

Program Year 2009 Workforce Investment Act and Wagner-Peyser Act State Plan

**Approved by the Governor
and
New York State
Workforce Investment Board**



July 1, 2009 – June 30, 2010

SECTION I. CONTEXT, VISION, AND STRATEGY	3
<i>Economic and Labor Market Context.....</i>	3
<i>State Vision and Priorities</i>	15
<i>Overarching State Strategies</i>	21
<i>Service Delivery Strategies, Support for Training.....</i>	23
SECTION II. SERVICE DELIVERY	29
<i>State Governance and Collaboration</i>	29
<i>Reemployment Services and Wagner-Peyser Act Services</i>	30
<i>Adult and Dislocated Worker Services</i>	33
<i>Youth Services.....</i>	36
<i>Veterans' Priority of Service</i>	37
<i>Service Delivery to Targeted Populations</i>	39
SECTION III. OPERATIONS.....	42
<i>Transparency and Public Comment.....</i>	42
<i>Increasing Services for Universal Access.....</i>	42
<i>Local Planning Process</i>	44
<i>Procurement.....</i>	41
<i>Technical Assistance</i>	46
<i>Monitoring and Oversight.....</i>	47
<i>Accountability and Performance</i>	48

Section I. Context, Vision, and Strategy

Economic and Labor Market Context

Question IV in PY 2009 Stand-Alone Planning Guidance: Provide a detailed analysis of the state's economy, the labor pool, and the labor market context. (§112(b)(4).)

Overview of the New York State economy and the impact of the current economic downturn.

Between 1990 and 2008, the New York State economy continued its long-term transition from one centered in the manufacturing of goods to one dominated by the service-providing sector (see table below). As of 1990, the goods-producing sector accounted for about 1 in 6 jobs in New York State. By 2008, this figure had declined to little more than 1 in 10 jobs in the state. These figures are reflected in the dramatic drop in the number of goods-producing (mostly manufacturing) jobs in the State, which fell by 412,200 (-31.4%) between 1990 and 2008. In strong contrast, service-providing jobs grew by 993,300 (+14.4%) in the State. This dramatic shift in the State's employment base has had a significant impact on both the occupational trends and the educational and skill needs of the State's workforce.

Recent Developments

Between 2007 and 2008, the total nonfarm job count in New York State increased by 60,900, or 0.7 percent, to 8,794,900, which represented an all-time annual high. During 2008, nearly six in every 10 (58.8%) jobs in the State were concentrated in four industry categories: government (17.2%), health care and social assistance (14.3%), wholesale and retail trade (14.2%), and professional and business services (13.2%). The following table shows the distribution of nonfarm jobs by major industry category in New York State in 1990 and 2008.

In 2008, New York State's private sector employment count increased by 49,700, or 0.7 percent, to 7,282,700, which also set a record. By comparison, private sector jobs in the nation decreased by 0.7 percent between 2007 and 2008. Over the same period, total nonfarm jobs (private plus public sectors) in the State increased by 60,900, or 0.7 percent, while the number of U.S. nonfarm jobs dropped by 0.4 percent.

Although both New York State's total nonfarm and private sector job counts set records in 2008, the state's labor market experienced rapid deterioration toward the end of the year. As recently as the third quarter of 2008, the State had added almost 70,000 private sector jobs (+0.9 percent) over-the-year. However, in the fourth quarter of 2008, the State lost more than 40,000 jobs (-0.6 percent) compared with the same period one year earlier.

The State's seasonally adjusted private sector job count peaked in August 2008. Since then, it has dropped for eight consecutive months through April 2009 (latest data available), shedding 189,000 private sector jobs in the process. This decline erased almost half of the 400,000 jobs added during the state's last economic expansion, which occurred between July 2003 and August 2008.

Nonfarm Jobs by Industry						
<i>New York State</i>						
<i>1990 and 2008 (annual averages)</i>						
Industry Category	1990		2008		Change:	
	Jobs	Percent of Total Nonfarm Jobs	Jobs	Percent of Total Nonfarm Jobs	1990-2008	
					Numeric	Percent
<i>Total Nonfarm</i>	8,213,800	100.0%	8,794,900	100.0%	581,100	7.1%
<i>Private Sector</i>	6,740,900	82.1%	7,282,700	82.8%	541,800	8.0%
Goods-Producing	1,312,700	16.0%	900,500	10.2%	-412,200	-31.4%
<i>Natural Resources and Mining</i>	6,700	0.1%	6,300	0.1%	-400	-6.0%
<i>Construction</i>	322,800	3.9%	360,100	4.1%	37,300	11.6%
<i>Manufacturing</i>	983,100	12.0%	534,100	6.1%	-449,000	-45.7%
Service-Providing	6,901,100	84.0%	7,894,400	89.8%	993,300	14.4%
<i>Wholesale & Retail Trade</i>	1,271,900	15.5%	1,249,200	14.2%	-22,700	-1.8%
<i>Transportation, Warehousing, and Utilities</i>	299,800	3.6%	275,100	3.1%	-24,700	-8.2%
<i>Information</i>	286,000	3.5%	263,300	3.0%	-22,700	-7.9%
<i>Financial Activities</i>	779,400	9.5%	722,400	8.2%	-57,000	-7.3%
<i>Professional and Business Services</i>	859,700	10.5%	1,156,800	13.2%	297,100	34.6%
<i>Educational Services*</i>	226,400	2.8%	376,200	4.3%	149,800	66.2%
<i>Health Care and Social Assistance*</i>	852,300	10.4%	1,255,000	14.3%	402,700	47.2%
<i>Leisure and Hospitality</i>	574,300	7.0%	715,600	8.1%	141,300	24.6%
<i>Other Services</i>	278,400	3.4%	368,500	4.2%	90,100	32.4%
<i>Government</i>	1,472,900	17.9%	1,512,200	17.2%	39,300	2.7%

*Includes private sector employment only. Public sector employment is included in the Government jobs total.

Source: NYSDOL, Division of Research and Statistics

The current economic downturn has affected various worker groups in New York in different ways. According to unpublished data from the Current Population Survey, men (6.8%) have had a higher unemployment rate than women (5.5%) over the last year (April 2008-March 2009). This higher unemployment rate among men is largely due to large job losses between April 2008 and April 2009 in these industries with significant male employment: manufacturing (-36,700); financial activities (-31,700); and construction (-25,400).

The unemployment rate for 16-to-24-year-olds is higher than for any other age group in New York State (see table below). For the 12-months ending March 2009, the unemployment rate among this group of workers was 13.7 percent, more than twice as high as the overall jobless rate (6.2 percent). Young people made up about 13 percent of the workforce, but accounted for about 29 percent of all unemployed during this period.

**Unemployment Rate, by Age Group, New York State,
April 2008 – March 2009**

Group	Unemployment Rate
Total 16 + years	6.2%
16 to 24 years	13.7%
25 to 34 years	6.2%
35 to 44 years	5.5%
45 to 54 years	4.2%
55 years and older	4.3%

Over the past year (April 2008 - March 2009), Black, non-Hispanic (11.1 percent) and Hispanic (7.4 percent) workers in New York State have had higher unemployment rates than the overall average (6.2 percent). Asian, non-Hispanic workers have the lowest average rate (4.2 percent).

**Unemployment Rate, by Racial Group, New York State,
April 2008 – March 2009**

Group	Unemployment Rate
Total	6.2%
White, non-Hispanic	5.0%
Black, non-Hispanic	11.1%
Asian, non-Hispanic	4.2%
Hispanic	7.4%

One unusual characteristic of the current economic downturn in New York State is the large number of the State's most educated workers who have abruptly lost their jobs. This is largely a consequence of wide-ranging layoffs in fields such as financial activities and professional and business services, industries with large numbers of highly-educated workers. While overall unemployment rates remain higher for workers with less education, the gap is quickly narrowing. Between February 2008 and February 2009, the number of state residents with at least a bachelor's degree who are collecting unemployment benefits has risen about 115 percent -- twice the rate of increase for people who did not finish high school (see table below).

**Midweek Unemployment Insurance Beneficiaries, by Education Level,
New York State, February 2008 and February 2009**

Education Level	Feb. 2008	Feb. 2009	Net Change	% Change
TOTAL	175,300	309,454	134,154	+76.5%
Less Than 8 Years	8,198	12,978	4,780	+58.3%
8 Years	3,096	4,907	1,811	+58.5%
9 to 11 Years	24,505	38,528	14,023	+57.2%
12 Years	59,764	100,407	40,643	+68.0%
13 to 15 Years	49,653	87,513	37,860	+76.2%
16 Years	20,834	45,231	24,397	+117.1%
17 Years+	9,250	19,890	10,640	+115.0%

A. *Current and anticipated impacts on employment by sector (industry and occupation)*

Short-term industry analysis, 2008 – 2010:

Between 2008 and 2010, the only major industry sector expected to experience growth is educational and health services (+1.3 percent annually). Leisure and hospitality (-0.3 percent annually) is expected to show a shallow decline. All remaining industry sectors are expected to decline faster than the statewide average of all industries combined (-1.2 percent annually).

The component industries within the educational and health services sector expected to grow fastest include: ambulatory health care services (+2.5 percent annually); social assistance (+1.8 percent annually); nursing and residential care facilities (+1.6 percent annually); and educational services (+1.0 percent annually).

Among the component industries in leisure and hospitality, combined losses in accommodation (-2.9 percent annually), museums, historical sites, and similar institutions (-2.2 percent annually) and performing arts, spectator sports, and related industries (-0.7 percent annually) are projected to outpace increases in food services and drinking places (+0.2 percent annually).

Expected losses within professional and business services include professional, scientific, and technical services (-2.3 percent annually), administrative and support services (-1.8 percent), and management of companies and enterprises (-1.4 percent annually).

From 2008 to 2010, every manufacturing industry is forecast to lose jobs. The ones expected to decline at the most rapid rate include leather and allied products (-15.5 percent annually), textile mills (-12.3 percent annually), apparel manufacturing (-11.0 percent annually), printing and related support activities (-10.5 percent annually), transportation equipment manufacturing (-8.9 percent annually), and petroleum and coal products manufacturing (-8.2 percent annually).

Within retail trade, annual job declines will be greatest in miscellaneous store retailers (-3.4 percent), sporting goods, hobby, book and music stores (-3.1 percent), motor vehicle and parts dealers (-2.7 percent), gasoline stations (-2.5 percent), non-store retailers (-2.5 percent), electronic and appliance stores (-2.3 percent), and general merchandise stores (-1.9 percent). On average, the retail trade sector will decline -1.7 percent annually.

Job losses in the information sector will be due primarily to declines in three component industries: telecommunications (-5.4 percent annually); Internet service providers, web search portals, data processing services (-4.9 percent annually); and publishing industries except the Internet (-3.6 percent annually).

All three levels of government are expected to register job losses between 2008 and 2010: federal government (-0.5 percent annually); state government (-0.9 percent annually); and local government (-1.6 percent annually).

Long-term industry analysis, 2006 - 2016:

Service-providing industries are expected to continue to account for most new jobs in New York State through 2016, while manufacturing is projected to continue to shed workers into the foreseeable future (see table below). Over the 2006-2016 period, almost three-quarters (70.9 percent) of all net job growth in New York State (+574,380) will occur in two industry groups: professional and business services (+181,070) and health care and social assistance (+214,000). The industry groups expected to lose jobs over this 10-year timeframe are manufacturing (-117,670), government (-4,870), utilities (-2,130), and agriculture, forestry, fishing and hunting (-1,580).

Between 2006 and 2016, the sectors expected to experience double-digit job growth will be construction (+19.0 percent), health care and social assistance (+16.8 percent), professional and business services (+16.3 percent), and leisure and hospitality (+10.2 percent).

In the construction sector, all sub-sectors are expected to contribute to the job gain, but the most significant contributions to growth will come from construction of buildings (+22.9 percent) and specialty trade contractors (+19.4 percent).

In the health care and social assistance, all component industries are expected to add jobs over the 10-year period. However, those adding the majority of jobs will be ambulatory health care services (+25.8 percent), social assistance (+23.2 percent), and nursing and residential care facilities (+20.7 percent). Those developments will result from the increased health care needs of our aging population and the quest for less expensive treatment venues.

In the leisure and hospitality sector, amusement, gambling, and recreational services (+24.1 percent) will contribute substantially, helped by expected growth in museums, historical sites, and similar institutions (+23.1 percent).

Industry Employment Projections						
New York State						
2006 and 2016						
Industry Category	2006		2016		Change:	
	Employment	Percent of Total Employment	Employment	Percent of Total Employment	2006-2016	
					Number	%
<i>Total Employment</i>	9,317,660	100.0%	9,892,040	100.0%	574,380	6.2%
Goods-Producing	909,680	9.8%	856,130	8.7%	-53,550	-5.9%
<i>Natural Resources and Mining</i>	5,280	0.1%	5,440	0.1%	160	3.0%
<i>Construction</i>	336,500	3.6%	400,460	4.0%	63,960	19.0%
<i>Manufacturing</i>	567,900	6.1%	450,230	4.6%	-117,670	-20.7%
Service-Providing	7,765,560	83.3%	8,375,970	84.7%	610,410	7.9%
<i>Wholesale and Retail Trade</i>	1,234,590	13.3%	1,243,760	12.6%	9,170	0.7%
<i>Transportation, Warehousing, and Utilities</i>	343,790	3.7%	343,880	3.5%	90	0.0%
<i>Information</i>	269,910	2.9%	263,850	2.7%	-6,060	-2.2%
<i>Financial Activities</i>	726,100	7.8%	764,040	7.7%	37,940	5.2%
<i>Professional and Business Services</i>	1,108,500	11.9%	1,289,570	13.0%	181,070	16.3%
<i>Educational Services*</i>	956,150	10.3%	1,035,360	10.5%	79,210	8.3%
<i>Health Care and Social Assistance*</i>	1,275,400	13.7%	1,489,400	15.1%	214,000	16.8%
<i>Leisure and Hospitality</i>	677,900	7.3%	746,740	7.5%	68,840	10.2%
<i>Other Services</i>	414,840	4.5%	445,860	4.5%	31,020	7.5%
<i>All Other Industries</i>	642,420	6.9%	659,940	6.7%	17,520	2.7%
<i>Government**</i>	758,380	8.1%	753,510	7.6%	-4,870	-0.6%

*Includes both public and private sector employment.

**Excludes employment at public sector educational and health care facilities.

Source: NYSDOL, Division of Research and Statistics

Short-term occupational analysis:

Short-term occupational projections have not yet been prepared for New York State and its ten labor market regions. As soon as they are completed, they will be published online and distributed to the state and local Workforce Investment Boards.

Long-term occupational analysis:

Occupational groups projected to add at least 50,000 jobs in New York State over the 2006-2016 period include: healthcare support occupations (+78,050); education, training, and library occupations (+70,490); healthcare practitioners and technical occupations (+55,220); personal care and service occupations (+53,500); food preparation and serving occupations (+52,820); and construction and extraction occupations (+50,640). Declines are expected in transportation and material moving occupations (-4,240) and production occupations (-56,940). These developments mirror to a large degree the industry trends highlighted earlier.

The healthcare support occupation expected to grow the most over the 10-year period is home health aides (+52,320). Other occupations in that category expected to add at least 1,000 jobs include nursing aides, orderlies, and attendants (+12,100); medical assistants (+5,480); dental assistants (+4,290); and occupational and physical therapist assistants and aides (+1,690). Within the healthcare support occupations group, only pharmacy aides (-420) is expected to lose jobs.

Among education, training, and library occupations, most jobs will be added in: primary, secondary, and special education teachers (+26,640); postsecondary teachers (+26,210); and teacher assistants (+7,600). Growth in these occupations comes as teachers born during the Baby Boom years (1946-1964) begin to retire and leave the labor force.

The healthcare practitioners and technical occupations expected to grow the most over the 10-year period will be registered nurses (+24,120) and licensed practical and licensed vocational nurses (+5,010). Other occupations that will add at least 1,000 jobs include physical therapists (+2,620); physicians and surgeons (+2,520); dental hygienists (+2,370); pharmacists (+1,810); pharmacy technicians (+1,730), emergency medical technicians and paramedics (+1,710); occupational therapists (+1,180); and radiologic technologists and technicians (+1,010). Given the aging of the population, the ongoing need for these occupations is not surprising.

