77	\$ 3,243.19
Average Cost per Participant (Participant Training Costs Only)		\$ 2,629.40	\$ 3,995.24	\$ 3,691.16	\$ 2,497.01	\$ 7,659.87	\$ 3,644.31	\$ 2,615.77	\$ 4,029.33	\$ 3,689.67
Percentage of In-School Budget (Can not exceed 25% of Total Budget)								19.36%	80.64%	100.00%

* There are 300 individuals to be served; (283 will receive services that are budgeted under the participant training cost and the remaining 17 participants will be provided other program elements through their career advisors or other partnering programs or through the leveraging of other non-WIOA resources.

AGENDA ITEM SUMMARY

Region IV, Chief Elected Officials Meeting	December 13, 2019
<p>Consent Agenda Item</p> <p>*Resolution 19 – 21 concurs with the Southwestern Area Workforce Development Board to approve an amendment to Contract No. PY19-WIOA-02 between ResCare Workforce Services and the Southwestern Area Workforce Development Board for WIOA Adult & Dislocated Worker Services pending the approval by the DWS to transfer funds from WIOA Dislocated Worker to Adult, and authorizes the Board Chair or Vice Chair to sign the contract amendment</p>	
<p>SUMMARY OF AGENDA ITEM</p> <p>As a function of the Chief Elected Officials, this item is presented for your review and consideration to concur with the Southwestern Area Workforce Development Board.</p> <ul style="list-style-type: none"> • ResCare Workforce Services has requested to transfers \$1,190,642 from their Dislocated Worker program to the Adult program. • If approved, the total contract amount will remain unchanged at \$3,567,000.00. It will consist of \$2,750,642 in Adult; and \$816,000 in Dislocated Worker funds. • This budget adjustment request to transfer funds is dependent on the Board's transfer request with its funding source, DWS. Once the board's transfer request of \$1,150,000 is approved, then ResCare's request to transfer funds can be processed and the contract amendment can be signed. 	
<p>RECOMMENDATION</p> <p>A motion to approve Resolution 19 – 21.</p>	
<p>CEI'S OPTIONS ARE TO</p> <ol style="list-style-type: none"> 1. Accept the recommendation 2. Amend the recommendation 3. Reject the recommendation 4. Table the item 5. Take no action on the item 	
<p>DEPENDING ON ACTION TAKEN, ITEM MAY BE REFERRED OR REPORTED TO</p> <ul style="list-style-type: none"> • Staff or committee, as directed. 	
<p>THIS ITEM SUPPORTS STRATEGIC PLAN GOAL(S)</p> <ul style="list-style-type: none"> • Supports all strategic plan goals 	
<p>LIST OF SUPPORTING INFORMATION FOR YOUR REVIEW</p> <ul style="list-style-type: none"> • Contract amendment 	

WIOA SERVICES CONTRACT COVER SHEET	1. CONTRACT/MODIFICATION NO. PY19-WIOA-02/No.1			CONTRACT PERIOD July 1, 2019 - June 30, 2020	
<p>This Contract Amendment is made and entered into by the Southwestern Area Workforce Development Board, hereinafter referred to as the LWDB, and ResCare Workforce Services, hereinafter referred to as the Sub-Grantee. The Sub-Grantee agrees to provide WIOA Adult and Dislocated Worker services in the geographic area within the State of New Mexico, as stated in the scope of work, pursuant to the provisions of the Workforce Innovation and Opportunity Act (WIOA), and in accordance with the provisions of this Agreement.</p> <p>This Agreement consists of this WIOA Contract Cover Sheet; Sub-Grant Agreement Provisions; Scope of Work; Budget; and Exhibits.</p>					
2. NAME OF PROVIDER Arbor E&T, LLC dba ResCare Workforce Services			3. NAME OF PROVIDERS POINT OF CONTACT Mark Douglass		
ADDRESS 805 N. Whittington Pkwy			TITLE OF POINT OF CONTACT President		
CITY, STATE & ZIP Louisville, KY 40222			TELEPHONE/FAX/EMAIL Phone: 714-349-9739 Fax: Email:		
4. FUNDING TYPE(S) (Check those that apply) TITLE I <input checked="" type="checkbox"/> Adult <input checked="" type="checkbox"/> Dislocated Worker <input type="checkbox"/> Youth <input type="checkbox"/> Administration			5. TYPE OF CONTRACT ACTION <input type="checkbox"/> New <input checked="" type="checkbox"/> Modification/Amendment <input type="checkbox"/> Other		
AMOUNT OF CONTRACT					
ADMINISTRATION	ADULT	DISLOCATED WORKER	YOUTH	TOTAL	
\$0.00	\$1,560,000.00	\$2,007,000.00	\$0.00	\$3,567,000.00	
AMOUNT OF MODIFICATION					
ADMINISTRATION	ADULT	DISLOCATED WORKER	YOUTH	TOTAL	
\$0.00	\$1,190,642.00	-\$1,190,642.00	\$0.00	\$0.00	
AMOUNT OF TOTAL CONTRACT					
ADMINISTRATION	ADULT	DISLOCATED WORKER	YOUTH	TOTAL	
\$0.00	\$2,750,642.00	\$816,358.00	\$0.00	\$3,567,000.00	

WORKFORCE INNOVATION AND OPPORTUNITY ACT				
WIOA - Adult and Dislocated Worker Services				
Attachment A-1 / Cost Response Form - Proposed Budget				
Sub-grant Number PY19 WIOA-1		Contract Period		
WIOA - Adult and Dislocated Worker Services		07/01/2019 - 6/30/2019		
		ResCare Inc.		
Budget Category		Adult		Total
		Dislocated Worker		
Staff Salaries	Wage x % of Program			
See attached Staff Cost Plan	See attached Staff Cost Plan	\$ 736,610	\$ 213,805	\$ 950,415
				\$ -
Total Staff Salaries		\$ 736,610	\$ 213,805	\$ 950,415

Fringe Benefits	Percentage or Cost			
FICA/Medicare	7.65%	\$ 56,351	\$ 16,356	\$ 72,707
FUTA	0.30%	\$ 967	\$ 281	\$ 1,248
SUTA	0.33%	\$ 2,455	\$ 712	\$ 3,167
Workmans Comp. Ins.	3.43%	\$ 32,999	\$ 9,579	\$ 42,578
Health Care Ins.	10.72%	\$ 78,963	\$ 22,920	\$ 101,883
Retirement		\$ 4,157.00	\$ 5,348.00	\$ 9,505
Total Fringe Benefits		\$ 175,892	\$ 55,196	\$ 231,088

Travel	Descriptions			
Hotel	\$150 per night for 24 nights	\$ 2,790	\$ 810	\$ 3,600
Meals	\$50 per meal for 30	\$ 1,162	\$ 338	\$ 1,500
Airfare	\$750 per per trip for 4	\$ 2,325	\$ 675	\$ 3,000
Rental Car	\$300 per per trip for 6	\$ 1,395	\$ 405	\$ 1,800
Mileage	\$0.32 per mile for 114,600	\$ 31,521	\$ 9,099	\$ 40,620
				\$ -
Total Travel		\$ 39,193	\$ 11,327	\$ 50,520

