



Capital Region Workforce Investment Board Comprehensive Three-Year Plan

July 2005 - June 2008

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I. Local Workforce Investment Area Profile

By its very composition, the Local Workforce Investment Board (Local Board) facilitates a partnership approach to meeting the needs of business, providing career opportunities for workers, and assuring meaningful education and employment experiences for youth. Board composition should align with an approach to workforce development which recognizes workforce development as an economic development tool.

The Workforce Investment Act (WIA) requirement to develop a Comprehensive Local Plan (Local Plan) offers Local Boards the opportunity to re-evaluate their current system's delivery of employment and training services in light of economic shifts, new initiatives, new mandates, and its vision for the economic and workforce development of the area. In accordance with the flexibility granted to the states, this planning guidance is provided to assist local areas in the development of a three-year plan. Creating a meaningful three-year plan is an opportunity for the Local Board to reprioritize and incorporate changes into a local system that will guide and inform the delivery of services over the next three years. The Local Plan is the key to supporting strategic activities that will result in achieving a workforce system that provides high quality services to its business and job-seeking customers.

Strategic planning for your local area should also include a regional focus. To the extent that local areas share similar population trends, emerging or declining industries, education resources, transportation needs and other economic or workforce challenges or to the extent that regional planning efforts could result in the sharing of labor market information or the provision of services across boundaries, it will be beneficial to include a regional outlook and perspective in this plan development.

Planning strategically for the future requires an assessment of the previous five-year plan and how effective the plan was in accommodating the needs of the current workforce system. The evolution of the local workforce system through the previous five-year plan is the foundation for determining how the local area will move forward in providing services, meeting performance standards and meeting the economic and workforce challenges of the communities it serves.

Complete the Profile by including both data elements and narrative statements in the following table to present a clear picture of the state of your local workforce area and One Stop system.

Local Workforce Investment Area Profile

1. Provide an overview of the current population in your local workforce investment area:

#	<u>593,658</u>	Population (Total, all ages)
#	<u>391,490</u>	Population of labor force age (15-64)
#	<u>84,029</u>	Population age 15-24 (Emerging labor force)
#	<u>115,494</u>	Population age 0-14 (Children)

Comment on the challenges that have emerged as a result of population shifts and trends and the changing demographics and characteristics of the local workforce. Describe how the One Stop system will respond to these challenges.

The Capital Region, like much of New York State reflects both the challenges and the opportunities facing workforce development. It has and continues to undergo a radical change in the composition of its workforce and demand occupations. Historically the region has had a significant number of government, manufacturing, education, service and healthcare industries. Manufacturing has significantly declined over the past ten years, resulting in a substantial dislocation of its worker base. Many of these manufacturing skilled workers have aged out of the workforce.

The Capital Region continues to benefit from a strong government employee base, a revitalized and growing tourism industry, an extensive network of higher educational institutions and a number of highly recognized medical facilities. These factors result in a level of economic stability not shared by many other regions of the State.

There is perhaps nothing more promising and challenging to workforce development in the Capital Region than the current technological revolution, reflected in the growth of the biotechnology and nanotechnology industries. The influx of technology industries into the Capital Region requires a transformation of the workforce system as it moves to the future. While firmly committed to achieving excellence in traditional workforce services, new technologies will require new approaches to workforce development. The future of the Capital Region's workforce will require new approaches to training the displaced and incumbent workers for emerging technologies, working more closely with businesses in career ladder program development, and training existing and emerging workers in basic skills development. This will not only provide workers with opportunities for advancement, but will also benefit employers with a workforce that has a more aligned skill set.

We anticipate ongoing expansion for workforce opportunities in health care, government, information technology, education, construction, medical device manufacturing and small business. As we continue to align our training with the needs of these industries, a stronger workforce development system will emerge.

The Capital Region, along with our 3 surrounding Workforce Investment Areas, has emerged as one of the most promising centers for growth in the nanotechnology industry in the nation. This industry is such a radical conceptual transition from traditional industries that it presents a unique challenge to both economic and workforce development. Every aspect of workforce development will be influenced by the unique nature of nanotechnology. It offers the opportunity for a regional infusion of significant levels of public and private funding. The relocation of numerous collateral support industries, the creation of a dynamic and attractive market economy and a global market presence will present unique workforce opportunities to the region. It also provides the workforce development system with a very significant human capital challenge. Growth of this industry over the next ten years will require systemic changes in the educational system, a transformation of local planning and policy development and the development of entirely new models of workforce training.

Some of the key implications are:

- Major changes in the scope and level of cooperation between the private and public sector will continue to be required.**
- The entire educational system will need to develop new models for a nanotechnology workforce - one that crosses all disciplines. This alone will require significant investment in teacher training and curriculum development.**
- There must be the recognition that levels of competitiveness in the nano field is global and so local, county and state policies must be adjusted accordingly.**
- The pace of development in the industry and global competition require broad based investment in human capital training.**
- The development of the nanotech industry in the region will have a major workforce impact on other industries requiring mid to high level skilled workers.**
- There is significant danger of a deficit in the workforce pipeline if there is not a sense of immediacy in addressing the human capital issues.**

The long-term growth rate of the local economy falls short of the national pace. Business, government and educational leaders are working aggressively to turn the Capital Region into a center of high-tech innovation and production. This high growth initiative will complement the area's more stable base, while raising our economic metabolism.

The total population within this WIA is 593,658 individuals. Of these 286,134 (48.20%) are male and 307,524 (51.80%) are female. With 86% of its population being white, the Capital Region WIA has the highest minority population in the region.

The current and emerging workforce is 191,884 males and 198,291 females.

For the population over 25, only 14.42% of the workforce did not have a high school diploma and 27.50% of the males and 31% of the females have attained a high school diploma or equivalency. Individuals holding a college degree is the highest of all the other regional WIBS.

The unemployment rate is 6.85% for males and 5.47% for females.

Within the Capital Region WIA the employed civilian male population over 16, the top five industries for employment are public administration; retail trade; manufacturing; construction and educational services. For the female population, the profile is somewhat different with health care and social services; educational services; public administration; and retail trade holding the predominant positions.

The top five occupational levels of employment for males are management, professional and related occupations, service occupations, office and administrative support occupations, sales and related occupations, and transportation and material moving occupations. For females, the exception is a significantly higher number involved in office and administrative support occupations.

The Capital Region WIA has the second highest median household income of \$42,917 and the second lowest percentage of households with incomes of less than \$24,999. The poverty level for individuals is 10.41%.

Sixty-six percent of the workers worked in the county of residence while the remainder worked outside the county.

The Capital Region WIA continues to develop a strong marketplace with the addition of high level skilled positions directly tied with its participation in the Tech Valley initiative as well as an extensive State government bureaucracy; and with the education, legal, technology and healthcare sectors. With a significant percentage of its workforce population involved in these sectors, the area has a competitive marketplace with regard to its skilled workforce.

Recent workforce development surveys conducted by the Capital Region WIB have supported the fact that human capital development will be one of the most significant factors influencing economic growth during the early 21st century. Without an aggressive and defined workforce development training and skill acquisition program, both local and regional business will become less and less competitive and fail to meet the challenge of the global marketplace.

Every formal and informal survey conducted by the Capital Region WIB has identified that job skills were a key workforce development issue for blue-collar, administrative support, and professional, technical and managerial workers. Job-specific skill deficiencies of both job applicants and incumbent workers were cited more frequently than any other kind of skill deficiencies, and manufacturing companies expressed the most significant problems in this regard.

In a survey of business leaders conducted under the previous plan, the WIB found a strong consensus that one of the most critical needs was for training in both soft skills and technical skills, particularly in healthcare occupations and biotechnology, and projected for nanotechnology. The projection of the Greater Capital Region becoming a high tech center will also mean an increase in related businesses, supplier businesses, construction, and service industries. The challenge facing the four Boards of the Greater Capital Region over the next three years will be to maximize the human capital that will be available so that businesses will have access to a skilled workforce.

Recent Activities and accomplishments to address local workforce concerns include:

- **Implementation of an internet-based project to address the career needs of the WIA-registered customers to the One Stop Centers. The Career Portal assists jobseekers and those interested in career advancement in identifying career ladders in occupations that are appropriate for their skills and abilities.**
- **Grant writing for a regional biotechnology skills mapping project and the development career ladder initiative with Albany Molecular, Boston Scientific, Taconic Farms and Albany Medical Center as part of its Career Mapping initiative.**
- **Ongoing use of E-Learning for incumbent workers and job seekers. The Capital Region WIB has offered e-learning as an option for training for over 3 years. Using licenses obtained from NY Wired for Education to access a catalog with a wide variety of courses, over 1,300 incumbent workers from more than 60 businesses have made use of this valuable ‘on-the-job’ training tool.**
- **Completion of an employer skills survey showing the need for a soft skills training. The Capital Region WIB, Youth Council and One Stop Centers are looking to pilot a worker certification program during the coming year based on the work of the State WIB and also incorporating parts of a curriculum used in the other WIBs of the Greater Capital Region.**
- **Conducted, in conjunction with three other workforce boards two major workforce summits that had participants from business, economic development and education leaders. These conferences established a regional vision and statement of some critical workforce issues facing the region.**

“This is a quality program and I’m very pleased that we were able to offer it to a large group of our managers. Any opportunity for on-the-job training is valuable, and in today’s workplace, on-line learning is convenient and cost-effective. Supplementing individual learning with group discussion and encouraging the managers to share their experience in the AMC workplace strengthens our e-learning program and makes it unique,” says Catherine Halakan, Senior Vice President for Human Resources Albany Medical Center

- **Adopted a revised demand occupations list to assist in targeted training for staff and customers.**
- **Assisted businesses to obtain major grants for training and manufacturing efficiencies.**

The four WIBs of the Greater Capital Region agree that the most important task during the upcoming 3 years will be to continue to develop a regional approach to our of the workforce challenges. Businesses clearly express that most workforce and economic development issues cannot effectively be approached as C\county specific issues, and that there are more similarities in needs than differences that separate us, and that these will benefit from a regional strategy.

As was underscored in the recent Greater Capital Region State of the Workforce Report, it is the intent of the four WIBs to, whenever appropriate, consolidate resources and efforts to effect a shared vision of a well trained, accessible and highly motivated workforce. It is the intent of the Board to incorporate the regional recommendations found in the State of the Workforce Report into the initiatives articulated within this plan resources and efforts to effect a shared vision of a well trained, accessible and highly motivated workforce. It is the intent of the Board to incorporate the regional recommendations found in the State of the Workforce Report into the initiatives articulated within this plan.

Some of these key recommendations include:

- **Identifying and publishing a comprehensive regional list of program resources.**
- **Identifying new program and funding alternatives to traditional programs for dislocated and underemployed workers.**
- **Collaborate with business leaders on development of “Centers of Excellence” and increase efforts for new career ladders and other training opportunities.**
- **Developing strategies to retain the participation and skills of the older workforce through changes in current business practices.**
- **Increasing the opportunities for minority participation in high growth, high wage industries.**
- **Identifying strategies to increase participation rates and opportunities for discouraged workers who have left the workforce.**
- **Establishing more formalized joint strategic planning efforts between the Workforce Investment Boards and the economic development agencies.**
- **Conducting a detailed study on the impact of emerging industries on the current workforce. Identify potential workforce supply issues and develop methods to address those issues.**
- **Increasing the availability of Soft Skills Training Programs on a regional basis.**

- **Coordinating a regional Business and School Summit to facilitate business leaders and senior educational personnel identifying the workforce needs of the next decade.**
- **Convening a meeting of technology and nanotechnology leaders with the community colleges and BOCES leaders to draft a work plan to develop certificate programs that will be essential for industry workers in these fields.**
- **Establishing addition business and school partnerships to identify and implement new programs that will increase local business and school cooperation and expand student skills for workforce participation.**
- **Implement new programs that will increase local business and school cooperation and expand student skills for workforce participation.**
- **Continuing efforts to educate community planning agencies and local government officials on the importance of workforce development for the economic health of our region.**

It is our hope that this Plan will point the way for increased cooperation among all those who are concerned with workforce development and, building upon the efforts of the past, create a stronger and more highly trained workforce of the future.

Note: *The population data requested is Census 2000 data. It may be found on the following website: <http://www.census.gov>. Click on American FactFinder. Select your state. Then type your county or city; click Go. An age breakdown of the population is available by clicking on "show more."*

Workforce Investment Board: Capital Region

Provide the annual average unemployment rates and labor force participation rates for the past five Calendar Years (CY).

	CY 2001	CY2002	CY 2003	CY 2004
<i>Unemployment rate (%)</i>	3.0	3.7	4.0	3.9
<i>Labor Force</i>	313,427	316,622	316,460	320,087
<i>Employment</i>	304,080	305,013	303,934	307,585
<i>Unemployment</i>	9,347	11,609	12,527	12,502

Note: After April 15, 2005, annual average unemployment rates and labor force, employment and unemployment levels may be found on the NYS Department of Labor's website: <http://www.labor.state.ny.us> Click on Labor Market Information. Click Data, and then click Unemployment Rates and Labor Force (LAUS). Estimates are provided for counties, cities and towns of 25,000 population or larger.

Workforce Investment Board: Capital Region

Provide the total number of WIA Adults, WIA Dislocated Workers, WIA Older Youth, WIA Younger Youth and Wagner-Peyser funded customers served by your LWIA for the past four years and planned service levels for PY 05.

Total Number Served	PY 01	PY 02	PY 03	PY 04	Planned PY 05
WIA Adults	547	1,103	1,312	1,337	1,236
WIA Dislocated Workers	1,268	1,340	2,630	2,103	948
WIA Older Youth	95	78	90	66	80
WIA Younger Youth	326	529	605	524	581
Wagner-Peyser Funded Customers*	n/a	15,454	18,378	15,747	14,912

Note: The total numbers served for WIA Title IB are in the WIA Annual Reports. PY04 WIA Title IB data is found through the most recent WIA Quarterly Report.

*Please consult with the Wagner-Peyser LWIB member for assistance in obtaining and understanding Wagner-Peyser numbers.

2. The local One Stop system, as defined through our local One Stop recertification process, is currently composed of:

- # 2 Certified Full-Service One Stop Centers
- # 1 Affiliate Sites (as defined by your local area)
- # 4 Other Access Points to the system
(Schenectady Community Action Program (SCAP), Veteran’s Center, Albany County DSS and Women’s Employment Resource Center (WERC))

Describe the criteria used to identify Affiliate Sites.

All WIA required Partners and other members of the Capital Region Partners Table have the option to apply to be Affiliate Sites. Most have opted to participate through co-location or services offered in the county-based One Stop Centers. The WIB has developed as set of criteria for the certification of affiliate sites based on the NYSDOL/NYATEP Toolkit. The WIB operates 3 One Stop Centers. Only the Albany One Stop Center was reviewed and certified by the State. The Troy and Schenectady centers have been approved by the WIB.

Workforce Investment Board: Capital Region

Describe how the scope of the One Stop system has evolved over the duration of the previous five-year plan and identify how the system's ability to sustain and grow services has been impacted by available federal resources and the board's ability to leverage resources.

The Capital Region has had three full service one stop centers for the past 5 years, on in each of the three counties. The largest center is Career Central in Albany. The Albany and Schenectady office completed the formal certification process, while Rensselaer will complete the process in PY 05. A variety of partner agencies participate in the one stop centers and contribute to the operation of those centers. As allocations for both Wagner Peyser and WIA shrink, it will be difficult to maintain the same level of infrastructure without drawing additional support from partners. This has been difficult in the past. Additionally, the one stop centers are looking at entrepreneurial activities to help support the centers.

What are the Board's plans to adjust services available through its One Stop system based on their projection of available resources?

The Board will evaluate the funding levels, partnerships and usage at the three centers. Each center will offer more group and self-service activities and plan to encourage more partner co-location at the centers.

3. *List the mandated and non-mandated partner programs which have been "key" to supporting your system during the past five years through cash, in-kind resources and/or through the integration of staff to provide workforce services at the One Stop centers. Here, the term One Stop system refers to the workforce, educational and human service entities which receive public funding to collaborate on the delivery of services designed to improve the employment outcomes of its customers.*

- | | |
|--|----------------|
| 1) Wagner Peyser | 6) DSS |
| 2) VESID | 7) CDTA |
| 3) Adult Literacy Providers
(Adult Learning Center, Questar BOCES | 8) WERC |
| 4) Programs for Aging | |
| 5) Job Corps | |

Identify the mandated and non-mandated partner programs whose active participation in the One Stop system and One Stop centers the Board seeks to strengthen over the next three years through enhanced efforts to leverage resources and integrate staff :

- 1) **Educational Providers – Community Colleges and 4 year colleges**
- 2) **TANF**
- 3) **Wagner Peyser**
- 4) **Additional Adult Literacy Programs**
- 5) **Local Housing Authorities**

Identify non traditional partners, including economic development, faith based and certain community organizations, with whom the Board plans to initiate or strengthen its relationship in furtherance of the strategic objectives set forth in the plan:

- 1) **The Assisi Group (an Albany-based interfaith organization), ARISE**
- 2) **High Tech related organizations and committees**
- 3) **Albany IDA, Schenectady IDA, Business Improvement Districts (BIDs)**
- 4) **Chambers of Commerce, Community Colleges, Small Business Development Center**
- 5) **Rensselaer Gateway Development Corp, Hoosick Area Church Association**
- 6) **Schenectady Weed & Seed, Schenectady Metroplex, Neighborhood Associations**

4. *Beyond standard WIA formula allocation, identify other grants, awards and funds that the local area has leveraged to support workforce needs and, in particular, training initiatives in the local area (e.g., state-level WIA grants, state funded grants, private/foundation grants, private sector support that provide additional funding to the area's budget). Identify by funding source and total dollar amount.*

The Capital Region WIB has been pro-active in securing grants available through a number of sources. First, CRWIB has been very successful with the NYSDOL grants. Following is a list of grants received:

**Building Skills in NYS (32-I)
\$ 3,556,427**

Capital Region WIB Businesses Awarded

BUSINYS was an effort to support employer strategies and local efforts for lifelong learning for the development of the worker by providing funds for upgrading the skills of those workers. The program funded projects that would solve workforce problems by:

- **addressing identified skilled worker shortages within an industry or within a single employer's establishment, and**
- **promoting skills upgrading for their current workforce.**

**Manufacturing Grant (62-G)
\$ 2,300,000**

Capital Region WIB Awarded

New York State is committed to ensuring that its manufacturing industry is afforded every opportunity to sustain, grow and strengthen. One effort was to develop a ready supply of highly skilled workers for the manufacturing industry. Therefore, the Governor authorized funds of up to \$15M be available through the New York State Department of Labor for training current and newly hired workers for in demand jobs in the Manufacturing Industry in New York State. The Capital Region WIB staff submitted a proposal on behalf of a consortium of 57 manufacturing businesses.