<i>Occupational Projections New York State 2006-2016</i>				
<i>Occupational Group</i>	<i>2006</i>	<i>2016</i>	<i>Change</i>	
			<i>Net</i>	<i>Percent</i>
Total, All Occupations	9,317,650	9,892,050	574,400	6.2
<i>Management Occupations</i>	<i>474,640</i>	<i>494,840</i>	<i>20,200</i>	<i>4.3</i>
<i>Business and Financial Operations Occupations</i>	<i>434,820</i>	<i>471,660</i>	<i>36,840</i>	<i>8.5</i>
<i>Computer and Mathematical Occupations</i>	<i>205,180</i>	<i>241,580</i>	<i>36,400</i>	<i>17.7</i>
<i>Architecture and Engineering Occupations</i>	<i>114,750</i>	<i>118,600</i>	<i>3,850</i>	<i>3.4</i>
<i>Life, Physical, and Social Science Occupations</i>	<i>96,470</i>	<i>105,320</i>	<i>8,850</i>	<i>9.2</i>
<i>Community and Social Services Occupations</i>	<i>195,010</i>	<i>221,530</i>	<i>26,520</i>	<i>13.6</i>
<i>Legal Occupations</i>	<i>128,990</i>	<i>138,590</i>	<i>9,600</i>	<i>7.4</i>
<i>Education, Training, and Library Occupations</i>	<i>704,540</i>	<i>775,030</i>	<i>70,490</i>	<i>10.0</i>
<i>Arts, Design, Entertainment, Sports, and Media Occup.</i>	<i>235,720</i>	<i>250,740</i>	<i>15,020</i>	<i>6.4</i>
<i>Healthcare Practitioners and Technical Occupations</i>	<i>470,640</i>	<i>525,860</i>	<i>55,220</i>	<i>11.7</i>
<i>Healthcare Support Occupations</i>	<i>326,170</i>	<i>404,220</i>	<i>78,050</i>	<i>23.9</i>
<i>Protective Service Occupations</i>	<i>280,050</i>	<i>296,360</i>	<i>16,310</i>	<i>5.8</i>
<i>Food Preparation and Serving Related Occupations</i>	<i>570,380</i>	<i>623,200</i>	<i>52,820</i>	<i>9.3</i>
<i>Building/Grounds Cleaning and Maintenance Occup.</i>	<i>359,060</i>	<i>388,860</i>	<i>29,800</i>	<i>8.3</i>
<i>Personal Care and Service Occupations</i>	<i>369,720</i>	<i>423,220</i>	<i>53,500</i>	<i>14.5</i>
<i>Sales and Related Occupations</i>	<i>989,140</i>	<i>1,030,050</i>	<i>40,910</i>	<i>4.1</i>
<i>Office and Administrative Support Occupations</i>	<i>1,690,600</i>	<i>1,708,230</i>	<i>17,630</i>	<i>1.0</i>
<i>Farming, Fishing, and Forestry Occupations</i>	<i>48,010</i>	<i>48,710</i>	<i>700</i>	<i>1.5</i>
<i>Construction and Extraction Occupations</i>	<i>374,330</i>	<i>424,970</i>	<i>50,640</i>	<i>13.5</i>
<i>Installation, Maintenance, and Repair Occupations</i>	<i>328,960</i>	<i>341,200</i>	<i>12,240</i>	<i>3.7</i>
<i>Production Occupations</i>	<i>437,490</i>	<i>380,550</i>	<i>-56,940</i>	<i>-13.0</i>
<i>Transportation and Material Moving Occupations</i>	<i>482,990</i>	<i>478,750</i>	<i>-4,240</i>	<i>-0.9</i>

Source: NYS DOL, Division of Research and Statistics

Although employment growth in the personal care and service category will be broad based, growth will be focused in these occupations: personal and home care aides (+26,110); child care workers (+12,100); fitness trainers and aerobics instructors (+3,370); recreation workers (+2,070), and hairdressers, hairstylists, and cosmetologists (+1,860).

Within the food preparation and serving occupational group, the largest-growing titles between 2006 and 2016 will be wait staff (+11,390), food preparation workers (+10,270), and combined food preparation and serving workers (+8,000).

Among construction and extraction occupations, more than 80 percent of the growth is projected to be in the trade occupations, including: carpenters (+10,550); construction laborers (+7,770); electricians (+5,520); and plumbers, pipefitters, and steamfitters (+4,920).

Two occupational groups – production occupations and transportation and material moving occupations -- are expected to lose jobs over the period. Production occupations are predicted to shrink by 56,940 jobs from 2006 to 2016 as the manufacturing sector continues to contract. Losses will occur among a wide variety of jobs; 82 of the 96 occupations in this occupational group are projected to lose jobs over the period. Of the 14 not expected to lose jobs, most are found in the food processing or utilities industries.

B. *Current and projected demographics of the available labor pool (including income levels as appropriate).*

Population changes will require New York State to mount a focused effort to attract and train increased numbers of individuals who traditionally have had low labor force participation rates: aging workers, minority workers, dislocated workers with limited educational attainment, and high school dropouts. This will require the Workforce Development System to continue special efforts in the areas of literacy, special accommodation in the work place, flexible work hours, and skill upgrades.

The data presented in the table below entitled "Projected Change in Working Age Population (Ages 16-64), New York State, 2005-2020" highlight several of the important demographic trends that are affecting the State's available labor pool now and in the future. The changes in the working-age population over this time period will affect the industries, occupations and skills in demand. New York's working age population (ages 15-64) is expected to experience a net increase of 254,000 between 2005 and 2020, with the State's core working-age population (ages 35-54) projected to decline by 456,000. The largest projected increase in the state's working-age population (+584,000) is among those aged 55-64 years. However, while this age cohort represents the oldest segment of the overall working age population (ages 15-64), the large expected increase of this age group is a workforce issue because the labor force participation rate of those aged 55-64 (65%) is significantly lower than the comparable figure for those aged 35-54 (80%).

Consequently, as the oldest Baby Boomers begin to age out of the labor force in greater numbers over the next decade, there will be insufficient numbers of core working-age (35-54) individuals to replace them. Occupations with greater concentrations of older workers face more rapid retirements in the coming decade. The demand for workers is rising in many key industries (e.g. health care, travel and tourism) that serve an aging population. This convergence of economic and demographic trends will cause significant labor market pressures in some occupations. Employers will increasingly need to focus on finding and retaining key workers. Moreover, other issues in the areas of health care, housing, and leisure and related needs will need to be addressed as this group ages.

<i>Projected Change in Working Age Population (Ages 15-64)</i>	
<i>New York State</i>	
<i>2005 – 2020</i>	
Age Group	Change in Population
<i>15 to 24</i>	<i>-92,000</i>
<i>25 to 34</i>	<i>+218,000</i>
<i>35 to 54</i>	<i>-456,000</i>
<i>55 to 64</i>	<i>+584,000</i>
Working Age Population, Ages 15 to 64	+254,000
<i>Source: Cornell University, Program on Applied Demographics.</i>	

Between 1993 and 2008, while New York State's total labor force grew by 11%, the number of minorities within it grew dramatically. For example, the number of Hispanics in the statewide labor force grew 72% over the 1993-2008 period, while the number of blacks increased by 25%. In contrast, the number of whites in the statewide labor force only grew by 3%.

The dramatic increase in the number of minorities in the labor force in recent years underscores the growing importance of immigrants to the New York State economy. Recent Census Bureau data indicate that in 2007, among those aged five years and older, over 5,200,000, or nearly 29% of the State's population, (all of whom will be in our future labor force by the year 2015) spoke a language other than English at home. New York City's historic role as a port-of-entry for many international immigrants is a factor that has led to an increase in the minority population. Almost three-quarters (71%) of the State's non-English speaking population is concentrated in New York City, where nearly half (48%) of the City's population five years and older do not speak English at home.

Not only do we need to draw a greater share of our population into the labor force, in order to replace the aging Baby Boomers, but we need to prepare dislocated workers to take some of those jobs. Workers entering the ranks of the unemployed as a result of dislocation (plant closings or mass layoffs) from other jobs often may not be fully prepared for many of the new jobs available. A review of the characteristics of New York workers recently unemployed due to large layoffs showed that about 65% had a high school education or less. However, occupational employment projections indicate that only approximately 25% of the high-wage, high-demand jobs of the future will be available to those with a high school education or less. The system will need to be able to provide skill upgrading and basic and post-secondary training opportunities to many dislocated workers to allow them to successfully compete in today's labor market.

High school dropouts participate in the labor force less than others with more education; they experience higher rates of unemployment; and earn less. This group would be more engaged and be more productive if they were encouraged to complete high school. As the table below shows, in 2008 New York State high school dropouts participated in the labor force less (41.4%) than those with a high school education (59.0%) and far less than those with at least some college (75.3%). Dropouts also suffered higher unemployment (7.9%) than those with a high school education (5.5%) and significantly higher unemployment than those with some college (3.4%). In 2007 median nationwide earnings of those with less than a high school education stood at \$19,854 compared with \$33,609 for those with a high school degree and \$67,208 for those with a bachelor's degree or higher.

**Labor Force Status of Population 25 Years and Over
New York State, 2008
(Numbers in thousands)**

Educational Attainment	Population	Labor Force	Labor Force Participation Rate*	Employment	Employment to Population Ratio**	Unemp.	Unemp. Rate
Total-- all levels	12,744.4	8,354.9	65.6%	7,988.4	62.7%	366.6	4.4%
Less than High School	1,729.2	710.9	41.1%	654.9	37.9%	56.0	7.9%
HS Diploma/GED	4,000.4	2,358.4	59.0%	2,229.0	55.7%	129.4	5.5%
Some College/ Associate Degree	2,810.2	2,003.1	71.3%	1,914.8	68.1%	88.3	4.4%
Bachelor's Degree	2,545.7	1,980.5	77.8%	1,912.0	75.1%	68.5	3.5%
Master's Degree or Better	1,658.9	1,302.0	78.5%	1,277.7	77.0%	24.4	1.9%

Source: Current Population Survey

* Defined as the share of the population that is in the labor force.

** Defined as the share of the population that is employed.

C. Describe any skills gaps the state faces, based on the skills held by current and expected dislocated workers.

The current recession has temporarily alleviated many expected occupational shortages. However, unmet demand still exists for many healthcare fields within Information Technology fields; for some emerging green jobs; and for some science, technology, engineering, and math (STEM) jobs.

Given President Obama's interest in promoting a green economy and the resulting emphasis on this sector in the stimulus legislation, green jobs and the demand for selected existing occupations which can be adapted to the green economy will be enhanced.

Of the nearly 800 occupations for which projections exist, nearly one-quarter (178) are expected to have very favorable employment prospects. Of these, 48 percent will require a bachelor's or higher level of education, 11 percent will require some postsecondary training or an associate degree, and 40 percent will require some on-the-job training.

Entry-level jobs in two of the sectors expecting growth -- health-related industries and the trade and tourism sectors -- require workers with basic employability skills. Through numerous surveys, employers have identified significant skill deficiencies among available workers including communications, decision-making, and work readiness skills. These deficiencies are being addressed through the State Workforce Investment Board's involvement in guiding the development of the Equipped for the Future Work Readiness Credential. Employability skills deficiencies are the most often reported concern identified in our surveys of businesses. In order to maintain a strong industry and employment base, we must prepare emerging workers with the work readiness skills required in today's work place.

While the knowledge economy will require increasing skill levels for all workers, a challenge for the workforce community will be the growing immigrant populations with historically low levels of literacy and English proficiency. Twenty-nine percent of New Yorkers speak a language other than English at home. In the State's labor force, 27 percent of the workers are foreign born; in New York City, that number is almost double at 46 percent. Each year these numbers are growing. In addition the foreign born population also has lower educational attainment levels as shown in the table below.

<i>Educational Attainment of Population 25 years and over New York State, 2007</i>		
<i>Educational Attainment</i>	<i>General Population (%)</i>	<i>Foreign Born (%)</i>
<i>Less than high school grad</i>	16	27
<i>H.S. diploma or GED</i>	29	28
<i>Associate's Degree or some college</i>	23	17
<i>Bachelor's Degree</i>	18	17
<i>Graduate or professional degree</i>	14	11

Source: 2007 American Community Survey

A number of industries critical to economic growth need smaller numbers of highly skilled workers in specific occupations. These jobs are frequently reported in areas such as advanced manufacturing, high technology, and professional and business services industries. They usually require high levels of job-specific skill that are unique to the business in which they are employed. Reported examples include: computer controlled manufacturing equipment operators, nanoelectronic manufacturing technicians, biomedical and chemical technologists, and chip fab manufacturing technicians – all STEM occupations.

Projected retirements of baby boomers will likely result in shortages of professional and technical health services workers. In addition, shortages of teachers and professors, and skilled tradesmen are also projected and will require extended formal education or vocational skills training.

D. *The skills demanded by industries and occupations expected to grow through economic recovery.*

The skills demanded by industries and occupations expected to grow during the economic recovery are largely those that were in demand prior to the current economic downturn. It is important to note, however, that during the current economic downturn, we do not expect many short-term skills gaps to materialize due to an ample supply of available workers in most fields.

The table below details some of the occupations in which New York State employers have, over the past few years, reported skill gaps, along with the industries in which they are most commonly found and the skills required to perform in those occupations. We expect these skills and occupations to be “in demand” as the state and nation begin to recover from the economic downturn.

<i>Industry</i>	<i>Occupations</i>	<i>Skills</i>	<i>Comments</i>
<i>Healthcare</i>	<i>Healthcare practitioners (including technicians, technologists, therapists, nurses, doctors, dentists, and pharmacists)*</i>	<i>Science, judgment, critical thinking, troubleshooting,</i>	<i>Over half of openings will be due to replacement</i>
<i>Education</i>	<i>Teachers (especially math and science)*</i>	<i>Instructing, speaking, listening, writing, subject knowledge</i>	<i>Need to replace retirees, especially in rural areas</i>
<i>Manufacturing, Information Technology, Finance, Communications</i>	<i>Information Technology professionals, engineers*</i>	<i>Math, science, programming, troubleshooting, learning, speaking, critical thinking, listening, learning, writing, monitoring, quality control, problem solving</i>	<i>5 of 10 IT openings will be due to growth. 1,790 openings per year for engineers; 9 of 10 openings will be due to replacement</i>
<i>Construction</i>	<i>Skilled trades (including electricians, operating engineers, and steel workers)</i>	<i>Listening, equipment selection, math, reading, coordination, critical thinking, installation. Familiarity with green construction concepts.</i>	<i>Major multi-year construction projects on the horizon</i>
<i>Manufacturing</i>	<i>High-skilled production workers (including machinists, welders, and tool and die makers)*</i>	<i>Math, equipment operation, troubleshooting, reading, quality control analysis, blue print reading, equipment repair</i>	<i>Openings per year: Machinists – 220 Welders – 220 Tool and die makers - 50 Most openings due to replacement</i>

* STEM occupations

State Vision and Priorities

Question 1.C. What is the Governor's vision for ensuring a continuum of education and training opportunities that support a skilled workforce? (§112(a) and (b)(4).)

The most severe economic downturn in a generation has provided the impetus for the development of a new vision of education and training in New York State, and the American Recovery and Reinvestment Act of 2009 (the Recovery Act) has provided the means to implement that vision. New York State has a wealth of education and training providers in its network of public and private universities and community-based organizations. In addition to the State University system, with its 64 geographically dispersed two- and four-year institutions, New York is home to over 100 private institutions of higher education and countless more proprietary schools - all of which strive to meet the academic and workforce development needs of the State's population.

However, this network of providers is only part of the continuum of education in New York State. There must now be both a vision for economic recovery that incorporates education and training, and a plan for transforming and improving the effectiveness of the public workforce system for both workers and employers.

The lack of jobs during this recessionary period has moved the focus of the workforce system from job placement to training. Although placement activity continues, the dearth of job opportunities and the extension of Unemployment Insurance benefits have created a window of opportunity for training activity that will prepare those who are out of work for jobs, especially in targeted sectors, that will be created during the recovery.

Throughout the current economic crisis, the Governor has continued to place an emphasis on resources for education and lifelong learning that align with the State Board's focus on talent development and talent attraction. New York State continues to support tools that align the need for increased science, math, technology and work readiness, while ensuring that the tools also align with the standards set forth by the Board of Regents and the New York State Education Department (NYSED).

One such tool is the National Work Readiness Credential (NWRC). The NWRC is the first national standards-based assessment for entry-level workers to provide a universal, transferable, national standard for work readiness. The work readiness assessments are delivered through a secure, web-based system; the four (4) modules assess whether the test-taker can use nine (9) skills well enough to carry out critical entry-level tasks and responsibilities. Businesses from across industry sectors identified these skills as critical for entry-level workers to succeed in today's workplace and global economy. The four modules assess abilities related to: situational judgment, oral language, reading with understanding, and using math to solve problems—the modules can be completed separately or all together.

The Research Division of the New York State Department of Labor (NYSDOL) has developed additional career exploration tools; these are being utilized by school guidance counselors and in the One-Stop centers statewide. With the guidance of the Business Council and the Rensselaer Polytechnic Institute, the State's online career exploration and planning tool, CareerZone, added a new web portal which offers middle and high school students detailed information about career opportunities in the science, technology, engineering and math (STEM) fields. The site also includes information on workshops, camps and internships as well as lesson plans, curriculum and professional development activities for teachers. More than 310,000 middle and high school students have active career portfolios hosted on the website, tied to the NYSED Career Plan initiative, an important component of the Career Development and Occupational Studies learning standards.

