



Executive Committee Agenda
January 3, 2023 from 1pm-2pm
Virtual Meeting Via Zoom or Phone

Attendees: K'Lynn, David, Martin
Staff: Bob, Heather, Jessica, Teresa
Meeting called to order at 1:06pm

1:00pm: Consent Agenda – K'Lynn Lane, Chair

Consent Agenda:

- Minutes from December Executive Committee Meeting – *vote required*
 - *Dave moved to approve the minutes as presented, seconded by Martin with none opposed- unanimously approved.*
- Approval of Incident Reporting Policy – *vote required*
 - *Martin moves to approve the policy as presented, David seconds with none opposed- unanimously approved.*
- Discontinuation of Transfer Funds Policy – *vote required*
 - Discussion: How would transfer of funding apply to State Funds? Are you able to transfer funds within federal and state funds? The policy does not apply to State funding. While state funding can be considered stand-in resources, the policy explicitly applies only to WIOA and is now handled at the state level through the draw system.
 - *David moves to approve and discontinue the policy as requested; Martin seconds with none opposed- unanimously approve discontinuing the Transfer of Funds policy.*
- State monitoring report –Jessica - *information only*
 - Was a successful monitoring with no observations or findings. The next monitoring will take place next fall and will be in-person to include sampling of internal controls and payments.
- Office Manager Position –Jessica - *information only*
 - Not a newly created position, rather an adaptation of the Executive Assistant so that the role extends to office, team and board support. The position will report to Jessica and will be required to spend most of their time in the office. Getting ready to post the position for recruitment.
 - K'Lynn (fit) and Dave (skill) will be a part of the interview process.

1:20pm: Goals for next 6 months – Heather Ficht, staff

[State of the Workforce report](#), Strategic Planning, Comprehensive Communications Strategy – *information/discussion only*

- *Heather would like to update the State of the Workforce report, which is now 5 years old. While we do not currently have a Regional Economist, we would like to explore bringing a contracted team/person on to conduct the data updates as well as for the design work.*

- *While we currently have a local plan, we do not truly have a Strategic Plan, which could be more readily updated and revisited and stands as a guide for the organization rather than simply as a matter of compliance.*
- *Both projects above will inform our Comprehensive Communications Strategy which could be done last and consider other areas such as: EC Works Editorial Calendar and Website.*
 - Discussion: Does it make sense to do these three projects sequentially? State of the Workforce does serve as a needs assessment, so yes, the group agrees that it makes sense to have the State of the Workforce done first. K'Lynn would also like to have a Marketing Plan, as part of the communications strategy, that includes our partners and how they are part of the EC Works' messaging. Martin would like to have board members weigh in on the scope of the State of the Workforce, as well as the Strategic Plan. An Ad hoc committee of the board could be convened to tackle each of these projects. How will this be communicated to the board? Heather will provide an overview of the plan of action during the January board meeting and ask for a call of volunteers, along with a rough timeline for completing each of the projects.
 - Martin has volunteered to be a member of the State of the Workforce Ad hoc Committee
 - Dave will be a member of the Strategic Planning Committee
 - K'Lynn volunteered to be a member of the marketing committee

1:40pm: January Board Meeting Agenda – Heather Ficht, staff – information only

Review and revise January Board meeting agenda- included as an attachment.

- Heather will modify the agenda to include timelines for board engagement.

1:50: NAWB Conference – Heather Ficht, staff – information only

Clarify logistics and Board member attendance

- Make sure that we are inviting Dr. Chesley, barring her vote and acceptance onto the Executive Committee.
- Hotel reservation is Saturday to Tuesday.

Meeting adjourned at 2:04pm

Attachments:

- Draft Minutes December 2022 Ex Com Meeting
- Incident Reporting Policy
- Transfer Funds Policy
- State monitoring report
- Draft January Board Meeting Agenda



Risk Management Policy

TITLE: Incident Reporting

POLICY APPROVED BY:

Heather Ficht

EC Works Executive Director

K'Lynn Lane

EC Works Board Chair

Previous Policy Approval Date:

March 14, 2018

Current Policy Effective Date:

July 1, 2022

Revision Approved:

January 9, 2023

PURPOSE:

The purpose of this policy is to provide guidance for reporting allegations of fraud, program abuse or criminal conduct and to ensure compliance of programs receiving Workforce Innovation & Opportunity Act (WIOA) funding.

POLICY:

Any incident of suspected fraud, abuse, or other program-related criminal activity must be immediately reported directly to the EC Works' Grievance Officer. If the ECW is involved or implicated in the incident of suspected fraud, abuse, or other program-related criminal activity, the report should be made to the ECW Executive Director.