**High-Tech Workers (58-G)
\$ 1,638,119**

Capital Region WIB Businesses Awarded

This initiative was designed to assist the High-Tech Industry in the Capital Region to stay competitive in the global economy.

**Smart New York (14-K)
Awarded \$ 567,283**

Capital Region WIB Businesses

Businesses applied for the Smart NY grant which provided money to large manufacturers with more than 100 employees. The purpose is to strengthen and support the manufacturing sector by providing funds to train workers in the applicant businesses.

**Smart New York (17-K)
Awarded \$ 80,200**

Capital Region WIB Businesses

This grant is similar to 14-K described above, but is for small to medium manufacturers (100 employees or less). Two local applications have been approved. This RFP is ongoing.

**Building Skills in New York State (25-L)
August 1, 2005**

Awards will be announced

BUSINYS will provide funds to businesses to train incumbent workers in specific skills needed by that business or industry, which will lead to potential career growth and increased wages. The applicant must demonstrate that the training will result in the workers' acquisition of transferable skills. Funds will be made available to small, medium and large businesses to ensure that businesses of all sizes will have the opportunity to benefit from the program. Awards for individual proposals may not exceed \$50,000.00.

**Strategic Training Alliance Program
Awarded \$ 141,548**

Capital Region WIB Businesses

STRAP was created as part of Governor Pataki's Jobs 2000 legislation to identify and address employer demands for skilled workers. The program seeks to fund projects that are structured to solve common workforce problems by:

- addressing identified skilled worker shortages within an industry or within a single employer's establishment,
- promoting skills upgrading for incumbent workers, particularly upgrading skills for high technology jobs, and
- ensuring New York State's employers can be provided with a skilled and qualified workforce to meet their business needs.

**Accelerate New York (32-J)
Awarded \$200,000**

Capital Region WIB

The purpose of this grant was to help New York State's small and medium-sized businesses to develop, update, or modify their Strategic Business Plans, and identify and prioritize their related staff training needs. Our partners in this grant were the Center for Economic Growth and MDI Associates who assisted businesses with their plans.

E-Learning

- 954 incumbent workers from 30 local businesses received soft skills training through E-learning, via a State funded competitive E-learning pilot project.
- 405 incumbent workers from 48 local businesses received soft skills training through E-learning, via E-learning licenses obtained through the One-Stop Centers.

The CRWIB has as a region applied for a number of federal grants for high growth initiatives and plans to continue to do so.

Other regional grants are as follows:

Program	Period	Funding Source	Total Award
<u>Capital Region Gang Prevention</u>	1/02 – present	NYS DCJS	\$215,624
<u>Disabilities Program Navigator</u>	2002 – present	NYS Department of Labor	\$75,000
<u>TANF – Summer Youth Employment Program</u>	7/05 – present	NYS OTADA	\$549,775
<u>TAA</u>	3/05 - present	US DOL	\$64,420

Workforce Investment Board: Capital Region

In addition, in Albany City and County other funds include:

Program	Period	Funding Source	Total Award
<u>AmeriCorps</u>	<u>1994-present</u>	<u>NYS Office of Children & Family Services NYS Corps Collaboration</u>	<u>\$3,177,051</u>
<u>CDBG –</u>			
<u>Youth Resource Center</u>	<u>1993 - present</u>	<u>Albany Community Development Agency</u>	<u>1,400,00</u>
<u>Youth Bureau</u>	<u>1998 - present</u>	<u>NYS Office of Children and Family Services</u>	<u>480,000</u>
<u>YouthBuild</u>	<u>2000 - present</u>	<u>Housing and Urban Development</u>	<u>1,350,000</u>
<u>Green Team</u>	<u>1999 – present</u>	<u>NYS Department of Labor</u>	<u>850,000</u>
<u>JTPA/WIB/TANF</u>	<u>1999 - present</u>	<u>NYS Department of Labor</u>	<u>870,161</u>
<u>Truancy Abatement</u>	<u>8/04- present</u>	<u>NYS DCJS</u>	<u>221,881</u>
<u>JAIBG</u>	<u>1999 - present</u>	<u>NYS Dept. of Criminal Justice Service</u>	<u>152,564</u>
<u>YouthBuild</u>	<u>2004-present</u>	<u>US DOL</u>	<u>176,000</u>
<u>EDGE XII</u>	<u>7/05 - present</u>	<u>NYS OTADA</u>	<u>161,120</u>

In Rensselaer other funds include:

Program	Period	Funding Source	Total Award
<u>Older Worker Title V Program</u>	<u>7/05 – present</u>	<u>NYS Office for the Aging</u>	<u>27,247</u>
<u>Digital Youth</u>	<u>1/05 – 9/05</u>	<u>NYS Education Department</u>	<u>15,000</u>

In Schenectady other funds include:

Program	Period	Funding Source	Total Award
<u>PINS</u>	<u>1/05 – 12/05</u>	<u>Schenectady County DSS</u>	<u>46,350</u>
<u>Youth Employment Cooperative</u>	<u>4/05 – 9/05</u>	<u>Schenectady County, Metroplex, City of Schenectady, Town of Duanesburg</u>	<u>155,610</u>
<u>AmeriCorps</u>	<u>10/05 – 9/06</u>	<u>NYS Office of Children & Family Services</u>	<u>283,295</u>
<u>TANF (DSS)</u>		<u>US & NYS Dept. of Health & Human Services Schenectady County</u>	<u>1,960,170</u>
<u>Food Stamps</u>		<u>US Dept. of Agriculture</u>	<u>56,100</u>

5. *Identify challenges the Board encountered during the past five years in supporting the local workforce system infrastructure. Describe the Board's strategies to work through those challenges over the next three years.*

The biggest difficulty over the past 5 years in supporting the local infrastructure has been funding the system costs while federal WIA dollars have shrunk. Funding a share of system cost with partner agency contributions has been very difficult. The process of approving an MOU and working through the various levels of federal regulations and local approval processes has been daunting and has not succeeded in all cases. In some cases, partner agencies do not buy into the concept that their funds need to help support the workforce system. This continues to be a problem. The Board is pursuing using the services of a consultant (Mary Ann Lawrence) to assist the Board and the partners work through this process.

An additional need is for a technology upgrade. The One Stop Centers had a technology grant from the State when the centers were opened and now much of the equipment and software is in need of upgrading. The Mitra system has a high operating costs with software changes and service contracts. A technology grant would be welcomed.

Another technology related issues is the lack of compatibility of partner tracking software with OSOS, which requires double entry of data, something partners are reluctant to do. This is also true to WIA programs such as Job Corps, and even, in some instances, Wagner Peyser.

Space is an issue at the Albany and Rensselaer Centers. While this is not critical, both centers are at capacity and would like additional room for partners. Funding is a consideration here.

As funding remains tight, Individual Training Accounts will likely be reduced while group services and other staff assisted services are developed to maintain a high level of services at the one stop centers. The Board will ask one stop center operators to work closely with their partner agencies to further reduce duplication and to develop new initiatives for quality customer services, and to maintain their service levels.

6. *Describe the key sectors which will help shape the workforce policies of the Local Board throughout this three-year plan. Identify the skills essential to the growth of these sectors and how existing skill assessments of the local workforce align with the emerging workforce demands in your regional economy.*

Growth industries targeted by the Capital Region WIB include health care, service industries, transportation (including CDL and Civil Engineering), construction skills (including Hazardous Waste Removal and Welding), and technical skills (including a variety of Computer Skills and entry level Lab and other high tech industry skills).

The greatest promise and challenge to workforce development in the Greater Capital Region is the projected growth of the biotechnology and nanotechnology industries. The term “Tech Valley” describes local efforts from many institutions, including a significant contribution from the State of New York in the Albany Nanotech Research Center, to attract and develop high tech industries and which have succeeded in putting the Greater Capital Region on the global map as a prime locale for further expansion of the nanotech industry. This high-tech industry will require highly specialized, skilled labor. However, not all jobs and skill needs in the Tech Valley growth will require advanced high tech skills. It is expected that the majority of the jobs to be filled by the local workforce will be low to semi-skilled positions paying \$8 - \$15 per hour. Current local employers are having a difficult time now finding and keeping individuals in these salary ranges. The potential influx of technology industries into the Greater Capital Region calls for a transformation of the workforce system on the local and regional level. It will be a significant human capital challenge for the workforce development system. A regional approach will be key, and the need is for all key players including economic development, education and workforce preparation programs to be engaged and working together.

The four WIBs of the Greater Capital Region are working closely together to learn the skills sets of these growth industries and to develop career pathway programs using existing resources and institutions. All workers, including emerging workers, will need basic skills development in order to participate in this new Capital Region economy. Even traditional jobs require new skill sets to take advantage of the way technology is increasing changing the ways work is done. This will not only provide workers with opportunities for advancement, and will also benefit employers with a workforce that has a more aligned skill set.

The regional Strategic Planning of the four WIBs of the Greater Capital Region has led to the conclusion that growth of this industry over the next ten years will require systemic changes in the educational system, the local planning and policy development process and the development of new models of workforce training.

Some of the areas that the WIBs will cooperate on include:

- **Changes in the scope and level of cooperation between the private and public sector.**

- Curriculum models that incorporate high tech industry skills at all educational levels.
- Awareness of Global impacts on the Greater Capital Region's economy.
- Awareness of a sense of urgency in the development of a workforce to meet the needs of this new industry.
- The pace of development in the industry and global competition require broad based investment in human capital training.
- Continued efforts to develop training for needed skills sets and allocate the resources to provide this training.

The potential for a high growth high tech economy is of great concern to local employers who have their own workforce concerns. We are in an economy where there is not a single worker, emerging worker, to spare. All participants in our present and future workforce must possess basic employability skills to be successful. All partners in the workforce development system must be committed to a program of workforce preparation that will provide the skill sets, including soft skills, which our local economy demands. During the next three years the Board looks to play a large role in coordinating those efforts for employers among the workforce development partners.

7. *Highlight noteworthy business customer services which evolved over the past five years and any other business services that will be meaningful in attracting new business customers. (Business service examples include activities such as recruitment and placement, workforce training, employee assessment, pre-screening of jobseekers, business related workshops.)*

HR Consulting Service, Wage Tax Credit Programs, America's Job and Talent Bank, Job Fairs, Safety & Health Consultation, Workforce & Labor Market information, JSECs . Presentations and workshops to local chamber of commerce. Involvement with the local SHRM chapter, Capital Region Human Resource Association monthly meetings and annual conferences.

8. *Describe any successes that have helped to enhance your local area's system, broker new partnerships, or respond to workforce or community needs.*

Working with Albany-Colonie Chamber on OpTrans Universal in Latham, and BOSE; for Economic Development Attraction Projects. Field visits to BIDS and Chambers of Commerce located in all three counties, field visits with Empire State Development Corp, NE New York Assoc of Health Care Recruiters Semi-Annual Job Fairs Rensselaer County Chamber Networking Breakfasts and contact with Schenectady Metroplex.

II. Strategic Planning

During 2003, the NYSDOL provided local workforce investment areas with the opportunity to receive a grant to incentivize them toward the achievement of local and regional coordination of WIA activities. Most local areas responded to the Strategic Planning for a Human Capital Advantage grant announcement and were subsequently provided with funds to either support the initiation of strategic planning activities or to aid the local area in the continuation of a process already underway. As part of their strategic planning process, many grant recipients created a State of the Workforce report which summarized past efforts and accomplishments, analyzed the current trends and emerging workforce and economic issues and established a vision for the future.

Section II of this Local Plan guidance, Strategic Planning, is provided in two segments. **You will complete only one segment, Section II-A or Section II-B, depending upon your responses to the following questions.**

1. Were you awarded the NYSDOL funded Strategic Planning for a Human Capital Advantage grant? YES
2. Have you achieved the third benchmark of that project and received the third payment under the grant? YES

If you answer “No” to either or both of the two questions, provide your local strategic planning by completing Section II-A on page II-2 and do not complete Section II-B.

If you answer “Yes” to both questions, provide your local strategic planning progress by completing Section II-B on page II-5 and do not complete Section II-A.

Section II-B - Local Area Strategic Planning Progress

This section of the plan is to be completed by those local workforce areas that have engaged in the State's Strategic Planning for a Human Capital Advantage project and have achieved at least benchmark number three (receipt of a third payment from the State).

1. Summary of Progress

In this section of the plan the local area is asked to describe the outcomes of their strategic planning efforts to date and their plans for continuing and measuring this process. Within your response, address the following points:

- *How will the Board have used its State of the Workforce report as a basis for future One Stop system planning?*
- *What key workforce issues and gaps have emerged and how have they been prioritized?*
- *What goals have been established around each of these issues, both short term (first year) and longer term (second year and third year) and which organization is responsible for each of the goals?*
- *What is the role of the Local Board (either leading or supporting another entity) for each of these goals?*
- *What progress has been made in achieving each of these goals? What entity is responsible and what is the process for monitoring progress against each goal and reporting back to stakeholders and the larger community?*
- *What contributions have been made by the Local Board and by the partners to support this effort?*
- *How will the Local Board sustain the momentum of these partnerships and alliances? What are the plans to continue to engage existing partners and expand strategic planning efforts to include other stakeholders not currently engaged?*
- *Has the Local Board identified any areas in which the State, through its various state administrative agencies, can assist the local system efforts in attaining its goals? If so, in what manner and how has that been communicated?*

The Capital Region WIB will use the ongoing strategic planning process to evolve its role as a leader in workforce development. The WIB's Strategic Planning process, the resulting State of the Workforce Report, and the two regional summits held have placed the WIBs in a leadership role in the collaborative effort to prepare the workforce for a high-tech economy. As a result of outlining emerging industries, the Capital Region WIB is looking to review and revise the membership of the Board and realign the committee structure to fit into this role. The Capital Region WIB will continue to coordinate efforts with the 3 other WIBs of the Greater Capital Region to coordinate and consolidate, whenever possible, regional resources and training efforts.

The State of the Workforce data reveals a number of key issues that will come into play as all of the Boards of the 4 WIB Greater Capital Region (The other 3 WIBs include: Saratoga-Warren-Washington, Fulton-Montgomery-Schoharie, Columbia-Greene) establish their goals and objectives for future workforce development activity:

- **The actual number of available employees will be smaller as we move into the future and will not be able to backfill the number of older workers retiring or seeking less demanding employment.**
- **The existing regional workforce will continue to see large numbers of aging baby boom workers moving towards the traditional retirement age reducing not only the actual number but also the senior level experience and skill levels of the overall workforce. As older skilled and management level workers move out of the workforce pipeline, there will be significantly less management or supervisory personnel available to move into those vacated positions.**
- **The racial composition will change significantly, with a decline in the white labor force and a rise in minority populations, thus increasing the cultural diversity of the workforce.**
- **Regional unemployment will continue to be below the national average and it is a trend that is likely to continue as job growth continues to demand a greater participation in the workforce.**
- **There will continue to be an increase in the female labor force participation rate, although at a less radical pace than in the past.**
- **In order to meet the needs of the emerging technology sectors, additional efforts will be required to encourage women to participate in these non-traditional fields.**
- **Some existing industries will find their labor pool shrinking as more and more workers transition into higher paying emerging technology sectors. The significant growth in technology is clearly evident in computer sciences, healthcare, financial management and business.**
- **There will be a growing need to invest in a diversity of both entry and higher level training programs that are designed close the skills gap of the emerging worker, the displaced worker and the incumbent worker.**
- **Lifelong learning activities and career ladders will replace traditional job placement roles of the One Stops.**
- **The large increase in personal care services will require increased attention from workforce development programs. These jobs are traditionally held by women and are at the lower end of the wage scale.**
- **The decline in traditional production jobs will continue, but those jobs that remain will require additional and more advanced skills than the current workforce may possess. The region can anticipate a continued decline of traditional manufacturing and agricultural jobs. There should be an increase in higher level technology jobs and entry level service industry positions. Higher wage and higher skilled jobs are growing at almost twice the rate of lower skilled/lower paying jobs.**
- **There is a growing regional need to foster strong business and school partnerships, and to promote programs that provide convenient access to**

lifelong learning opportunities. Lifelong learning has become a requirement for workforce development - not an option. Soft Skills training programs, E-learning and the availability of diverse career ladder curricula are all critical areas requiring the attention of the Board.

These issues will help define the agenda of the four WIBs of the Greater Capital Region over the next three years.

The Capital Region WIB will use PY 05 to formalize its goals and form the partnerships required to achieve them. Some of the goals identified are listed below.

Board Roles and Responsibilities

Goal: Advance the Capital Region WIB agenda to become a key player in developing a regional workforce for existing and emerging industries.

Activities:

- **Examine private sector membership and align new membership with emerging industries, particularly high tech.**
- **Examine public sector membership and determine ways to increase membership of economic development and chamber of commerce representatives.**
- **Revise by-laws to develop a more responsive committee structure.**
- **Continue efforts to incorporate the Board.**
- **Continue to update and publish the State of the Workforce Report on a regional basis.**
- **Continue to hold workforce summits, adding new partners and focusing topics based on information gathered in Strategic Planning.**

Board Local Relationships

Goal: Form stronger relationships with key local players in workforce issues

Activities:

- **Strengthen relationships with local Chief Elected Officials through increased interaction with the WIB.**
- **Continue efforts of the Business Services Team to strengthen relationship with local economic development agencies and chambers of commerce.**
- **Revise by-laws with particular emphasis on committee structure and responsibilities.**

Board Regional Relationships

Goal: Form stronger relationships with key regional players in workforce issues

Activities:

- **Continue participation on Strategic Planning with WIBs of the Greater Capital Region**

- **Increase involvement with federal elected officials**
- **Continue involvement with regional nanotech initiatives**
- **Form new relationships for joint sponsorship of a regional workforce summit (Center for Economic Growth will be a key player in the PY05 summit)**

Board Structure

Goal 2: Improve Board Infrastructure

Activities:

- **Revise committee structure and membership**
- **Examine staff roles**
- **Pursue incorporation**
- **Plan for staff successions**
- **Consider other sources of funding, grants and fee for services activities**

Service Delivery

Goal: To improve the delivery of services to business and job seeker customer

Activities:

- **Ensure all one stop centers recertify during PY05 using the criteria established by the Board**
- **Review services at one stop centers and partner agencies to try to improve coordination and eliminate duplication with a goal of improving services and reducing costs**
- **Improve collaboration at the Partner's Table to achieve greater buy-in to full participation in, and ongoing development of the workforce system**
- **Investigate ways to increase registrations of partner agency customers into the One Stop Operating system**
- **Develop a customers and staff handbook for the One Stop Centers**
- **Identify additional partner agencies to improve supportive services for jobseekers, such as transportation, literacy, childcare, etc.**

2. Aligning Service Delivery

In order to address workforce issues within the local area, Local Boards need to utilize collaborative efforts with One Stop partners and other stakeholders to align programs and services. In this section of the plan discuss how your local area is achieving alignment of service delivery around the issues and goals previously described in the above section. Within your response, address the following points:

- *How will strategic planning enable your local One Stop system to go beyond compliance and address the economic development needs and key workforce issues identified in your local workforce area or region?*
- *How is your One Stop system structure helping to facilitate the achievement of the stated goals?*
- *Describe how your local area's service delivery to businesses has been aligned to respond to local market demand and the goals set forth from your strategic planning efforts.*
- *Describe how you assure that the delivery of core, intensive, and training services is aligned around identified workforce issues and stated goals. How are these services integrated in the overall workforce plan?*

As a result of the Strategic Planning process, the goal has outlined a number of goals that it will seek to implement during the course of this 3 Year Plan. These goals are listed in the previous section.

The true result of the regional Strategic Planning is the need for the four WIBs of the Greater Capital Region to combine efforts to develop a workforce system that will meet the needs of existing businesses and industries while at the same time preparing for a future workforce that will need new high tech skills. This workforce system will need to be a collaborative effort and involve education, business, economic development, chief elected officials working together to share resource and information.

This is an unprecedented level of planning, particularly as efforts are made to move career information to students the earliest levels of education and their parents. Many of the opportunities in our emerging economy will require skills that rely on a strong foundation of math and science and these skills need to be encouraged at the earliest grade level at our elementary schools.

The Capital Region WIB will continue the Strategic Planning process with the WIBs of the Capital Region. This planning will include all of the workforce partners who participated in the two summits. New strategic partners will be identified and sought out.

The goals stated above will help the Board align the Capital Region workforce system with the objectives identified in the Strategic Planning Process and identified in the previous section.

The Capital Region WIB is better coordinating its services to business through it newly revamped Business Services Team described in this 3 Year Plan. The business services

team combines WIA resources with State WIA resources, Wagner-Peyser resources and state and local economic development efforts.

The One Stop Centers of the WIB are active participants in the Strategic Planning process. They will implement the new policies and procedures of the WIB such as the revised priority training/demand occupation list, and other initiatives the Board has or will put in place. The One Stop Operators are represented on the WIB and on the Administrative Entity of the WIB. In this venue, the Plan is developed and transmitted to the One Stop Operators who will integrate policies and initiatives into the core, intensive and training services offered through the One Stop system.

3. Measuring Achievement

More than ever before the ability to sustain and grow a local workforce system depends upon how effectively the local area can demonstrate in measurable terms that the system is achieving its goals. In addition to meeting the mandatory negotiated WIA performance levels, Local Boards must be able to show to their constituents, customers, stakeholders, private and public sector partners that resources are being used effectively and invested for greater workforce and economic gains in the community.

Describe how the Local Board is implementing performance measures that relate to the goals established around the key workforce issues identified in its strategic plan. Within your response, address the following points:

- *What data was considered and what entities were involved in helping develop the measures? Identify the measures and the desired outcomes.*
- *If measures have not been developed, what process will you utilize to develop them? What is the Board's timeline for development?*
- *How will the Local Board benchmark progress toward desired outcomes or definitions of success for these measures?*
- *How are these outcomes identified, communicated and utilized to gain additional support or realign services for continuous improvement?*

The Capital Region WIB regularly reviews the results of the federal Performance benchmarks, customer data from the OSOS system, the Mitra Swipe system reports on traffic and usage of the one stop centers, and customer feedback. The WIB will continue to rely on the federal performance standards and the new federal measures for a majority of its goals for the system and one stop centers.

There are additional goals that the Board establishes for the one stop center. Last year the Board set registration standards to improve labor market penetration rates for the one stop centers for adults, dislocated workers and youth. This year those standards were increased so that services are more effective in relation to the numbers served.

During PY 05, the Board will consider setting a standard for market penetration for job seekers and businesses. The Board instituted a Business Services Team including membership from state and local economic development agencies, Wagner-Peyser,

chambers and other related groups. The Board will work with the Team this year to develop goals for the upcoming 3 year period.

An additional performance measure will center on a Worker Readiness Credential. At this time, the WIB has looked at this issue through the Youth Council and the Strategic Planning process. During PY 05 the WIB will finalize a credential, based on the work that is being done by the other WIBs in the Greater Capital Region, and establish benchmarks for the one stop centers and the youth service providers to meet. This standard will also be proposed to system partners through the Partners Table.

III. Integration of WIA Compliance with Strategic Planning

The Workforce Investment Act requires that Local Boards establish and approve policies that are in accordance with the Act and its regulations that guarantee a consistent local area approach to One Stop system operations and provide a framework for the delivery of services. In this section of the plan, the current published policies and working definitions remain in effect and are the basis upon which the next three years policies will evolve.

Subsection 1 contains those agreements and policies that are the foundations for administering and evolving the local workforce system.

Subsection 2 requests the policies that are and will be essential to the delivery of services and the operation of the local system.

In accordance with the Workforce Investment Act, the Local Board is required to conduct business in an open manner and make information regarding the One Stop system available to the public. Within your discussion of the Local Board's efforts to openly conduct business, address the following points:

- *What is the central location where all local policies and working definitions are published?*
- *How does the Board assure that local policies and working definitions, including updates and changes, are readily accessible to One Stop staff, the general public and the State?*
- *Is there a Local Board website? If yes, please provide the website address.*
- *Does the Local Board make information such as Board membership, meetings, policies, definitions, and other workforce information available on the website?*
- *How is the website maintained to assure up-to-date information is available?*
- *By what means does the Board assure that the accessible copies are current?*
- *Where can hard copies of this information be obtained by the general public?*

The Capital Region WIB conducts its activities in an open manner consistent with the requirements of the open meeting law. The calendar of meetings are published on the CRWIB website which is accessible by itself at www.capreg.org, or through the NYSDOL website, www.workforcenewyork.com. All policy decisions of the WIB are included in the Board's Policy Log. With any new policies added, the Policy Log is sent to the One Stop consortia staff for distribution to staff. Additionally, the Log is available on line at the website. Also available on the website is information about workshops, location of one-stop centers, partner links, Board membership, and accessible to the Career Portal assessment system and the NYS Job Bank/America's Job Bank. The website is maintained by a private sector company and updates are forwarded to the company by the staff of the WIB. Hard copies of information on the website may be requested through the WIB office or the One Stop Centers.

Subsection 1

The responses to this subsection include both narrative responses and the completion of attachments/forms that are located in **Section IV, Required Certifications and Documents**.

1. Local Plan Submission

The Local Board is responsible for developing the three-year plan in partnership with the Chief Elected official. To properly submit the area's Local Plan:

- a. Complete the **Attachment C, Signature of Local Board Chair**.
- b. Complete the **Attachment D, Signature of Chief Elected Official**, for each unit of local government.

2. Governance and Board Composition

When a Local Area includes more than one unit of government, the Chief Elected Officials of the individual governmental units must execute an agreement that describes their roles and responsibilities in administering the Act, conducting fiscal and program oversight, and assuring that performance standards are met. All local areas must provide the following:

- a. Complete **Attachment E, Units of Local Government**, located in Section IV naming the individual governmental unit(s) and identifying the grant recipient.
- b. Attach a copy of the agreement that defines the roles and responsibilities of each of the Chief Elected Officials in a multi-jurisdictional area and describes their interaction in the administration of the Workforce Investment Act (if applicable).
- c. Attach a copy of the Local Board By-laws.
- d. Additionally, please address the following points:
 - How often are the by-laws reviewed? When necessary, what is the process for amending the by-laws?
 - Is the Board incorporated?
 - Describe the subcommittee structure for the board and identify the role and responsibilities assigned to each subcommittee. (You will be asked to identify the subcommittee responsible for each activity addressed in Subsection 2.)
 - What is the plan in place for board member recruitment to reflect current and emerging trends and how is that plan being communicated to local elected officials?
 - What is the process for providing staff to the Local Board?
 - Describe the Local Board's plan for Board staff retention and development efforts.

The By-laws are in the process of being reviewed at this time. The By-laws are reviewed periodically and amended as needed. They have been amended twice since

they were written at the beginning of the Workforce Investment Act five years ago. The By-laws are reviewed by an ad hoc committee of the Board and their recommendations are made to the Executive Committee and then to the full WIB.

At this time, the Capital Region WIB is not incorporated.

WIB Committees include:

— **Executive Committee**

The Executive Committee acts on behalf of the Board with regard to resources and decision making in the absence of the Board's ability to meet. The Executive Committee shall have primary responsibility for the oversight of WIA Title I programs. The Executive Committee interacts with the Standing Committees to insure alignment to the Board's strategic goals and plans. Functions of the Executive Committee include:

System Oversight:

Universal Access
System Partnerships
Technology
Staffing
Funding

Franchising One Stops & Affiliate Sites:

Core services
Applies quality standards for One Stops
Application process for One Stops
Certification of One-Stop Centers
Establish and review memoranda of understanding with One-Stop Partners
Conduct oversight with respect to the One-Stop Delivery System.
Recommend satellite locations and monitor for appropriate locations.
Recommend as appropriate technological changes to keep a continuous improvement mode in place.

— **Youth Council**

This committee's mission is to create a community-wide youth strategy. The membership must include Board members with a special interest or expertise in youth policy: representatives of youth service agencies, including juvenile justice and local law enforcement agencies; representatives of local public housing authorities; parents of all eligible youth seeking assistance; former participants and representatives of the Job Corps as appropriate. The duties and responsibilities of the Youth Committee shall be:

1. Develop the portions of the local plan relating to eligible youth as determined by the Chairperson of the Board, taking into consideration:

- School to career services
 - In-school student services
 - Services for dropouts
 - Services for HS/GED graduates
2. Recommend to the Board eligible providers of youth activities/programs to be considered for grants or contracts on a competitive basis.
 3. Conduct oversight with respect to eligible providers of youth activities.
 4. Coordinate youth activities that are authorized by the act.
 5. Other duties determined to be appropriate by the Board Chairperson.

All actions of the Youth Council are subject to approval by the Executive Committee

— **Workforce Committee**

This Committee's mission is to provide information and guidance the Board on issues affecting the Capital Region workforce. The Committee will predominantly consist of private sector members. The Workforce Committee will focus on issues that include:

- Soft Skills Certification (Certificate of Employability)
- Labor Market Trends
- Forecasting
- Industries and occupations in demand
- Economic Development

— **Marketing Committee**

This committee's mission is to focus on efforts to effectively market the WIBs workforce system and centers, both internally to system partners and externally to the community. The Marketing Committee will inventory available community workforce resources and make this information available and user-friendly to the Board, system partners and the Capital Region community.

— **Continuous Improvement Committee**

This committee's mission is to develop the methodologies (common comment card, large scale random survey, and customer focus groups) that will enable the committee and the Board to scan the existing environment to provide for better alignment of resources and allow for strategic planning. Additionally, the Committee will issue performance outcomes for the system to be used for continuous system improvement.

The Continuous Improvement Committee will have oversight of:

- **Report Cards**
- **Performance information to the Executive Committee for franchising decisions**
- **Review of performance of training providers**
- **Customer feedback of One Stop Centers and System partners**

Board members are recruited through discussion at the Board level, discussion with local chambers and economic development agencies and with chief elected officials. The goal is to have important industry sectors represented on the Board.

The Capital Region WIB has three staff positions: the Executive Director, the Assistant to the Executive Director, and the Director of Workforce Services. Staff salary is paid with WIA funds, contributions from partners and grant funds.

The Board is looking into incorporating so that staff payroll and incentives can be independent from local government (currently through the payroll services of the City of Albany).

3. Fiscal Agent and Grant Subrecipient

The Local Plan must identify the fiscal agent or entity responsible for the disbursement of grant funds.

*Complete **Attachment F, Fiscal Agent/Grant Subrecipient**, located in **Section IV, Required Certifications and Documents**, identifying the local Fiscal Agent and the local Grant Subrecipient (if any) who assist in the administration of grant funds.*

Also note **Attachment D, Signature of Chief Elected Official**, requires an attestation that the grant recipient possesses the capacity to fulfill all responsibilities regarding liabilities for funds received, as stipulated in **§667.705** of the rules and regulations.

Workforce Investment Board: Capital Region

4. Direct Services & Infrastructure Plan

Complete the following tables displaying how core and intensive services will be delivered and funded by the partners within the One Stop centers and affiliate sites identified in the "Profile". These tables should aggregate WIA Title 1-B and Wagner-Peyser staffing and infrastructure costs, at a minimum.

Infrastructure Costs in Dollars (Current)

One Stop Center and Affiliate Sites (Identify by Location)	Rent Utilities (& Security in Albany & Rensselaer)	Phones	Maintenance	Technology	Marketing	*Other	Total
Albany	271,170	17,520	0	66,640	33,240	87,050	475,620
Rensselaer	50,500	17,500	0	5,200	500	35,000	108,700
Schenectady	53,704	13,500	0	9,010	450	27,286	103,950

*** INCLUDES: Security (Guard & Systems), Copiers, Postage, Insurance, Equipment Contracts, Maintenance Agreements, Indirect Costs**

Total Infrastructure Cost and Staff Levels in FTEs (Current)

One Stop Center and Affiliate Sites (Identify by Location)	Total Cost (Infrastructure, WIA & WP Staff Cost)	Dedicated to Core Services			Dedicated to Intensive Services		
		Wagner-Peyser Staff	WIA Title 1-B Staff	***Other	Wagner-Peyser Staff	WIA Title 1-B Staff	***Other
Albany	1,738,500	**7.30	4.50	3.00	1.50	3.50	7.90
Rensselaer	719,808	1.65	4.75	2.50	.50	2.75	1.00
Schenectady	766,983	0	4.05	1.31	0	4.71	1.31

**** INCLUDES: Staff for Tri County Job Bank**

***** INCLUDES: Veterans Program Staff, WERC, DPN, Rapid Response, CDTA, Aging, DSS, Job Corp, VESID**

Infrastructure Costs In Dollars (Planned over next three years)

One Stop Center and Affiliate Sites (Identify by Location)	Rent Utilities (& Security in Albany & Rensselaer)	Phones	Maintenance	Technology	Marketing	*Other	Total
Albany	813,510	52,560	0	199,920	99,720	261,150	1,426,860
Rensselaer	151,500	52,500	0	15,600	1,500	105,000	326,100
Schenectady	161,112	40,500	0	27,030	1,350	81,858	311,850

*** INCLUDES: Security (Guard & Systems), Copiers, Postage, Insurance, Equipment Contracts, Maintenance Agreements, Indirect Costs**

Workforce Investment Board: Capital Region

Total Infrastructure Cost & Staffing Levels in FTEs (Planned Over Next Three Years)

One Stop Center and Affiliate Sites (Identify by Location)	Total Cost (Infrastructure, WIA & WP Staff Cost)	Dedicated to Core Services			Dedicated to Intensive Services		
		Wagner-Peyser Staff	WIA Title 1-B Staff	***Other	Wagner-Peyser Staff	WIA Title 1-B Staff	***Other
Albany	5,215,500	**7.30	4.50	3.00	1.50	3.50	7.90
Rensselaer	2,159,424	1.65	4.75	2.50	.50	2.75	1.00
Schenectady	2,300,949	0	4.05	1.31	0	4.71	1.31

**** INCLUDES: Staff for Tri County Job Bank**

***** INCLUDES: Veterans Program Staff, WERC, DPN, Rapid Response, CDTA, Aging, DSS, Job Corp, VESID**

Management & Administrative Staffing Across All One Stop Centers and Affiliate Sites

	Total FTEs	Planned
Wagner-Peyser Management Staff For Delivery of Core and Intensive Services	3.00	3.00
Total WIA Title 1 Management & Administrative Staff	6.35	6.35
Total for the LWIA	9.35	9.35

- Discuss how the Board or one of its subcommittees anticipates further coordination of services and elimination of duplication in service delivery to maximize resources available to support training and other business services.
- WIA Regulation Section 652.202 requires all Wagner-Peyser services to be delivered through the One Stop delivery system, through One Stop centers or affiliate sites. If Wagner-Peyser services are currently delivered outside either of these means in the LWIA, the Board must identify strategies which will bring the LWIA into compliance with the regulations.

The Board, acting through its Executive Committee and staff, will monitor the performance and spending at the One Stop Centers. All Centers will undergo a recertification process during the scope of this Three Year Plan. During the review process, emphasis will be placed on maximizing resources by fostering greater Partner collaboration and presence in the One Stop Center. The WIB's Business Services Team will foster maximizing all Partner resources in developing improved services for businesses and improving and supporting economic development activities.

All Wagner Peyser activities are currently delivered through One Stop centers and affiliate sites.

Subsection 2

Based on the maturity of each local system and the key workforce issues and goals identified through the strategic planning process, address the following points within your response:

1. Selecting and Certifying Operators

The Local Board is responsible for selecting and certifying the One Stop Operator with the agreement of the chief elected official [§662.410]. In addition, it is the Board's responsibility to hold Operators accountable for specific goals and evaluate performance against those goals throughout the period of certification or recertification. All LWIAs must submit their recertification application no later than June 30, 2005 or the local plan will be deemed incomplete. The One Stop Operator recertification process is a required part of the local plan. However, local plan approval is not contingent upon approval of the One Stop Operator recertification application. The local plan will need to be modified if the recertification application is not approved prior to local plan approval.

Complete **Attachment G, One Stop Operator Information**, in **Section IV, Required Certifications and Documents**. Also attach a copy of the local area's One Stop Operator Agreement.

2. Contracting for Service Providers

The Workforce Investment Act permits WIA Title I services to be provided through contracts with service providers and may include contracts with public, private for-profit and nonprofit service providers as approved by the Local Board. For those local areas that contract for services:

- *How does the Local Board determine which WIA Title 1 services, if any, should be contracted out? Explain how your decision leverages funding and services already provided by One Stop system partner staff (e.g., Wagner-Peyser funded staff) to maximize available resources without duplication of services.*
- *Provide the process by which the Board awards contracts to entities other than the One Stop Operator for the provision of One Stop services. Identify any subcommittee responsible for this function. How often is the need for contracting services reviewed?*
- *For which services do you currently contract?*
- *Based on current and future key workforce issues and goals, what changes does the Board anticipate with regard to the number and type of services for which it will be contracting?*

The Capital Region WIB does not contract for Title I service providers. Other than for Youth Services, the Board does not plan on contracting for services at this time.

3. Priority of Service

The Local Plan must describe the criteria used to determine whether funds allocated for employment and training activities are limited, and the process by which any priority of service will be applied [§663.600 - §663.640].

- *Identify any subcommittee of the local board that is responsible for policies related to priority of service.*
- *What is the Board's policy for determining priority of service and its relationship to residency requirements? How often is the policy revisited?*
- *How will the priority of service plan align with planned operating policies and procedures?*

Priority of Service falls under the oversight of the Executive Committee. All policies developed require approval by the full WIB.

The Board has adopted the following policies for Priority for Services for Intensive and Training services:

- **Long-term unemployed (15 out of last 26 weeks);**
- **Economically Disadvantaged – using 70% to 200% of Federal Poverty Guidelines; Might want to consider the 70% to 100% range, since funds are limited. For information purposes, youth eligibility uses 70%.**
- **Low income –individuals that are eligible for Food Stamps. If you receive Food Stamps it does not mean you are eligible for Public Assistance. General Public Assistance recipients should try to be served with Welfare to Work funds first before WIA funds are used.**
- **Incumbent workers (upgrading for current employees resulting in increased earning of more than \$3,600 within the same company. The \$3,600 figure is what is set by our local performance standards.**

This policy is reviewed periodically by administrative staff based on feedback from the field and customers and suggestions for changes are brought to the Executive Committee.

4. Self-Sufficiency

Local Boards must set criteria for determining whether employment leads to self-sufficiency [§663.230].

- *Identify any subcommittee of the local board that is responsible for policies related to self-sufficiency.*
- *Provide the current definition of self-sufficiency as established by the Local Board.*
- *Describe how the local definition of self-sufficiency will align with the strategic objectives set forth in the strategic planning portion of this plan.*

Self-Sufficiency falls under the oversight of the Executive Committee. All policies developed require approval by the full WIB.

Self Sufficiency Definition

An individual is considered Self Sufficient if his/her hourly wage is greater than \$18. (Family income is not considered)

Note: The rationale for setting a self-sufficiency level at \$18 per hour relates to the Board's suggestion that training should be made available to frontline supervisors. This suggestion was part of the Board Retreat review of the Nine Policy Questions. Often, frontline supervisors advance from the ranks and while good at what their job is, do not necessarily have good supervisory skills. This can contribute to employee turnover.

A review of salaries was available through the NYS DOL Bureau of Statistical Research, and showed the median salary of frontline supervisors to be \$18 per hour.

5. Supportive Services and Needs-Related Payments

Local Boards, in consultation with One Stop partners and other community service providers, must develop a policy on supportive services that ensures resource and service coordination in the local area. The policy should address procedures for referrals to such services, including how such services will be funded when they are not otherwise available from other sources. Local Boards may establish limits on the provision of supportive services or provide the One Stop Operator with the authority to establish such limits. Consistent with other regulations, the Local Board must establish the level of needs-related payments for adults [**\$663.800**].

- *Identify any subcommittee of the local board that is responsible for policies related to supportive services and needs-related payments.*
- *Describe the process for the periodic review and update of supportive service policies. How often is this review done and who conducts the review? If a multi-county area, how will supportive service policies be coordinated among the counties?*
- *Does the local area make needs-related payments and if so, how and how often is the policy or payment level reviewed?*

Supportive Services and Needs-Related Payments falls under the oversight of the Executive Committee. All policies developed require approval by the full WIB.

6. Grievances and Complaints

The Local Board must establish and maintain a procedure for grievances and complaints which provides a process for handling complaints, an opportunity for informal resolution or a hearing, a process that allows a labor standards grievance to be submitted for binding arbitration, and an opportunity for local level appeal to the state [**\$667.600**]. Such procedure must be in compliance with applicable federal and state statutes and regulations available at <http://www.dol.gov/oasam/programs/crc/crcwelcome.htm> and Workforce Development System Technical Advisories #02-6, #02-7 and #02-10. Section D, Nondiscrimination and Equal Opportunity Assurance, in **Attachment H, Federal and State Certifications**, requires the local signatories to attest to compliance with these provisions.

- *Identify any subcommittee of the local board that is responsible for policies related to grievances and complaints.*

- *What is the Board's process for collecting, analyzing and utilizing grievance and complaint information? How often is the information analyzed and who is responsible for the analysis? Identify any subcommittee responsible for this function.*
- *Has the analysis of the data regarding complaints resulted in policy changes in the local area? How were those changes communicated to the public, the staff and the State?*

Grievance and Complaints falls under the oversight of the Executive Committee. All polices developed require approval by the full WIB.

The Executive Committee has empowered an Administrative Board comprised of representatives of the CEOs, the WIB and the One Stop Centers to collect and analyze grievance and complaints and bring them to the attention of the Executive Committee as appropriate or whenever a complain is not settle on the local level.

While there have been no formal grievance over the past 5 years, customer complaints and suggestions are discussed and appropriate actions taken that might require a policy chance or a procedure change at the One Stop Centers.

Following is the Boards Grievance Policy:

The Capital Region Workforce Investment Board is charged with the oversight of programs and services under the Workforce Investment Act. These programs and services are prohibited from discriminating against any individual on the basis of race, color, religion, sex, national origin, age, disability, political affiliation or belief; and against any beneficiary of programs financially assisted under Title I of the Workforce Investment Act of 1998 (WIA), on the basis of the beneficiary's citizenship/status as a lawfully admitted immigrant authorized to work in the United States or his or her participation in any WIA Title I financially assisted program or activity. Sexual harassment is prohibited. Sexual harassment is an unlawful discriminatory practice; appropriate disciplinary action will be taken against any individual who engages in this practice. This agency complies with the Americans with Disabilities Act of 1990 (ADA). This system does not prevent the use of other available legal avenues. All discrimination complaints must be filed directly with the US Department of Labor Counsel for Civil Rights, 200 Constitution Avenue, Washington, DC 20210.

At each Capital Region One-Stop, a grievance officer is available to assist the complainant at all stages. The complainant is entitled to the following: 1. An impartial hearing officer; 2. Confidential treatment of information in his/her case; 3. Copies of relevant records and documents; 4. Bring own witnesses; 5. Question witnesses; 6. Revise a complaint; 7. Cancel a hearing request or seek hearing reschedule under certain circumstances.

Criminal complaints, reporting alleged fraud, abuse or other criminal action are to be immediately filed with the U.S. Secretary of Labor, Washington, D.C.20210 and to NYS Department of Labor, Job Service and Training, State Office Building #12, State Campus, Albany, New York 12240. Non-criminal complaints must be made within 180

days of said occurrence through Certified mail with return receipt requested. Complainant notices will be sent the same way.

There are four levels a complainant may use to have a grievance heard: the informal level tries to solve problems by first talking with those involved. This is where most grievances are settled, the local level is used if the informal level is unsuccessful or unsatisfactory. The complainant must send a certified letter return receipt requested within 5 working days to the appropriate local grievance officer. The complainant will be advised when a hearing is scheduled, how it will be conducted and the issue to be decided. A decision is due 5 working days after the hearing; If a decision takes more than 60 days at the local level, or is unsatisfactory, the complainant may seek a State level review of the case. The complainant must send certified letter return receipt requested within 10 days to: Director, Division of Equal Opportunity Development, NYS Department of Labor, State Office Building Campus #12, Room 540, Albany, New York 12240. The State review and final decision should follow within 30 days; If you have filed with the NYSDOL DEOD, you must wait until a decision has been issued or until 90 have passed, whichever comes first, before filing a complaint at the Federal level. If you receive a decision from NYSDOL DEOD and are dissatisfied with the resolution of your complaint, you may file at the federal level within 30 days of the date you receive NYSDOL DEOD's decision. Send a certified letter return receipt requested to: Civil Rights Center, US Department of Labor, 200 Constitution Avenue, NW, Room N-4123, Washington, D.C. 20210.

The three One Stops handle customer satisfaction surveys in two ways. The Mitra Swipe Card Systems randomly survey customers as they swipe their membership card. They can choose whether or not they want to answer the three survey questions. A report can be produced which analyzes the responses to the survey during a given time period. In addition, customers are given more detailed satisfaction surveys when attending workshops, receiving intensive services, registering for services or attending orientation sessions. These surveys are entered into a database which provides reports based on a variety of criteria. These reports are evaluated by staff who then make suggestions regarding appropriate changes to procedures.

It has been the State's experience that complaints may include information that is not grievable but rather is related to the business practices of the One Stop centers such as staff capacity, quality of information exchanges, process flow (e.g., provision of outdated grievance contact information, packets of information duplicated so often as to be unreadable, staff providing limited explanations of policies and procedures or not providing copies of Individual Employment Plans).

- *By what means is information regarding non-grievable complaints shared with the One Stop Operator? How is this information used to support the continuous improvement of the One Stop system of service delivery?*

Non grievable complaints from One-Stop customers are shared with the Operator in several ways:

1. **Complaints usually reach supervisors first and many are addressed immediately by them. However, those complaints that require a managerial decision or input are communicated to the managers by the supervisory staff either immediately or during weekly supervisory/management meetings. On occasion, Center staff communicate complaints of this nature directly to their manager and staff is assigned to resolve the complaint.**
2. **These complaints are then brought to Operating Consortium meetings by the managers and measured against established operational policies, if applicable, to determine if they should be revised to improve customer satisfaction. The Operating Consortium of Career Central has developed a set of rules of behavior for customers to follow while using the resources of the Center. These rules are written in a customer friendly language and distributed to all new customers who register at the Center. Posters containing these rules are being printed and will be posted on the walls of the Resource Room.**

7. Youth Services

Service Levels

For the past four Program Years, record the number of older youth and younger youth served by your LWIA and the planned service levels for PY 05.

	<i>PY 01</i>	<i>PY 02</i>	<i>PY 03</i>	<i>PY 04</i>	<i>PY 05 Planned</i>
<i>Older Youth</i>	95	78	90	66	80
<i>Younger Youth</i>	326	529	605	524	581

Note: The total number of youth served is found in the WIA Annual Reports.

WIA PY04 data may be found through the most recent WIA Quarterly Report.

Workforce Investment Board: Capital Region

Performance

Based on the exit data of the last four years, provide a summary of the local area's performance with respect to the required WIA measures. For each program year, enter the standard, outcome and indicate Pass/Fail of the performance using "P" or "F" as indicators.

Performance Measure	Funding	PY 2001			PY 2002			PY 2003		
		Standard	Outcome	Pass/Fail 80% of Standard	Standard	Outcome	Pass/Fail 80% of Standard	Standard	Outcome	Pass/Fail 80% of Standard
Entered Employment Rate	Older Youth	52.0%	n/a	n/a	54%	83.3%	Pass	60.0%	70.8%	Pass
Retention Rate	Older Youth	56.0%	n/a	n/a	57%	72.7%	Pass	76.0%	85.7%	Pass
	Younger Youth	41.0%	n/a	n/a	42%	36%	Pass	47.0%	53.8%	Pass
Earnings Change	Older Youth	\$3,256	\$3,503	Pass	\$1,775	\$735	Fail	\$2,400	\$2,770	Pass
Credential Attainment Rate	Older Youth	28.0%	n/a	n/a	30.0%	21.4%	Fail	36.0%	36.0%	Pass
Diploma/GED Rate	Younger Youth	34.0%	n/a	n/a	38.0%	33.3%	Pass	41.0%	42.4%	Pass
Skill Attainment Rate	Younger Youth	67.0%	99.1	Pass	69.0%	42.9%	Fail	70.0%	72.8%	Pass

Based on your performance answer the following:

- If the LWIA has failed any of the performance measures in the past, what actions has the Board taken with its youth providers to identify service delivery weaknesses?
- What changes have been made to policy, service delivery, providers, engagement of partners, memberships on board and councils, etc., to provide for improved program performance?
- How have those changes been incorporated or aligned with key workforce challenges and planning strategies?
- What strategies are being devised to exceed standards, improve services and increase market penetration?

The Capital Region WIB is currently passing all of its Youth Performance Measures. We have failed measure in past years, as reflected in the chart above. The Board has asked the Youth Council to take corrective action to improve Youth Performance. The

Youth Council has come up with suggestions and is incorporating them in the RFP and in the contracts signed with service providers. Among the recommendations that have been incorporated in the revised RFP and in all new contracts is an increased effort in recruiting Older Youth to help attain the standards failed for this group. Additional, the RFP and contracts will call for more frequent (monthly) monitoring and meetings with service providers and more technical assistance to service providers. All WIA staff who work in Youth related activities have been asked by the Board to participate in technical assistance trainings provided by the State and other presenters.

Strategies that have been developed to help exceed standards and improve services and market penetration include: managing the exits better, increasing Youth enrollments by partner agencies, and using the WIB's Business Services Team to improve market penetration among employees to provide enhanced partnerships with businesses, internships and placements.

Framework and Program Elements

The Workforce Investment Act requires that the Local Plan define the design framework for youth programs in the local area and define how the ten program elements are provided within that framework. With regard to the design framework and program elements, the following questions should be addressed:

- *Describe the Board's process and frequency for reviewing the design framework and how it evaluates whether the framework is equipped to successfully support emerging trends, current and future workforce goals and workforce strategies as they relate to youth.*
- *If a multi-county area, describe how youth program design is coordinated among the counties.*
- *Describe the type and availability of youth activities in the local area and identify any challenges for serving greater numbers of youth most-in-need, including out-of-school youth.*
- *What efforts, if any, are being made to connect both WIA and non-WIA youth to the One Stop system? How are youth being exposed to career awareness, work readiness and the One Stop system?*
- *Describe how the Youth Council will incorporate literacy and numeracy elements into the design framework in accordance with USDOL Common Measures Policy.*
- *Describe how the Youth Council will incorporate certificates into the design framework in accordance with USDOL Common Measures Policy.*

The Capital Region WIB has a very active Youth Bureau that follows the Boards Monitoring Policy in reviewing youth activities and sub-contractors. The Chair of the Youth Council is a member of the Board and the Executive Committee and reports out on the actions and findings of the Youth Council at every meeting. Discussions on the quality of youth programs and information from the Board on emerging trends are share through these meetings and members of the Youth Council are invited to participate in the Strategic Planning activities of the Board. The Youth Council also monitors the work of the Emerging Worker Committee of the State WIB.

Representatives from each county work together to issue an RFP that covers the entire LWIA. Additionally, service navigation staff from all counties work together to serve youth who cross county lines for services.

The youth activities and services available to youth in the LWIA are such that they are too numerous to list – each county has access to various resources (i.e. Youth Bureaus and The Council of Community Services) within its community that provide them with information necessary to refer youth to a needed service. The gap in services, however, lies with the services available to older, out-of-school youth. Many of these youth come into the one stop with such an array of barriers to education and employment, that it's difficult to find agencies that are able to serve all of their needs. This is especially true when youth are requesting GED education. Each community is very limited in terms of where they can refer a youth for GED education.

Each county has its own service navigation unit that serves every youth who walks in the doors of the one stop. If a youth is not WIA eligible, the service navigation staff works with the youth to either provide services within their one stop or to refer the youth to agencies who can meet their needs outside of the one stop.

Each agency who is receiving WIA funds is required to work with education institutions within its community. Additionally, partners are required to have a literacy/numeracy gain as a benchmark for each youth who is basic skills deficient.

The Youth Council requires that contractors reach out to form partnerships with educational institutions in their communities. Contractors are encouraged to work with in school youth until they graduate from high school or obtain a GED. Contractors are also required to provide certification for each youth who reaches a milestone during his/her participation in a WIA program.

Youth Council

WIA requires that a Youth Council be established as a subgroup of the Local Board [§661.335].

- *Describe the current and future goals of the Youth Council as aligned with the overall strategic goals of the local area.*
- *What outreach and connections to other youth services and providers will be collaboratively planned (i.e., Youth Bureaus, educational partners) to ensure the provision of integrated youth services?*

The current goal of the Youth Council is to develop an ideal system that will be recognized throughout the Capital Region for its excellence in preparing young people to enter the workforce. It will provide the right intervention at the right time with age and stage appropriate activities, and will serve all youth, not just those funded with WIA youth money.

It is a desirable goal of the Council to connect all youth regardless of their socio-economic condition, to existing community resources through strengthened

partnerships with Educational Facilities, Non-profit Agencies, Governmental Departments and Local Businesses.

The Youth Council's role is to be the voice of Youth, to provide the youth perspective to the Capital Region Workforce Investment Board regarding youth employment and training.

The future goals of the Youth Council are:

- **To develop strategies to provide training that will be cost effective, utilizing resources through partnerships and collaborations with schools, non-profits, government and businesses.**
- **To include Youth in the planning process.**
- **Connect all Youth to training and job opportunities through the creation of and utilization of current strategies. Examples may include: Job Shadowing, Summer Youth Employment, Certificate of Employability**
- **Look at incorporating the 10 WIA youth development principles into existing programs.**

The Capital Region WIB Youth Council's RFP clearly outlines the need for partnerships in developing a holistic system to serve youth. The first cornerstone within the foundation of creating a youth system is to build partnership collaboratives. The RFP requires collaboration. The RFP states, "To anchor a secure foundation, there must be a more strategic collaboration among multiple service providers. The system that is continuing to be built will include many service providers with particular experiences and expertise in serving young people. This strategy will be carried to the service provision level. To this end, no one entity can independently submit an application as a sole provider. Each collaborative must have at least one partner from each of the following categories:

- **An educational entity, such as a school board, a community college, a four-year college or university, etc.;**
- **Business/industry partner(s) from the industry cluster(s) in which training is proposed;**
- **A community-based organization, social service agency;**
- **Public housing agency or other related program;**
- **The Capital Region One-Stop Center."**

Youth Bureaus are actively involved in the Youth Council. The Chair of the WIA Youth Council is rotated among the three (3) Youth Bureau Directors within the Capital Region. The Youth Council continues to have a link with the Office of Children and Family Services, through the Youth Bureau Directors.

The Youth Council will conduct a region-wide information gathering activity of non-profits, businesses and community agencies that play a vital role in planning youth

services. This information will be used to access a variety of services for youth, while linking youth service providers.

Selecting Youth Providers

The Local Board is responsible for selecting eligible youth service providers based on recommendations of the Youth Council, and maintaining a list of providers with performance and cost information [§661.305].

- *Identify your youth providers, the services they provide and the steps that will be taken to leverage additional resources to deliver integrated youth services in a broader youth development context.*
- *Has your partner or vendor mix also changed and if so, how and why? Describe how this mix provides integrated youth services from a youth development perspective.*
- *Describe your Youth RFP process including the frequency of release, review criteria and who reviews the proposals*
- *For which services has the Board entered into a contract? Are the local Employment and Training offices providing any services to youth?*

The selection of youth service providers is done through procurement process. This process is charged to the Youth RFP/Monitoring Committee of the Youth Council. The committee is comprised of the three Youth Program Coordinators from Albany, Rensselaer, and Schenectady counties respectively and other members of Youth Council.

A request for proposal (RFP) is used by the WIB and Youth Council to operate the In-school Youth Programs and Out-of-school Youth Programs in Albany, Rensselaer, and Schenectady counties. This RFP is targeted to organizations interested in establishing collaborations to provide comprehensive educational, development and employment preparation services via a skills-based design to eligible low-income youth age fourteen (14) through twenty-one (21) It is the intent of the WIB to fund programs that help youth solve the problems they may encounter in attaining the necessary education and skills needed to find and keep a job and advance in the workforce. Programs funded under this RFP will contribute to the improved youth system which links services more closely to local labor market needs and community youth programs and services; that have strong connections between academic and occupational learning; and which provide for the holistic development of youth. All programs must include a component or referral source to provide the 10 required WIA program elements.

The frequency of the RFP process is once per year, with the option of extending the program for an additional year. The RFP is written, proposals reviewed, and recommendations to the full Youth Council are made by the members of the Youth RFP/Monitoring Committee.

All youth programming is done through specific contracting through the respective counties. All youth contracts are written on a fiscally performance-based manner. The local Employment & Training Offices provide eligibility determination, referral, and

technical assistance to the youth subcontractors. The Youth Program Coordinators from the three local Employment & Training offices also serve as program and fiscal monitors of the subcontractors and report to the *Youth RFP/Monitoring Subcommittee* of the Youth Council.

The local Employment and Training offices also provide *Service Navigator* activities and services. The three Service Navigator staff act within the context of the One-Stop Center with the responsibilities to assist young people in tapping into services they need, guide the young person through the maze of community services, and coordinate multiple service providers toward a common goal resulting in the young person's success. The Service Navigators function as the youth advocate on behalf of all funded programs and lead the young person through the service pathway and build a comprehensive system to access and track services.

Youth Eligibility

Regulations require that, as part of the process for determining who is eligible for youth services, the Local Board must provide a definition of "deficient in basic literacy skills" and "requires additional assistance to complete an educational program, or to hold and secure employment" [[§664.205](#), [§664.210](#)].

- *Provide current definitions and describe how these definitions will support the goals the Board has identified in addressing its key workforce issues and what effect they have on eligibility for youth services.*

The current eligibility for WIA Youth is as follows:

- **Is age 14 through 21; AND**
- **Is a low income individual, as defined in the WIA section 101 (250); AND**
- **Is within one or more of the following categories:**
 - **Deficient in basic literacy skills (defined locally as: reading or math level one or more grades below the grade appropriate to the age of the student)**
 - **School dropout**
 - **Homeless, runaway, or foster child**
 - **Pregnant or parenting**
 - **Offender**
 - **Is an individual who requires additional assistance to complete an educational program or to secure or hold employment (defined locally as: Has no work history or poor work history (has not maintained unsubsidized employment with the same employer for 6 months or more)**

These local definitions support the goals that the WIB has identified in addressing the key workforce issues for youth, serving those most in need, and by creating a system which ensures that all youth achieve educational, employment and life success; and business gains a skilled workforce. These local definitions also ensure that the youth will gain both employability and job retention skills through their respective programs.

8. WIA Adult and Dislocated Worker and Wagner-Peyser Services

Service Levels

Record the number of WIA Adults, WIA Dislocated Workers and Wagner-Peyser customers served by your LWIA and the planned service levels for PY05.

Total Number Served	PY 01	PY 02	PY 03	PY 04	PY 05 Planned
WIA Adults	547	1,103	1,312	1,337	1,236
WIA Dislocated Workers	1,268	1,340	2,630	2,103	948
Wagner-Peyser Funded Customers*	n/a	15,454	18,378	15,747	14,912

Note: The total numbers served for WIA Title IB is found in the WIA Annual Reports.

PY04 WIA Title IB data is found through the most recent WIA Quarterly Report.

*Please consult with the Wagner-Peyser LWIB member for assistance in obtaining and understanding Wagner-Peyser numbers.

Performance

Based on the exit data, provide a summary of the local area's performance with respect to the required WIA measures. For each program year, enter the standard, outcome and indicate Pass/Fail of the performance using "P" or "F" as indicators.

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Performance Measure	Funding	PY 2001			PY 2002			PY 2003		
		Standard	Outcome	Pass/Fail 80% of Standard	Standard	Outcome	Pass/Fail 80% of Standard	Standard	Outcome	Pass/Fail 80% of Standard
Customer Satisfaction	Participants	70.0%	n/a	n/a	72.0%	n/a	n/a	71.0%	74.9%	Pass
	Employers	68.0%	94.0%	Pass	70.0%	n/a	n/a	68.0%	71.3%	Pass
Entered Employment Rate	Adults	80.0%	92.3%	Pass	81.0%	93.8%	Pass	81.0%	88.1%	Pass
	Dislocated Workers	78.0%	96.7%	Pass	79.0%	93.5%	Pass	79.0%	90.4%	Pass
Retention Rate	Adults	78.0%	89.7%	Pass	79.0%	72.0%	Pass	79.0%	81.7%	Pass
	Dislocated Workers	88.0%	86.2%	Pass	86.0%	94.9%	Pass	87.0%	95.0%	Pass
Earnings Change	Adults	\$3,256	\$3,503	Pass	\$3,192	\$4,811	Pass	\$3,192	\$4,203	Pass
Earnings Replacement Rate	Dislocated Workers	93.0%	88.0%	Pass	93.0%	106.4%	Pass	92.0%	93.5%	Pass
Credential Attainment Rate	Adults	44.0%	88.2%	Pass	54.0%	90.3%	Pass	56.0%	78.8%	Pass
	Dislocated Workers	37.0%	91.1%	Pass	45.0%	49.6%	Pass	49.0%	79.1%	Pass
Job Seeker Entered Employment Rate	Wagner-Peyser	N/A			N/A					
Job Seeker Employment Retention Rate	Wagner-Peyser	N/A			N/A					

Based on your performance answer the following:

- If you have failed any of the performance measures in the past, what actions has the Board taken with its program operators and One Stop operator to identify service delivery weaknesses?
- What changes will be made to policy, service delivery, training providers, engagement of partners, memberships on board and councils, etc., to achieve all performance standards?
- What strategies are being devised to exceed met standards, improve services and increase market penetration?

As seen in the Performance Chart above, the Capital Region WIB has not failed any of its Adult and Dislocated Worker performance measure in the previous three years. The WIB seeks to improve on those standards it did not exceed. The board has asked the Administrative Entity and related staff to review and manage exits better, to improve data entry and reduce errors. Additionally, the Board has set goals for each of the One Stop Centers to increase enrollments and better coordinate partner services and enrollments.

Adult and Dislocated Worker Eligibility

WIA regulations set forth the eligibility criteria that adults and dislocated workers must meet to participate in WIA Title I and Wager-Peyser programs. In addition, Local Boards are given responsibility to further establish policies and procedures for One Stop Operators to use in determining an individual's eligibility as a dislocated worker, including the definition of what constitutes a "general announcement" of a plant closing and, for determining eligibility of self-employed individuals, what constitutes "unemployed as a result of general economic conditions in the community in which the individual resides because of natural disasters" [§663.115].

- *Identify any subcommittee of the local board that is responsible for policies related to adult and dislocated worker eligibility.*
- *How is the definition of a "general announcement" of a plant closing shared with staff to determine dislocated worker eligibility (including partner staff needing to determine dislocated worker "target group" eligibility for Work Opportunity Tax Credit applications)?*
- *Describe how the One Stop Operator's policies and procedures adequately address the needs of self employed individuals who become unemployed as a result of general economic conditions in their community because of natural disasters.*
- *Describe how reemployment services for UI customers are coordinated in your One Stop system. Explain how UI profiling information will be used to target services, including enrollment into the dislocated worker program.*

The Executive board of the WIB and the Administrative Entity review policies related to adult and dislocated worker eligibility on a regular basis. Any changes to policies and definitions are communicated to staff during on going staff meetings.

WIB Business Services staff communicates with the designated WIA staff and partners in our three One-Stops when notified of any size downsizing or closing of a business. Staff schedule a meeting to discuss the best course action to be taken which will most benefit the employees. Discussed is how to best deliver the Rapid Response presentations to the affected workers along with a plan to deliver workshops.

Reemployment services for Adult and Dislocated Workers customers are integrated with the WIA programs system. WIA and Department of Labor staff is co-located in the One-Stop to provide services to these two populations of customers. All staff works together in the system to target services to those likely to exhaust UI benefits. The list of UI Profiled claimants are e-mailed to a contact person in each of the three One-Stop centers. Profiled claimants in Albany must attend a Career Portal Orientation. At this orientation, their existing skills are assessed, skill gaps are identified, and a skills profile

is developed. This profile can then be taken to an Employment or Career Counselor for further evaluation and development of individual career planning. Claimants are then offered WIA Title I intensive services for employment and/or training.

Rapid Response

Provide a description of the Local Board strategies to integrate strategies into the One Stop system.

- *Identify any subcommittee of the local board that is responsible for policies related to Rapid Response.*
- *What policies can the Local Board enact to foster greater connections with the One Stop system and better outcomes for individuals served through local Rapid Response activities?*
- *Who is responsible for coordinating Rapid Response services in the local One Stop system?*
- *Describe how Rapid Response functions as a business service in your local area. How will Rapid Response promote the full range of services available to help companies in all stages of the economic cycle, not just those available during layoffs?*

The Business Services Task Force has responsibility for any policies related to Rapid Response for the Capital Region WIB. The Rapid Response Team, functions as the committee responsible for rapid response services.

The RR Team of the Business Services Task-Force, will continue to educate the business community, share information regarding resources and services available to the business community, as well as deliver services. Services and resources include: the Aversion Grant; Shared Work; UI filing information; training opportunities for incumbent workers to upgrade skills; job skills workshops for affected workers to be more marketable in the workplace; and customized job fairs and recruitments for affected workers.

The RR Team will continue sharing affected worker information, such as the Customer Registration forms, Initial Company Meeting Reports and Rapid Response Status Reports, in a timely manner to expedite the job search process or training services to be provided among the Partners, to then serve the individuals affected by layoff/closures. One Stop Operators will continue to follow through with consistent services to the affected workers once the job seeker begins using the Career Centers.

Staff responsible for coordinating Rapid Response services in the local One Stop system include, two RR Coordinators one DOL (Human Resource Consultant) and one from the Capital Region WIB (Director, Workforce Development), One-Stop Career Counselors and the assistance of One Stop Staff from all three counties. The RR Team may also include NYS Association of Counties and AFL-CIO.

By maintaining open communication and cooperation, the RR Team can effectively assist companies in all stages of the economic cycle. Through closed job fairs and

referrals, affected workers can be aligned with the workforce needs of neighboring companies, who can then benefit from their skills, job readiness and experience.

Business Services

Provide a description of the Local Board's strategies to improve services to employers.

- *Identify any subcommittee of the local board that is responsible for policies related to Business Services.*
- *What is the plan to:*
 - *determine the needs of employers in your local area?*
 - *integrate business services, including Wagner-Peyser Act services, to employers through the One Stop system?*
 - *maximize awareness and employer use of available Federal tax credit programs through the system?*

The Business Services Task Force is responsible for activating dialog between businesses and the One-Stop System by increasing awareness of the services and resources available. It aligns the services of the One-Stop System to those businesses who need them most, through prioritization of industry clusters. Its goals will be accomplished through stronger relationships and increased communication with economic development, education and employment and training partners.

The County Business Services Teams are responsible for activating dialog between businesses and the One-Stop System through increased awareness of the services and resources available. The Teams will interact with businesses directly and deliver the services or information on where to obtain the services from within the One-Stop System. The Teams' goals will be accomplished through stronger relationships and increased communication with economic development, education and employment and training partners.

Coordination and Integration of Services

Provide a description of how the Local Board fosters coordination and integration of One Stop services.

- *Identify any subcommittee of the local board that is responsible for policies related to Coordination and Integration of services.*
- *Provide a brief explanation on how core, intensive and training services are delivered. Specifically discuss how Wagner-Peyser funded core services are coordinated with WIA Title 1B funded core services. Describe how you assure that the delivery of these services is aligned. Identify any subcommittee responsible for this function.*
- *How will coordination of services provided by each of the required and optional One Stop partners through the One Stop system be improved?*
- *How will freed-up resources resulting from this improved coordination and integration of services be utilized to provide expanded training opportunities?*

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- *Describe the level of coordination with Wagner-Peyser in your full-service One Stop centers. In consultation with the local Wagner-Peyser WIB representative, describe what steps toward full integration are planned over the next three years.*

Coordination and Integration of Services, as do all WIA compliance issues, is reviewed by the Executive Committee of the WIB.

All core, intensive and training services are provided through the 3 One Stop Centers, in full partnership with the Wagner-Peyser activities. In the Albany and Troy One Stop Centers, resource rooms are fully staff and paid for with WIA, Wagner Peyser and partner agency system shares. At the time of this plan, Wagner Peyser staff is not in the Schenectady Office, but efforts are being made to correct this in the near future as Schenectady County looks to relocate many of its departments, including the Schenectady County Job Training Agency. All of the One Stop Centers follow the policies of the Capital Region WIB and have aligned services to be consistent from center to center.

The Board maintains an active Partners Table where workforce system issues are addressed. Partners are constantly reminded they are part of the Capital Region's workforce system and invited increase their participation. All required Partners have membership on the Full WIB and have the opportunity to impact policy and improve the system in that role.

At this point it is difficult to see that resources will be freed-up as a result of greater coordination. Federal funding has been on a decline for a number of years and most of the partner agencies have proprietary services that they continue to provide related to this specific funding.

Wagner-Peyser is a full managing partner in Career Central, the Albany One-Stop Center. In the Troy Center, Wagner-Peyser services are fully integrated in the One Stop Center. It is the intention of the Board for the Troy One-Stop Center to apply for One Stop Certification during PY 05 in partnership with Wagner-Peyser and other partners of their choosing. In Schenectady, the Wagner-Peyser staff were removed from the One Stop Center and no additional office was open in Schenectady County. Schenectady County residents receive Wagner-Peyser services at the Schenectady One Stop in the form of Job Bank and referral services through WIA staff trained by Wagner-Peyser staff, and information is shared with the One Stop staff in terms of new claimants and priority customers. Efforts are underway to combine staffs at a new location at the earliest opportunity and in accordance with Schenectady County's timeline for relocations.

Service to Special Populations

Provide a description of the Local Board's strategies for serving Special Populations.

- *Identify any subcommittee of the local board that is responsible for policies related to Service to Special Populations.*

- *Describe the Board's strategies for anticipated enhancements to service delivery for special populations, including at a minimum Unemployment Insurance claimants, veterans, displaced homemakers, individuals with disabilities, individuals with limited English proficiency, older individuals, and migrant and seasonal farm workers over the next three years.*

As it relates to WIA activities, Services to Special Populations falls under the responsibility of the Executive Committee and is usually handled by the members of the Administrative Entity. The One Stop Certification process uses a review checklist that included services and accommodations to these special populations.

All UI Claimants receive an orientation to the services and resources of the One Stop system. All are issued 'membership cards' as issued by our Mitra system.

All One Stop centers coordinate services with local displaced homemaker programs. In Albany, WERC is located in the Albany One Stop Center and offers services to Albany and Rensselaer residents. In Schenectady, SCAP provides services in cooperation with the One Stop Center.

All One Stop Centers have the services of a Disability Program Navigator to provide services as needed and to increase the skills and knowledge of the staff and system partners. VESID also has an active presence in each Center.

All Centers have a working relationship with adult Literacy Providers, all of whom are members of the Partners Table. Efforts will be made in the next 3 years to increase the coordination with Literacy Volunteers in the Capital Region.

Older Worker programs all have a presence in the One Stop Centers. In Albany and Schenectady, staff from the agencies delivering Title V services maintain a regular presence in the Centers, while in Troy, the One Stop manger operates a Title V program.

Demand Occupations, Eligible Training Providers (ETP), Individual Training Accounts (ITA)

The Local Board has responsibility for determining policies regarding identifying demand occupations, instituting eligible training providers and implementing individual training accounts [§663.300- §663.595].

- *Identify any subcommittee of the local board that is responsible for determining, evaluating and updating policies related to Demand Occupations, Eligible Training Providers (initial and subsequent eligibility) and Individual Training Accounts.*
- *Describe how the local area ensures that local training providers on the State ETP list are licensed, registered and/or approved by the appropriate State or Federal oversight entities (e.g., proprietary schools regulated by the New York State Education Department, Bureau of Proprietary Supervision, under Article 101 of New York State Education Law), and in compliance with the requirements/standards of these entities.*
- *How are cost and performance data being collected and validated for the provider's offerings and how does it inform the subsequent eligibility review process? How is customer feedback collected; how frequently is it used; and how is it shared with the public?*
- *Based on current and future key workforce issues and goals, what changes are being considered to the demand occupations, eligible training provider and individual training account review process and how will they be implemented?*
- *If a multi-county area, how is the review process for demand occupations, eligible training providers and individual training accounts coordinated among the counties?*
- *Describe how contiguous areas' policies affect your process and any coordination efforts at the regional level.*
- *How are demand occupations, eligible training providers and individual training account policy decisions and changes communicated to staff? How are they shared with customers?*

Demand Occupations, Eligible Training Providers Policy and Individual Training Accounts is reviewed on the full Board level after review and recommendations are made through the Executive Committee, the Administrative Entity and One Stop staff.

The Board has authorized the Executive Director to review eligibility requests from training providers through the State website based on Board policies. These policies include that all state accredited colleges and universities are eligible for inclusion, all previous and known service providers are approved if their placement levels warrant it and the training is for an occupation in demand. Other new requests are matched against the current demand and priority list, track record of the training provider. Priority is given to local providers. If a new training provider has specific training that an employer is requesting for a new hire or upgrade, that provider will be certified, sometimes only temporarily.

The Administrative Entity of the Board conducts periodic reviews of ETP outcomes, including costs and performance. This is reviewed and recommendations are made to the Executive Committee as necessary.

The priority occupations list was updated by the Capital Region WIB in September 04 and will be reviewed again this fall in coordination with our Strategic Planning process.

The three One Stop Centers in the Capital Region follow the same priority lists and ETP list and ITA policies.

The four WIB Directors of the contiguous Greater Capital Region are in frequent contact and meet regularly to discuss these issues. While all policies are not identical, they are similar enough to prevent inequities in the way customers receive services and benefits.

Information on demand occupation and ETPs are available to all staff through One Stop Center management, the Capital Region WIB website policy log and the workforcenewyork.com ETP list.

Customized Training/On-the-Job Training (OJT)

Local Boards are required to establish policy regarding appropriate cost matches for On-the-Job Training (OJT) or other customized training using NYSDOL Technical Advisories #01-5 and #01-5.1 for guidance.

- *Identify any subcommittee of the local board that is responsible for policies related to Customized Training and OJT.*
- *Describe the process and frequency for reviewing local policies with regard to OJT, skills upgrading or other customized training. Describe the process for receiving, reviewing and approving requests for OJT, skills upgrading or other customized training; who is the point of contact? Identify any subcommittee responsible for this function.*

The Executive Committee reviews and recommends, and the full WIB established policy on OJT and customized training. Policies are monitored by WIB staff and Administrative Entity members on a regular basis and recommend changes or adjustments as needed.

Requests for OJT and Customized Training are handled at the One Stop Center level. Request which come to the WIB's Business Services Team are coordinated with the appropriate One Stop Center. Each Center has a WIA business services representative who handles OJT and Customized Training requests. Robert Wildermuth, Director of Workforce Services for the WIB coordinates this activity on a WIA-wide and regional basis.

Trade Act Service Strategy

Local Boards are required to establish local policy for a Trade Act service strategy and must ensure that a dislocated worker eligible for trade benefits is co-enrolled in WIA Title I dislocated worker services for referral to WIA-funded intensive services and Trade-funded training services [TA #04-6].

- *Identify any subcommittee of the local board that is responsible for policies related to Trade Act Services.*
- *Describe the impact, if any, Trade Act petition certifications have had on your local workforce system and how the Board's Trade Act policies will be aligned with the Dislocated Worker policies to benefit the customer in terms of an integrated service delivery model.*
- *Describe the process and frequency by which your Trade Act policies are reviewed and the circumstances that would require changes to be made.*

The Capital Region Workforce Investment Board has only one Trade Act petition, Mohawk Valley Textile Printing petition # 56,740. The WIB contacted everyone who worked for this business from a list generated from DOL. These Trade Act impacted workers in the three county regions, have been easily assimilated into the local workforce system. This was accomplished by working with our local DOL partners who helped us understand the inner workings of TAA/TRA and developing a plan of action to meet the requirements of TA "04-5. In developing this plan we assured that any Trade Act impacted worker will be introduced to WIA services and will be registered in the Dislocated program. In doing so, these workers will benefit from TAA/TRA services as well as WIA Dislocated services and will be part of the Capital Region WIB's integrated service delivery.

9. WIA IB & Title III PY05 Performance and System Indicators

The Local Board is responsible for the negotiation and accountability for the WIA Title 1-B performance measures of the local One Stop system [§661.305, §666.310, §666.420].

If available at time of plan submittal, insert your PY 2005 negotiated performance standards. Local PY 2005 performance standards will be negotiated with all local boards once New York State has completed negotiations on statewide standards with the U.S. Department of Labor. At that time, all local areas will be required to modify their local plans to include the PY 05 standards and make them available for public comment.

Measure		Performance Standard PY 05
<i>Customer Satisfaction</i>	<i>Program Participants</i>	<i>75%</i>
	<i>Employers</i>	<i>73%</i>
<i>Entered Employment Rate</i>	<i>Adults</i>	<i>73%</i>
	<i>Dislocated Workers</i>	<i>81%</i>
	<i>Older Youth</i>	<i>65%</i>
<i>Retention Rate</i>	<i>Adults</i>	<i>81%</i>
	<i>Dislocated Workers</i>	<i>88%</i>
	<i>Older Youth</i>	<i>77%</i>
	<i>Younger Youth</i>	<i>52%</i>
<i>Earnings Change/Earnings Replacement in Six Months</i>	<i>Adults</i>	<i>\$2,600</i>
	<i>Dislocated Workers</i>	<i>-\$1,950</i>
	<i>Older Youth</i>	<i>\$2,900</i>
<i>Credential/Diploma Rate</i>	<i>Adults</i>	<i>70%</i>
	<i>Dislocated Workers</i>	<i>63%</i>
	<i>Older Youth</i>	<i>51%</i>
	<i>Younger Youth</i>	<i>52%</i>
<i>Skill Attainment Rate</i>	<i>Younger Youth</i>	<i>73%</i>

Describe how the established WIA Performance levels impact services and strategies and how levels are monitored. Within your response, address the following points:

- Identify any subcommittee of the local board that is responsible for policies related to WIA IB and Title III Performance and System Indicators.*
- How are the WIA local performance levels communicated to staff, partners, providers and stakeholders so that their role in helping to achieve those performance levels is understood?*
- How do newly negotiated performance levels affect current policies, procedures and/or local One Stop system initiatives?*
- Describe the tracking system in place and who is responsible for continuously evaluating WIA performance levels. How is the evaluation process integrated so that both program and fiscal performance data is analyzed in conjunction with each other to gain a system view? How are performance issues identified and corrected when they arise?*

All WIA performance is monitored by the Executive Committee and the Administrative Entity, and information and recommendations are made to the full Board and published in Plans and shared in Annual Reports.

Performance Standards are communicated to WIA staff and system partners through meetings and memos. The information is also available on the web in Annual Reports and Plans.

The Administrative Entity and WIB staff will continue to review CRWIA performance and the new performance standards and staff and discuss with the Executive Committee to determine if policy changes are required. We plan to have more frequent meetings to review progress and goals toward exceeding performance standards.

A more powerful performance monitoring tool from OSOS would be helpful in improving performance. It is difficult to get a snapshot in time of performance so that weaknesses can be identified and improved upon. At this point, we are making corrections 18 months after a performance cohort group has left the program.

Within this plan, the Local Board has provided past performance outcomes, current performance standards, population data and trends, and numbers of individuals served. Based on your analysis of this information and a consideration of its inter-relatedness:

- *Describe the adjustments the Local Board will make to improve performance over the next three years.*

Among the steps the Board will take to improve performance will be to meeting with One Stop operators and other service providers to set goals for enrollments, spending and services, ask One Stop Managers to better manage their enrollments and exits in OSOS, and to hold more frequent meetings with One Stop Managers and have them hold more frequent meetings with appropriate staff,

System Indicators

Describe any system indicators and standards that have been put in place and how they will be used toward continuous improvement. Within your response, address the following points:

- *Identify any subcommittee of the local board that is responsible for policies related to System Indicators.*
- *Describe how the Local Board has adopted the system indicators identified by the State Workforce Investment Board (Market Penetration, Repeat Customer Usage, Total System Investment)?*
- *Describe any local indicators, in addition to the State Workforce Investment Board's system indicators (Market Penetration, Repeat Customer Usage, Total System Investment), that have been developed or will be developed by the Local Board.*

- *Identify the partners responsible for providing data to measure attainment of System Indicators.*
- *Are partner performance measures known and how does the system's design support their achievement and any over all standards for the system?*

The Capital Region WIB uses the Performance Standards as established by the US and NYS Department of Labor as our primary performance standards. These standards are tracked through the One Stop Operating System (OSOS) and reported to WIB staff on a quarterly basis. Performance information is discussed at the Executive Committee level and information is shared with staff and system partners, as well as with the general public in the Annual Report.

The WIB has adopted a One Stop Certification/ReCertification Process that includes additional standards based on the Baldrige Quality Standards. These are monitored by an Ad Hoc Committee of the setup for specific One Stop Certification reviews. Each year the standards increase in difficulty through three levels of quality standards. These standards are available through the Certification Packet and available through the WIB offices.

10. Local Monitoring

It is the role of the Chief Local Elected Official (CLEO) and the Local Workforce Investment Board (LWIB) to conduct financial, program and performance oversight and monitoring in local workforce areas [WIA §117(d)(4)]. As noted in TA #04-2 and #04-19, performance and accountability are key elements of a Local Board's effective oversight and monitoring plan.

- *Identify any subcommittee of the local board that is responsible for policies related to Local Monitoring.*
- *How frequently will financial, program and performance monitoring be conducted? Identify the areas, if any, where the local monitoring goes beyond the minimum standards established in TA #04-19.*
- *How does the Board ensure consistency and quality in how monitoring is conducted and results reported?*
- *How will monitoring reports be used to improve services, identify systemic problems and initiate corrective action?*
- *Under what circumstances will an issue arising from a monitoring report be brought before the full Board? What role will the Board play in requiring corrective action and what challenges does the Board anticipate in taking action on the monitoring reports?*

The Capital Region WIB has developed a Monitoring Policy based on Technical Advisories provided by the State. This policy has been reviewed and approved by NYS DOL.

The Monitoring Policy spells out the frequency of reviews for various programs. The Administrative Entity of the WIB is currently developing a monthly calendar of Monitoring Activities so that the monitoring process can be more easily reviewed by the WIB. It is expected to be in completed by November 2005.

All One Stops are monitored using the same instruments in the Board's Monitoring Policy. All youth activities are monitored using the same instruments in the Board's Monitoring Policy.

Results of monitoring, local and State are used to make corrective action in staff activities, contracts, and policies as indicated.

11. Open Meetings

The Local Board must conduct business in an open manner by making information about the activities of the board available to the public on a regular basis through open meetings **[§661.305]**.

- *Describe the process for making information about Board activities, including meeting schedules, available to the public; who is responsible and how often is the information available? If posted electronically, attach a link to your website.*

All activities of the Board are published on a 6 month calendar. The calendar is emailed to all WIB members, committee members and partner agencies. The calendar is posted on the opening page of the WIB's website at www.capreg.org. The Assistant to the WIB Executive Director is responsible for developing, maintaining, updating and publishing the calendar.

12. Public Comment on Local Plan

The Local Plan must include a description of the process used to provide an opportunity for public comment, including comments by representatives of business and labor organizations, and input into the development of the Local Plan **[§661.350]**.

- *Describe how the policy for gathering public comment on the Local Plan has changed since the development of the initial five-year plan and what caused those changes to be made?*
- *Describe where/how the current Local Plan was made available for public comment?*
- *Attach a copy of the public comments received in disagreement with the Local Plan and how those disagreements were addressed.*

The current Three Year Plan is available in electronic format. The announcement of the plan and 30 day comment period is published on the WIB's website which can be reached through the State's workforcenewyork.com. Copies will be emailed to all WIB members, chief elected officials, WIB Committee members, staff and system partners, local economic development agencies and chambers and other individuals on the WIB mailing lists.

Comments:

The following comments were received during the 30 day comment period. They are attached here. The first two are emails from Chuck Steiner, President of the Schenectady

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Chamber of Commerce and Ed Baker from the Schenectady County Community College and refer to a Youth Worker Readiness Credential that was developed and implemented in Schenectady in conjunction with the Schenectady City School District. The plan has been modified to include information regarding this program.

Additionally, some comments were received from Board members during the September WIB meeting. These did not require a change in the plan, but they asked that a list of needed technology updates be made available to Board members so that they could determine if they might provide assistance.

Chuck,

Thanks for letting me know how you feel. I sent the following email to Ed:

Ed,

Thanks for finding the plan and commenting.

It is not my intention to discount the work done in Schenectady. We need to build on that and look to blend with what the surrounding 11 counties are doing.

I'll rework the language there.

We need to make this a focus in all of our counties (Albany and Rensselaer) and also take a look at what the other WIBs in the Tech Valley are doing. It makes sense to work on a regional certificate.

Dan

Daniel A. Gentile
Executive Director
Capital Region Workforce Investment Board
175 Central Avenue
Albany, New York 12206
(518) 462-7600 x 164
Fax: (518) 447-5967
wib@capreg.org

-----Original Message-----

From: Charles Steiner [mailto:csteiner@schenectadychamber.org]
Sent: Thursday, September 08, 2005 2:30 PM
Subject: RE: WIB 3-Year Comprehensive Plan Comment

Dan,

I endorse and support the comments of Ed Baker regarding the Certificate of Employability (COE) program that is now functioning in Schenectady County and recommend that the program be recognized and included in the 3-Year Comprehensive Plan.

I do recognize the 3-Year Plan is both a Comprehensive and Strategic Plan, that encompasses numerous programs to address the varied

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challenges of workforce development and that the worker certification program is just one proposed element of that plan.

However, the issue is that a significant "missed opportunity" could occur with the exclusion, or lack of recognition of the Schenectady COE program, in the 3-Year Plan.

Collaboration, partnering and the utilization of minimal resources to meet the needs of today's workforce is a reality.

It is frustrating, as a partner with you, to be excluded, even though the NY Department of Labor, Workforce Development and Training Division is well aware of our program and efforts.

You have asked for our comments and I would appreciate your consideration of including the Schenectady COE program into the 3-Year Plan.

Thank you.
Chuck

-----Original Message-----

From: Edward Baker [mailto:bakeres@gw.sunysccc.edu]
Sent: Wednesday, September 07, 2005 4:25 PM
To: crrc3@albany.net
Subject: WIB 3-Year Comprehensive Plan Comment

Dan,

I am still not receiving your email newsletter, so please put my current email address on your distribution list. I really feel out of the loop.

At any rate, I am not sure how to comment on the 3-year Comprehensive Local Plan during this 30-day period, but I managed to find a copy of it and feel I need to comment. I hope you will forward my comment to the proper email address.

RE: Page 1-5, fourth bullet

This bullet mentions that "the Capital region WIB, Youth Council, and One Stop Centers are looking to pilot a worker certification program during the coming year based on the work of the State WIB and also incorporating parts of a curriculum used in other WIBs of the Greater Capital Region."

It appears to me that this item discounts the work of the Schenectady One Stop as part of the Capital Region WIB and as a partner with the Schenectady County Chamber, 7 public school districts, SCCC, and others in the development of a worker certification program which has already been piloted and which is already up and running. To my mind, there is no need to pilot but, rather, to expand the model to the rest of the greater capital region WIB, and to blend in the requirements of the NYS worker certification program when NYS eventually produces something tangible and when/if local businesses subscribe to it.

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As of today, the Schenectady Certificate of Employability already has instruction going on in 7 public schools districts and at SJTA, Washington Irving Adult Education Center, and Schenectady County Community College. We have a web page at www.schdy-coe.org. We have a business advisory board and we have 20 businesses already participating by recognizing our graduates and agreeing to be listed on our web page. That is 10 more businesses than Rochester has, and it involves an entire County, not just a single city school district.

We made a presentation to the Capital Region WIB Youth Council this past year. And, since we are no longer in the beta testing phase, but are now live and running, we have hopes to submit our project to the WIB this year for a best practice award. We could use the money because everything we have done has been by volunteers, school district contributions, and business' donation of staff time and services.

I'm not sure what the Capital Region WIB plans to do in its pilot, but it appears to me that this item simply dispatches and devalues the work of the Schenectady One Stop and its partners, and demonstrates the WIB's intent to create a pilot of something that already exists.

Thanks for hearing me out.

Ed

FROM WIB MEETING 9/21

In response to challenges:

- Provide specifications on technology needs to WIB members so they can possibly assist in obtaining hardware/software etc.
- Create a targeted Industries list – list needs to be revisited to be ready for future but also serve current industries
- Need to have sense of staffing compared to service provided (# of staff serving # of customers)

IV. Required Certifications and Documents

Any attachment requiring original signature must be mailed to the address listed under general instructions.

- Attachment A: Request for Extension to Submit Local Plan
- Attachment B: Timeline for Submitting Complete Local Plan
- Attachment C: Signature of Local Board Chair
- Attachment D: Signature of Chief Elected Official
- Attachment E: Units of Local Government
- Attachment F: Fiscal Agent/Grant Subrecipient
- Attachment G: One Stop Operator Information
- Attachment H: Federal and State Certifications

In addition, the following documents must be attached for the plan to be complete:

- Chief Elected Officials Agreement (if applicable)
- Local Board By-Laws
- One Stop Operator Agreement

ATTACHMENT A: REQUEST FOR EXTENSION TO SUBMIT LOCAL PLAN

A request to extend the deadline for submitting a Comprehensive Three-Year Local Plan beyond the June 30, 2005 date will be considered if the local area justifies that additional time is needed to develop a complete plan. To request an extended deadline the LWIA must submit the following documents by March 15, 2005:

- Attachment A, Request for Extended Deadline to Submit Local Plan, and
- Attachment B, Timeline for Submitting Complete Local Plan

Local Plan Extension: All LWIAs are eligible to request an extension to submit the Local Plan no later than September 30, 2005.

Section II-A Extension: Those LWIAs that are unable to fully complete Section II-A prior to the deadline for submitting the Local Plan may request an extension to submit this section no later than December 31, 2005. The December 31, 2005 extended deadline request permits the late submission of **only** the following plan elements:

Section II-A (2), *Engaging Community Partners in Workforce Solutions*,
Section II-A (3), *Aligning Service Delivery*, and
Section II-A (4), *Measuring Achievement*.

Local Plan Extension: The **CRWIA** LWIA requests an extension to submit its Comprehensive Three Year Local Plan from June 30, 2005 to September 30 for the following reasons: **Additional time needed to complete.**

Section II-A Extension: The CRWIA LWIA requests an extension to submit its completed Section II-A from June 30, 2005 to September 30 for the following reasons: **Additional time needed to complete.**

Date: March 11, 2005

Typed Name: Gary Nicklaus

Signature of Local Board Chair: _____

ATTACHMENT B: TIMELINE FOR SUBMITTING COMPLETE LOCAL PLAN

When Attachment A, Request for Extended Deadline to Submit Local Plan, is submitted, Attachment B must also be submitted by March 15, 2005 indicating when the Local Area anticipates submitting its completed plan. As a condition for granting an extended deadline, local areas must identify the date by which they will complete each plan component. All local areas must meet the NYSDOL Required Completion Dates provided below.

When the local area submits its final plan, the entire plan must be submitted.

<i>Area of Plan</i>	<i>NYSDOL Required Completion Dates</i>	<i>LWIA Projected Completion Date</i>
<i>LWIA Profile</i>		
Profile	September 30	
<i>Section IIA – Local Area Strategic Planning Process</i>		
<i>Economic Environment & Key Workforce Issues</i>	September 30	
<i>Engaging Community Partners in Workforce Solutions</i>	September 30 or December 31	
<i>Aligning Service Delivery</i>	September 30 or December 31	
<i>Measuring Achievement</i>	September 30 or December 31	
<i>Section IIB – Local Area Strategic Planning Progress</i>		
Strategic Planning Progress	September 30	
<i>Section III – WIA Compliance</i>		
All Compliance Sections	September 30	
<i>Section IV– Attachments/Forms</i>		
All required Attachments and Forms	September 30	

Date:

Typed Name:

Signature of Local Board Chair: _____

ATTACHMENT C: SIGNATURE OF LOCAL BOARD CHAIR

**WIA Comprehensive Three-Year Local Plan Submittal
July 1, 2005 – June 30, 2008**

In compliance with the provisions of the Workforce Investment Act of 1998, the Interim Final Rule, and Planning guidelines and instructions developed by the Governor, this WIA Comprehensive Three-Year Local Plan is being submitted jointly by the Local Board and the respective Chief Elected Official(s).

By virtue of my signature, I:

- agree to comply with all statutory and regulatory requirements of the Act as well as other applicable state and federal laws, regulations and policies
- affirm that the composition of the Local Board is in compliance with the law, rules and regulations and is approved by the State
- affirm that this WIA Comprehensive Three-Year Local Plan was developed in collaboration with the Local Board and is jointly submitted with the Chief Elected official(s) on behalf of the Local Board
- agree to comply with § 661.310 by ensuring a firewall exists between the board and the provision of core services, intensive services, training services and the One Stop Operator

Date:		Signature of Local Board Chair:	
Mr.	<input checked="" type="checkbox"/>	Typed Name of Local Board Chair:	
Ms.	<input type="checkbox"/>	Gary Nicklaus	
Other	<input type="checkbox"/>		
Name of Board:	Capital Region Workforce Investment Board		
Address 1:	175 Central Avenue		
Address 2:	3 rd Floor		
City:	Albany		
State:	NY	Zip:	12206
Phone:	518-464-6250	E-mail:	gnicklaus@choiceonemail.com

Submittal directions: Complete this form as part of the Local Plan development process and submit the entire Local Plan electronically as described earlier in this guidance. Submit this form with original signatures to:

Workforce Development and Training Division
NYS Department of Labor
Building 12, Room 450
State Office Building Campus
Albany, New York 12240

Attention: Margaret Moree, Director
Local Plan Documents

ATTACHMENT D (1): SIGNATURE OF CHIEF ELECTED OFFICIAL

**WIA Comprehensive Three-Year Local Plan Submittal
July 1, 2005 – June 30, 2008**

In compliance with the provisions of the Workforce Investment Act of 1998, the Interim Final Rule, and Planning guidelines and instructions developed by the Governor, this WIA Comprehensive Three-Year Local Plan is being submitted jointly by the Local Board and the respective Chief Elected Official(s).

By virtue of my signature, I:

- agree to comply with all statutory and regulatory requirements of the Act as well as other applicable state and federal laws, regulations and policies
- affirm that the Grant recipient possesses the capacity to fulfill all responsibilities and assume liability for funds received, as stipulated in **§667.705** of the rules and regulations
- affirm that the composition of the Local Board is in compliance with the law, rules and regulations and is approved by the State
- affirm that the Chair of the Local Board was duly elected by that Board
- agree to comply with **§661.310** by ensuring a firewall exists between the board and the provision of core services, intensive services, training services and the One Stop Operator

Note: A separate signature sheet is required for each local Chief Elected Official.

Date:		Signature of Local Chief Elected Official (CEO):	
Mr. <input checked="" type="checkbox"/>		Typed Name of Local CEO: Gerald D. Jennings	
Ms. <input type="checkbox"/>			
Other <input type="checkbox"/>			
Title of Local CEO:	Mayor		
Address 1:	City Hall		
Address 2:	Eagle Street		
City:	Albany		
State:	NY	Zip:	12207
Phone:	518-434-5100	E-mail:	webmaster@ci.albany.ny.us

Submittal directions: Complete this form as part of the Local Plan development process and submit the entire Local Plan electronically as described earlier in this guidance. Submit this form with original signatures to:

Workforce Development and Training Division
NYS Department of Labor
Building 12, Room 450
State Office Building Campus
Albany, New York 12240

Attention: Margaret Moree, Director
Local Plan Documents

**ATTACHMENT D (2): SIGNATURE OF CHIEF ELECTED OFFICIAL
WIA Comprehensive Three-Year Local Plan Submittal
July 1, 2005 – June 30, 2008**

In compliance with the provisions of the Workforce Investment Act of 1998, the Interim Final Rule, and Planning guidelines and instructions developed by the Governor, this WIA Comprehensive Three-Year Local Plan is being submitted jointly by the Local Board and the respective Chief Elected Official(s).

By virtue of my signature, I:

- agree to comply with all statutory and regulatory requirements of the Act as well as other applicable state and federal laws, regulations and policies
- affirm that the Grant recipient possesses the capacity to fulfill all responsibilities and assume liability for funds received, as stipulated in **§667.705** of the rules and regulations
- affirm that the composition of the Local Board is in compliance with the law, rules and regulations and is approved by the State
- affirm that the Chair of the Local Board was duly elected by that Board
- agree to comply with **§661.310** by ensuring a firewall exists between the board and the provision of core services, intensive services, training services and the One Stop Operator

Note: A separate signature sheet is required for each local Chief Elected Official.

Date:		Signature of Local Chief Elected Official (CEO):	
Mr. <input checked="" type="checkbox"/>		Typed Name of Local CEO: Michael G. Breslin	
Ms. <input type="checkbox"/>			
Other <input type="checkbox"/>			
Title of Local CEO:	County Executive		
Address 1:	Albany County Office Building		
Address 2:	112 State Street		
City:	Albany		
State:	New York	Zip:	12207
Phone:	518-447-7040	E-mail:	mbreslin@albanycounty.com

Submittal directions: Complete this form as part of the Local Plan development process and submit the entire Local Plan electronically as described earlier in this guidance. Submit this form with original signatures to:

Workforce Development and Training Division
NYS Department of Labor
Building 12, Room 450
State Office Building Campus
Albany, New York 12240

Attention: Margaret Moree, Director
Local Plan Documents

**ATTACHMENT D (3): SIGNATURE OF CHIEF ELECTED OFFICIAL
WIA Comprehensive Three-Year Local Plan Submittal
July 1, 2005 – June 30, 2008**

In compliance with the provisions of the Workforce Investment Act of 1998, the Interim Final Rule, and Planning guidelines and instructions developed by the Governor, this WIA Comprehensive Three-Year Local Plan is being submitted jointly by the Local Board and the respective Chief Elected Official(s).

By virtue of my signature, I:

- agree to comply with all statutory and regulatory requirements of the Act as well as other applicable state and federal laws, regulations and policies
- affirm that the Grant recipient possesses the capacity to fulfill all responsibilities and assume liability for funds received, as stipulated in §667.705 of the rules and regulations
- affirm that the composition of the Local Board is in compliance with the law, rules and regulations and is approved by the State
- affirm that the Chair of the Local Board was duly elected by that Board
- agree to comply with §661.310 by ensuring a firewall exists between the board and the provision of core services, intensive services, training services and the One Stop Operator

Note: A separate signature sheet is required for each local Chief Elected Official.

Date:		Signature of Local Chief Elected Official (CEO):	
Mr. <input type="checkbox"/>	Typed Name of Local CEO:		
Ms. <input checked="" type="checkbox"/>	Kathleen M. Jimino		
Other <input type="checkbox"/>			
Title of Local CEO:	County Executive		
Address 1:	Rensselaer County Office Building		
Address 2:	7 th Avenue		
City:	Troy		
State:	New York	Zip: 12180	
Phone:	518-270-2900	E-mail: kjimino@rensco.com	

Submittal directions: Complete this form as part of the Local Plan development process and submit the entire Local Plan electronically as described earlier in this guidance. Submit this form with original signatures to:

Workforce Development and Training Division
NYS Department of Labor
Building 12, Room 450
State Office Building Campus
Albany, New York 12240
Attention: Margaret Moree, Director
Local Plan Documents

**ATTACHMENT D (4): SIGNATURE OF CHIEF ELECTED OFFICIAL
WIA Comprehensive Three-Year Local Plan Submittal
July 1, 2005 – June 30, 2008**

In compliance with the provisions of the Workforce Investment Act of 1998, the Interim Final Rule, and Planning guidelines and instructions developed by the Governor, this WIA Comprehensive Three-Year Local Plan is being submitted jointly by the Local Board and the respective Chief Elected Official(s).

By virtue of my signature, I:

- agree to comply with all statutory and regulatory requirements of the Act as well as other applicable state and federal laws, regulations and policies
- affirm that the Grant recipient possesses the capacity to fulfill all responsibilities and assume liability for funds received, as stipulated in **§667.705** of the rules and regulations
- affirm that the composition of the Local Board is in compliance with the law, rules and regulations and is approved by the State
- affirm that the Chair of the Local Board was duly elected by that Board
- agree to comply with **§661.310** by ensuring a firewall exists between the board and the provision of core services, intensive services, training services and the One Stop Operator

Note: A separate signature sheet is required for each local Chief Elected Official.

Date:		Signature of Local Chief Elected Official (CEO):	
Mr. <input type="checkbox"/>	Typed Name of Local CEO:		
Ms. <input checked="" type="checkbox"/>	Susan Savage		
Other <input type="checkbox"/>			
Title of Local CEO:	Chair, Schenectady County Legislature		
Address 1:	Schenectady County Office Building		
Address 2:	620 State Street		
City:	Schenectady		
State:	New York	Zip:	12305
Phone:	518-388-4280	E-mail:	susan.savage@countyofschenectady.com

Submittal directions: Complete this form as part of the Local Plan development process and submit the entire Local Plan electronically as described earlier in this guidance. Submit this form with original signatures to:

Workforce Development and Training Division
NYS Department of Labor
Building 12, Room 450
State Office Building Campus
Albany, New York 12240
Attention: Margaret Moree, Director
Local Plan Documents

ATTACHMENT E: UNITS OF LOCAL GOVERNMENT

**Where a local area is comprised of multiple counties or jurisdictional areas,
provide the names of the individual governmental units
and identify the grant recipient.**

Unit of Local Government	Grant Recipient	
	Yes	No
City of Albany		X
County of Albany		X
County of Rensselaer		X
County of Schenectady	X	

ATTACHMENT F: FISCAL AGENT/GRANT SUBRECIPIENT

Identify the Fiscal Agent or a Grant Recipient to assist in the administration of grant funds. Provide the names of the agent and/or subrecipient.

Entity	Fiscal Agent	
	Yes	No
Schenectady County Job Training Agency	X	

Entity	Grant Subrecipient	
	Yes	No
City of Albany, Department of Youth and Workforce Services	X	
Rensselaer County Department of Employment & Training	X	
Schenectady County Job Training Agency	X	

ATTACHMENT G (1): ONE STOP OPERATOR INFORMATION

Complete the following information for *each locally certified One Stop Operator* in your Workforce Investment Area

OPERATOR: Career Central, the Albany One Stop Center	
Method of Selection	Type of Operator
<input checked="" type="checkbox"/> Consortium <input type="checkbox"/> Competitive Bid	<input type="checkbox"/> System <input checked="" type="checkbox"/> Center(s)
Operator Address:	175 Central Avenue Albany, New York 12206
Operator Phone:	518 462-7600 x 100; 518 434-5717
E-Mail:	Jeanette Raynor (usajer@labor.state.ny.us) Sheri Townsend (townss@ci.albany.ny.us) Ed Shannon (Eshannon@albanycounty.com)

Attach a list of all One Stop centers overseen by this Operator and include for *each* center:

- Name/Address/Phone of Center(s)
- Identify Full-Service or Certified Affiliate Site
- Identify Partners On-Site and Frequency On-Site (e.g., half day/week; two days/week)
- Identify Center Hours of Operation

OPERATOR CERTIFICATION STATUS

Indicate status of State Level Recertification:

- Granted
- Application Submitted/Pending State Review
- Application Not Yet Due
- Other (explain)

Application is process.

ATTACHMENT G (2): ONE STOP OPERATOR INFORMATION

Complete the following information for *each locally certified*
One Stop Operator in your Workforce Investment Area

OPERATOR: Rensselaer County One Stop Center	
Method of Selection	Type of Operator
<input checked="" type="checkbox"/> Consortium <input type="checkbox"/> Competitive Bid	<input type="checkbox"/> System <input checked="" type="checkbox"/> Center
Operator Address:	Rensselaer County Office Building 1600 7 th Avenue Troy, New York 12180
Operator Phone:	518 270-2860
E-Mail:	Mary Anne Gronau (crrc5@albany.net)

Attach a list of all One Stop centers overseen by this Operator and include for *each* center:

- Name/Address/Phone of Center(s)
- Identify Full-Service or Certified Affiliate Site
- Identify Partners On-Site and Frequency On-Site (e.g., half day/week; two days/week)
- Identify Center Hours of Operation

OPERATOR CERTIFICATION STATUS

Indicate status of State Level Recertification:

- Granted
- Application Submitted/Pending State Review
- Application Not Yet Due
- Other (explain)

Original round of approvals only included one center. Rensselaer County One Stop Center will submit application at Board Request during PY 05

ATTACHMENT G (3): ONE STOP OPERATOR INFORMATION

Complete the following information for *each locally certified One Stop Operator* in your Workforce Investment Area

OPERATOR: Schenectady County One Stop Center	
Method of Selection	Type of Operator
<input checked="" type="checkbox"/> Consortium <input type="checkbox"/> Competitive Bid	<input type="checkbox"/> System <input checked="" type="checkbox"/> Center(s)
Operator Address:	Schenectady County Job Training Agency Center City Schenectady, New York 12305
Operator Phone:	518 344-2795
E-Mail:	Fran Ricci (fricci@capreg.org)

Attach a list of all One Stop centers overseen by this Operator and include for *each* center:

- Name/Address/Phone of Center(s)
- Identify Full-Service or Certified Affiliate Site
- Identify Partners On-Site and Frequency On-Site (e.g., half day/week; two days/week)
- Identify Center Hours of Operation

OPERATOR CERTIFICATION STATUS

Indicate status of State Level Recertification:

- Granted
- Application Submitted/Pending State Review
- Application Not Yet Due
- Other (explain)

ATTACHMENT H: FEDERAL AND STATE CERTIFICATIONS

The funding for the awards granted under this contract is provided by either the United States Department of Labor or the United States Department of Health and Human Services which requires the following certifications:

A. CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION-LOWER TIER COVERED TRANSACTIONS

1. The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
2. Where the prospective lower tier participant is unable to certify to any of the statement in this certification, such prospective participant shall attach an explanation to this proposal.

B. CERTIFICATION REGARDING LOBBYING - Certification for Contracts, Grants, Loans, and Cooperative Agreements

By accepting this grant, the signee hereby certifies, to the best of his or her knowledge and belief, that:

1. No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan or cooperative agreement.
2. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
3. The signer shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of facts upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S.C. **Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.**

C. DRUG FREE WORKPLACE. By signing this application, the grantee certifies that it will provide a Drug Free Workplace by implementing the provisions at 29 CFR 98.630, Appendix C,

pertaining to the Drug Free Workplace. In accordance with these provisions, a list of places where performance of work is done in connection with this specific grant will take place must be maintained at your office and available for Federal inspection.

D. NONDISCRIMINATION & EQUAL OPPORTUNITY ASSURANCE:

For contracts funded by the U.S. Department of Labor

As a condition to the award of financial assistance from the Department of Labor under Title I of WIA, the grant applicant assures that it will comply fully with the nondiscrimination and equal opportunity provisions of the following laws:

(1) Section 188 of the Workforce Investment Act of 1998 (WIA) which prohibits discrimination against all individuals in the United States on the basis of race, color, religion, sex, national origin, age disability, political affiliation, or belief, and against beneficiaries on the basis of either citizenship/status as a lawfully admitted immigrant authorized to work in the United States or participation in any WIA Title I - financially assisted program or activity;

(2) Title VI of the Civil Rights Act of 1964, as amended which prohibits discrimination on the basis of race, color, and national origin;

(3) Section 504 of the Rehabilitation Act of 1973, as amended, which prohibits discrimination against qualified individuals with disabilities;

(4) The Age Discrimination Act of 1975, as amended, which prohibits discrimination on the basis of age; and

(5) Title IX of the Education Amendments of 1972, as amended, which prohibits discrimination on the basis of sex in educational programs.

The grant applicant also assures that it will comply with 29 CFR Part 37 and all other regulations implementing the laws listed above. This assurance applies to the grant applicant's operation of the WIA Title I - financially assisted program or activity, and to all agreements the grant applicant makes to carry out the WIA Title I-financially assisted program or activity. The grant applicant understands that the United States has the right to seek judicial enforcement of this assurance. For grants serving participants in work activities funded through the Welfare-to-Work block grant programs under Section 407(a) of the Social Security Act, the grant applicant shall comply with 20 CFR 645.255.

For contracts funded by the U.S. Department of Health and Human Services

As a condition to the award of financial assistance from the Department of Labor under Title IV-A of the Social Security Act, the grant applicant assures that it will comply fully with the nondiscrimination and equal opportunity provisions of the following laws including but not limited to:

(1) Title VI of the Civil rights Act of 1964(P.L. 88-352) and Executive Order Number 11246 as amended by E.O. 11375 relating to Equal Employment Opportunity which prohibits discrimination on the basis of race, color or national origin;

(2) Section 504 of the Rehabilitation Act of 1973, as amended, and the regulations issued pursuant thereto contained in 45 CFR Part 84 entitled "Nondiscrimination on the Basis of Handicap in Programs and Activities Reviewing or Benefiting from Federal Financial Assistance" which prohibit discrimination against qualified individuals with disabilities;

(3) The Age Discrimination Act of 1975, as amended, and the regulations at 45 CFR Part 90 entitled "Nondiscrimination on the Basis of Age in Programs and Activities Reviewing Federal Financial Assistance". which prohibits discrimination on the basis of age;

(4) Title IX of the Education Amendments of 1972, as amended, which prohibits discrimination on the basis of sex in educational programs; and

(5) The Americans with Disabilities Act (ADA) of 1990, 42 U.S.C. Section 12116, and regulations issued by the Equal Employment Opportunity Commission which implement the employment provisions of the ADA, set forth at 29 CFR Part 1630.

The grant applicant also assures that it will comply with 45 CFR Part 80 and all other regulations implementing the laws listed above. The grant applicant understands that the United States has the right to seek judicial enforcement of this assurance.

STATE CERTIFICATIONS

E. CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY, AND OUTSTANDING DEBTS

The undersigned, as a duly sworn representative of the contractor/vendor, hereby attests and certifies that:

- 1) No principle or executive officer of the contractor's/vendor's company, its subcontractor(s) and/or successor(s) is presently suspended or debarred; and
- 2) The contractor/vendor, its subcontractor(s) and/or its successor(s) is not ineligible to submit a bid on, or be awarded, any public work contract or sub-contract with the State, any municipal corporation or public body for reason of debarment for failure to pay the prevailing rate of wages, or to provide supplements, in accordance with Article 8 of the New York State Labor Law.
- 3) The contractor/vendor, its subcontractor(s) and/or its successor do not have any outstanding debts owed to the Department, including but not limited to, contractual obligations, fines related to Safety and Health violations, payments owed to workers for public works projects or the general provisions of the Labor Law, unemployment insurance contributions or other related assessments, penalties or charges.

F. CERTIFICATION REGARDING "NONDISCRIMINATION IN EMPLOYMENT IN NORTHERN IRELAND: MacBRIDE FAIR EMPLOYMENT PRINCIPLES"

In accordance with Chapter 807 of the Laws of 1992 the bidder, by submission of this bid, certifies that it or any individual or legal entity in which the bidder holds a 10% or greater ownership interest, or any individual or legal entity that holds a 10% or greater ownership interest in the bidder, either:

Workforce Investment Board: Capital Region

(answer Yes or No to one or both of the following, as applicable.)

1. Has business operations in Northern Ireland:

Yes No

If Yes:

2. Shall take lawful steps in good faith to conduct any business operations they have in Northern Ireland in accordance with the MacBride Fair Employment Principles relating to nondiscrimination in employment and freedom of workplace opportunity regarding such operations in Northern Ireland, and shall permit independent monitoring of its compliance with such Principles.

Yes No

G. NON-COLLUSIVE BIDDING CERTIFICATION

By submission of this bid, each bidder and each person signing on behalf of any bidder certifies, and in the case of a joint bid each party thereto certifies as to its own organization, under penalty of perjury, that to the best of his or her knowledge and belief:

1. The prices in this bid have been arrived at independently without collusion, consultation, communication, or agreement, for the purpose of restricting competition, as to any matter relating to such prices with any other bidder or with any competitor;
2. Unless otherwise required by law, the prices which have been quoted in this bid have not been knowingly disclosed by the bidder and will not knowingly be disclosed by the bidder prior to opening, directly or indirectly, to any other bidder or to any competitor; and
3. No attempt has been made or will be made by the bidder to induce any other person, partnership or corporation to submit or not to submit to bid for the purpose of restricting competition.

I, the undersigned, attest under penalty of perjury that I am an authorized representative of the Bidder/Contractor and that the foregoing statements are true and accurate.

Signature of Authorized Representative

Title

Date

V. Review Process

The Comprehensive Three-Year Local Plan is a living document through which the Local Board will provide the current state of the workforce, a vision for future, established goals for meeting identified challenges, and a plan of action to achieve the desired results. Therefore, the local plan will be reviewed for the following elements: a response to each of the discussion points provided in the guidelines; a well-articulated document that aligns individual components of the strategic plan and provides a workable road map for achieving local success; policy information that clearly supports the strategic planning of the Local Board and is in compliance with statute and regulations. An approvable plan will, therefore, be responsive to these guidelines and represent a well-deliberated, consciously structured local strategy for continuous improvement and success in the local workforce.

The creation of the three-year local plan should be viewed as an opportunity for the Local Board to organize ideas, statements, goals, measurement objectives, and policy in one cohesive document that clearly and succinctly details the Local Board's plan of action for the next three years.

The Local Board will be contacted by NYSDOL staff should clarification or additional information be needed. Local Boards will subsequently receive written notification of plan approval.

Overall Vision/Mission/Goals

1. Activate dialog between business and the One-Stop System.
2. Increase awareness of the One-Stop System to the business community.
3. Align services of the system to those businesses who need them.
4. Strengthen relationships among employment and training and economic development partners.
5. Give flexibility to County BSTs to design and deliver services as they need.

**CAPITAL REGION
WORKFORCE INVESTMENT BOARD**

Meets every other month

**BUSINESS SERVICES
TASKFORCE**

BUSINESS SERVICES Taskforce:

1) County BST Leaders	3
2) WIB Staff	1
3) ESD	1
4) DOL	1
5) Voc Rehab	1
6.) Private Sector Business (1 per County)	3 10

Taskforce will meet on off months of the Full WIB meeting and be chaired by one of these members (#6). Chair reports out to the WIB & has one year rotational term. NYSDOL Labor Market Analyst & Capital District Regional Planning Commission (CDRPC) & Organized Labor groups are considered Committee Resources but not official members.

Responsibilities

1. Take direction from WIB & provide direction to Bus. Service Teams (BSTs)
2. Report out to WIB on projects/tasks
3. Provide necessary training to BSTs
4. Identify target industry clusters for possible Focus Groups or targeted outreach

Focus Groups
Industry specific, facilitated meetings to derive specific needs directly from business.



Monthly meetings w/flexibility to expand & invite Business members. Consists of team leader who sits on and reports out to the Business Services Taskforce.

Responsibilities

1. Take direction from and report out to Business Services Taskforce.
2. Facilitate regular communication on business activity within the County among partners.
3. Review and educate members on inventory of business services.
4. Conduct field visits and gather information on area businesses needs while promoting business services of the system.
5. Address area business needs with plan of action and delivery.

County Business Service Teams (BSTs)

- One Stop Operator
- Local Economic Developer
- DOL Business Services Representative
- Chamber of Commerce
- WIB Staff
- Veteran Program Staff
- Voc. Rehab Staff
- Educational Institutions

Note: This is a suggested make up. Teams have flexibility to add or delete members as needed to suit their service delivery methods.

The following document is referenced in:
Section III, Subsection 1, #2b
Page III 2

**MEMORANDUM OF UNDERSTANDING
AMONGST
THE CHIEF ELECTED OFFICIALS OF THE CAPITAL REGION
WITH
THE CAPITAL REGION WORKFORCE INVESTMENT BOARD**

This AGREEMENT made by and between the Chief Elected Executive Officials, hereinafter referred to as the CEOs of the City of Albany and, the Counties of Albany, Rensselaer and Schenectady to administer the Workforce Investment Act, hereafter referred to as the Act, for the Capital Region Workforce Investment Area, hereafter referred to as CRWIA, which has been designated by the Governor and the State Workforce Investment Board to include the above-stated municipalities:

WITNESSETH

WHEREAS, the above-stated municipalities have been designated as a WIA pursuant to the Act, and,

WHEREAS, the purpose of the Agreement is to define the lines of authority, responsibility and relationship of the CEOs under the Act, and,

WHEREAS, it is agreed that the parties to the Agreement are committed to developing a workforce investment system that unifies numerous training, education and employment programs in the Capital Region as specified under the Act, and,

WHEREAS, each CEO is fiscally liable for funds expended within his/her jurisdiction, in accordance with the Act, along with program and service delivery, management and oversight responsibilities as defined in the Act, and,

WHEREAS, the CEOs agree to cooperatively administer the WIA within the CRWIA collectively as a CONSORTIUM, in partnership with the Workforce Investment Board, hereinafter referred to as the WIB, agree to designate WIA program operators with responsibilities to administer the programs.

WHEREAS, the CEOs agree to take all steps necessary to establish a One-Stop System and to conduct workforce investment programs within their jurisdiction in accordance with all regulations adopted pursuant to the Act.

NOW, THEREFORE, in consideration of the abovementioned, the CEO's hereto do hereby covenant and agree as follows:

1. The CEOs hereto certify that to the extent consistent with the laws of the State of New York and any subdivision thereof, each party signatory to the Agreement accepts responsibility for the operation of programs and services within their respective jurisdictions
2. Each CEO accepts responsibility for any misuse of such allocated grant funds, properly disallowed costs, penalties or litigation resulting from contract mismanagement and any audits of CRWIA programs operated within the jurisdiction. Additionally, each jurisdiction shall be responsible for ensuring that any program funds received are properly maintained and accounted for in accordance with the procedures established by the New York State Department of Audit and Control, the approved Monitoring Plan for the CRWIA, and the terms of the Memorandum of Understanding executed between the City of Albany and the County of Albany.
3. Each CEO agrees to accept responsibility for adherence to required eligibility determination standards as per the eligibility criteria stated in the Act.
4. Each CEO further agrees to accept any liability that may result from any noncompliance related to such eligibility standards, as well as the responsibility to initiate any necessary corrective action to insure adherence to the standards stated in the Act.
5. Each CEO shall be responsible for the development of jurisdictional performance standards pursuant to the agreement between the WIB and the CONSORTIUM and as specified in the

CRWIA Three Year Local Plan and pursuant to regulations promulgated by the New York State Department of Labor. Each CEO will be held responsible for the operation, successes and/or failures of any program carried on behalf of their jurisdiction, or its sub-grantees, as prescribed in this Plan. In addition, all CEO's agree to accept and implement any necessary corrective action plans within specific time frames as prescribed by the WIB and as specified by NYSDOL in appropriate Technical Advisories.

6. Joint Authorities and Responsibilities of the WIB and the CEOs
Respective responsibilities that are shared between the CEO's and the Workforce Investment Board include, but are not limited to:

- Select One-Stop Operators.
- Develop and submit the Three-Year Local Plan.
- Solicit grants and donations as appropriate.
- Coordinate workforce investment activities with economic development strategies and other employer links.
- Promote participation of private sector employers in the statewide workforce investment system.
- Ensure effective provision of connecting, brokering and coaching activities to assist employers in meeting hiring needs.
- Conduct business in an open manner under the "Sunshine Provision" of the Act [Section 117(e)].
- Ensure, by mutually satisfactory negotiation, any disputes between partners in the Agreement.
- Ensure effective service delivery, which provides the most beneficial combination of program options to residents of the WIA.

7. Authorities and Responsibilities of the WIB

- Appoint Executive Director who will serve as the WIBs' principal officer to ensure that their vision, goals, objectives and policies are being met by the One-Stop operators and that the WIB is able to meet all the federal and state requirements applicable to its funding sources.
- Develop WIB By-laws
- Establish Committees as specified in the WIB By-laws
- Identify eligible training service providers.
- Develop a WIB administrative budget.
- Direct the disbursement of funds in accordance with the regulations of the Act, and the terms of this agreement
- Provide program oversight for youth activities, adult and dislocated worker employment and training activities (under section 134 of the Act), One-Stop delivery system (including continuous improvement efforts) in accordance with the WIB's Monitoring Plan.
- Negotiate local performance measures.

- Assist the Governor in developing the statewide employment statistics system.

8. Authorities and Responsibilities Held solely by the Chief Elected Officials

- Appoint WIB members.
- Fill WIB vacancies in accordance with the regulations of the Act.
- Accept, on behalf of their respective jurisdiction, fiscal liability and penalties for funds expended in such respective jurisdiction in accordance with the Act.

9. Each CEO agrees to be represented by designated individuals on the Executive Committee of the WIB, as described in the By-Laws of the WIB. The Chair of the WIB shall be designated as the Chairperson of the Executive Committee thereof. In the absence of a Chairperson the Executive Committee may designate a member to serve as Chairperson. The Chairperson shall be compelled to remove members of the Executive Committee due to lack of attendance, at the discretion of the Executive Committee. It is the responsibility of each respective Executive Committee member to regularly attend and participate in Executive Committee meetings and of the representative of each CEO to advise and inform their respective CEO of all actions and developments regarding the CRWIA and WIB.

10. Each CEO agrees to the designation of an Administrative Board, hereafter referred to as the "AB", which is responsible for the day-to-day operations and necessary decisions relevant to WIA programs and services. The AB shall consist of five members, one representative from each CEO and the WIB Executive Director. The AB is fully accountable to the Executive Committee of the Board and to each of their respective CEO, for their actions and activities.

The AB shall develop a Three-Year Local Plan pursuant to the Act, which plan shall be submitted to the Executive Committee of the WIB and the CEOs for approval prior to submission of the Plan to the Governor as described in the Act. The Three Year Plan will be reviewed annually and may be revised to reflect required changes and labor market trends. Reports will be provided annually to the WIB and the CEO's identifying outcomes and performance.

The AB, shall ensure implementation of program policies as described in the Three-Year Local Plan and pursuant to the Act rules and regulations promulgated to carry out the purposes of the Act and if applicable Federal, State, and local laws, rules and regulations.

Responsibilities and authorities of the AB, after coordination with the CEOs, shall include, but are not limited to:

- Collect program data necessary for management and evaluation and the preparation of required and desired reports.
- Ensure adherence to required determination and verification of participant eligibility as described in the Act.
- Ensure an effective cash flow management system exists among the jurisdictions which will include receipt and disbursement of all funds related to program operation.
- Ensure the Program Operators shall develop and manage a system to hear and resolve grievances brought by participants, vendors, and other interested parties as required by the Act.
- Provide technical assistance and insight to the WIB.

The AB will meet on a monthly basis and more often as needed. Actions of the AB will require a 4 out of 5 vote of the AB members.

11. The CEOs agree to accept the designation of Schenectady County as the WIA Grant Recipient.
12. Each CEO recognizes that federal WIA funds are allocated to the CRWIA through the New York State Department of Labor on the basis of a formula described in the Act. Further, the CEO's understand that the subsequent allocation of federal WIA funds to each jurisdiction may be implemented by that formula or another method. The CEO's therefore agree that the apportionment of annual "formula" based allocations among each of the jurisdictions of the CRWIA will be based on the recommendation of the AB and that each CEO either will formally accept and agree upon a distribution method for funding allocations provided by the Act for their jurisdictions as recommended to them by the AB of the WIB, or reject the recommendation. It is understood that such recommendation will be delivered to the CEO's no later than 60 days prior to the start of the WIA program year for which funds are to be allocated.
13. Each CEO is empowered to enter into contracts and sub-agreements for training and services, financial and non-financial, within their own jurisdiction in accordance with WIA policy as described in the WIA Three-Year Local Plan. Each CEO has the responsibility and liability to maintain, monitor, modify and terminate these contracts. All CEOs, together with the WIB Chair, may contract for area-wide WIA programs and services.

14. Each CEO agrees to monitor the activities of their operations and sub-grantees in their jurisdiction. In addition, all CEOs agree to allow monitoring of all activities by the WIB, State of New York authorized representatives and the AB. The AB will monitor the WIA activities through, but not limited to, desk reviews, informal and formal meetings, and on-site visits, pursuant to the approved CRWIA Monitoring Plan, to NYS Technical Advisory #04-19 or pursuant to other such guidance as it may be amended, on behalf the CEOs.
15. This Agreement shall become effective when the CEO of each jurisdiction has signed this document.
16. This Agreement may be amended in writing upon consent of all parties.
17. This Agreement may be terminated upon 60 days notice by any CEO giving written notice to each of the other members.