Due to the popularity of CareerZone, adults began to use it, which has resulted in a sister site, JobZone, customized to address the career needs of adults including the portfolio feature. JobZone, released in January of 2006, is designed for active job seekers as well as those seeking to improve their career prospects. JobZone currently provides comprehensive job search, career exploration and career planning assistance to more than 192,000 registered users.

Adult workers will continue to be served through a variety of means including adult education, job training, postsecondary education, and registered apprenticeships. Access to training has also been expanded beyond the traditional ITA, with local areas pursuing contracts directly with eligible training providers, including institutions of higher education such as community colleges. These contracts expand capacity and allow input in the shaping of curricula. The availability of supportive services, including needs-related payments, will ensure that all adult workers, including those who are economically disadvantaged, will be prepared for entry or reentry into the workforce.

Concerning youth, the State Board will continue to explore opportunities that develop new programs and increase student enrollments in workforce training and career and technical education diploma programs, especially in high-demand occupational clusters such as health care and information technology. The State Board will look for opportunities to improve the efficiency of student transitions by granting credit for prior learning, developing statewide agreements for transfer and articulation, and increasing the availability of applied degrees. The Board will continue its efforts to enhance “employability skills” training in workforce development programs through the National Work Readiness Credential, a national project to develop a portable documentation of entry-level work skills. The Board will also work closely with the education community to highlight and replicate best practices from around the State and nation in career and technical education.

Both adults and youth will be targeted in one solicitation that the state has ready for release. The Emerging and Transitional Worker Initiative (ETWI) is intended to provide emerging and transitional workers with the necessary skills and competencies to successfully obtain employment and advance their careers through such priority services as, but not limited to, career planning, work readiness training, High School Diploma or Equivalent preparation, basic occupational skills training and the like.

The employer community will be strengthened through a continuously replenished pool of highly qualified workers from which to hire, as well as incumbent worker training programs such as Building Skills in New York State (BUSINYS) and the Skills Training and Education Program (STEP). These programs use a combination of WIA Title I-B and Recovery Act funds to pay 75% to 100% of the costs of instruction for businesses that find their employees in need of updated skills in order to remain competitive. The training also provides skills where none currently exist, such as providing ISO training to manufacturers that need that certification in order to maintain and grow their customer base. The State’s efforts through these and other incumbent worker training programs have led to the training of over 96,000 workers over the past seven years. That experience will be critical as the State moves forward with these renewed and expanded efforts.

New York State has also pursued the development of regional economies and specific sectors. The State’s 13-N program seeks to enhance a region’s competitive advantage by improving the supply and quality of the region’s talent pipeline through transformation strategies built around either a sector-based or a cluster-based approach that is focused on addressing one or more of the region’s following workforce development needs: talent attraction, talent development, or talent retention. This program prompted LWIBs to take a regional approach to identifying industries that should be targeted as critical to the regional economy. Multiple regions of the state have targeted critical industries and are now implementing these programs. These efforts have also established new connections among stakeholders and strengthened already existing ties among those in the business community, labor, education and training and the public workforce system.

The state has also partnered with the National Governor’s Association to take a sectoral approach at the statewide level. The sectors targeted on the statewide basis are advanced manufacturing, green/clean energy and healthcare. The targeting of sectors has also moved into the RFP process, with the aforementioned STEP program made available only to those businesses that fall into one of their regional or statewide targeted sectors.

The state has improved collaboration among agencies to better serve the system’s customers. For example, NYSDOL and the Office of Temporary and Disability Assistance (OTDA) partnered to produce the Career Pathways Program to help disconnected youth and public assistance recipients develop the necessary skills to achieve sustainable high-wage jobs. A collaborative effort between the two agencies,

Career Pathways is designed to provide public assistance recipients and other low income individuals age 16 and over with the skills needed to secure employment within defined career pathways in high growth or high demand industries that are instrumental to regional economic growth across New York State. The focus of this initiative is on skill development through targeted job skills training and the receipt of industry-recognized credentials, diplomas or certificates leading to opportunities for career advancement and increased job earnings. \$5 million in combined TANF and WIA funds were used to award 17 contracts across the State in 2008. Successful awardees in New York City were also eligible to apply for an additional competitive pool of private funds provided by the NYC Workforce Development Funders Group to provide contextual basic education and skills development services to individuals to prepare them to move into a career pathway program.

Through these efforts, the State will continue to strengthen the system, increase access, expand services and create innovative and informed programs designed to develop and maintain through the continuum of education, a highly skilled workforce.

Question I.E. What is the Governor's vision for ensuring that every youth has the opportunity for developing and achieving career goals through education and workforce training, including the youth most in need of assistance, such as out-of-school youth, homeless youth, youth in foster care, youth aging out of foster care, youth offenders, children of incarcerated parents, migrant and seasonal farmworker youth, youth with disabilities, and other youth at risk? (§112(b)(18)(A.))

The Governor recognizes that to ensure the well-being and future success and development of New York State, it is essential to provide improved services to children in the areas of health, education and training, safety and general child welfare. On June 12, 2007, the Governor's Children's Cabinet was established by Executive Order. The mission of the Children's Cabinet, which is comprised of the highest ranking officials from over 25 State agencies, is to advise and make recommendations to the Governor on the most effective policies and programs to promote the well-being of all youth in New York State. The Children's Cabinet recognizes the challenges faced by New York's youth and has identified disconnected youth as a priority. Cabinet members understand that every child deserves the opportunity to grow, learn, advance, and participate in the State's economic and cultural life.

The Children's Cabinet established a Disconnected Youth Workgroup in 2008. Initially, the workgroup focused on youth 14 through 24 years of age in the following groups:

- In foster care, including youth residing informally with kin who receive child only TANF grants;
- On probation, or in juvenile or criminal justice facilities; and
- Those with incarcerated parents.

Its work is focused on the following domains:

- Education, training and employment;
- Stable housing;
- Access to quality health and mental health services; and
- Connectivity to family and community.

The workgroup members include representatives from state and local government, academia, early childhood, health care, business, advocacy organizations and youth services.

As a result of these workgroup meetings, a strong partnership has developed among NYSDOL, OTDA, and the Office of Children and Family Services (OCFS). The three Commissioners of these State agencies issued a joint letter to summer youth employment program providers and agencies with youth participants that might benefit from a summer work experience. The letter was accompanied by a matrix arrayed by county listing program names and contacts for eleven youth programs. This document is a helpful tool for local level providers seeking to make program connections.

NYSDOL conducts a Summer Educator Academy that consists of two six-week sessions with on-site and on-line instruction for middle and high school counselors and teachers. The purpose of the Academy is to

help New York State educators create a 21st century learning environment that fosters the development of a success identity for youth. As a result, youth will be able to identify their strengths, skills, talents and interests. Educators acquire the tools and techniques necessary to implement a model that assists youth in building a plan for future success and supports all youth in attaining the life/work skills necessary to engage in the global economy.

For several years, OTDA has provided TANF funds to the local workforce system to operate a summer youth employment program. As such, local workforce areas in New York State were in good shape to ramp up to provide summer employment experiences with the additional WIA funding made available through the Recovery Act. To highlight the availability of these existing and new resources across the State, the Commissioners of Labor and OTDA convened events and issued press releases in Western New York, the Finger Lakes and Capital Regions. NYSDOL highlighted the availability of tax credits for employers who hire youth in empowerment and revitalization zones at these sessions. NYSDOL is also using its Business Services staff to promote the additional WOTC targeted tax credit for hiring disconnected youth.

Because Congress intended that Recovery Act youth funds be primarily used to support summer youth employment activities, this is the policy direction that New York State is reinforcing. Local workforce areas moved aggressively to begin their youth recruitment and worksite development efforts upon passage of the Recovery Act. In February, NYSDOL and the New York Association of Training and Employment Professionals (NYATEP) convened a Summer Youth Employment Program workgroup to identify critical start up issues and policy questions. NYATEP produced a SYEP technical assistance manual as a result of this effort that was distributed to local providers. Additionally, in April, NYSDOL and NYATEP sponsored three regional training sessions with Edward DeJesus, President and CEO of the National Youth Development and Research Fund, on *Effective Summer Jobs Programming*, that supplied local area youth service providers with some useful ideas for creative work experience programming and work readiness assessment. NYSDOL, NYATEP and OCFS also held a Youth Academy from February 24, 2009 to February 26, 2009 which focused on youth services, including speakers and presentations on topics such as program models, funds, workforce development tools, and the philosophy behind the Recovery Act.

Local areas are planning to spend the majority of their Recovery Act funds during PY 2009, and are enrolling a diverse population of WIA-eligible youth into their programs including youth with disabilities, out-of-school youth, homeless youth, migrant and seasonal farmworker youth and other at risk youth. Youth already enrolled in WIA-funded activities will participate in summer activities and youth will also be enrolled for the summer youth program only.

NYSDOL is using its State-level Recovery Act discretionary funds to issue two major Requests for Proposals (RFPs) that prioritize programming for youth. The Emerging and Transitional Worker RFP will support training for low-income, unemployed young adults, ages 18 – 24 with additional points awarded for programming that provides work readiness preparation and GED services. Programs that focus on training in the construction trades with an emphasis on green jobs are encouraged. There will also be a youth RFP that will focus on serving WIA-eligible youth, ages 14 – 24, with a priority on serving youth on probation, who are incarcerated, in foster care or who are children of incarcerated parents.

Question II. Identify the Governor's key workforce investment system priorities for the state's workforce investment system and how each will lead to actualizing the Governor's vision for workforce and economic development. (§§111(d) and 112(a).)

In responding to this question, states should reflect on shifting priorities necessitated by the economic downturn and areas of focus for economic recovery. States should identify the Governor's key workforce investment priorities for the use of the Recovery Act funds infused into the state's workforce investment system and how each will lead to actualizing the Governor's new vision.

The Governor's vision for New York State's economic revitalization is based on a foundation of five "I's": infrastructure, intellectual capital, investment, international trade and innovation. While all of these components are important, the area that offers the most potential for job creation and development is

innovation. To create an environment of innovation, the State needs to establish a business climate that can foster innovation as well as a climate that will allow for the development of intellectual capital. A continuum of education and training opportunities that support a skilled workforce will be essential to fuel and sustain innovation.

To ensure a business climate that can support innovation, the Governor is reducing business costs, including energy costs; encouraging entrepreneurship; and creating private academic partnerships to advance various technologies. Recently, the Governor convened a Task Force on Industry and Higher-Education Partnerships that is examining opportunities to drive employment by bringing ideas to the marketplace. The goal is to harness research assets and promote job development, especially through business incubation and the commercialization of sciences.

Energy is one sector that will be a catalyst for the State's new economy. The Governor has established a goal for New York to convert 45 percent of its resources to creating clean and renewable energy sources and energy efficiency to convert 45 percent of our electricity needs by the year 2015. Achieving this result is projected to create an estimated 50,000 jobs. The State is working now to establish the education and training capacity that will be needed to engage the new economy.

The State is also investing in healthcare, passing stem cell legislation which will provide \$650 million over the next decade to foster medical and scientific research with stem cells. There are also great inroads into cancer and diabetes research being made through the State's six largest treatment centers. Investments are also being made in the development of nanotechnology, computerization and computer chips and bio-fuels. The Governor has instituted an Innovation Economy Matching Grant program to provide an additional 10 percent in State funding beyond any federal research and development funding that is received, which has enhanced the State's ability to acquire research grants and loans.

Given the economic downturn and the Governor's priorities for economic revitalization, New York State is emphasizing that the One-Stop system is a *workforce development* system. A key focus for the system will be the timely provision of training services to enable individuals to acquire the skills to successfully enter or re-attach to the labor market or to upgrade into higher-skilled, better paying positions. The State's key workforce investment system priorities are: serving targeted populations; fostering sector-driven economic and workforce initiatives; and increasing the number of individuals receiving training and related services.

Serving Targeted Populations. The Governor evidenced his commitment to ensuring public resources are dedicated to helping the targeted populations across the State by establishing an Economic Security Cabinet charged with four clear-cut objectives:

- To reduce New York State's high cost of living;
- Increase education and workforce development opportunities for a highly-competitive economy;
- Strengthen our social safety net; and
- Bring good jobs into our communities.

A key accomplishment emerging from the work of the Subcabinet was the establishment of the Career Pathways initiative which was previously described. This solicitation elicited a strong response and resulted in such high caliber proposals that OTDA and NYSDOL have mutually agreed to expand the program. NYSDOL plans to dedicate State-level Recovery Act funds for this expansion.

Fostering Sector-Driven Economic and Workforce Initiatives: New York State's vision for sector strategies has two goals:

1. To create employment opportunities that move low-wage workers into self-sufficiency; and
2. To create significant employment in emerging high-wage high-value industries in which there is substantial private investment.

Considerable labor market information (LMI) has been analyzed, and three industries emerged as key industries for development: Green and Renewable Resources, Healthcare, and Advanced Manufacturing.

Green and Renewable Resources

The Green and Renewable Resources Industry is a focus for substantial private investment, and has strong workforce and economic development potential in New York State as summarized above. The industry is comprised of a wide variety of occupations spanning construction and installation jobs, engineers and technicians in manufacturing of green products, and energy specialists in research and design. The industry is also expected to provide entry level opportunities for low-skilled workers which have the potential to develop into higher-skilled, higher-wage jobs with progressive levels of job training and education.

NYSDOL has been working very closely with several other State agencies through Governor Paterson's Renewable Energy Task Force to examine the Clean Energy Industry in particular. The Green Jobs Workgroup prepared a report that describes the labor market characteristics of the State's priority clean energy sectors, including staffing patterns, skill requirements, earnings, career ladder opportunities, occupational trends and labor supply/demand assessment. The Workgroup also inventoried existing clean energy training programs throughout the State.

Health Care (including the Life Sciences and BioTech/BioScience Industries)

The Healthcare Industry is a significant point of entry for low-skilled, low-wage entry level workers, and has substantial needs for many types of technical, professional and advanced degree workers. As an industry that spans entry level health service jobs to high-tech positions in the bio-sciences, it is one of the State's largest sectors with the most measurable need in terms of unfilled jobs across a variety of skill and wage levels. It has had success in implementing programs to attract and retain low-skilled workers, and helping to move them up a career ladder. The Healthcare Industry also shows large projected openings in the near future due to increased need for these services, retirement of current employees, and ongoing technological advances. Therefore, the State's Healthcare industry provides both high-wage high-growth potential, as well as opportunities for low-wage workers to advance through a career path to higher-wage jobs.

Advanced Manufacturing

The State continues to see strong investment in Advanced Manufacturing industries such as Nanotechnology, Bioinformatics, and Medical Device manufacturing. Advanced manufacturing industries include not only highly skilled manufacturing jobs but many moderately skilled assembly line jobs that may provide upward movement for entry level low skilled workers. Thus, Advanced Manufacturing industries provide opportunities for low-skilled workers to advance through a career path to higher-wage jobs.

In recent RFPs, NYSDOL has also targeted the Construction and Transportation sectors to allow for better coordination with other Recovery Act funded projects.

To help integrate sectoral strategies into the State's workforce and economic development systems, New York State is participating in a Policy Academy on State Sector Strategies sponsored by the National Governors' Association. The core team of business and government officials associated with this initiative will be generating recommendations for the Governor within the next few months.

State-level resources are being used to support *Regional Economic Transformation* (13-N) initiatives in nine regions across New York State. The purpose of the grant was to solicit regional initiatives that seek to improve a region's competitive advantage by improving the supply and quality of the region's talent pipeline. A preliminary evaluation was conducted on the progress of these initiatives earlier this year. As a next step, preparations are underway for program and business services staff to meet on-site to discuss the regional transformational strategies, their accomplishments and the appropriate next direction for the initiatives.

Other State-level RFPs will be using the sector approach as an organizing principle encouraging the submittal of applications for projects that will provide education and training services targeted to the State's priority sectors. In addition, NYSDOL and OCFS are partnering to provide juvenile justice youth entry level skills in green industries (weatherization certification) and enhanced work readiness through

preparation for Work Readiness Credential testing. These programs will be provided at the Allen Center in Delaware County. The Center currently houses approximately 40 youth.

New York's Labor Law was recently amended to require the State Workforce Investment Board to include business members representing priority industry sectors to help reinforce the Governor's goal of fostering sector-driven workforce and economic development efforts. The amendments also added the chair of the Urban Development Corporation and the Commissioner of the Office of Temporary Disability Assistance as mandatory Board members.

Increasing the Number of Individuals Receiving Training and Related Services: The additional funding available through the Recovery Act will enable the State and local workforce investment areas to increase the number of individuals in training, accompanied by the provision of supportive services and needs-related payments to enable these individuals to successfully complete their training. New York State is tracking training, supportive services and needs-related payment expenditures and will be monitoring the number of individuals who are enrolled in training services and who receive supportive services, including needs related payments. For Recovery Act funds, a minimum training expenditure requirement will be implemented. In addition, the State's incentive and sanction policy will provide incentives to increase the number of individuals trained.

Overarching State Strategies

Question V.B. What strategies are in place to address the national strategic direction discussed in [Section 4] of this guidance, the Governor's priorities, and the workforce development issues identified through the analysis of the State's economy and labor market? (§112(b)(4)(D) and 112(a).)

- *How workforce investment system resources, both stimulus and regular formula funds, can be deployed to serve increased numbers of workers in need.*

WIA adult, WIA dislocated worker and Wagner-Peyser formula, and stimulus funds will be expended concurrently to serve workforce system customers. Since 2007, New York State has established a functional alignment policy of co-enrolling participants in both WIA and Wagner-Peyser programs. As such, while New York does not anticipate a large increase in the total number of customers served, we do anticipate an increase in the number of services provided, particularly intensive and training services. NYSDOL will be tracking training, supportive service and needs-related payment expenditures on a monthly basis. In addition, local areas will be required to expend a specific percentage of their funds on training services. Incentive funds will be made available to local areas that meet or exceed training goals. Local areas have been advised that they must put policies in place to make needs-related payments (NRPs) to individuals in training. Local areas are provided discretion as to the eligibility criteria to receive such payments, but they must establish a mechanism to make such payments when local NRP eligibility criteria are met.

- *How adults and dislocated workers, including low-income adults, who need to acquire new skills will have increased access to education and training opportunities.*

Adults, including dislocated workers and low-income individuals will have increased access to education because New York State is making training a priority for its workforce investment system and has taken a number of administrative steps to foster program integration across training programs. During the past year, the Unemployment Insurance Section 599 program, which permits UI claimants who are enrolled in approved full-time training to collect their unemployment insurance benefits, was transitioned into the One-Stop system so that career advisors working with customers with training needs could ensure the appropriate information was collected for that program as well as WIA. Section 599 program guidelines were changed so that any worker approved for training under WIA enrolled in full-time training (12 hours or more) could automatically be eligible for Section 599 approval to better integrate the programs. Accordingly, training providers included on the Eligible Training Provider list were determined to be eligible providers for the Section 599 program. The TAA program training plan development process had already been transitioned over to the One-Stop system several years earlier. To encourage program integration, it was determined that training providers for the TAA program must be included on the Eligible

Training Provider list. TAA participants are also co-enrolled in Wagner-Peyser and the WIA dislocated worker program.

New York recently issued a policy to ensure that any career advisor who conducts comprehensive assessment with customers is authorized to develop an individual employment plan/training plan (IEP/TP) and authorize the issuance of an ITA. This policy serves to increase access for customers to training and streamlines approval for them. In addition, the State has put policies in place to ensure that all customers receive an initial assessment and are provided information about available training resources. Every customer approved for an ITA also has an IEP/TP developed. An initial checklist has also been developed which will ensure more consistent assessment across the system.

Because the Recovery Act requires priority of service for the expenditure of WIA adult stimulus funds, local areas have been asked to describe how they will be implementing this requirement into their processes in their local plans. In addition, consistent with the spirit of the priority of service requirement, NYSDOL is targeting many of its requests for proposals using State-level Recovery Act funds to low-income individuals.

- *How the state will address a dual-customer approach, meeting the skill needs of existing and emerging employers and high-growth occupations as well as the needs of under-skilled adults.*

New York is pursuing a number of creative approaches to meeting the needs of both employers and workers. An early alert, rapid response and layoff aversion system is planned as a pilot program in the New York City/Downstate region. Primarily managed by NYSDOL, the project is envisioned as a joint venture to help turn around small businesses in several key industry sectors downstate. The team will consist of policy leaders and staff from Employer Services Units, Rapid Response Teams, NYSDOL's Research & Statistics Division, One-Stop Career Centers and other critical state and local partners. The team will create a network of state and local stakeholders and utilize a variety of economic and business data sources to help identify firms at risk for layoffs, relocations, and closures.

New staff are being hired with stimulus funding to support and expand the State's Rapid Response Program capacity. Included within the additional staffing is a State Workforce Action Team (SWAT) strategy in 2 locations for assisting other regions with Rapid Response services during high peak periods. One team will be based in Albany (2 Employment Counselors, 1 Employment Services Representative, and 1 Keyboard Specialist) and the other team in Syracuse (2 Employment Counselors, 2 Labor Services Representatives, and 1 Keyboard Specialist). The teams, with the exception of the Keyboard Specialists, will travel throughout the state on short notice and be equipped with wireless PCs and peripheral equipment for providing assistance to the regions.

The expanded/dedicated staff for Rapid Response in New York State will intensify advance service for affected workers before actual layoffs occur. In addition to job search assistance workshops, onsite one-on-one assessments, including skills analysis and gap identification, will continue to be offered, coupled with referrals to specific training and employment opportunities (as available). Rapid Response staff will continue to work in cooperation with Business Services Teams to promote layoff aversion strategies. For example, since October 22, 2008, a point of emphasis has been the promotion of the UI Shared Work program with employers. This program provides an alternative to layoffs by enabling an employer to reduce the hours and wages of all or a particular group of employees. The affected employees can then receive partial unemployment insurance benefits to supplement their lost wages. Presentations have been made during local Workforce Investment Board and business organizations meetings, in addition to conducting company field visits and staging media events. Comparative results are as follows: November 2007 – May 2008: 244 approved Shared Work applications/6,450 participants (participants defined as employees) versus November 2008 – May 2009: 1,717 (+703.7%) approved Shared Work applications/42,856 (+664.4%) participants.

NYSDOL is preparing an aggressive campaign to market the Work Opportunity Tax Credit for disconnected youth and unemployed veterans.

A contractor has also been selected to educate and train Rapid Response staff on how to work with employers and employees to explore the option of Employee Stock Ownership Programs (ESOPs) and to

identify where pre-feasibility studies should be facilitated. NYSDOL plans on establishing a statewide roster of pre-approved vendors for local employers to tap to secure these services.

- *How workforce activities (e.g., adult education, job training, postsecondary education, registered apprenticeship, career advancement, needs based payments, and supportive service activities) will be aligned in career pathways both now in implementing the Recovery Act and in the transformed workforce system of the future.*

Workforce activities will be aligned in career pathways through a variety of mechanisms. NYSDOL and OTDA will be expanding the Career Pathways initiative. NYSDOL is also structuring its competitive procurements to focus on training individuals for career paths in the State's priority sectors. Overall, the State is making the provision of training services the focus of the workforce investment system.

- *How the state will partner to develop workforce solutions with community colleges, business and labor organizations, registered apprenticeship program sponsors, civic groups, and community organizations to align workforce development strategies and align workforce strategies with strategies for regional development and shared prosperity.*

The Governor and State Board will continue to strategically target State-level WIA funds to address priority economic and labor market issues. These resources have been and will continue to be used to address training needs in key existing and emerging industries, such as advanced manufacturing, biotechnology and information technology. Funds are also used to support the talent development, skills upgrading and lifelong learning necessitated by an ever changing workplace, where flexibility and broad skills are essential to continued employability and career advancement. For example, the State supports the development of regional partnerships through *Regional Economic Transformation* (13-N) grants which provide resources to help cultivate the development of regional industry alliances. These initiatives will continue to be supported with technical assistance and funding. New York State will continue its efforts to leverage and maximize available federal, State, local and private resources by collaborating with local public and private employment and training entities and human resource agencies, such as Community Based Organizations.

As discussed under the State Vision and Priorities section, NYSDOL and OTDA have launched a jointly-funded Career Pathways initiative targeted to serve low-income individuals that will be expanded. NYSDOL and OCFS are working on a pilot project blending WIA Youth and Perkins funding to train incarcerated youth in weatherization. NYSDOL and SED are using WIA incentive funds to incorporate the use of the National Work Readiness Credential into 17 Literacy Zone project areas. NYSDOL, in collaboration with the Green Workgroup, has inventoried clean energy training providers across the State. These providers will be encouraged to apply for inclusion on the State's Eligible Training Provider list. Interagency dialogues around resource sharing and leveraging will continue to be facilitated through participation in the Governor's Economic Security and Children's Cabinets.

Service Delivery Strategies, Support for Training

Question IX.G. Describe innovative service delivery strategies the state has or is planning to undertake to maximize resources, increase service levels, improve service quality, achieve better integration or meet other key state goals. (§112(b)(17)(A).)

In answering this question, the state should describe innovative state strategies to accomplish the state's vision and achieve the goals of the Recovery Act, including how the state will:

- *Increase services to workers in need.*

Driven by the needs of the customer, the state implemented program and policy changes to maximize resources, increase service levels, improve service quality and achieve better integration and meet other key state goals. Below are a few examples of these changes.

In anticipation of the need to provide additional services, NYSDOL devised an aggressive hiring campaign and is in the process of adding additional staff in the One-Stop Career Centers.

The Governor sought funds under a National Emergency Grant to provide a coordinated response to assist financial services workers who have been or are soon to be adversely affected by the effects of the US financial crisis. The award was made in response to a tri-state application by New York, Connecticut and New Jersey. New York plans to use its portion of NEG funds to provide direct services to eligible affected workers, with an emphasis on the provision of training and supportive services to enable workers successfully complete their training goals. The funds will support 5 dedicated full time staff.

The Governor continues to utilize Statewide Activities funds to train incumbent workers. In most cases, these workers are not customers of the One-Stop system and these training opportunities would not have been made available without State assistance. The State is also able to leverage private resources and achieve business commitment and "buy-in," by requiring matching funds and/or requiring that workers be paid their normal wages during periods of instruction. It is the Governor's intent to continue to use Statewide Activities monies to fund new and similar efforts, thereby increasing access and opportunities for training. Most recently, a new incumbent worker training program, the Skills Training and Education Program (STEP), provides funds to businesses to train incumbent workers in specific occupational skills needed by business or industry and that lead to career growth up a defined career ladder and to increased wages. Training under this initiative must result in the workers' acquisition of transferable occupational skills.

As previously referenced, over the past year, NYSDOL adopted program changes to ensure a stronger connection between UI customers seeking training and the One-Stop system. Section 599 of New York's Unemployment Insurance law makes it possible for UI claimants to continue receiving benefits while attending a full-time training program. Under this provision, unemployment insurance claimants are excused from the requirement to look for and accept work while in approved training and may receive additional weeks of benefits. By the fall of 2008, NYSDOL transitioned the 599 approval process from a central office function to the One-Stop Career Centers; allowing for a personal relationship between a One-Stop career advisor and the UI claimant. The intent is to better ensure the coordination of all available services throughout the One-Stop system. This change in practice benefits the One-Stop system and its customers in four basic ways:

1. Increases the number of individuals placed in training;
2. Assists in better leveraging of training resources for UI customers;
3. Targets worker training to meet the demands of local labor markets; and
4. Provides UI claimants with more comprehensive information and access to training opportunities and support services.

Our commitment to support functional alignment and integrate partner services and resources at the local level to meet the needs of businesses and job seekers is continually evaluated and strengthened. A policy directive released in March 2009 intends to expedite and streamline the delivery of training services through the One-Stop system. The policy aims to optimize the One-Stop system's training approval process, ensure seamless service for One-Stop customers, and enhance the One-Stop system's capacity to target resources for training in priority demand occupations.

• Support the full range of One-Stop Career Center customers in acquiring the skills needed to attain jobs in high-growth, high-wage industries and occupations, including such supports as needs-based payments, basic skills remediation, English as a second language, and supportive services.

As mentioned above, the policy directive released in March 2009 regarding the delivery of training services through the One-Stop system ensures that local areas examine their ITA policy to allow for training to meet the needs of high growth, high wage industries and occupations. NYSDOL is using every opportunity to discuss the need for more and varied long term training that benefits all One-Stop Career Center customers in the current economic climate.

Early in 2009, NYSDOL in conjunction with the Governor and State Board made statewide activity funds available to local areas to pay transportation costs for eligible participants while they are receiving WIA

funded services. Local areas are able to purchase gas cards, provide mileage reimbursement or reimburse customers for the costs of using public transportation, including rail, ferry, and bus or subway fares, as appropriate for the area. A total of \$387,500 is earmarked for this initiative.

In the 2009 local planning guidance, areas are directed to develop policy for the administration of supportive services and needs related payments. Given that it will be a challenge to differentiate between individuals served with Recovery Act and non-Recovery Act funds, NYSDOL has instructed local areas to devise policy to make these services available to all participants.

In May 2008, NYSDOL issued a Request for Qualifications to pilot the Metrix Learning System to interested Local Workforce Investment Areas (LWIAs). A total of 26 of the 33 local areas responded to the request and were awarded the use of the Metrix Learning System for customer use. NYSDOL will be evaluating the effectiveness of the Metrix Learning System as an objective skills assessment and skills development tool. The Metrix Learning System is an internet-based learning management system/portal that provides the following functions:

1. Assessment of an individual's skills relative to a selected occupation;
2. Identification of the individual's skills gap based on the completed assessment for the selected occupation;
3. Access to technology-based learning (TBL) courses to help build the individual's skill where deficiencies have been identified; and
4. Monitoring and tracking of all activities by an individual for case management.

Local areas have until the end of September 2009 to use the pilot project licenses. Local areas are now in the process of renewing their contracts for the Metrix Learning System with NYWired; it is expected that most will be renewing.

When NYSDOL transitioned the 599 program from the central office to the One-Stop system, it expanded the approval criteria to allow for training for:

- Individuals in high demand but low skill occupations such as a dishwasher;
- Individuals to advance in the same field, for example a licensed practical nurse to registered nurse; and
- English as a Second Language and General Equivalency Diploma for individuals with marketable skills but lacking English proficiency or a high school diploma.

Additionally, there is a provision for an automatic approval under the 599 program when the training is WIA approved and meets two conditions regarding weekly attendance and duration. Central office staff and career advisors in the One-Stop Career Centers received training in these expanded approval criteria during the summer of 2008. The training materials, a Q and A and data entry guides are available on NYSDOL's website. The UI division formalized the interpretation of the approval criteria in a policy directive.

• Ensure education and training delivered through the workforce system results in education and workforce skills of demonstrated value, and focus assessments and certifications towards the next level of education and employment.

NYSDOL established guidance and policy for the effective use of assessment in providing services to customers of the workforce investment One-Stop system in June 2008 and updated this guidance in June 2009. The directive underscores the role assessment plays in providing appropriate services to customers of the One-Stop workforce investment system leading to more effective use of resources. Per the directives, all One-Stop customers, except Unemployment Insurance (UI) claimants who are work search exempt, are to receive an initial assessment. The initial assessment determines:

- If the customer has barriers to employment;
- If the customer's employment goal is relevant to the labor market; and
- If the customer's occupational knowledge, skills and abilities are proficient.

This initial assessment is staffs' determination/interpretation of whether the customer needs services to prepare for a job search or needs more in-depth career development services, based on interpretation of résumé, job application and/or barrier type information (e.g., customer identification, employment objective, employment skills and abilities, education and employment history). This quick and up front assessment more rapidly identifies individuals who require training.

The 2009 local planning guidance will afford local areas the opportunity to evaluate current policy for training in light of the unprecedented opportunity under the American Recovery and Reinvestment Act for expanded access to training and related services for workers. The local plan guidance will solicit specific information regarding the use of labor market information in policy development, the anticipated numbers of individuals to be trained and expenditures.

- *Strategically use youth, dislocated worker and adult statewide funds to quickly deliver innovative services.*

NYSDOL is in the process of pursuing various strategies, using statewide WIA funds, to address workforce development needs in the State.

Memoranda of Understanding

NYSDOL has entered into, or is in discussions with other sister State agencies to put Memoranda of Understanding (MOUs) in place, which will provide for the following training services.

- **Office of Mental Health** - An initiative that will provide credentialed classroom training, through the State's community college system, to prepare individuals with mental health disabilities interested in working in the mental health field.
- **Office of Alcoholism and Substance Abuse Services** - An initiative that will provide training to unemployed individuals through the State's community college system to prepare individuals as "Credentialed Alcoholism and Substance Abuse Counselors."
- **OTDA** - A collaborative relationship with OTDA to use \$2.5M in TANF funds from the SFY 2008-09 Budget (OTDA) with \$2.5M in WIA funds (NYSDOL) to support the "Career Pathways" initiative. As previously described, this program focuses on skill development and the receipt of industry-recognized credentials for career advancement and enhanced earning potential. This initiative targets public assistance recipients and other low income individuals age 16 and over.
- **New York State Division of Housing and Community Renewal** - Weatherization recruitment and training to assist with implementation of the New York State Weatherization Assistance Program.
- **Parks & Recreation** – To fund a youth green corps jobs program at 30 state parks and historic sites.

Requests for Proposals

NYSDOL has several solicitations in various stages of development which will target the emerging and transitional worker, incumbent workers, and youth.

- **Emerging and Transitional Worker Training Initiative** - NYSDOL has issued a \$10 million Request for Proposals, under its "Emerging and Transitional Worker Program." This solicitation is intended to provide emerging and transitional workers with the necessary skills and competencies to successfully obtain employment and advance their careers through priority services including but not limited to: career planning; work readiness training; High School Diploma or Equivalency preparation; and basic occupational skills training. Individuals eligible to receive services will be limited to low-income, unemployed individuals 18 years of age or older.

NYSDOL is soliciting projects associated with the following sectors: construction trades, health, advanced manufacturing, and transportation. Preference will be given to training projects that incorporate a green component defined as being related to some aspect of renewable energy, energy efficiency, alternative fuels, etc.

- **Incumbent Worker Training Initiative** - NYSDOL has also issued a \$5 million Request for Proposals, under its "BUilding Skills in New York State (BUSINYS) Program." This solicitation is intended to provide incumbent workers with skills upgrade training to help improve their respective companies' competitive advantage.
- **Youth Training Initiative** - NYSDOL is in the process of developing a \$2.5 million Request for Proposals that will target the workforce development needs of in-school youth (ages 14-24) This solicitation seeks to provide work readiness and occupational training to WIA eligible youth.

• Provide targeted work experiences in order to prepare individuals for job opportunities in new industries or occupations, particularly using registered apprenticeship and on-the-job training for all jobseekers, and summer work experience for youth.

NYSDOL has been in the forefront of integrating the Registered Apprenticeship Program with the One-Stop Career System and the Workforce Investment Act. NYSDOL has also made a strong commitment to improve the Registered Apprenticeship Program by enactment of new regulations, policies and procedures.

Apprenticeship by its very nature provides targeted work experiences to prepare individuals for job opportunities which includes both on-the-job training and related classroom instruction. During the past year, the State Apprenticeship and Training Council has approved two new trades for Quality Control Technician – Chemistry and Quality Control Technician – Microbiology, in order to move beyond the traditional building and construction apprenticeship programs.

As indicated earlier, local areas in New York State will be supporting a large number of summer work experience opportunities with Recovery Act funds as well as TANF funds.

• Align workforce activities with education strategies and economic and community development strategies to meet skill needs of jobs and industries important to the local and regional economies and meet the needs of under-skilled adults.

The need for economic recovery also comes with an opportunity to ensure economic competitiveness in the long term. To this end, the Governor and the State Board have designated three demand sectors which will provide many job openings and are believed to be important to economic growth in the future of New York State; green and renewable resources, health care (including life sciences and biotech/bioscience industries) and advanced manufacturing. Career ladders have been identified in each of these sectors. This designation of the three sectors is detailed in the local planning guidance. New York State has formed a Business and Education Leadership Cooperative which is comprised of leaders from organizations that include the New York Academy of Sciences, the Business Council of New York State, the National Federation of Independent Business, Empire State Development, State University of New York, the New York Association of Training and Employment Professionals, and the New York State Office of Science, Technology and Academic Research, as well as NYSDOL. The Cooperative meets monthly to align statewide business, education and education strategies.

The 2009 local planning guidance requires local areas to examine the use of contracts with institutions of higher education or other eligible training providers to facilitate the training of multiple individuals in high-demand occupations. The use of contracts will allow local areas to align workforce, education, economic and community strategies.

NYSDOL leadership also serves on the board of the Career-Tech Education Resource Center which works in partnership with NYSED to coordinate activities and initiatives designed to increase student achievement. The center facilitates network collaboration and leverages resources to build local capacity at targeted schools statewide. As a component of the State's technical and support system aimed at

closing the achievement gap in schools identified as needing improvement, including those failing to meet educational performance standards, the center's focus is career and technical education. The Resource Center assists school districts, BOCES and adult education programs in closing the gaps existing between current and expected student performance levels. The center provides expertise through a number of services which include the latest research and school efforts demonstrating best practices on career development, technical standards, English Language Arts (ELA) and Mathematics, Science and Technology. The Center provides technical assistance to build local school performance and help students achieve successful outcomes.

Section II. Service Delivery

State Governance and Collaboration

Question III.A.2. Describe how the agencies involved in the workforce investment system interrelate on workforce, economic development, and education issues and the respective lines of authority. (§ 112(b)(8)(A).)

The Governor and State Workforce Investment Board rely on a strong interagency network of public agency workforce professionals which aligns regularly around the Governor's agenda. This approach has proven especially valuable in light of recent passage of the Recovery Act, which has increased the amount of financial resources available to enhance the capacity levels and services available to the public; and, the Recovery Act's call for states to coordinate and align Recovery Act funding through WIA with Wagner-Peyser, Reemployment Services, Trade Adjustment Assistance, Unemployment Insurance, and One-Stop Career Center Partner Programs.

Interagency teams are constituted on an ad hoc basis, or as part of broader strategic planning, depending on the purpose and outcome. Interagency staff teams have worked on issues related to the re-entry of ex-offenders; increasing employment opportunities and outcomes for individuals with disabilities; development and implementation of the National Work Readiness Credential; and strengthening youth development principles in youth programming, including addressing the issues for youth aging out of foster care. The teams have also been heavily engaged in reviewing proposed use of funds provided through the Recovery Act to ensure they align with both federal and State priorities.

This interagency collaborative approach has facilitated both exploratory discussions and/or the implementation of various Recovery Act funded initiatives which will target the employment and training needs of the State's workforce. Some of these collaborations will involve execution of Memoranda of Understanding (MOAs) between NYSDOL and other Sister agencies (such as the Office of Mental Health, the Office of Alcoholism and Substance Abuse Services, the New York State Department of Transportation, the New York State Office of Parks Recreation and Historic Preservation, and the New York State Division of Housing and Community Renewal.) NYSDOL is also developing Requests for Proposals for participation by both private and public sector partners capable of contributing non Recovery Act/WIA funds to Recovery Act/WIA funded training initiatives. All of these efforts are intended to benefit and meet the workforce development and training needs of low-income individuals, incumbent workers, the emerging and transitional worker, TANF recipients, and youth.

NYSDOL has been involved in a number of interagency groups dealing in whole or in part with workforce policies, including:

- The Governor's Economic Security Cabinet;
- The Governor's Children's Cabinet;
- The Governor's Reentry State Task Force;
- The Governor's Renewable Energy Task Force;
- The Environmental Justice Interagency Task Force (convened by the Governor's Office);
- The NGA Policy Academy for Sector Strategies;
- The NGA Policy Academy for Civic Engagement of Older Adults; and
- The Veteran's Academy.

NYSDOL has also been working with the New York State Association of Counties (NYSAC) to convene County Elected Officials and Community College Presidents to discuss the ways that NYSDOL can support their workforce development strategies.

Question III.C.1. Describe the steps the state will take to improve operational collaboration of the workforce investment activities and other related activities and programs outlined in section 112(b)(8)(A) of WIA, at both the state and local level (e.g., joint activities, memoranda of understanding, planned mergers, coordinated policies, etc.).

How will the State Board and agencies eliminate any existing state-level barriers to coordination? (§§111(d)(2) and 112(b)(8)(A).)

In terms of how collaboration will be supported and sustained among state agencies, the Governor and State Board will continue to access the public service talent across public workforce agencies in pursuit of the Governor's workforce and economic development agendas. Additionally, the State Board will continue to invite the active participation of the 33 Local Board Chairs in its proceedings and will use the State Board staff to survey and bring forth issues requiring State-level intervention. The State Board has found it most effective to provide the means for Local Board Chairs to present at each State Board meeting, using that as a platform to identify barriers which are impeding strong collaborative efforts. The State Board subcommittees will continue to use ad hoc groups to help assist in the identification as well as the solutions to collaboration and coordination barriers. The State Board, on behalf of the Governor, will continue to make available the talents of competitively procured consultants to serve as facilitators on a State and local level.

Regarding how collaboration will be supported and sustained among WIA, the Wagner-Peyser Act, Unemployment Insurance, Trade Act services, and Registered Apprenticeship programs, New York State is in the fortunate position of having all of these programs under the umbrella of one State agency: the New York State Department of Labor. In prior years, NYSDOL's administrative structure provided for these programs to be housed in three separate divisions, each with its own division director i.e., Wagner-Peyser, Unemployment Insurance, and Workforce Development and Training which oversaw WIA, Trade Act services, and Registered Apprenticeship programs.

In the past year, NYSDOL has consolidated the Workforce Development and Wagner-Peyser divisions into one (the Division of Employment and Workforce Solutions) under the aegis of one director. This move has provided a tremendous opportunity: to re-align and consolidate the chain of command structure to facilitate increased collaboration between the programs; and, to increase the lines of communications among managerial staff as well as front-line staff. It is NYSDOL's expectation that this structural change will have a positive impact on the quality and level of services received by our customers.

Reemployment Services and Wagner-Peyser Act Services

Question IX.C.4.b. Describe the reemployment services the state provides to Unemployment Insurance claimants and the worker profiling services provided to claimants identified as most likely to exhaust their Unemployment Insurance benefits in accordance with section 3(c)(3) of the Wagner-Peyser Act. (§112(b)(17)(A)(iv).)

In August 1998, UI reform legislation, signed into law in New York State, included a provision that deposited a portion of the UI tax paid by employers into a special fund to support a Reemployment Services Program for targeted UI customers (capped at \$35 million annually). The availability of this dedicated State fund has allowed NYSDOL to implement a statewide Reemployment Services Program. The additional RES funds made available through the Recovery Act will be used to expand the level of services available to UI claimants.

Workforce Development System Technical Advisory (TA) #06-15 issued on September 8, 2006, communicates a statewide NYSDOL policy framework for the state-funded Reemployment Services Program. Within the context of New York's functional alignment effort and in recognition that UI claimants comprise over 60% of the shared job seeker customer pool of the statewide One-Stop System in NYS (W-P, Vets, WIA, and TAA combined customer base), it was important that a statewide strategy to coordinate services to UI claimants be put in place that would insure that UI claimants across the state are afforded common service expectations and held to common program requirements. TA #06-15 established minimal statewide program requirements designed to provide a statewide reemployment service strategy for UI claimants that will:

- Emphasize early intervention;

- Provide statewide service standards across the state, yet encourage regional/local service delivery designs to tailor services to individual customer needs; and
- Speed the referral of claimants who need additional help to other support services available within the public workforce system, including but not limited to training / retraining.

The following outlines the key Reemployment Services program requirements for each region:

- UI claimants (currently around 420,000) are co-enrolled in Wagner -Peysner and WIA Adult and/or Dislocated Worker programs and must receive a minimum of two staff assisted services. Co-enrollment of UI claimants makes the widest possible array of services available without duplication of resources and creates an automatic link between the UI and workforce system. All claimants are to be scheduled for an initial staff assisted enrolling service as early as possible in the claims cycle, at maximum within two weeks from the date the claimant information is available for scheduling in the Reemployment Operating System (REOS). Scheduling, delivery method, and format may be regionally determined; but the statewide framework encourages conducting one -on-one interviews to provide the highest level of customer service, if possible.
- UI claimants on Temporary Layoff (TLO) and/or union workers with exclusive union hiring the arrangements must be individually assessed to verify status before any work search exemption is allowed. If excused from work search, all claimants must be provided with information regarding the full range of services available in the workforce system. UI claimants identified as work search exempt based on a temporary and/or seasonal loss of employment are to be scheduled for a staff assisted service, if still certifying for benefits beyond the anticipated return to work date.
- The service design for all UI claimants subject to work search requirements must minimally include:
 - A description of the full range of services available through the One-Stop System and how services can be accessed;
 - An initial assessment including a basic review of the individual's work history, skills, training, education, career objective, and any self-identified service needs; the initial assessment should be used to inform decisions on next steps (i.e., scheduling additional services and/or targeting for follow-up services);
 - Information notifying claimants of their work search related responsibilities including advisement that failure to report for scheduled reemployment services may impact their continuing eligibility for benefits;
 - A complete, up-to-date, OSOS record that will support program enrollments and effective job matching; and

A Comprehensive Assessment when it is determined that the customer is in need of Career Development Services to address barriers to employment; establish an employment / occupational goal that is relevant to the local labor market and/or identify deficiencies in occupational knowledge, skills and abilities that can be rectified through skills development and training, leading to the development of an Individual Employment Plan.IEP

- Claimants profiled as likely to exhaust and/or with identified barriers to employment, and/or who are otherwise eligible as WIA Dislocated Workers are to receive a comprehensive assessment and should have either an approved work search plan or an IEP. (Note that per the New York State Common Measures TA #06-19, to streamline the eligibility determination process, any UI customer, who is profiled as likely to exhaust benefits and/or any UI exhaustee meets the eligibility requirements for the WIA Dislocated Worker program.)
- A UI customer caseload management strategy must be in place to ensure that UI Reemployment Services customers receive ongoing services following the initial service. Assuming that the UI claimant continues to certify for benefits, each claimant must receive additional staff assisted services within 90 day intervals of the initial enrolling service.

- Potential UI issues are to be tracked and reported to the Unemployment Insurance Division (UID) in a timely manner. Training on how to identify and properly report potential UI issues has been delivered to DOL and WIA partner staff.
- In accordance with New York's functional alignment policy, the Reemployment Services Operating System (REOS) has been modified to be accessible by both ES and WIA partner staff as needed based on function assigned. Any/all staff providing reemployment services to UI customers will have access to the comprehensive case management data available for all UI customers via REOS as needed to eliminate duplication of effort and facilitate effective, streamlined service to the customer.

On March 9, 2009 NYSDOL issued TA#09-02 to expedite and streamline the delivery of training services through the WIA One-Stop system which will ensure that: eligible individuals are quickly approved for an ITA when both skills gaps and an appropriate training program to remediate these skills gaps are identified; staff who have the responsibility for providing assessment services also have authority to develop and submit an ITA for funding approval; and, State policy on funding training services through ITAs is transparent to entities wishing to leverage funding with the WIA NY One- Stop System. This is anticipated to increase the number of claimants entering training programs and obtaining skills upgrading or new skills/occupational training based on local labor market demands.

New York's Workforce Development System Technical Advisory #08-7: Incentive and Sanction Policy for Local Workforce Investment Area Performance for the Workforce Investment Act Title 1B Program and the Wagner-Peyser Act Program, is currently being revised for this program year to reflect appropriate measures in response to TEGL #14-08.

Question IX.C.1.b. Describe how the State will ensure the three-tiered service delivery strategy for labor exchange services for job seekers and employers authorized by the Wagner-Peyser Act includes: (1) self-service, (2) facilitated self-help service, and (3) staff-assisted service, and is accessible and available to all customers at the local level. (§112(b)(17)(a)(i).)

Functionally aligned Labor Exchange services for job seekers and employers are available statewide using the three-tiered approach, as outlined below:

High Quality Self-Help Services – includes access to information and services through web-based technology available through the Internet, as well as through the wide variety of self-help Resource Room tools available on-site at local One-Stop system locations. Resource Rooms provide a variety of information/tools through various mediums (including print media, videos, equipment, Job Bank/Talent Bank listings and matching systems, PC applications, as well as Intranet and Internet-based web applications), which are available to customers as either Self-Help and/or Facilitated Self-Help services, depending on customer need/choice.

Facilitated Self-Help Services – individual staff assistance is provided to customers to access or effectively use Resource Room information and tools available on-site at One-Stop system locations.

Staff-Assisted Services – ranges from intensive on-on-one services to group settings. Services might include assessment, intensive job search assistance, job clubs or other workshops.

Access to the State Job Bank/Talent Bank and Labor Exchange job match tools are the “core” Wagner-Peyser services available to the universal population. The New York State Job Bank/Talent Bank uses the One Stop Operating System (OSOS). Both job seekers and employers have either staff-assisted or self-service access to OSOS on-site at all networked One-Stop system locations, or self-help access through the Internet.

In this tiered service approach, customers are encouraged and supported in moving toward self-directed services. Wagner-Peyser resources are used to provide all tiers of service for the universal One Stop population. Wagner-Peyser continues to put high priority on the support of customer service staff and the

availability of facilitated self-help and staff-assisted services in One-Stop locations statewide, maximizing the use of all partner staff to achieve these outcomes.

In order to ensure that jobs generated through the Recovery Act are accessible and available to all customers, describe how the state will facilitate the listing of such jobs on the State Job Bank.

Governor Paterson has notified all State agencies that Recovery Act jobs must be posted on the NYSDOL website. In addition, State agencies have been instructed to require all sub-contractors to list any job openings funded through the Recovery Act on the NYSDOL website. NYSDOL has set up a job entry button on the landing page of its website to facilitate the listing of these jobs in the State's Job Bank.

Adult and Dislocated Worker Services

Question IX.C.1.a. Describe state strategies and policies to ensure adults and dislocated workers have universal access to the minimum required core services as described in §134(d)(2).

The statewide One-Stop System design in New York State promotes universality, customer choice, accountability, and the highest level of true service integration. The New York State Common Measures policy effective July 1, 2006, requires that all adult customers who receive a service at any One-Stop Center or affiliate site are co-enrolled in Wagner-Peyser and WIA Adult and/or Dislocated Worker programs. Local W-P and WIA staff work in functionally aligned teams which facilitates universal access insuring that required core services are available to all One-Stop customers under the concept of a "shared customer pool". Each local area was required to modify their local workforce plan in PY 2006 to include a functional alignment addendum which among other things required the development of a single customer flow chart for service delivery that applies across all access points of the local system. NYSDOL's local plan modification guidance for PY 2009 requires local areas to describe any modifications or changes made to their local functional alignment and/or customer flow process that are to be initiated to enhance implementation of priority of service for both public assistance recipients and other low income individuals served with WIA adult funds, as well as for veterans and eligible spouses of veterans.

New York State has also continued to expand its outreach efforts to ensure that public assistance recipients and other low income individuals are aware of all of the core services, income supports and other services that are available through various state and local agencies. Work being undertaken by the Governor's Economic Security Cabinet is enhancing the coordination and awareness of program services and supports available to these priority target populations from a variety of different sources. The development of the myBenefits.ny.gov portal and its prominent display on state and local agency sites and systems is just one example of the efforts made to ensure maximum awareness of the services and benefits available to public assistance recipients and low income working families in New York State.

Question IX.C.1.c. Describe how the state will integrate resources provided under the Wagner-Peyser Act and WIA Title I for adults and dislocated workers, as well as resources provided by required One-Stop partner programs, to deliver core services. (§112(b)(17)(a)(i).)

As previously described, in PY 2006 New York State implemented a series of policy and procedural changes aimed at moving the One-Stop System to full service integration through the required functional alignment of WIA Title IB services and Wagner-Peyser Employment Services. Each local area was required to develop an addendum to the local area workforce plan establishing goals and strategies including a revised budget and a detailed implementation timeline for aligning service delivery for all customers across all local sites. In addition, the New York State Common Measures policy required that effective July 1, 2006, adult participants would minimally be co-enrolled in W-P and WIA. This "shared customer pool" together with the mandate for common data management and reporting (through OSOS) and, shared accountability (common measures), moves the local systems to integrate resources, eliminate duplication, and streamline service delivery. Within this broad statewide framework, all DoES (now DEWS) managers have been provided leadership training to help them learn new skills to manage in a partnership environment, and staff has been given authority to make decisions that accommodate local needs and local system design. Details as to how Wagner-Peyser local resources are integrated with WIA Title I Adult/Dislocated Worker, and other required One-Stop partner program services, are

negotiated locally and agreed to as part of the required One-Stop local Memorandum of Understanding. In addition, the required One-Stop Re-Certification guidelines and local One-Stop Operator Agreements all require local planning efforts to reflect the integration of services and the elimination of duplication between partner programs. The addition of stimulus funds will not alter the basic fundamental approach to integration of resources in the One-Stop system. However, given the time sensitive nature and urgent direction for the intended use of the stimulus funds, NYSDOL has issued several policy guidance documents including an expanded ITA approval policy that will allow ITAs to be developed by all appropriate service staff in a One-Stop encouraging greater and more timely use of training resources. The recent local plan modification guidance developed by NYSDOL requires local areas to describe policies for targeting special population groups including public assistance recipients and other low income individuals. Local areas are also required to document their planned participant training levels for PY 2009 and how their Needs Related Payment and Supportive Service policies will help those in training as well as the number anticipated to be provided these payments and support services.

At the state level, a number of projects are being planned or already underway to address the needs of low income and low skilled workers. The Career Pathways Initiative expands access to education and occupational training services to provide public assistance recipients and other low income individuals age 16 and over with the skills needed to secure employment within defined career pathways in high growth or high demand industries. Additional state level projects are being planned with other state agencies to provide target training opportunities to former addicts interested in pursuing careers in counseling and other mental health related occupations. Another project seeks to help ex-offenders transition back into society and obtain the skills necessary for entry or re-entry into employment. The Emerging and Transitional Worker RFP, described under State Vision and Priorities, seeks best practices proposals, targeting populations and industry sectors which are prioritized under the Recovery Act. Other similar types of projects targeting disadvantaged youth, low wage earners, and other special population groups are also being developed.

Question IX.C.3.a. Describe the Governor's vision for increasing training access and opportunities for individuals including the investment of WIA Title I funds and the leveraging of other funds and resources. (§112(b)(17)(a)(i).)

New York recently implemented policy to expand the ability of local One-Stop Career Centers to develop training plans and issue ITAs. This new policy authorizes all appropriate state and local staff (Wagner Peyser and WIA funded) in the local One-Stop system to develop ITAs based on local criteria and funding requirements. Many of these same staff are also responsible for developing training plans under the state's 599 and TAA programs and as such are able to coordinate and leverage all available resources that can be utilized to support individual training needs. New York State has recently expanded the criteria under which training plans can be approved in accordance with its section 599 (UI law) program. This expansion, along with the transition of training plan review functions to local One-Stop staff should greatly increase the number of training programs that can be approved under the 599 program. Approval under this program allows participant to focus on their training while continuing to collect UI benefits and can also provide additional benefit payments beyond available basic and extended benefits. The availability of stimulus funding as well as the recent relaxation of Pell grant requirements allows One-Stop staff to leverage additional resources to further support the costs of approved training. The bulk of Recovery Act funding in New York is being used to support training services and will allow the One-Stop system to expand training capacity for many more low income, low skilled, and dislocated workers. The ability to leverage numerous sources of available funds (WIA, The Recovery Act, Pell, TAP, Vets GI bill, Vocational Rehabilitation, NEG, etc..) and the added income support and UI benefit protection available under the state's 599 program will encourage and allow greater numbers of individuals to be able to access training.

New York's local plan modification guidance seeks information on planned numbers of individuals to be placed into training as well as information on how local areas plan to use contracts with higher education institutions to facilitate the training of multiple individuals in high demand occupations. NYSDOL is also exploring opportunities to contract directly with higher education institutions and other state agencies to identify training programs that can be supported and that are linked to demand occupations and employment creation arising from state stimulus funded projects.

The Governor has also increased access to training by aggressively using Statewide Activities funds to train incumbent workers. Through multiple grants and initiatives, the Governor has expanded the opportunities that already exist within the One-Stop system to include those incumbent workers who need upgraded skills to remain gainfully employed. In most cases, these workers are not customers of the One-Stop system and these training opportunities would not have been made available without State assistance. The State is also able to leverage private resources, and achieve business commitment and "buy-in," by requiring matching funds and/or requiring that workers be paid their normal wages during periods of instruction. It is the Governor's intent to continue to use Statewide Activities monies to fund new and similar efforts, thereby increasing access and opportunities for training. Recent incumbent worker training models have included ADVANCE-NY, STEP and most recently BUSINYS. Each of these programs has promoted up-skilling and re-skilling of existing workers.

In addition, the Governor has consistently made state level funds available to local areas to support training related services to trade impacted workers and other eligible dislocated workers. During the last three program years, over \$26 million dollars has been made available for this purpose. These funds, leveraged with the funds available in the local areas, increase training access to dislocated workers enabling trade affected and other dislocated workers to utilize a full complement of employment and training services through the public workforce system. For those local areas that are experiencing significant or increased demand for Dislocated Worker services, the State has an established policy which makes available additional Dislocated Worker funds to ensure that the Local areas are able to continue to provide program services which might otherwise be reduced or become unavailable. To date, over \$10 million dollars have been distributed statewide.

Question IX.A.5. What models/templates/approaches does the state recommend and/or mandate for service delivery in the One-Stop Career Centers? For example, do all One-Stop Career Centers have a uniform method of organizing their service delivery to business customers? Is there a common individual assessment process utilized in every One-Stop Career Center? Are all One-Stop Career Centers required to have a resource center that is open to anyone? (§§112(b)(2) and 111(d)(2).)

In its response, the state should describe its models/templates/approaches for service delivery in the One-Stop Career Centers, particularly whether the state is adjusting its approach to deliver increased levels of services with funds received under the Recovery Act.

- *Do all One-Stop Career Centers have a uniform method of organizing their service delivery to business customers?*
- *Is there a common individual assessment process utilized in every One-Stop Career Center?*
- *What approaches will be used to ensure funds are targeted to those most in need, including low-income, public assistance recipients, persons with disabilities, etc.?*
- *How will states streamline the sequence of service to facilitate individual access to needed services and training?*

With regard to a common individual assessment process and further streamlining the sequence of services, New York State has adopted an initial assessment policy for its One-Stop system. Under this policy, all One-Stop workforce investment customers must receive an initial assessment to determine whether they can move on to job ready services or require career development services. The use of assessment in providing services to customers of the One-Stop workforce investment system will lead to more effective use of resources. Job search ready services are provided to customers who possess the following: an employment goal with a favorable local labor market outlook; the occupational knowledge, skills and abilities required for the employment goal; and no barriers that prevent obtaining and retaining employment. Job search ready services prepare the customer for job referral services and include (but are not limited to) resume preparation and/or interviewing preparation. Career development services are provided to customers who: do not possess an employment goal; do not possess the requisite occupational knowledge, skills and abilities to readily find work; and/or who have barriers that potentially prevent obtaining and retaining employment. Career development services prepare the customer for job search ready services by: addressing barriers to employment, establishing an employment/occupational goal that is relevant to the local labor market, and addressing deficiencies in knowledge, skills and abilities through skills development and training. New York's initial assessment policy promotes a "customer first" approach and requires customers to be seen one-on-one in an effort to provide quicker access to quality services to the customers who need them the most. All One-Stop customers, whether identified as job search ready or in need of career development services are allowed self-service access

to services to enhance employability through systems like JobZone, Metrix Learning, NYWired and through the use of other online tools in One-Stop Career Center resource rooms. These services include: career exploration; skills assessment; résumé preparation; and/or Technology Based Learning (TBL).

Youth Services

Question IX.E.1. Describe the state's strategy for providing comprehensive, integrated services to eligible youth, including those most in need. (§112(b)(18).)

- *Describe the anticipated program design for the WIA Youth funds provided under the Recovery Act. Include in this description a program design for both younger, in-school, and older or out-of-school youth (including the 22-24 year olds that can be served with Recovery Act funds).*

New York State anticipates programs to provide services meeting the needs of the youth population eligible to receive WIA services. In addition to the 10 required youth elements, program designs will include activities that address and develop work readiness skills, basic skills, and work experiences. Program designs will also expose youth to opportunities in “green” educational and career pathways where possible. Program activities will be age-appropriate for both in-school and out-of-school youth. Training and co-enrollment in the adult program will be encouraged for older youth. Guidance and technical assistance for program designs for the summer opportunity were provided through regional forums with Edward DeJesus, a SYEP workgroup and monthly youth issues conference calls. Following the lead of the Governor’s Children’s Cabinet, services will be provided to foster youth, youth on probation, juvenile justice youth, youth of incarcerated parents and youth of TANF families.

- *Will the state use the Recovery Act funds to fund only a 2009 summer youth program or some combination of 2009 and 2010? If using the funds over two summers, what percentage of funds does the state anticipate using for the first summer?*

New York State has given local areas flexibility on how to spend their Recovery Act funds. However NYSDOL has issued policy through Technical Advisory #09-12, which states that LWIAs that have not expended seventy-five percent (75%) of their PY 2009 formula and Recovery Act funds by June 30, 2010 will have their unexpended funds in excess of twenty-five percent (25%) recaptured and redistributed. This applies to all WIA funding streams, including youth. In their local plans for PY 2009 LWIAs are required to indicate the percentage of Recovery Act funds that will be used for summer 2009 activities.

The State’s discretionary funds will be utilized to award two Requests for Proposals targeting youth: a youth RFP soliciting training proposals and an Emerging and Transitional Workers RFP which could include programming for unemployed, low-income young adults ages 18 – 24.

- *If using the funds for summer employment opportunities, describe how the state will deliver summer youth employment opportunities. Will the state operate the program or allocate the funds?*

Funds will be allocated to the state’s Local Workforce Investment Areas who will deliver the summer youth employment opportunities, through vendors and local One-Stop Career Centers.

- *Describe the types of worksites that will be developed for summer employment, including a mix of public and private sector work experiences, and how the state will ensure that meaningful work experiences will be developed.*

To ensure that youth receive a cross-section of employment opportunities, the summer work experience will be a combination of both public and private partnerships. Local areas can offer the work experience as employer-based or project-based depending on the needs of the participant. The State will encourage meaningful work experiences through encouraging local areas to match worksites to participant interest and goals where possible. If a direct match cannot be made, participants will then be matched to worksites where transferable learning associated with their interests and goals can take place. Local areas will also ensure that participating worksites introduce and include activities and behaviors associated with maintaining a job. Working with employers that will be willing to work closely with their program staff to help ensure proper worksite supervision as well as being flexible in working with youth

who may have barriers to employment will also be encouraged. Local planning guidance for the summer program noted worksites that are prohibited under the Recovery Act: casinos or other gambling establishments, aquariums, zoos, golf courses and swimming pools.

• Describe the state's policy for developing the mix of classroom versus worksite time in a summer employment opportunity. Describe the state's policy for determining that summer employment opportunities are connected to academic and/or occupational learning and the types of connections that will be utilized.

NYSDOL policy allows local areas to provide a mix of classroom and worksite time based on local needs. A mix of services is being provided in a variety of ways, including:

- Conducting classroom sessions addressing financial management, labor market information, career exploration, resume/cover letter writing;
- Using a curriculum from the Paxton Learning Group and adding a STEM and "green" segment of the education component;
- Partnering with YouthBuild programs and community colleges;
- Allocating 10% of the program funds for an educational component that includes work readiness, financial literacy, and health education, on a weekly basis;
- Incorporating the "Makin it" curriculum by Edward DeJesus; and
- Providing traveling tutors.

NYSDOL field staff will monitor all summer youth employment programs. For those locals providing a mix of services, field staff will also monitor the summer youth employment programs to ensure an appropriate mix of classroom and worksite time and that employment opportunities are connected to academic and/or occupational learning.

• Describe any policies or strategies that the state is implementing to ensure that local areas implement activities that support out-of-school youth during summer and/or non-summer months, such as supportive services, needs-based payments, or day-care.

In PY2008, the NYSDOL Workforce Development System Technical Advisory #08-7 included an incentive for local areas to encourage them to increase the participation of out-of-school youth. For PY2009, NYSDOL is planning an incentive policy to address the continuation of serving out-of-school youth beyond the summer months.

• Provide the anticipated number of youth to be served with Recovery Act funds, including the anticipated number of summer employment opportunities created with Recovery Act funds.

Based on estimates from the 33 local areas in New York State, NYSDOL anticipates serving approximately 24,000 youth through the Summer Youth Employment Program component.

Veterans' Priority of Service

Question IX.C.5.b. What policies and strategies does the state have in place to ensure that, pursuant to the Jobs for Veterans Act (P.L. 107-288) (38 USC 4215), priority of service is provided to veterans (and certain spouses) who otherwise meet the eligibility requirements for all employment and training programs funded by the Department of Labor?

NYSDOL has been a strong advocate of veterans' priority of service ever since ETA released Training and Employment Guidance Letter (TEGL) 5-03, "Implementing the Veterans Priority Provisions of the Jobs for Veterans Act" on September 16, 2003. In early 2009, NYSDOL increased its focus on veterans' priority of service as a direct result of federal regulations that went into effect on January 19, 2009. This increased focus includes the implementation of strategies and policies designed to ensure veterans and eligible spouses of veterans receive the highest level of quality service within the framework of priority of service.

The requirements of veterans' priority of service as promulgated in Federal regulations were communicated via a statewide Technical Advisory (TA) released on April 29, 2009. This TA entitled "Implementation of Veterans' Priority of Service for Covered Persons in Qualified USDOL Job Training Programs" (<http://www.labor.state.ny.us/workforcenypartners/ta/ta09-14VETSPriorityofService.pdf>) provides guidance to Local Workforce Investment Boards and One-Stop Career Centers for successfully implementing priority of service at the local level.

It is important to note that a review of the New York State Strategic Plan for the period July 1, 2007 to June 30, 2009 reveals a significant emphasis was placed on the roles of Disabled Veterans Outreach Program (DVOP) staff and Local Veterans Employment Representatives (LVER) to ensure veterans are fully served in a timely manner. This emphasis includes language encouraging veterans to self-identify as early in the intake and/or registration process as possible and directing all veterans to a DVOP or LVER.

NYSDOL recognizes that veterans serving veterans is a proven service model; however, a modified service model has been adopted that ensures all veterans and eligible spouses are afforded priority of service while DVOP specialists and LVER staff members focus their efforts on serving veterans who need services the most (i.e., disabled, economically or educationally disadvantaged, recently separated, and homeless veterans). All One-Stop Career Centers will ensure veterans and eligible spouses are served first by adopting the above mentioned service model protocol into their local functional alignment plans and customer flow processes.

The following priority of service strategies have been communicated to the Local Workforce Investment Boards and One-Stop Career Centers.

1. Signage – NYSDOL recognizes that appropriate signage will play a pivotal role if priority of service is to be implemented successfully. As such, NYSDOL will design, publish, and distribute high quality signage to be used at all local One-Stop Career Centers and affiliate service sites throughout the state.

Signage must be placed prominently at or near the entrance as this may encourage customers to register first so that veteran status is determined and documented as soon as possible. The placement of additional signage is required; however, the location of this signage is at the discretion of the One-Stop Career Center (i.e. strategic locations, high traffic areas, resource rooms, common waiting areas).

2. Improvement of Self-Service Resources and Electronic Strategies – In an effort to improve access by and information for veterans, NYSDOL is requesting that local areas redesign their websites to include language that clearly identifies priority of service. Strategies for web design may include the addition of veterans' priority of service informational language on the homepage; highlighting links to programs that provide priority of service to veterans; and the inclusion of online e-mail links to dedicated veteran's representatives and services staff. NYSDOL will also be modifying its website to include information on priority of service for specific program services offered through the state's One-Stop Career system.
3. Outreach – NYSDOL suggests that One-Stop Career Center providers consider the development of outreach efforts in conjunction with other program and services (e.g., publicity, advertising, and brochures) in an effort to spotlight veterans' priority of service to One-Stop Career Center customers. Such outreach may include: fact sheets targeted to veterans or veterans groups, and the marketing of One-Stop Career Center services and resources at orientation sessions.
4. Application of Priority of Service by All Sub-Recipients – Federal regulations specifically states that all program activities (including those obtained through Requests for Proposals, solicitation for grant awards, sub-grants, contracts, sub-contracts, and Memoranda of Understanding) issued or executed by qualified job training program operations, must be administered in compliance with priority of service. As a result of this regulation, NYSDOL will add language to its own contract boilerplate and RFP boilerplate documents to ensure

awareness of priority of service requirements with state level grantees. Similarly, all local workforce investment areas must revise their contract template, RFP and sub-agreement language to include the priority of service provision.

5. Functional Alignment and Customer Flow – All One-Stop Career Center staff is required to provide priority of service to veterans and eligible spouses and to serve these customers first. NSYDOL is requiring that local areas ensure this protocol is addressed in functional alignment and customer flow processes.

The above strategies should help guarantee that:

- Veterans and eligible spouses of veterans will be made aware of their entitlement to priority of service and will be identified at the point of entry;
- Veterans and eligible spouses of veterans will be given an opportunity to take full advantage of priority of service by discovering the full the array of employment, training, and placement services available to them; and
- Veterans and eligible spouses of veterans will be made aware of any applicable eligibility requirements specific to USDOL funded programs.

NYSDOL continues its strategy of building strong and robust relationships with the various statewide One-Stop Career Centers in an effort to communicate the importance of priority of service. It is recognized that Local Workforce Investment Boards are required to develop and include policies in their Local Plan to implement priority of service. To this end, NYSDOL released a statewide TA entitled “Planning Guidelines for the Workforce Investment Act (WIA) Local Plan Planning Guidelines for the plan year 2009-2010” (<http://www.labor.state.ny.us/workforcenypartners/ta/TA-Local%20Planning%20Guidance%202009%20and%20Local%20Plan%20Mod.pdf>) that includes guidance to the local areas mandating the development of a local policy within the context of veterans’ priority of service.

Service Delivery to Targeted Populations

Question IX.C.4.a. Describe the state’s strategies to ensure that the full range of employment and training programs and services delivered through the state’s One-Stop delivery system are accessible to and will meet the needs of dislocated workers, displaced homemakers, low-income individuals, migrant and seasonal farm workers, women, minorities, individuals training for nontraditional employment, veterans, public assistance recipients and individuals with multiple barriers to employment (including older individuals, limited English proficiency individuals, and people with disabilities). (§112(b)(17)(A)(iv).)

The Recovery Act recognizes that certain populations have been heavily impacted by the recession and may face multiple challenges in returning to employment. By definition, universal access includes service to all individuals from each of the special population groups identified above.

As has been discussed, New York State has released a Technical Advisory to address Priority of Service as outlined in the Recovery Act. This Technical Advisory requires each local area to develop a policy and local procedure for serving individuals covered by Priority of Service definitions (Veterans, recipients of public assistance, and other low-income individuals). Local planning guidance has also been issued which includes this topic and requires local areas to submit their plan modifications, including Priority of Service policies. These will be reviewed for compliance with Recovery Act guidelines. These priority groups will benefit from the coordinated efforts of partner agencies in the One-Stop delivery system.

In addition to the priority of service measures called for under the Recovery Act, NYSDOL continues its mission of providing comprehensive veterans’ services, including interventions to meet the needs of disabled veterans. Emphasis is placed on serving those who are economically or educationally disadvantaged, including homeless veterans and veterans with other barriers to employment. Operation Hire: Veterans Career Fairs bring area businesses together with veteran jobseekers and their families to make available information on local job opportunities. Publicity for these events includes announcements made through the Governor’s Office. Hundreds of veterans also participate in the Department’s bi-monthly Warriors in Transition job fairs for disabled veterans at Fort Drum in Jefferson County.

Outreach and in-person connections to the employer community which are delivered by Labor Service Representatives, Rural Representatives and Employer Service Representatives also help develop employment opportunities and resources for individuals in targeted populations (migrant and seasonal farm workers, women, homemakers, persons with limited English proficiency). These individuals also explain employer hiring incentives, such as wage tax credits and available funding that may be available to employers who hire individuals in special populations (veterans; persons with disabilities; dislocated workers; ex-offenders).

Each LWIA has been allocated formula and Recovery Act funds for intensive and training services to dislocated workers, including displaced homemakers, through the One-Stop delivery system. Comprehensive workforce assistance, including any necessary supportive services and needs related payments, is provided to dislocated workers to assure they have the requisite skills to reconnect with the workplace. State reserved funds, as well as TANF dollars, support a network of Displaced Homemaker Centers throughout the State which provide a variety of services and referrals to address immediate needs, as well as structured job preparation programs.

Local planning guidance has directed LWIAs to describe service strategies that assure women have access to labor market information and the training and other skills-development activities, as well as supportive services and needs-related payments, which are necessary to enable them to acquire and retain high-wage jobs and maintain self-sufficiency. Strategies used to eliminate possible barriers to employment in non-traditional occupations are to be included.

Local partnerships, which form the foundation of the One-Stop delivery system, will be especially effective in meeting the workforce needs of New York's ethnically diverse population. Local plans must describe how these partnerships will be coordinated to assure that minority customers receive the full range of employment and training programs and supportive services and needs-related payments, especially those that lead to jobs in high-wage, high-growth occupations.

The special needs of individuals with multiple barriers are being addressed quickly and thoroughly due to the wide spectrum of service providers that are joined together under the local One-Stop system. The New York State Office for the Aging, the NYSED (including the Office of Vocational and Educational Services for Individuals with Disabilities), the New York State Department of Health, OCFS (including the Commission for the Blind and Visually Handicapped), the Office for Alcohol and Substance Abuse, OTDA, the State University of New York, NYSDOL, and local community based organizations apply the knowledge they have received through cross-training to develop comprehensive service strategies to address the needs of customers with varying needs. Together with the functional alignment initiative and common customer flow in the One-Stop centers, the partners are now aware of each agency's involvement with the customer instead of working in a vacuum. This is greatly reducing the duplication of services to customers.

Migrant and seasonal farm workers and individuals with multiple barriers to employment, including older workers, persons with limited English proficiency, those who are low-skilled, and individuals preparing to re-enter the workforce will be well served by the ongoing functional alignment in the One-Stop centers. Local plans must indicate how the full range of One-Stop services is made accessible which will create career pathways and economic self-sufficiency for these individuals.

All targeted populations will benefit from NYSDOL policy on the effective use of assessment in the One-Stop system. Under these guidelines, customers will work with One-Stop staff to determine the appropriate level and type of services that will most closely meet their workforce goals.

• Indicate how the state will use Wagner-Peyser resources to support individuals with disabilities, such as funding disability program navigators in One-Stop Career Centers, or assisting other targeted populations.

The State is addressing the workforce development needs of individuals with disabilities through on-going support of its Disability Program Navigators' initiative. Recognizing the importance of this program, and

the benefits it offers to this target population, the NYS Education Department has chosen to supplement NYSDOL State-level WIA funding for the DPN program with vocational rehabilitation funding available through its office of [Vocational and Educational Services for Individuals With Disabilities Program \(VESID\)](#).

The State uses Disability Program Navigators (DPNs) to meet the needs of individuals with disabilities seeking training and employment opportunities through the One-Stop Career Center system established under WIA. DPNs serve as disability resource specialists charged with the responsibility to help increase employment and self-sufficiency for individuals with disabilities by linking them to employers to achieve successful entry or re-entry into the workforce. The State has a vigorous DPN policy in place which is intended to facilitate access to supports and services that will provide transition to employment for individuals with disabilities.

The screen reader technology currently being used in the One-Stop Career Centers include JAWS, MAGic and OPEN BOOK. Assistive technology has changed and innovative systems are currently available to insure that we continue to assist job seekers with reading, learning and other types of activities. Based on the availability of funding, we are planning to explore the purchase of updated assistive technology with a variety of vendors to insure that we continue to meet the needs of all job seekers. Appropriate training will be provided to One-Stop staff on its use.

Wagner-Peyser and State-level WIA funds are used to support telephonic interpretive services for the One-Stop System. The Interpretalk™ service ensures interpretive services in over 170 different languages can be provided. Wagner-Peyser resources are also used to provide certified counselors throughout the One-Stop system who are well qualified to deal with customers with special needs. Additional counselors are being hired with Wagner-Peyser funds, and NYSDOL is rolling out an ambitious counselor training program.

Section III. Operations

Transparency and Public Comment

Instruction from Section II of State Planning Guidance Plan Development Process: Include a description of the process the state used to make the Plan available to the public and the outcome of the state's review of the resulting public comments. (§§111(g) and 112(b)(9).)

The Recovery Act places a high priority on transparency. The state should describe:

A. State efforts to promote transparency.

NYSDOL has been careful to set up systems to track budgeting of Recovery Act funds separately from other funds. Upcoming solicitations for training programs include provisions for tracking participant enrollments, as well as a notice of NYSDOL's intent to closely track the use and effectiveness of funds after applications have been approved.

On May 27, 2009, Governor Paterson announced that every firm that the state hires with Recovery Act funds will be required to post any jobs created by these funds to the New York State Job Bank, which can be accessed at <http://www.labor.ny.gov>.

B. The process used to make the Plan modification available to the public and the outcome of the state's review of resulting public comments.

The Plan was made available for public comment via the New York State Register, Internet and through a NYSDOL Technical Advisory, and it remained available for thirteen (13) days; from June 17, 2009 until June 24, 2009. The following five (5) days were used to incorporate any public comments received into the Plan.

Increasing Services for Universal Access

Question VI.C. What state policies are in place to promote universal access and consistency of service statewide? (§112(b)(2).)

Recovery Act Wagner-Peyser funds will enable New York State to hire sufficient levels of staff to ensure universal access and statewide service delivery to One-Stop System customers to meet the needs of increased numbers of customers in the economic downturn. The State has experienced dramatic job losses since August 2008, shedding 189,000 private sector jobs in the process, which has affected a wide spectrum of its citizens.

The State's current methodology for ensuring universal access is delineated in the Element # 4 Methods of Administration, which was updated and approved by the USDOL Civil Rights Center in 2007. This document includes the following services and programs which will be continued and expanded to meet additional need:

- Bureau of Immigrant Workers' Rights (created May 2007);
 - Access points;
 - Statewide Outreach;
 - State Monitor Advocate;
- Labor on Wheels mobile program unit (created August 2007);
- Use of bi-lingual Labor Standards investigators and Labor Service Representatives;
- Telephone interpretive service in 170 languages;
- NYSDOL Worker's Rights posters in multiple languages;
- "I Speak" cards;
- MOU with ODTA regarding language services unit for direct translation;

- Intranet Language Bank;
- UI claimant language choices (English, Spanish, Russian, Cantonese, etc);
- Disability Program Navigator program;
- UI Claimant handbooks in various languages and various UI forms in Spanish (also Russian, Chinese, Creole and Braille);
- RFPs which promote best practices and outreach among training providers; and
- Collaboration with varied One-Stop partners including, but not limited to: Office of the Aging; Vocational and Educational Services for Individuals with Disabilities; OTDA and non-traditional occupational training vendors.

In light of current and anticipated increases in customer demand for access to local One-Stop Career Centers, and in the interest of providing timely response to the urgent needs of diverse customers, NYSDOL has encouraged innovations in hours and locations of local WIA, Wagner-Peyser and partner staff availability. Local areas are encouraged to access the full the array of services and funding available through local partnerships to develop a cohesive and responsive service strategy for each customer.

The current recession has impacted workers across a broad spectrum of occupations, including professional and other computer-literate individuals who would be seeking workforce services through online access. In New York State, America's One-Stop Operating System (AOSOS) is used for case management and reporting of WIA, Wagner-Peyser and Recovery Act -funded efforts to the federal government. NYSDOL also sponsors Job Zone, which is a free, online job search and career planning system that helps customers make informed career decisions. NYSDOL is planning to enhance Job Zone – AOSOS connectivity which will allow the provision of a wider range of services via the Internet.

The project will also augment services to those customers requiring the assistance of local One-Stop staff. The project would create a system where customers registered in AOSOS would also have an account in Job Zone and vice versa. In essence, Job Zone would become the Internet-based service portal through which WIA and Wagner-Peyser customers would be able receive certain services or perform required activities via the Internet.

Job Zone – OSOS connectivity will provide the opportunity for the following:

- Customers currently using Job Zone in lieu of coming into a One-Stop would now become self-service customers of the One-Stop, and this data could be captured for reporting purposes; and
- Customers currently receiving services through the One-Stop would be directed to Job Zone to provide additional information and/or complete an assessment prior to their appointment. This would in many cases replace the need for an initial information gathering appointment.

Consistency of service while retaining program flexibility is an ongoing challenge. New York State uses the following methods to insure consistency of services statewide:

Technical Advisories:

Most recently, New York State has published Technical Advisories on the following:

- Initial Assessment
- Implementation of Veteran's Priority of Service;
- Individual Training Account Approval policy; and
- Guidance on Integrating Services under the Trade Act.

These advisories ensure that One-Stop personnel and partners are implementing the same priorities statewide and provide a contact point for questions and clarification on the State level.

Training and Capacity Building:

Consistency is achieved through a constant message to the local One-Stop offices regarding expected levels of performance, service delivery and service quality. Most recently, training initiatives have included:

- Employment counselor training;
- Weekly conference calls with Local Areas;
- OSOS training in selected local areas;
- Webinars on a wide variety of topics;
- Rapid Response statewide training meetings; and
- Mystery Shoppers conduct audits and report on performance improvement.

Eligible Training Providers List

In accordance with WIA Title 1 requirements, NYSDOL maintains an Eligible Training Providers List to make available a diverse selection of training choices to support customer employment goals. The list is available on-line and may be searched by training offering, provider, location or occupational title.

Local Planning Process

Question VIII.D. Describe the state-mandated requirements for local areas' strategic planning, and the assistance the state provides to local areas to facilitate this process. ((§112(b)(2) and 20 CFR 661.350(a)(13).)

On behalf of the Governor and the State Workforce Investment Board, NYSDOL submitted a request on April 15, 2009 to extend the life of the existing WIA and Wagner-Peyser State plan into Program Year 2009. Similarly, New York State's 33 Workforce Investment Boards are required to prepare and submit modifications to extend their current local plans, including their functional alignment addendum, to June 30, 2010.

The Recovery Act provides new strategic direction, emphases and priorities for local areas. In order that local WIBs align themselves with these directives, a plan modification guidance document was developed and has been distributed under Technical Advisory # 09-16. This advisory detailed the plan's format and submission requirements, and provided comprehensive guidance, especially relating to strategic direction and initiatives under the Recovery Act, in order to assist LWIAs with the completion of their local plans. A conference call with local areas was also accomplished to provide advance overview of this document and to generate dialogue on local planning issues.

The guidance to local WIBs requires specific responses regarding increased levels of customer demand for service, particularly as they relate to Reemployment Services for UI claimants. Local areas must describe how they will ensure that a full array of reemployment services is provided to UI customers, including skill assessment, career planning and training, including that available under the Section 599 provisions of the UI Law.

In recognition of the Recovery Act's priority of service requirement for recipients of public assistance and other low-income individuals, as well as veterans and eligible spouses, the local guidance requires LWIAs to document the strategies and policies that are in place to assure priority of service is granted to these customers. For service to public assistance recipients and other low-income individuals, this policy must include: methods used to identify an individual as a priority customer at point of entry, procedures for serving non-Recovery Act adults, internal monitoring processes, modifications to functional alignment or customer flow and staff training in priority of service. Policy for priority of service to veterans and eligible spouses must also describe enhancements to local websites advising self-service users of this policy, procedures in place to ensure all RFPs and sub-contracts contain priority of service language and outreach strategies to veterans and employers.

In consideration of the intent in the Recovery Act to provide funds to substantially increase the numbers of adults and dislocated workers receiving training, the guidance requires local areas to submit their written ITA policy and procedures, including how the ITA cap was developed. The local planning material provides each local area with PY 2008 participant training data and requires PY 2009 projections. This

visual data-based process requires local WIBs to address strategies for dealing with increased numbers of customers in need of training.

In the local planning guidelines, LWIAs are advised that Recovery Act and New York State policy require the use of funds for supportive services and needs-related payments that are necessary to enable customers to fully avail themselves of appropriate workforce development services. Needs-related payments must be made available to enable participants to complete training of sufficient duration to acquire the skills necessary to connect them to demand occupations. The guidance requires local areas to submit a specific policy for how they are to provide necessary supportive services and needs-related payments, including types of services to be offered, initial eligibility, documentation, and the timing, frequency, and duration of services, as well as systems for tracking and maintaining eligibility for such services and payments.

With the Recovery Act's focus on a robust 2009 Summer Youth Employment Program, local areas are being asked to provide a detailed description of their summer program processes and structure. This must contain descriptions of outreach to disconnected youth, including migrant and farm worker youth; how measurable increases in work readiness were determined; how "green" work experiences or training were incorporated; links to academic or occupational learning; and the coordination of Recovery Act and WIA formula funds. Local areas must also explain their year-round program, including any extended work experience only activities for older youth.

Local areas must submit plans for serving targeted populations, many of whom have been particularly impacted by the current recession. These groups include: dislocated workers, including displaced homemakers, public assistance recipients and other low-income individuals, veterans, women, persons training for non-traditional occupations, minorities, migrant and seasonal farm workers, and individuals with multiple barriers to employment, including older individuals, persons with limited English proficiency, low-skilled individuals, persons with disabilities and those who are preparing to re-enter the workforce.

To expedite completion of this material, NYSDOL provided sample policies for locals to use to develop their priority of service and needs related payments procedures, as well as a breakout of the number of participants in training services during Program Year 2008 as a basis of planning for increases in the numbers of individuals receiving training for Program Year 2009.

The remainder of the local plan guidance deals with WIA Compliance, as regulated by the Workforce Investment Act. So that local areas may more efficiently complete the planning process, they only need to indicate whether or not the policies in their current plan, and Functional Alignment Addendum, remain in effect. Where policies have changed or new policies have been instituted, that policy must be submitted with their local plan.

Local plan reviewers, both at the field and Central Office level, will evaluate each local area's strategies to ensure alignment with State and Recovery Act priorities and negotiated performance measures. This oversight also insures that local plans are consistent with the directives established by the Governor's State strategic direction, while allowing some local flexibility.

Procurement

Question VIII.F.5. Describe the competitive and non-competitive processes that will be used at the state level to award grants and contracts for activities under title I of WIA, including how potential bidders are being made aware of the availability of grants and contracts. (§112(b)(16).) (Note: All procurements must comply with OMB requirements codified in 29 CFR Parts 95.40-95.48 and 97.36.)

In answering this question, the state should describe:

- *How providers of all youth services will be procured under the Recovery Act. If using funds for summer employment opportunities and the fiscal agent or the state is not operating this program element, please specifically describe procedures for procuring summer employment operational entities and job opportunities.*

New York State's request to waive the requirement under WIA section 123 and 20 CFR 664.610 regarding the competitive selection of providers for youth activities was approved by USDOL. Under this

waiver, New York requested that local areas be allowed to use local procedure to: 1) expand existing competitively procured contracts, and 2) conduct an expedited, limited competition to select service providers.

New York's local workforce areas have used a variety of methods to procure youth services under the Recovery Act. Local areas are asked to describe their procurement approaches in their local plans, and their procurement approaches will also be reviewed during fiscal monitoring. In the majority of local areas, the local grant recipient or fiscal agent is operating the summer employment program.

• *How the state will implement the Recovery Act provision that a Local Workforce Investment Board may award a contract to an institution of higher education or other eligible training provider if the local board determines that it would facilitate the training of multiple individuals in high-demand occupations, and if such a contract does not limit customer choice.*

Local areas are asked to describe whether or not they will contract with institutions of higher education or other eligible training providers to facilitate the training of multiple individuals in high-demand occupations in their local plans. In addition, this topic will be reviewed during fiscal monitoring.

Technical Assistance

Question VIII.G.2. Describe how the state helps local areas identify areas needing improvement and how technical assistance will be provided. (§112(b)(14).)

The State utilizes a number of methods to assist local areas in identifying improvement opportunities: through fiscal and program monitoring, regular schedule of meetings and structured communication with LWIB Directors and One-Stop Operators, monthly report card reviews, and dissemination of performance data.

Technical assistance is also provided through numerous methods. Within the past year, efforts to provide more communication between the State and local workforce system have increased substantially. A biweekly call between State management and LWIB Directors has been instituted to supplement the standard meetings held every five to six weeks. In addition to the bimonthly meetings with One-Stop Operators, informal weekly conference calls are held with operators and other interested system partners that address a particular topic area. These initiatives create additional opportunities for LWIB Directors and One-Stop Operators to share information and best practices as well as have direct dialogue and input with State policymakers. The State's Deputy Commissioner for Workforce Services, Bruce Herman, has also made visits to local workforce areas to meet with LWIB members, local elected officials, business leaders, philanthropists and others to get a sense of the needs of an area and how additional funds and services can be leveraged, as well as how additional partnerships can be brokered, to assist the local area in better serving its customers.

The State has also created a listserv to disseminate Recovery Act information regarding both Federal updates as well as information about state and local projects funded with Recovery Act dollars. Information is also distributed to alert the system when TEGs and TENs are issued as well as State specific legislation, unemployment insurance related issues and Technical Advisories.

In addition to increased information sharing, the State holds two large workforce conferences per year and a series of regional events, webinars and on-site training made available through consultant contracts and/or delivered by staff. During the past year, staff and contractors have provided the following:

1. 7 Apprenticeship Training regional public forums;
2. Series of Sector Strategy sessions for local workforce leaders;
3. Ongoing training for local staff on updates to the One-Stop Operating System;
4. One on one consulting and orientation for new WIB Directors in two local areas;
5. On-site training on topics dealing with Recruitment and Hiring, Building Teams and Teamwork, Dealing with Difficult Customers;

6. Regional forums for front line staff and supervisors in five locations regarding integration and functional alignment;
7. Regional forums in four locations for staff to discuss and learn about the State's assessment policy;
8. Regional forums in six locations to bring workforce, State Education, and Office of Temporary and Disability Services staff together to discuss common issues;
9. Regional training on the transition of the State's 599 program (allows for training of customers who are receiving unemployment insurance benefits) to the local areas;
10. Annual Youth Academy;
11. "Effective Youth Engagement" training held in five locations of the state;
12. Monthly, facilitated Youth Issues calls with interested youth providers and system staff;
13. Several training opportunities for Veterans services staff; and
14. Numerous webinars on topics such as: The Governor's Program to Hire Veterans with Disabilities; 599 Overview; Customer Flow in the One-Stop System; Effective Use of Assessment; Veterans Education Benefits; Incentive/Sanction issues; Addressing UI Traffic in the One-Stop System.

Monitoring and Oversight

Question VIII.H. Describe the monitoring and oversight criteria and procedures the state utilizes to move the system toward the state's vision and achieve the goals identified above, such as the use of mystery shoppers, performance agreements. (§112(b)(14).)

NYS DOL monitors its 33 LWIAs through the Financial Oversight and Technical Assistance Unit (FOTA-financial oversight) and Program Specialists (program monitoring). Financial Oversight reviews are conducted in accordance with the FOTA Review Guide and consist of reviews in areas, such as financial management, cost allocation, procurement, property, One-Stop system cost allocation, and program year closeouts. Monthly analyses of reported expenditures are conducted to ensure that local areas are not over or under expending and to determine if spending is commensurate with services provided. Program Specialists use newly revised guides covering Adults, Dislocated Workers, Youth, Summer Youth, Governance and Subrecipients, as well as monthly desk reviews of services and expenditures. Additionally we conduct the One-Stop Center Quality Standards visits as part of a bi-annual monitoring activity.

The FOTA and Program monitoring duties include plans and processes designed specifically for monitoring and oversight of the State's additional funds provided under the Recovery Act. These procedures include specific plans for monitoring the reemployment services and summer employment, including summer employment worksites.

NYS DOL issued Technical Advisory #04-19 on November 19, 2004, to emphasize the requirements in WIA statute and regulations that, in conjunction with the Chief Local Elected Officials (or his/her fiscal agent), the LWIB must conduct financial, program, and performance monitoring and oversight of subrecipient activities in the local area. The Technical Advisory specified a significant change in State policy, in that the local area LWIB/CLEO/fiscal agent would now be responsible for monitoring and oversight of subrecipient counties in a multi-county LWIA. The Technical Advisory emphasized that performance and accountability are key elements of an oversight plan and prescribed the scope and minimum frequency of reviews in an acceptable oversight plan. Attached to the Technical Advisory was a "Local Workforce Investment Area Program, Financial and Performance Monitoring Guide for Subrecipients." Local areas are required to use this guide or incorporate the elements of the guide into their own guides. Subsequent to the State's issuance of Technical Advisory #04-19, on August 18, 2005 the State issued TA#05-15 to amend and provide clarification to sections of the Local Workforce Investment Area's Program, Fiscal & Performance Monitoring Guide for Subrecipients.

Information is gathered from a number of sources to provide a comprehensive review of each local area and how well it performs. As part of the One-Stop Recertification process, staff reviews monitoring reports, performance data and trends. Local plans are also used as a monitoring tool, and to determine progress toward key workforce goals identified in the plans.

An integral part of the State monitoring function is providing feedback to the local area with regard to program performance. Through the use of Local WIA Quarterly Reports and information that includes rosters of individuals in each of the measures, field staff engage local areas in dialogue related to data quality and performance improvement strategies.

Accountability and Performance

Question X.C.1. Describe the state's performance accountability system, including any state-system measures and the state's performance goals established with local areas. Identify the performance indicators and goals the state has established to track its progress toward meeting its strategic goals and implementing its vision for the workforce investment system. (§§112(b)(3) and 136(b)(3).)

New York State has applied for and received a waiver of the core indicators of performance and the customer satisfaction measures required in WIA Section 136(b)(2) and (c)(1), as well as accompanying regulations in Section 666.100(a) and 666.300(a). New York has adopted and reports on the Common Measures, as delineated in TEGL 17-05, for federal job training and employment programs. This waiver allows New York State to operate solely under the six common measures for Adults/Dislocated Workers (Entered Employment, Employment Retention and Average Earnings) and Youth (Placement in Employment or Education, Attainment of a Degree or Certificate and Literacy and Numeracy Gains).

Prior to negotiating performance standards for the Common Measures with each of the local areas for Program Year 2009, New York State must first establish statewide performance levels with USDOL. For PY 2009, New York State has proposed the following performance standards for each of the Common Measures for Adults, Dislocated Workers and Youth:

New York State Performance Standards
WIA Title 1B and Wagner-Peyser (W-P) Programs
Proposed PY 2009

Performance Measure	PY 2009 Proposal
WIA Title 1B	
Adults	
Entered Employment Rate	51%
Employment Retention Rate	80%
Average Earnings	\$15,000
Dislocated Workers (DW)	
Entered Employment Rate	45%
Employment Retention Rate	70%
Average Earnings	\$17,500
Youth	
Placement in Employment or Education	62%
Attainment of a Degree or Certificate	50%
Literacy and Numeracy Gain	45%
W-P (Labor Exchange)	
Entered Employment Rate	49%
Employment Retention Rate	75%
Average Earnings	\$15,000

Once statewide standards have been agreed upon, New York State will initiate negotiations with each of the LWIAs to establish performance standards for the Common Measures.

In addition to the Common Measures, NYS has developed a set of Workforce System Improvement Indicators. The intent of the Systems Improvement Indicators is to ensure that LWIAs and/or Regions are implementing service strategies that lead to improved outcomes for program participants. These key indicators are based upon outcomes at the local or regional level. New York State has identified the following key System Improvement Indicators:

1. Initial Assessment;
2. Reduce the Number of Participants Who Exit While Still Certifying for Unemployment Insurance (UI) Benefits;
3. Increase the Number of Participants Receiving Training Services; and
4. Increase Out-of-School Youth Participation.

New York State, in collaboration with the local areas, will establish an incentive eligibility standard and an unsatisfactory performance standard for each of the System Improvement Indicators for PY 2009. Incentive grants will be made available to each local area for each indicator for which the State has established an incentive eligibility standard. A Workforce Development System Technical Advisory will be issued that describes the manner in which incentive grants will be awarded.

In addition, a standard will be established for each indicator to define the threshold for unsatisfactory performance for the indicator. Local areas and/or Regions that are unable to achieve satisfactory performance on any indicator will be considered failing that indicator and will be subject to the following actions:

1. A Corrective Action Plan to improve performance on the indicator, including identification of the actions to be taken and a timetable for implementing the actions; and
2. A written assurance by the LWIB, stating that the LWIB understands and can administer its duties and responsibilities with regard to State policy and Federal law regarding WIA rules, regulations and reporting responsibilities .

On a monthly basis, LWIAs and/or Regions will be provided information regarding the progress they are making in meeting their mutually agreed upon standards. This timely information will allow the locals to make adjustments to their programs in order to meet their standards.

• *The Recovery Act emphasizes the importance of accountability. Describe the state's overall efforts to hold the state and its local areas accountable for the results of activities funded by the Recovery Act, and how the state will measure whether it has achieved the state's goals for implementation as described in Questions I.C. and I.E. under "State Vision and Priorities."*

In order to hold local areas accountable for the results of activities funded by the Recovery Act, the state will establish a set of System Improvement Indicators (described above) that are consistent with the intent of the Recovery Act. Recognizing that education and training are key elements of the Recovery Act, one of the System Improvement Indicators will be designed to encourage local areas to increase the number of participants who receive training. The local areas will be eligible for incentive grants if these targets are met or exceeded. Local areas that are unable to achieve satisfactory performance on the training System Improvement Indicator will be considered failing the indicator and will be subject to the actions described above.

Because the Recovery Act emphasizes providing services to those youth most in need of assistance, an additional System Improvement Indicator will be implemented that encourages local areas to increase the number of out-of-school youth they are serving. Incentive grants will be made available to those local areas that meet or exceed the standards while corrective action will be required by local areas that are not able to achieve satisfactory performance.

In addition, another key element of the Recovery Act is the focus on summer employment for youth. Information regarding the number of participants placed in summer employment will be shared with the local areas on a monthly basis. This will allow the local areas to monitor the progress they are making in providing services that are consistent with the intention of the Recovery Act. The state will also monitor

the progress that each local area is making with respect work readiness achievement rate for those youth who are placed in summer employment. This information will be shared with the local areas.

- *The Recovery Act requires states to report on work readiness to assess the effectiveness of summer employment opportunities for youth. The state should identify its methodology for determining whether a measurable increase in work readiness skills has occurred, and what tools will be used for this determination.*

NYS DOL will require each local area to establish a methodology for determining work readiness skills upon beginning and completing the summer experience in order to determine whether a measurable increase has occurred. The state will not require local areas to use a specific assessment instrument to determine pre- and post-work readiness skills. The local areas can determine if an increase in work readiness has occurred by choosing from a variety of assessment tools including worksite supervisor evaluations, work readiness skill checklists administered by program staff, portfolio assessments, and any other relevant forms of assessing work readiness skills. Each local area will be provided with outcome information regarding the work readiness credential at the completion of the summer employment program.