The ECW Grievance Officer or Executive Director will immediately complete necessary reporting documentation as set forth in the Higher Education Coordinating Commission's Office of Workforce Investment's Incident Reporting Policy and strictly adhere to the Department of Labor's Education and Training Administration policy and procedures for reporting and investigating allegations of wrongdoing, misconduct, including allegations of suspected fraud, program abuse, and criminal conduct involving grantees and other recipients of Federal Funds.

The EC Works' Grievance also will also immediately inform the ECW Executive Director of the incident and the steps taken in reporting the incident, which may include investigating the allegations by both ECW and the Department of Labor Office of the Inspector General (OIG). Depending on the circumstances, the ECW Grievance officer may also issue an incident report to the EC Works Executive Director and Board Chair requesting response to report findings, along with a recommendation for resolution, which may include plans for debt collection and other corrective actions as appropriate. A final report shall also be submitted to the ECW Executive Director and Board Chair at the conclusion/resolution of the incident.

Reporting procedures do not supersede the responsibility to safeguard WIOA funds by taking prompt and appropriate action. Situations involving imminent health or safety concerns, or the imminent loss of funds exceeding \$50,000 are considered emergencies. Should the ECW Grievance Officer determine the allegation to be an emergency, they have responsibility to take any action it deemed appropriate, including



Risk Management Policy

TITLE: Incident Reporting

contacting the local law enforcement agency.

REFERENCES:

Higher Education Coordinating Commission, Office of Workforce Investments Policy: Incident Reporting
Workforce Innovation and Opportunity Act, Training and Employment Guidance Letter No. 2-12
20 CFR 683.620



Program Management Policy

TITLE: Transfer of Funds Between Adult & Dislocated Worker Programs

POLICY APPROVED BY:

Heather Ficht

ECWIB Executive Director

Charles "Chip" Massie

ECWIB Board Chair

Approval Date:

December 13, 2016

Effective Date:

July 1, 2016

Revisions:

PURPOSE:

The Workforce Innovation and Opportunity Act of 2014 allows the transfer of up to 100% of the funds between the Adult and Dislocated Worker Program. This policy is intended to acknowledge that authority and identify the local process necessary to accomplish such a transfer.

BACKGROUND:

The WIOA allows the transfer of funds between the adult and dislocated worker funding streams in order to maximize customer service and provide Local Workforce Development Boards (Local Boards) with greater flexibility to provide services in the areas of greatest need. The WIOA Section 133(b)(4) states that up to and including 100 percent of funds allocated to Title I adult and dislocated worker programs may be transferred between these two funding streams.

While Oregon policy and operational guidelines for integrated service delivery should reduce the need to transfer funds between the adult and dislocated worker funding streams, there may be situations, such as significant economic downturns, changes in funding formula allocations, or changes in local priorities to serve specific categories of job seekers, that necessitate fund transfers.

POLICY:

It is the policy of the East Cascades Workforce Investment Board (ECWIB) to accept the authority provided by the Workforce Innovation and Opportunity Act to allow for the transfer of up to 100% of the funds between the Adult and Dislocated Worker programs.

In accordance with WIOA Section 133(b)(4), the Higher Education Coordinating Commission (HECC), has been given the authority to approve transfer requests on behalf of the Governor.

While HECC has not provided WIOA guidance or policy on the transfer of funds between the two programs, State Policy 589-20.5, offers guidance and instructions of requesting such a transfer of funds between programs under the former Workforce Investment Act of 1998.



Program Management Policy

TITLE: Transfer of Funds Between Adult & Dislocated Worker Programs

- I. The ECWIB must approve a transfer request between the Adult and Dislocated Worker programs.
- II. Upon the ECWIB's approval, the local area must submit a letter to CCWD requesting approval of the transfer of funds. The letter must include:
 - A. The reason(s) for the request to transfer funds and the percentage the transfer represents of the program allocation;
 - B. The fund source of the transfer;
 - C. A Participant and Budget Plan;
 - D. A program analysis that includes:
 - i. Proposed services and number of participants originally planned to be served by the allocation compared to services and number of participants planned to be served once the funds have been transferred. This analysis must provide justification that the transfer of funds will not have an adverse impact in providing services to participants and that necessary services and participant planned activities will be maintained in the program from which the funds are transferred;
 - ii. The labor market conditions contributing to the need for the transfer;
 - iii. A discussion of the local area's past history of the request for transfers and how previous transfers impacted participants and funds;
 - iv. If funds are transferred from the dislocated worker program, the analysis must provide an assessment of any potential layoffs or closures of which the LWIB is aware and how these events will be addressed using existing funds;
 - v. Current cash draws versus year-to-date expenditures for adults and dislocated workers;

All inquiries should be addressed to the ECWIB Executive Director.