Materials & Supplies	Descriptions			
Office Supplies	\$1,038.36 per Employee	\$ 17,705	\$ 5,139	\$ 22,844
Postage/Courier	\$184 per month x 12 months	\$ 1,711	\$ 497	\$ 2,208
TABE Testing	\$2040 per year			\$ -
Sales Tax	8.3125% x Total Funding	\$ 90,183	\$ 26,192	\$ 116,375
				\$ -
Total Materials & Supplies		\$ 109,599	\$ 31,828	\$ 141,427

Property	Descriptions			
Furniture, Fixtures & Equipment				\$ -
Total Facility Rental		\$ -		\$ -

Facility Rental	Descriptions			
Las Cruces	\$900 per month for 12 months	\$ 8,370	\$ 2,430	\$ 10,800
Sunland	1344.70 per month for 12 months	\$ 12,506	\$ 3,630	\$ 16,136
Deming	\$525 per month for 12 months	\$ 4,883	\$ 1,417	\$ 6,300
Silver City	\$600 per month for 12 months	\$ 4,366	\$ 2,834	\$ 7,200
Business Office (Las Cruces)	15.53 Per Square foot - 1900 Sq Ft	\$ 18,200	\$ 5,254	\$ 23,454
Socorro	14.99 Per Square foot - 467 Sq	\$ 5,425	\$ 1,575	\$ 7,000
T or C		\$ 4,693	\$ 1,353	\$ 6,046
Total Facility Rental		\$ 58,443	\$ 18,493	\$ 76,936

Miscellaneous	Descriptions			
General & Professional Liability	\$5.46 per \$1,000 of revenue	\$ 7,194	\$ 2,088	\$ 9,282
Cell Phone Stipend	\$75 per month allowance for Cell	\$ 5,587	\$ 1,613	\$ 7,200
Community Outreach	\$980 per month for 12 months	\$ 9,112	\$ 2,644	\$ 11,756
Job Fairs				\$ -
Dues & Subscriptions	\$90 per quarter for 4 quarters	\$ 279	\$ 81	\$ 360
Profit	9% of Operating Cost	\$ 80,200	\$ 40,800	\$ 121,000
Equipment Rental	245.00 per month for 12 months	\$ 2,328	\$ 672	\$ 3,000
Equipment Repair & Maint		\$ 1,164	\$ 336	\$ 1,500
Total Miscellaneous		\$ 105,864	\$ 48,234	\$ 154,098

Professional Services	Descriptions			
Audit	20% of revenue	\$ 2,945	\$ 855	\$ 3,800
Payroll Services	\$249 per month for FTE for 11FTEs	\$ 2,125	\$ 617	\$ 2,742
User Fees	\$384 per user for 15 users	\$ 4,464	\$ 1,296	\$ 5,760
SaaS - SERA				\$ -
Background Check/Drug Screens	\$70 per check for 12 checks	\$ 651	\$ 189	\$ 840
Janitorial Services	545.00 per month for 12 months	\$ 5,226	\$ 1,314	\$ 6,540
Sercuity Guard		\$ 9,300	\$ 2,700	\$ 12,000
Total Professional Services		\$ 24,711	\$ 6,971	\$ 31,682

Indirect Costs	Descriptions			
Indirect Costs	10.33% x operating costs	\$ 111,230	\$ 32,304	\$ 143,534
				\$ -
Total Indirect Cost Rate		\$ 111,230	\$ 32,304	\$ 143,534

Participant Services	Descriptions			
On-the-Job Training		\$ 803,400	\$ 241,800	\$ 1,045,200
Incumbent/Customized /Employee Training		\$ 10,100		\$ 10,100
Individual Training Accounts		\$ 281,600	\$ 62,400	\$ 344,000
Career Services/Supportive Services		\$ 105,000	\$ 35,000	\$ 140,000
Supportive Services		\$ 189,000	\$ 59,000	\$ 248,000
				\$ -
Total Participant Services		\$ 1,389,100	\$ 398,200	\$ 1,787,300
TOTAL BUDGET EXPENSE		\$ 2,750,642	\$ 816,358	\$ 3,567,000

AGENDA ITEM SUMMARY

Region IV, Chief Elected Officials Meeting	December 13, 2019
Agenda Item Resolution 19 – 22 appoint members to the Southwestern Area Workforce Development Board	
SUMMARY OF AGENDA ITEM <ul style="list-style-type: none"> • This item is presented for your consideration to appoint members to the SAWDB. The Chief Elected Officials, under the Workforce Innovation and Opportunity Act, are required to appoint members to the local workforce board for a two-year term. • A separate email will be sent with any nominations that have been submitted prior to the CEO meeting for your consideration. 	
RECOMMENDATION A motion to approve Resolution 19 – 22.	
CEO'S OPTIONS ARE TO <ol style="list-style-type: none"> 1. Accept the recommendation 2. Amend the recommendation 3. Reject the recommendation 4. Table the item 5. Take no action on the item 	
DEPENDING ON ACTION TAKEN, ITEM MAY BE REFERRED OR REPORTED TO <ul style="list-style-type: none"> • Staff or committee, as directed. 	
THIS ITEM SUPPORTS STRATEGIC PLAN GOAL(S) <ul style="list-style-type: none"> • Supports all strategic plan goals 	
LIST OF SUPPORTING INFORMATION FOR YOUR REVIEW <ul style="list-style-type: none"> • None 	

AGENDA ITEM SUMMARY

Region IV, Chief Elected Officials Meeting	December 13, 2019
Agenda Item Resolution 19 – 23 amends the CEO Bylaws	
SUMMARY OF AGENDA ITEM <ul style="list-style-type: none"> The New Mexico Department of Workforce Solutions has requested that the four local CEO boards in New Mexico have a minimum of 50% of members present for a meeting quorum. For your consideration, the Bylaws are amended changing the required quorum from 5 members to at least 50%. 	
RECOMMENDATION A motion to approve Resolution 19 – 23.	
CEO'S OPTIONS ARE TO <ol style="list-style-type: none"> Accept the recommendation Amend the recommendation Reject the recommendation Table the item Take no action on the item 	
DEPENDING ON ACTION TAKEN, ITEM MAY BE REFERRED OR REPORTED TO <ul style="list-style-type: none"> Staff or committee, as directed. 	
THIS ITEM SUPPORTS STRATEGIC PLAN GOAL(S) <ul style="list-style-type: none"> Supports all strategic plan goals 	
LIST OF SUPPORTING INFORMATION FOR YOUR REVIEW <ul style="list-style-type: none"> Bylaws 	

Bylaws of the Region IV, Chief Elected Officials

ARTICLE I ESTABLISHMENT

The Region IV, Chief Elected Officials Board of the Southwestern Area of the State of New Mexico is established in accordance with responsibilities specified in the Workforce ~~Investment Innovation and Opportunity Act (WIOA) of 1998, Public Law 105-220, 105th Congress, and Section 5 of the Workforce Development Act (WDA), Chapter 260, Laws of 1999, of the State of New Mexico. Section 50-14-1 et seq. NMSA 1978 Compilation.~~

In accordance with the Governance Policy, the Chief Elected Officials are the mayors and county commission chairs of Region IV, the Southwest area of the State of New Mexico.

ARTICLE II NAME AND MEMBERS

The name of this Board shall be Chief Elected Officials Board (CEO) hereinafter referred to as the “CEO Board”. Previous documents use various names for the CEO Board, such as the Governance Policy, which uses the name “CEO Executive Committee”. These bylaws amend all other names used, and begin the official use of the name CEO Board. The Chief Elected Officials are empowered under the WIOA to implement a workforce investment system in accordance with the provision of the WIOA. The members of the CEO Board include any mayor or county commission chair within the southwestern region.

ARTICLE III PURPOSE, OBJECTIVE, AND COMPOSTION

A. Purpose

1. The SAWDB in partnership with the CEOs shall be responsible for coordinating activities at the local level to do the following: (a) increase the employment, retention, occupational skills and earnings of the workforce; (b) reduce welfare dependency; (c) enhance productivity and competitiveness of the south central and the southwest New Mexico business and industry; and (d) encourage continuous improvement in worker preparation from kindergarten through adulthood.
2. The purpose of the CEO Board shall not preclude direct relationships between any local governments and any other regional job development organization, public or private. The CEO Board shall remain autonomous and retain all rights and authority provided to them under their charters and ordinances, the laws of the State of New Mexico, or any other procedures and regulations not in conflict with state or federal law.

B. Region

1. The SAWDB in partnership with the CEOs shall be responsible for the oversight of the South Central and Southwest area of New Mexico services provided under the Act to the following seven (7) counties located in the south central and southwest area of New Mexico: Dona Ana, Sierra, Socorro, Hidalgo, Catron, Grant, and Luna Counties. The seven (7) counties shall be hereinafter referred to as the “Local Area.”

C. Region IV, CEO’s Board Composition

1. The Region IV, CEO’s shall be comprised of; (a) Commission Chairs or their designee, who must be an elected official from that respective commission from the following seven counties, to wit: Dona Ana, Sierra, Socorro, Hidalgo, Catron, Grant, Luna; and (b) Mayors/Chapter President or their designee, who must be an elected official from that respective Council/Commission / Board of Trustees/ Alamo Navajo Band Council from the following municipalities/entities, to wit: (Dona Ana County) City of Anthony, City of Las Cruces, Town of Mesilla, City of Sunland Park, Village of Hatch, (Sierra County) City of Truth or Consequences, City of Elephant Butte, Village of Williamsburg, (Socorro County) City of Socorro, Village of Magdalena, Alamo Navajo Band Reservation, (Hidalgo County) City of Lordsburg, Village of Virden (Catron County) Village of Reserve, (Grant County) Town of Silver City, Town of Hurley, City of Bayard, Village of Santa Clara (Luna County) City of Deming, and Village of Columbus.⁵

D. Participation Statement and Binding Nature

1. In the event, a particular county, city and/or pueblo through its duly authorized Chair, Chapter President or Mayor, as the case may be, does not execute this Agreement, they shall receive all of the appropriate coverage, employment and training services as provided under the Act; however, such non-executor parties shall not participate in decisions hereunder, including without limitation the selection/ appointment of SAWDB members.

ARTICLE IV DUTIES AND RESPONSIBILITIES

A. Grant Recipient

1. The Region IV, CEO Board shall serve as the grant recipient for, and shall be liable for any misuse of, the grant funds allocated to the Local Area under the Act. The Region IV, CEO Board shall retain Fiscal liability whether or not another entity is designated to be the grant recipient; fiscal liability applies only to Title I WIOA Funds and other discretionary funding which will be approved by the Region IV, CEO Board as appropriate.

B. Budget Approval

1. The Region IV, CEO Board shall review and approve the operating budget developed by the SAWDB for carrying out its duties.

C. Fiscal Agent

1. In order to assist in the administration of the grant funds, the Region IV, CEO Board will designate the “Fiscal Agent” for the Local Area. Such designation shall not relieve the Region IV, CEOs of the liability for the misuse of grant funds.

D. Disbursal of Funds

1. In its capacity the designated Fiscal Agent for the Local Area, shall disburse the funds for workforce ~~investment~~ activities at the direction of the SAWDB, pursuant to the requirements of the Act. The Fiscal Agent shall disburse the funds immediately on receiving such direction from the SAWDB.

E. Oversight of SAWDB Activities

1. The Region IV, CEO Board shall exercise oversight of the SAWDB.

F. Appoints to the SAWDB

1. The Region IV, CEOs nominated and appoint members to the SAWDB in accordance with 20 CFR § 679.320 the Workforce Innovation and Opportunity Act. Specific to the business sector representatives must be owners, chief operating officers, chief executive officers or other individuals with optimum policy making or hiring authority (WIOA §107 (b)(2)(A)(i); with a minimum of one employee, whose business is registered and in good standing with the State of New Mexico’s Unemployment Insurance Tax Department.
- 1.2. Appointments must be conducted at a CEO meeting.

ARTICLE V MEMBERSHIP

A. Members

1. In accordance with the Governance Policy, the chief elected officials are the mayors and county commission chairs from the seven counties within the southwestern region. These individuals serve as membership to the CEO Board. If the CEO chooses not to serve on the CEO Board he/she may elect to appoint a fellow commissioner or city counselor to serve in his/her place.

B. Alternates & Designees

1. Board Members or alternates must choose either to be on the Region IV, Chief Elected Officials Board, the Southwestern Area Workforce Development Board, or the South Central Council of Governments Board in order to avoid any possible or perceived conflict of interest as stated in the Region IV, Chief Elected Officials Policy 06-001.
2. A Chief Elected Official may choose an elected official from their organization as a designee to participate at meetings on their behalf. A fax, email, or letter must be

provided to the Chair, prior to the start of the meeting.

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C. Terms

1. A person may remain a member of the CEO Board for an indefinite period or as long as he/she retain the status of a CEO. If the CEO Board member is an appointed member serving on behalf of a CEO, he/she may retain membership at the pleasure of the CEO.

D. Conflict of Interest

DRAFT

1. All members of the CEO, including the Chairperson, shall have the authority to vote on all matters that come before the Board where there is no conflict or appearance of a conflict of interest. No member of the CEO Board shall vote on the provision of services by that member (or any organization which that member directly represents) or on any matter, which would provide direct or indirect, financial or other benefit to that member. A member shall abstain from any evaluation of an affiliate organization with which that member is associated.

E. Compensation/Reimbursement of Expenses

1. Members of CEO Board shall not receive any salaries or wages for their services, but may be reimbursed for reasonable and necessary expenses incurred in the performance of their duties. Members of the CEO Board will receive a fixed and regular travel reimbursement of \$95.00 per day for CEO Board meetings and all other approved meetings in place of per diem and mileage. Every claim for reimbursement for per diem and travel, in the performance of CEO Board duties other than regularly or specially called meetings, as allowed by the Per Diem and Mileage Act of the State of New Mexico, shall be submitted on a travel voucher and in accordance with the appropriate rules, formats and informational requirements of the State Department of Finance and Administration.

F. Liability

1. Members of the CEO Board shall not be held personally liable for the debts, decisions, liabilities or other obligations of the CEO Board. Each CEO Board member is covered by Errors & Omissions insurance. Each CEO Board will maintain that level of liability, which is equal to the share of WIOA funds allocated to each locality.

G. Gifts and Contributions

1. CEO Board members may not accept any contribution, gift, bequest or devise of any property whatsoever that would personally or professionally benefit the member. Contributions, gifts, bequests or other devises of property directly benefiting the WIOA mission and participants may be accepted without reimbursement of any kind to the donor.

H. Representation of the CEO Board

1. Members appointed to the CEO Board are considered representatives of the State in matters of workforce development programs in the Southwestern area and are entitled to any right of attendant to membership on the CEO Board; however, no CEO Board member may take any action or carry out activity on behalf of the CEO Board not permitted to be taken or carried without the approval of the CEO Board.

±.

I. Staff Support

1. Staff support for the CEO Board shall be provided as determined by resolution of the membership at a scheduled meeting as outlined in the scope of work in the approved Administrative Entity (AE) contract. Staff will provide training, technical assistance, Administrative support, program and financial reports, monitoring & reports, R.F.P.; contract status and fund allocations. The Staff will provide guidance to the CEO.

1. Board on regulatory issues and report the status of the Southwestern Workforce Development Area in the overall operations of WIOA.

ARTICLE VI OFFICERS

The officers of the CEO Board shall consist of a Chairperson and a Vice-Chairperson.

A. Chairperson

1. The CEO Board Chairperson, also referred to as the Lead Chair, shall be elected by a majority of the CEO Board members present at scheduled meetings. The term of office of the Chairperson shall be for two (2) years and he/she shall preside at all meetings of the CEO Board. The Chairperson shall appoint members to committees, and perform general and active management of the administrative business of the CEO Board.
2. It shall also be the Chairperson's duty to:
 - (a) Perform all duties that are incidental to his/her office and such other duties as may be required by the WIOA, the Workforce Development Area (WDA) and other duties prescribed by the CEO Board.
 - (b) Preside at meetings of the CEO Board and attend, as liaison, the executive committee of the Local Board.
 - (c) Execute legal documents when authorized by the CEO Board and the WIOA and the WDA.
 - (d) Appoint all committees and committee chairpersons, subject to the approval of the CEO Board, except as otherwise provided by the WIOA and the WDA.

B. Vice-Chairperson

1. The Vice-chairperson shall be elected by a majority of the CEO Board members present at a regularly scheduled meeting. The term of the Vice-chairperson shall be for two (2) years and he/she shall perform the duties of the Chairperson in their absence. The Vice-chairperson shall also perform additional duties from time to time as assigned to him/her by the Chairperson.
2. In the absence of the Chairperson or in the event of their inability or refusal to act, or if the office of Chairperson is vacant, the Vice-chairperson shall perform all the duties of the Chairperson, until an election can be held to fulfill that term, or until said term expires; and when the Vice-chairperson is so acting, shall have all the powers and be subject to all the restrictions of the Chairperson.
3. The Vice-chairperson shall have such other powers and perform such other duties as may be prescribed by the WIOA, the WDA, these bylaws, or the CEO Board.
- ~~4.~~ Each executive officer shall hold office until they resign, removed for cause, or otherwise disqualified to serve or until their successor is elected and qualified,

4. whichever comes first. The term of office shall be two (2) years, but does not prohibit the executive officer from serving more than a two (2) year term.
5. The CEO Board may elect such other officers as it deems appropriate and such officers shall serve such terms, have such authority and perform such duties as may be prescribed by the CEO Board.
6. Any CEO Board Chairperson or Vice-chairperson may be removed for cause by a majority of the CEO Board at any scheduled or special meeting. Any officer may resign at any time by giving written notice to the CEO Board. Any such resignation shall take effect on the date of receipt of such notice or any time specified therein and, unless otherwise specified therein, the acceptance of such resignation shall not be necessary to make it effective.
7. In the event of a vacancy of any office, other than that of Chairperson, the vacancy may be filled temporarily by appointment of the Chairperson until such time as the CEO Board conducts re-election of that related office.

ARTICLE VII MEETINGS

A. Regular and Other Meetings:

1. The CEO Board shall meet at least four times a year, reserving the right to call special or emergency meetings at the discretion of the CEO Board Chair or the request of 1/3 of total CEO Board membership. The time and location will be determined at a prior meeting by individual(s) calling the meeting. All meetings shall be held in the Region IV (Southwestern) of New Mexico.

B. Open Meeting Requirements

1. All meetings shall be in compliance with New Mexico's Open Meetings Act, Section 10-15-1, NMSA 1978 Compilation. An open meeting resolution shall be adopted each year to establish reasonable notice of meetings.

C. Meeting Announcement

1. Once the meeting date, time and location have been established and the agenda developed, a written announcement along with the agenda will be e-mailed to all CEO Board members. Any CEO Board member may contact the Chairperson or the Administrative Entity and suggest a business item for the agenda.
2. All CEO Board members shall receive notice of regular meetings at least ten (10) days prior to the date of the scheduled meeting. All CEO Board members shall receive notice of any special meeting at least three (3) days prior to the date of the special meeting.
3. Notice of all meetings shall specify the nature of business to be conducted at such meeting. No action can be taken except on business specified in the notice. New business not specified in the notice may be raised, but no vote or action may be taken on such business at that time.

D. Quorum

1. A quorum of the CEO Board shall consist of a minimum of at least fifty-one percent five (51%) of voting members ~~of the Region IV CEO Board members present~~ in order to conduct business on behalf of all CEO members. In accordance with the Open Meeting Act, member may be allowed to participate telephonically, or by webinar.
2. A quorum of a committee shall consist of a simple majority of the members of the specific committee.
3. Roll call will be taken to determine number present, which will be according to those signing the sign-in sheet provided by the Administrative Entity. If a quorum is present, the affirmative vote of the majority shall be the official act of the CEO Board.
4. It will take a majority of the CEO Board members present to amend the bylaws.

E. Minutes

1. Minutes of the proceedings for each CEO Board meeting shall be recorded and maintained in the permanent files for the CEO Board.
2. A summary of the recorded minutes will be prepared and distributed to each member prior to the next scheduled meeting.
3. The minutes and agenda, as well as supporting and informational material of any meeting of the CEO Board shall be made available to the public upon written request.
4. Minutes for the committee meetings shall be recorded, be made available upon request, and shall be maintained in the permanent files of the CEO Board.

F. Voting

1. All members of the CEO Board, including the Chairperson, shall have the authority to vote on all matters that come before the Board where there is no conflict of interest or appearance of a conflict of interest.
2. A member of the CEO Board may not vote on a matter under consideration by the Board relating to provision of services by the member, or by the entity the member represents, if such provisions of services might provide personal, private or professional benefit to the member or his or her immediate family.
3. If a member of the CEO Board wishes to vote on an item appearing for motion on a regular, special or emergency board meeting agenda, the CEO Board member must be present, in person to take such action, as a proxy will not carry a vote of an absentee member. A CEO Board member who may be absent at a meeting at which they would like to comment on an item for motion, may submit written notice/letter to the CEO Board Chairperson for presentation to the members in attendance at the board meeting for consideration prior to a vote being taken.
4. A member shall abstain from any evaluation of an affiliate organization with which that member is associated.

ARTICLE VIII CEO CONCURRENCE

A. Contracts & Policies

1. The CEO Board must consider concurrence with all contracts awarded, and policies developed by the SAWDB.

ARTICLE IX CEO / SAWDB NON-CONCURRENCE

A. Establishment

1. There must be concurrence between the SAWDB and the CEOs on all contracts awarded by the SAWDB.

B. Non-Concurrence Membership Defined

1. CEO Board non-concurrence requires a quorum, and a simple majority vote, as defined in this Operating Agreement.

C. Non-Concurrence Resolution

1. In the event of non-concurrence, the CEOs must state the issue(s) for non-concurrence, and select one of the following methods for resolution.
 - (a) Approve the item with an amendment
 - (b) Refer the item back to the SAWDB
 - (c) Refer the item to the Administrative Entity and the SAWDB Chair to amend the items to resolve the issue(s) of non-concurrence, subject to ratification at the next CEO meeting.
2. All actions for resolution must be completed within 28 days of CEOs action.

ARTICLE X ARTICLE ANNUAL REPORT

~~D.A.~~ Annual Report

1. The SAWDB and CEO Board may incorporate its annual report information into the State's WIOA Annual Report or it may publish its own annual report. The CEO Board shall review the annual report provided by the Local Board (SAWDB) prior to submission to the Governor, the New Mexico Legislature, the Chief Executive Officers of the counties and municipalities of the Southwestern Area, and to such other federal, state and local government units as deemed appropriate.

ARTICLE XI PARLIAMENTARY AUTHORITY

E.A. Rules

1. Where not otherwise provided for in these bylaws, the CEO may adopt parliamentary procedures and rules by a resolution for the purpose of conducting all meetings of the CEO Board and its committees.
2. The CEO Board Chairperson may appoint a parliamentarian for the CEO Board and its committees as appropriate.

ARTICLE XII AMENDMENT OF BYLAWS

F.A. Amendments

1. These bylaws may be amended or repealed, by ~~a~~ fifty-one percent (51%) of its membership present to vote at any regular business meeting at which a quorum is present, after notification of such an amendment to the full CEO Board membership, in compliance with Article VII of these bylaws.
2. A committee may be appointed by the CEO Board Chairperson to review these bylaws on an as needed basis. This committee shall also review and recommend policies and procedures, as needed, for committees, staff, and the CEO Board for approval.

ARTICLE XIII DISSOLUTION

A. Dissolution

1. Upon any dissolution of the CEO Board, the Southwestern Board shall, after paying or making provision for payment of liabilities, dispose of all of the assets in accordance with the WIOA, and any other applicable laws of the State of New Mexico.

ARTICLE XIV COMPLIANCE WITH LAW

B.A. Compliance

1. The CEO Board, in execution of its business shall comply with all applicable New Mexico Statutes and regulations including, but not limited to, the State Procurement Code, the State Open Meetings Act, and the State Mileage and Per Diem Act.

This amendment was approved by resolution on ~~June 28, 2013~~ December 13, 2019.

Mayor Ken Miyagishima, Chair

Date

DRAFT

DEFINITIONS

AE	Administrative Entity
<u>BUSINESS SECTOR REPRESENTATIVE</u>	<u>Business sector representatives must be owners, chief operating officers, chief executive officers or other individuals with optimum policy making or hiring authority (WIOA §107 (b)(2)(A)(i); with a minimum of one employee, whose business is registered and in good standing with the State of New Mexico's Unemployment Insurance Tax Department.</u>
CEO	Chief Elected Officials
RFP	Request for Proposals
SAWDB	Southwestern Area Workforce Development Board
SCCOG	South Central Council of Governments
WDA	Workforce Development Act
WIOA	Workforce In <u>novation and Opportunity</u> vestment Act
YC	Youth Council



Reports & Information Items



Administrative & Financial Reports

WIOA Adult and Dislocated Worker Participant Services

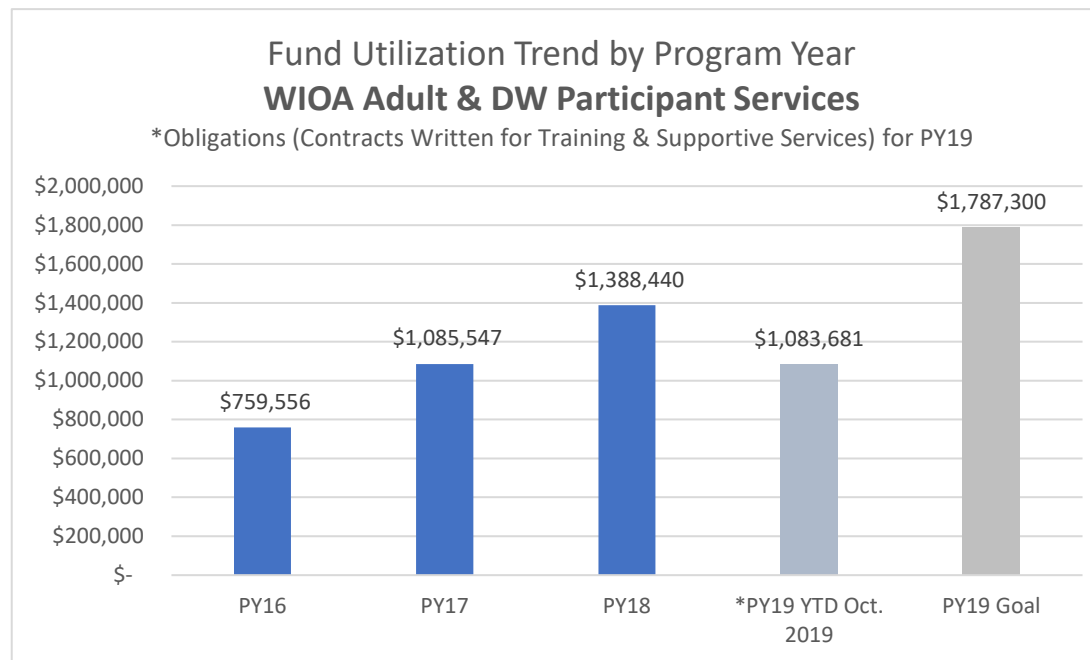
Southwestern Area Workforce Development Area

Fund Utilization Trend by Program Year

November 7, 2019

The following chart illustrates the three-year trend of the WIOA Adult & Dislocated Worker program participant service investments, as well as the level of obligations that have been made from July 1, 2019 through October 31, 2019. The obligations are contracts written with schools for tuition assistance, books and fees, On-the-Job training and customized training with employers, and supportive services. **The PY19 figures do not reflect ResCare Workforce Services operational costs – only participant service costs.**

The graph shows that 60.6% of the \$1,787,300 for participant services have been obligated. This is a positive trend and favorable trend for the program. If ResCare continues this rate of obligation, it is projected to use its entire contract amount by June 30, 2020.



Reflects the ResCare's PY19 pending contract amendment budget.

Source: ResCare Workforce Services and SAWDB Fiscal Agent

WIOA Youth Services

Provider: YDI (Youth Development, Inc)

Presentation to Southwestern Region CEO Board

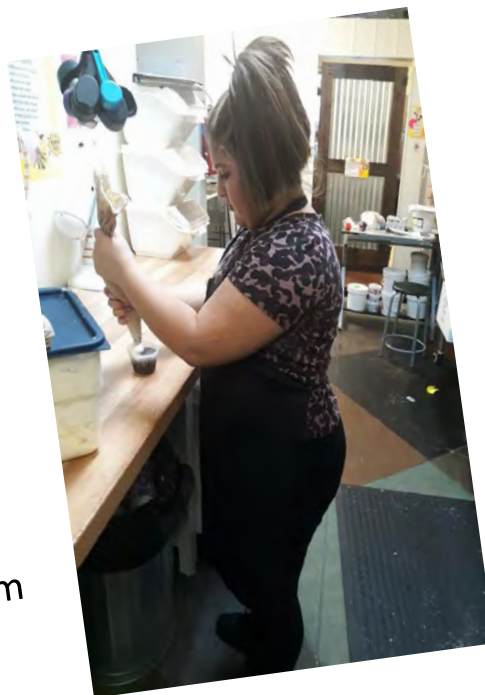
December 13, 2019

WIOA Youth Services

171



Kayla, 18
Senior at Mayfield HS
Working at Real Estate Firm



Alexis, 18
Junior at Centennial HS
Working at Busy B's Custom Cakes



Emilio, 18
DACC ABE Program
Working at Busy B's Custom Cakes

Mod3 (\$80,000)

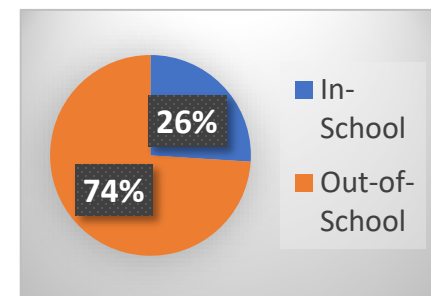
- Staffing
 - Eliminated Associate Director position
 - Decreased Vice-President % of time
 - Decreased work hours for Hidalgo CA due to late hire
 - Added a Business Practitioner
- Operational
 - Cover unanticipated costs related to computer equipment, travel, furniture for new offices, leases for new offices, and staff onboarding costs (staff turnover)
 - Increase in Indirect Cost Rate due to increase in total budget
- Program
 - Increased total number of participants in paid work experience element by 9
 - Coverage of work experience wages for carry-in participants

COUNTY	IN SCHOOL ENROLLMENTS	OUT OF SCHOOL ENROLLMENTS	TOTAL YEAR ENROLLMENTS	IN SCHOOL WORK PLACEMENTS	OUT OF SCHOOL WORK PLACEMENTS	TOTAL YEAR WORK PLACEMENTS
Catron	5	10	17	5	10	15
Dona Ana	30	90	120	24	85	109
Grant	11	32	45	11	32	43
Hidalgo	5	14	15	5	14	19
Luna	10	29	39	8	28	36
Sierra	8	22	30	6	21	27
Socorro	9	25	36	9	25	34
TOTAL	78	222	300	68	215	283

WIOA Youth Services

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WIOA YOUTH – PY19 –			
	CARRY-IN	NEW	TOTAL
IN-SCHOOL	77	78	155
OUT-OF-SCHOOL	152	222	374
TOTAL	229	300	529



New Enrollments	1 st Q	Oct/Nov	TOTAL
Catron	1	0	1
Dona Ana	12	19	31
Grant	5	0	5
Hidalgo	0	3	3
Luna	1	5	6
Sierra	0	6	6
Socorro	5	5	10
TOTAL	24	38	62

*Pending approvals = 7

WIOA Youth Services

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Work Experience Placements:

County	In-School	Out-of-School	Total
Catron	1	0	1
Dona Ana	2	2	4
Grant	0	2	2
Hidalgo	0	0	0
Luna	1	0	1
Sierra	0	1	1
Socorro	2	3	5
Total	6	8	14

*48 in process

Thank you to
our
worksites!

Real Estate Firm
Cruces Creative
Busy B's Custom Cakes
The Village of Santa Clara Library
M&M Bayard Auto Services
City of Lordsburg
Farmers Insurance

Columbus Fire Department
Latitude 33
Animal Haven Vet Clinic
Solaro Energy
Socorro Public Library
Socorro Animal Shelter
Socorro Firehouse

New Mexico
Workforce Connection

WIOA Youth Services

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YDI focuses on addressing barriers and skill development before a placement is made. Employability Skills Training and Tutoring (if BSD) is required before a work placement is made.

Employability Skills Training (Why I Work – Interest assessment)

Tutoring (20 hours total – 10 hours before placement)

Work Placement (SMART) (opportunity for long term placement)

- Better prepares participant for successful placement
- Identifies career interest or pathway
- Increases completion rate
- Creates better opportunity for long term placement
- Decreases further need for assistance in program

WIOA Youth Services

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Challenges

- Staff turnover – requires coverage by Managers
- Office space for managers
- Internet connection in some offices
- Participants lacking eligibility documentation
- No shows to appointments or participants not qualifying
- Re-engagement of participants
- Working through previous audit correction needed
- Educating partners/community of YDI methods and role as youth provider
- YDI learning different processes & procedures of Southwestern Region

Successes

- Gaining momentum with enrollments
- Presentations increasing ~85
- Partnerships increasing
- Employer outreach increasing – 102 contacted
- Changing mindset of youth workforce development

Plans

- Enrollments
- Partnerships
- Worksites
- Staff training and support
- QA of program and participants
- Tracking
- Placements
- Supportive Services

New Mexico
Workforce Connection

A Proud Partner of the American Job Center Network



Communications & Outreach

Social Media Posts for August & September 2019

- Social media posts to our EmployNM website, Facebook, and Instagram for the month of August & September total **320 posts**

October 16, 2019 Job Fair at Las Cruces Convention Center

- In collaboration with the City of Las Cruces and the Division of Vocational Rehabilitation
- Over **60 employers** registered and approximately **280 job seekers** attended



In addition to seeing local employers, employers from El Paso, Albuquerque, and other areas in the New Mexico attended



White Sands Missile Range
Apply at: <https://www.usajobs.gov/>

White Sands Missile Range is hiring!
Are you looking for a dynamic, challenging, and rewarding career?
WSMR is in immediate need of Security Guards for our Site Defense Force.

Considerations for Security Guard position:

- Have you ever been enrolled in a Personnel Reliability Program?
- Have you been involved in a DUI, DWI, disorderly conduct, etc?
- Can you obtain and maintain a Secret Security clearance?
- Can you pass an annual physical exam?

Benefits:

- Retirement:** Thrift Savings Plan (TSP) with matching
- Health Benefits:** Federal Employees Retirement System (FERS), Federal Employee Health Benefits (FEHB), Dental and Vision Benefits, Flexible Spending Accounts, Life Insurance, Long-Term Care Insurance

Work Life:

- Alternative
- Voluntary Program
- Employee Assistance Program
- Health and Wellness
- Legal & financial services
- Army Community Support tools for m
- Onsite Training
- On Post Housing At Balfour Beatty at 5
- Childcare Program
- Child & Youth Serv 678-2441.
- White Sands Elem Middle School, Lav Public Schools, K-8



**SPRINGHILL SUITES®
MARRIOTT**

**Housekeeping / Room Attendant
QUALIFICATIONS**

- Prior Experience preferred but not required
- Bilingual preferred but not required
- Ability to learn
- Ability to stand for 8 hours
- Ability to work flexible days and hours including weekends and holidays
- Ability to bend, stoop and kneel for low area cleaning
- Ability to push approximately 150 pound loaded cart
- Ability to follow instructions and procedures including but not limited to safety, cleaning, lost and found, equipment usage, & chemical usage



Technical Assistance & Trainings

SOUTHWESTERN AREA WORKFORCE DEVELOPMENT BOARD
 Adult & Dislocated Worker Services and Youth Services
Technical Assistance and Trainings
 for the period of July 1, 2019 –September 30, 2019

TECHNICAL ASSISTANCE

<u>Program</u>	<u>Sessions</u>	<u>Hours</u>
Adult & Dislocated Worker	543	135.75
Youth	71	17.75
Alamo Youth	30	7.5

TRAININGS

<u>Program</u>	<u>Dates of Trainings</u>	<u>Training Topics</u>
WIOA Adult & Dislocated Worker	August 14, 2019	State provided Supportive Service Training
Youth	August 15, 2019	State provided Supportive Service Training
WIOA Adult, DW and Youth	October 10, 2019	Customer Relationship Management (NMWCOS)

SOUTHWESTERN AREA WORKFORCE DEVELOPMENT BOARD

Adult & Dislocated Worker Services and Youth Services

Service Provider Goals vs. Actuals

for the period of July 1, 2019 – September 30, 2019

Year End Complete is 25%

Alamo Navajo School Board Youth

Program	Annual Participant Goals	Actual Participants Enrolled in Training YTD	Percent
Youth In-School	10	8	80%
Youth Out-of-School	20	7	35%

SUMMARY

	Budget	YTD Expenditures	Balance	Percent
In School	\$36,125.00	\$22,968.05	\$13,156.95	64%
Out of School	\$108,875.00	\$7,656.02	\$101,218.98	7%
Total Budget	\$145,000.00	\$30,624.07	\$114,375.93	21%

SOUTHWESTERN AREA WORKFORCE DEVELOPMENT BOARD
 Adult & Dislocated Worker Services and Youth Services
Service Provider Goals vs. Actuals
 for the period of July 1, 2019 – September 30, 2019

Youth Development, Inc. Youth

Program	Annual Participant Goals	Actual Participants Enrolled in Training YTD	Percent
Youth In-School	74	13	18%
Youth Out-of-School	226	14	6%

SUMMARY

	Budget	YTD Expenditures	Balance	Percent
In-School Youth	\$351,930.00	\$34,194.68	\$317,735.32	10%
Out of School Youth	\$1,530,070.00	\$112,641.15	\$1,417,428.85	7%
Total Budget	\$1,882,000.00	\$146,835.83	\$1,735,164.17	8%

SOUTHWESTERN AREA WORKFORCE DEVELOPMENT BOARD

Adult & Dislocated Worker Services and Youth Services

Service Provider Goals vs. Actuals

for the period of July 1, 2019 – September 30, 2019

ResCare Adult & Dislocated Worker

Program	Annual Participant Goals	Actual Participants Enrolled in Training YTD	Percent
Adult	214	86	40%
Dislocated Worker	237	19	8%

SUMMARY

Program	Participant Training Line Item Budget	Obligations	Balance	Percent
Adult	\$780,900.00	\$426,031.96	\$354,868.04	55%
Dislocated Worker	\$1,006,400.00	\$101,776.88	\$904,623.12	10%

WIOA Adult Program	Budget	YTD Expenditures	Balance	Percent
Participant Training	\$780,900.00	\$203,025.04	\$577,874.96	26%
Operating	\$779,100.00	\$285,000.01	\$494,099.99	37%
Total Budget	\$1,560,000.00	\$488,025.05	\$1,071,974.95	31%

WIOA Dislocated Worker Program	Budget	YTD Expenditures	Balance	Percent
Participant Training	\$1,006,400.00	\$20,572.42	\$985,827.58	2%
Operating	\$1,000,600.00	\$105,741.54	\$894,858.46	11%
Total Budget	\$2,007,000.00	\$126,313.96	\$1,880,686.04	6%

SOUTHWESTERN AREA WORKFORCE DEVELOPMENT BOARD

Adult & Dislocated Worker Services and Youth Services

Service Provider Goals vs. Actuals

for the period of July 1, 2019 – September 30, 2019

ResCare One-Stop Operator

SUMMARY

WIOA Adult Program	Budget	YTD Expenditures	Balance	Percent
Adult	\$135,000.00	\$24,013.02	\$110,986.98	18%
Dislocated Worker	\$85,000.00	\$5,930.34	\$79,069.66	7%
Youth	\$50,000.00	\$12,692.82	\$37,307.18	25%
Total Budget	\$270,000.00	\$42,636.18	\$227,363.82	16%



Fiscal Agent Report

Southwestern Area Workforce Development Board
Workforce Innovation and Opportunity Act
Balance Sheet
September 30, 2019

WIOA

ASSETS:

Cash and cash equivalents	\$ 77,873
Accounts Receivable-Grants	263,391
Total assets	<u>\$ 341,264</u>

LIABILITIES AND FUND BALANCE:

Accounts payable	\$ 341,264
Deferred Revenue	-
Total liabilities	<u>341,264</u>

Fund Balance

Unreserved and designated for future expenditures	-
Total fund balance	-
Total liabilities and fund balance	<u>\$ 341,264</u>

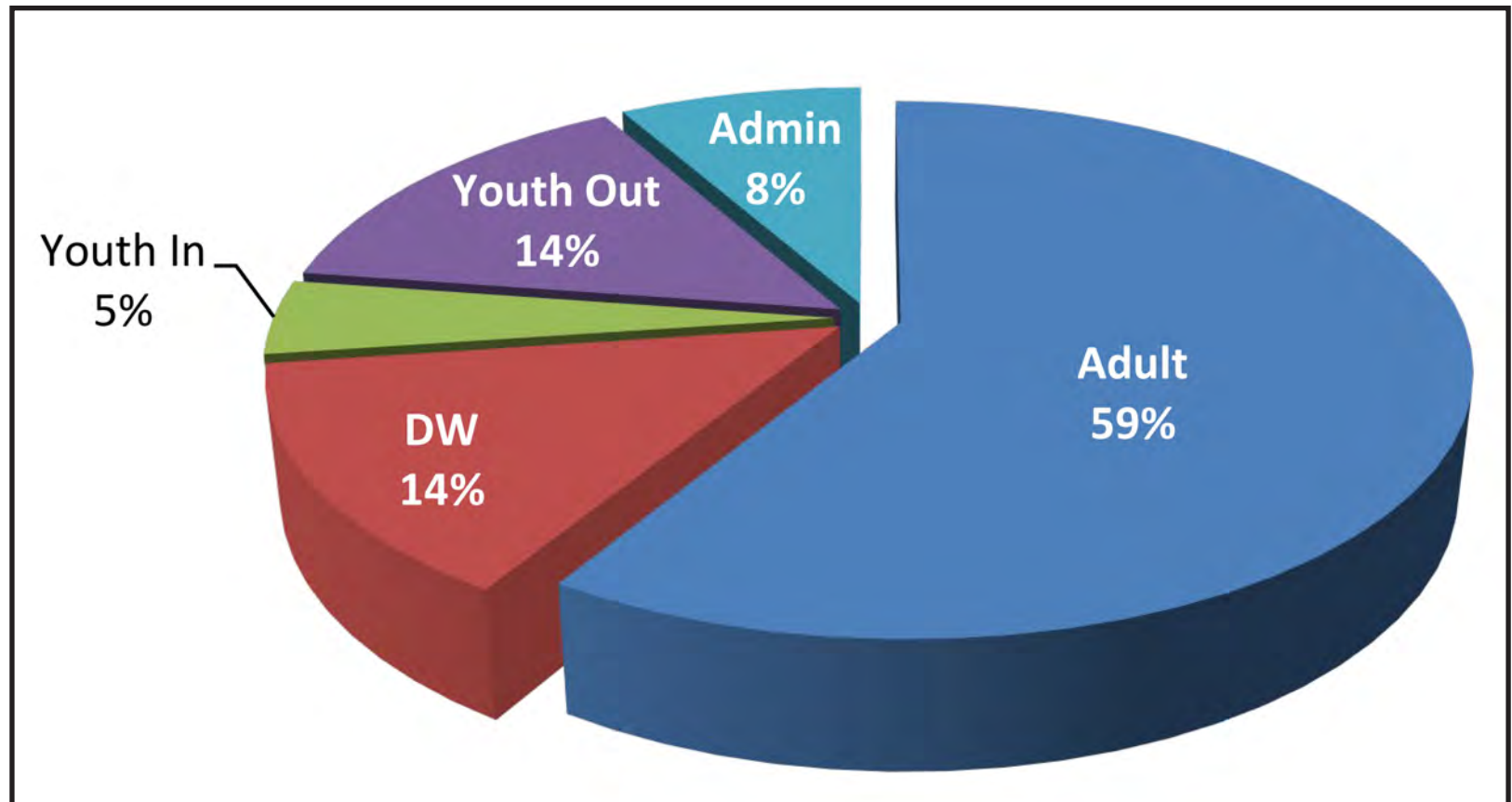
Southwestern Area Workforce Development Board
Workforce Innovation and Opportunity Act
Statement of Revenues, Expenditures, and
Changes in Fund Balances - Budget (GAAP Basis) and Actual
For the Fiscal Year Ended September 30, 2019

	<u>Budget</u>	<u>Actual</u>	<u>Variance</u>
Revenues:			
Federal grants	\$ 7,754,985	1,138,078	6,616,907
Expenditures:			
Employment services:			
Program Year 19/Fiscal Year 20			
Adult	1,186,024	-	1,186,024
Dislocated Worker	2,003,131	-	2,003,131
Youth	1,721,110	-	1,721,110
Administration	545,585	-	545,585
Program Year 18/Fiscal Year 19			
Adult	893,752	669,111	224,641
Dislocated Worker	524,556	159,600	364,956
Youth	514,102	215,734	298,368
Administration	366,725	93,633	273,092
Total general governmental	<u>7,754,985</u>	<u>1,138,078</u>	<u>6,616,907</u>
Excess (deficiency) of revenues over expenditures	-	-	-
Fund balance, beginning of year	<u>-</u>	<u>-</u>	<u>-</u>
Fund balance, end of year	<u>\$ -</u>	<u>-</u>	<u>-</u>

Southwestern Area Workforce Development Board
Workforce Innovation and Opportunity Act
September 30, 2019

Expenditures by Fund

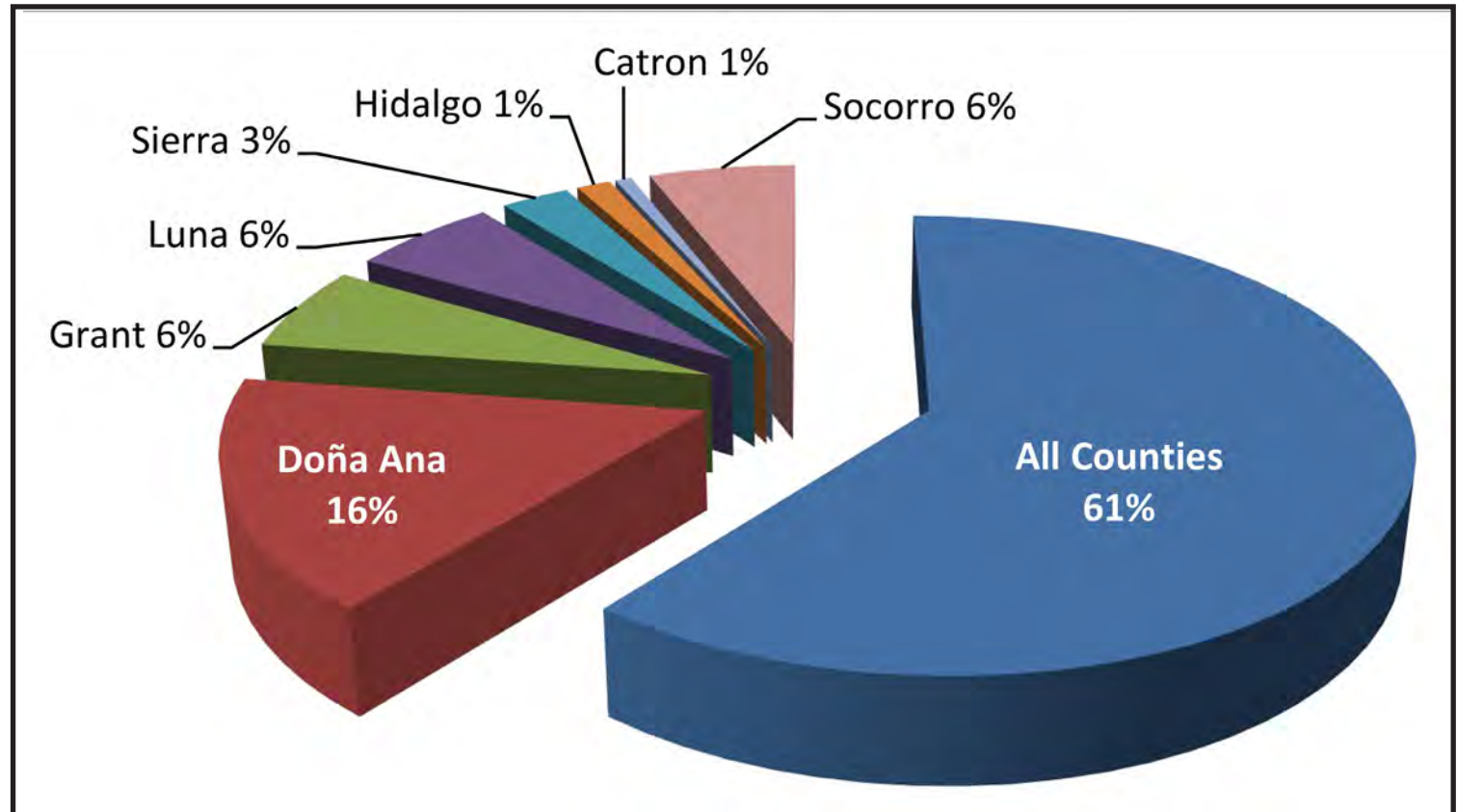
<u>Adult</u>	<u>DW</u>	<u>Youth In</u>	<u>Youth Out</u>	<u>Admin</u>
\$ 669,111	\$ 159,600	\$ 51,419	\$ 164,315	\$ 93,633



**Southwestern Area Workforce Development Board
Workforce Innovation and Opportunity Act
September 30, 2019**

Expenditures by County

<u>All Counties</u>	<u>Doña Ana</u>	<u>Grant</u>	<u>Luna</u>	<u>Sierra</u>	<u>Hidalgo</u>	<u>Catron</u>	<u>Socorro</u>
\$ 692,251	\$ 187,649	\$ 69,320	\$ 67,151	\$ 31,246	\$ 15,765	\$ 7,529	\$ 67,167



2020

JANUARY

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31						

JUNE

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SEPTEMBER

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OCTOBER

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NOVEMBER

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29	30					

DECEMBER

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13	14	15	16	17	18	19
20	21	22	23	24	25	26
27	28	29	30	31		