Oregon

Kate Brown, Governor

Higher Education Coordinating Commission

Office of Workforce Investments

3225 25th Street SE

Salem, OR 97302

www.oregon.gov/HigherEd

December 14, 2022

K'Lynn Lane, Chair
East Cascades Works
334 NE Hawthorne Avenue
Bend, OR 97701

Dear Chair Lane,

The final report for monitoring conducted for Workforce Innovation and Opportunity Act Title I programs is attached.

Please extend our thanks to staff for their work compiling materials for our review, and for their assistance.

If you or your staff have questions, please contact me at 971-345-1136.

Sincerely,

Julia Steinberger
Director
Office of Workforce Investments
Higher Education Coordinating Commission

C:
Heather Ficht, Executive Director
Tony DeBone, Commissioner

FINAL 2022 Monitoring Report East Cascades Works

Oregon's Higher Education Coordinating Commission - Office of Workforce Investments (HECC-OWI) conducted its annual monitoring review of East Cascades Works (ECW) in December 2022. Because of COVID-19, and delays in the planned re-opening of workforce centers, monitoring is being conducted with a reliance on desk reviews, monitoring review workpapers, and in virtual formats.

Reviewers conducted tests of compliance for elements included in the Uniform Administrative Requirements, the Workforce Innovation and Opportunity Act (WIOA) and final regulations, HECC-OWI policies, ECW policies, and the nondiscrimination, disability, and equal opportunity requirements in WIOA.

The entrance conversation took place on December 7, 2022, and attendees included Bob Malicki, Heather Ficht, Jessica Fitzpatrick, Teresa Cummings-Weir, Rachel Soto, and Theresa Fitzgerald.

This report cites the results of our tests of compliance and review of policies and processes, and may include observations or findings, defined as:

· *Observations: In the course of the review, the monitoring team discovered areas that raised some measure of concern. Such concerns may be easily alleviated, and the monitoring team made every effort to discuss solutions with the appropriate staff to minimize concern.*

· *Findings: Findings are items or issues that are of significant concern or that indicate the violation of a guiding principle, regulation or rule. The monitoring team requested additional information to determine whether the issue discovered was an abnormality of the review process or a valid violation.*

This final report cites no findings and no observations.

Reviewers relied on documentation and materials provided by ECW catalogued in the monitoring review guide, quarterly fiscal reports provided to HECC-OWI, participant records, program performance details gathered via the local participant tracking system, and State Management Information System reports.

ECW provided an independent audit report for the years ended June 30, 2021 and 2020. Those items are included in the monitoring workpapers. Audit reports have consistently cited no internal control deficiencies, questioned costs, or other issues.

Review and compliance tests were conducted for cash management, policies and procedures, expenditure rates, quarterly financial reporting, cost allocation plan, contracts and procurement, separation of duties, payroll, and subrecipient monitoring. ECW's fiscal system of expenditure authorization and record keeping is

sufficient and provides reasonable accounting control over assets, liabilities, revenues, and expenditures in connection with those funds.

Since 2008, the public workforce system in Oregon has relied on an automated system to determine eligibility for adults and dislocated workers enrolling in WIOA Title I services. Local workforce boards determined in 2021 that they would no longer rely on that automated system, and would develop eligibility processes and standards that would call for WIOA Title I-funded staff and subrecipients to conduct eligibility. ECW staff have made important contributions to the workgroup tasked with implementing this change, and focus continues to be on development of practical and straight-forward processes and policies.

Data Validation, a series of internal control mechanisms for participant data integrity, is required by the Department of Labor and is conducted annually by state staff. ECW subrecipient records were tested in August 2022, and no concerns were identified. State review staff expanded that participant file sample, and tested files for adherence to supportive services requirements, and training services. No concerns were noted.

The next annual monitoring of ECW is set for September 2023. ECW staff has been extremely helpful and flexible in the many approaches and re-scheduling of monitoring, and we are hopeful that this new standardized and consistent approach will be beneficial and will allow for a less intrusive review.

This is the final report. ECW will have one (1) week from the date of the final report to prepare and submit a written appeal to any findings. The appeal will be submitted to the Office of Workforce Investments director, who will make the final decision.

Draft report: December 9, 2022

Response to draft due: January 9, 2023 (reply received December 9, 2022)

Final report: December 14, 2022

Final appeal:

Office of Workforce Investments Director decision: