



AGENDA

April 8, 2021, 11:30am – 1:00pm

Virtual Zoom Meeting –

Join from PC, Mac, Linux, iOS or Android: via zoom -

<https://us02web.zoom.us/j/83347170400?pwd=KzljcExRdGlwTmZvR2lvNmhYd0Q3QT09/> / password UzP8RE

Call Meeting to OrderKevin Smith, Chairperson

- Minutes Review March 4, 2021
- EWDC updates; meeting highlights over the last couple of weeks to that could positively impact KWIB.....John Lyons, Executive Director, KWIB
- KWIB updatesJohn Lyons, Executive Director, KWIB
 - Putting Kentuckians First – next steps – stakeholder interviews
Doodle polls for week of May 3rd and May 17th
 - LWDA meeting participation
 - WIOA Retention
- Committee / Membership Updates
 - Education and Employer EngagementBeth Davisson, Chair
 - Workforce Participation and Sustainability.....Amy Luttrell, Chair
 - Resource Alignment and Funding.....Kim Menke, Chair
 - Work Ready Communities.....Lori Ulrich, Chair
 - Perkins Committee / procedure changes.....John Lyons, KWIB
- Other
 - Next Executive Committee meeting –May 13th, 1:30pm – 3pm EST (prep for KWIB quarterly meeting to be held on May 20, 2021)
- **Adjourn**

Via zoom - <https://us02web.zoom.us/j/83381421178?pwd=bWRGRHRJZjhzNUFGSDZrMVNWZxpZZz09>
Password: bZ9j5s

MEMBERS PRESENT: Kevin Smith, Amy Luttrell, Kim Menke, Heidi Margulis, Scott Pierce, Lori Ulrich, Beth Davisson

OTHERS PRESENT: Jeremy Jackson (Deloitte), Stefanie Ebbens-Kingsley, John A. Lyons, Debbie Dennison

11:02 CALL TO ORDER

Kevin Smith called the meeting to order. Asked the committee if there were any changes to make to the minutes from the January 29th, 2020 meeting. No changes identified.

- **EWDC updates** – Mary Pat Regan provided updates as follows:
Upskilling / Apprenticeships / WBL – the Cabinet is collaborating with state businesses who can provide apprenticeships; **Virtual bus tours** set and will take place week of March 8th; invitations to be sent to the Exec committee; **Broadband speed test** – working on results to share about impact for the state.
- **KWIB updates** – John Lyons provided update as follows:
Newly approved board members are Kim Humphrey, River View Coal, and Jimmy Staton, Southern Star Energy; **Strategic Plan** priorities; determine next steps.
Deloitte presentation to create pilot program to drill into programs and funding for a target population chosen by the board
ACTION – KWIB will lead new board members through orientation; KWIB staff to share PowerPoint with Exec Committee and they are to discuss at next meeting on March 15th which group to recommend to the board as pilot; discuss timing for this to begin
- **Committee Updates**
 - **Sub-committee** discussion; **ACTION** – recommendations needed for open chair positions for Youth, Metrics and Perkins; reassessment of existing sub-committees
 - **Education and Employer Engagement** (Ed and EE) - Beth Davisson, Chair updated the committee on survey created for businesses to signal what certifications and education is most needed in the state.
 - **Workforce Participation and Sustainability** – Amy Luttrell, Chair updated the committee of some best practices and the committee will try to replicate where they can. She asked for assistance in how next to proceed with the Benefit Cliffs
ACTION – KWIB and EDWC to review what policy might change with this tool.
 - **Funding and Resource Alignment** – Kim Menke, Chair updated the committee on requested changes to policy 15-002. **ACTION** – KWIB needs to get verbiage from LWDA directors for review and approval.

- **Perkins Grant Application updates** – John Lyons updated the team on the process
ACTION – will have recommendations for the Exec committee at next meeting prior to the KWIB Board.

➤ **Next meetings / Other**

Next meeting is March 15, at 9:30am and will include walk-through of KWIB Quarterly agenda. Kevin asked that discussion of the retreat be included in the next meeting.

12:30PM ADJOURNMENT

DRAFT

Focus on the Citizen

Proposed Approach

Objectives

- Identify broad cross-section of stakeholders involved with an individual's transition.
- Educate and obtain buy-in/support.
- Conduct interviews and collect data.
- Leverage findings to build the current state journey.
- Begin to identify possible areas of enhancement.

Proposed Candidates for Interview

Tier 1

- Beth Davisson/Kentucky Chamber of Commerce
- Department of Corrections (Kristen Porter)
- NKY Workforce Investment Board (+1 more WIB)
- Judge Exec. Michael Hale (Barren County Judge)
- KWIB Executive Members
- Citizens who transitioned from incarceration into workforce (if possible)

Tier 2

- To include other possible partners such as CHFS, KY Housing Corp., etc. as determined by initial interviews.

Engaging the Citizen

- 1) What is your specific role in supporting the citizen's transition to work (if applicable)?
- 2) Describe the nature of the services you provide.
- 3) When do you typically engage the citizen?
- 4) Describe the nature of the engagement (in-person vs. virtual, transactional vs. sustained).
- 5) What other partners (if any) do you coordinate with as part of your efforts to engage a citizen?

Understanding What Support Services are Needed

- 1) What types of services do you typically identify as most requested/needed?
- 2) What types of support services/needs do you see citizens needing (e.g., transportation, stable housing)?
- 3) How do we make sure citizens get access to those services?

Partnering with the Employer

- 1) What level of engagement do you have with potential employers (if any)?
- 2) If applicable, when do you bring an employer into the discussion?
- 3) Describe the nature of that engagement.

Making an Impact

- 1) How do you define success vis a vis the services you provide (e.g., what outcome are you striving to achieve)?
- 2) How do you measure your services in terms of the broader goal of helping a citizen find meaningful work?
- 3) How do you evaluate short- and long-term success (and to know where/how to improve)?

Looking Forward

- 1) What gaps, if any, do you see in your services? And if applicable, how can those be remedied?
- 2) More broadly, where do you see the biggest gaps in the system?
- 3) Where do you see opportunities for improved collaboration and coordination?
- 4) Describe what you would like to see in the pilot and share whether or not your organization is willing to participate.



Department of Workforce Investment

Records Retention Schedule

Prepared by the State Records Branch
Archives and Records Management Division
Approved by the State Libraries, Archives, and Records Commission



Kentucky Department for Libraries and Archives

This records retention schedule governs retention and disposal of records created, used and maintained by the Department of Workforce Investment. **Government records in Kentucky can only be disposed of with the approval of the State Libraries, Archives, and Records Commission (the Commission). If records do not appear on a Commission-approved records retention schedule, agencies should not destroy those records.** This agency-specific schedule was drafted by Department of Workforce Investment personnel and Archives and Records Management Division staff, and reviewed and approved by the Commission. This schedule provides the legal authority for the Department of Workforce Investment to destroy the records listed, after the appropriate retention periods have passed.

Department of Workforce Investment personnel should use this agency-specific schedule in combination with the *General Schedule for State Agencies (General Schedule)*, also approved by the Commission. The *General Schedule* applies to records that are created, used and maintained by staff at all or most state agencies. Agency-specific retention schedules are used only by specific agencies and apply to records that are created only by a particular state agency, or to records that a state agency is required to retain longer than the approved time period on the *General Schedule*. The *General Schedule* and agency-specific retention schedule should cover all records for Department of Workforce Investment.

This retention schedule applies to state agency records and information regardless of how it is created or stored. For example, information created and sent using e-mail is as much a public record as materials created or maintained in paper. Kentucky law defines public records, in part, as "documentary materials, *regardless of physical form or characteristics*, which are prepared, owned, used, in the possession of or retained by a public agency" (KRS 171.410[1]). This means that records management standards and principles apply to all forms of recorded information, from creation to final disposition, regardless of the medium. Records retention scheduling is important in developing, using, and managing computer systems and other electronic devices. Records management practices encourage cost-effective use of electronic media through accurate retention scheduling and legal destruction of records.

All state government employees are responsible for maintaining records according to the retention schedule, whether those records are stored electronically or in paper. Information must be accessible to the appropriate parties until all legal, fiscal, and administrative retention periods are met, regardless of the records storage medium.

This retention schedule covers the content of records created by the Department of Workforce Investment, including records created or stored using computers and computer systems. The *General Schedule for Electronic and Related Records* applies to records related to computers or a computer system. Examples of these include system documentation and use records, backup files, or website format and control records.

Audits and Legal Action

Agency records may be subject to fiscal, compliance or procedural audit. If an agency should maintain records longer than the approved retention period, as may be the case with some federal audits, then all affected records should be retained until the audit has been completed and the retention period met. In no case should records that are subject to audit be destroyed until the audit has been completed and retention periods met, or the records have been officially exempt from any audit requirements.

Records may also be involved in legal or investigative actions, such as lawsuits, administrative hearings or open records matters. These records must be retained at least until all legal or

investigative matters have concluded, regardless of retention period. This includes all appeals of lawsuits.

Vital Records

Vital records are essential to the continued functioning of an agency during and after an emergency. Vital records are also essential to the protection of the rights and interests of an agency and of the individuals for whose rights and interests it has a responsibility. Vital records are identified in the retention schedule with a (V).

Confidential Records

While all records created, used and maintained by government agency personnel are public records, not all of those records are open to public inspection. Whether a record is open to public inspection is determined by the state's Open Records laws and other relevant state or federal statutes and regulations. Restriction of public inspection of confidential records may apply to the whole record or only to certain information contained in the record.

Kentucky's public records are considered open for public inspection unless there is some specific law or regulation that exempts them. Agency personnel who believe certain records are confidential should submit a citation from Kentucky Revised Statutes, Administrative Regulations, Code of Federal Regulations, or similar authority. **State agency heads have the responsibility to know all the appropriate confidentiality laws, statutes and regulations that apply to the records maintained by their agency and to see that those laws are enforced.** Even though a record series may or may not be marked confidential on a retention schedule, contradictory laws or regulations that are passed after the schedule has been approved must be honored.

Copies of Records

Agency personnel often make copies of records for internal use or reference purposes. Agencies should designate one copy as the official copy and make sure it is retained according to the records retention schedule. Agencies can destroy all other copies when no longer useful.

Updating the Retention Schedule

Per 725 KAR 1:010, the head of each state government agency is required to designate a member of his or her staff to serve as a records officer. The agency records officer represents that agency in its records-related work with the Archives and Records Management Division. The agency records officer is responsible for assisting the Archives and Records Management Division in drafting a records retention schedule, and in finding any schedule updates to bring before the Commission. The retention schedule should be reviewed on a regular basis to suggest appropriate changes to the Commission.

**Education and Workforce Development Cabinet
Department of Workforce Investment**

The Department of Workforce Investment (DWI) connects Kentuckians to employment, workforce information, education and training. The agencies of the department, Division of Technical Services, the Office of Vocational Rehabilitation, Office of Employer and Apprenticeship Services, work together to provide services through the Kentucky Career Center. This schedule also applies to the sub-recipients of WIOA Funds, which includes both local workforce areas and their sub-recipients, the Career Development Office and Office of Adult Education.

RECORDS RETENTION SCHEDULE

Signature Page

Department of Workforce Investment

September 10, 2020

Agency

Schedule Date

Unit

Change Date

September 10, 2020

Date Approved By Commission

APPROVALS

The undersigned approve of the following Records Retention Schedule or Change:

DocuSigned by:
Marty Hammons
64A96C4F36B146A

Agency Head

9/1/2020

Date of Approval

DocuSigned by:
Marty Hammons
64A96C4F36B146A

Agency Records Officer

9/1/2020

Date of Approval

State Archivist and Records Administrator
Director, Archives and Records Management Division

Date of Approval

DocuSigned by:
Terry Manuel
7FD48C8B81F640C

Chairman, State Libraries, Archives, and
Records Commission

9/10/2020

Date of Approval

The undersigned Archives and Records Management Division staff have examined the record items and recommend the disposition as shown:

DocuSigned by:
Joseph Isaac
811B243452984BE

Records Analyst/Regional Administrator

8/21/2020

Date of Approval

DocuSigned by:
Jennifer Patterson
2028264E05224A2

Appraisal Archivist

8/19/2020

Date of Approval

DocuSigned by:
Chris
316DFCDA76E748D

State/Local Records Branch Manager

8/19/2020

Date of Approval

The determination as set forth meets with my approval.

DocuSigned by:
Farrak Putter
50DFC68B1254E8

Auditor of Public Accounts

9/10/2020

Date of Approval

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Education and Workforce Development Cabinet
Workforce Investment, Department of

**Record Group
Number
3096**

Series	Records Title and Description	Function and Use
06982	Workforce Innovation and Opportunity Act (WIOA) Files	This series documents all fiscal and programmatic records pertaining to the Workforce Innovation and Opportunity Act (WIOA), Pub.L. 113-128. WIOA was enacted to replace the Workforce Investment Act of 1998. WIOA's purpose is to help coordination among Federal programs for employment education, training, and support services.
	Access Restrictions	KRS 61.878 (1)(a) - Personal Identifiable Information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Participant applications; fiscal records pertinent to the grant, grant agreements, interagency agreements, contracts, or any award including financial, statistical, performance, and supporting documentation; indirect cost records such as computations, proposals, or cost allocation plans; as well as complaints and actions taken on complaints.
	Retention and Disposition	Retain for three (3) years after closeout, final disposition of property, close of program year, or final resolution of complaint, whichever is longest, then destroy.

COMMONWEALTH OF KENTUCKY
DEPARTMENT OF WORKFORCE INVESTMENT
(502) 564-7456

POLICY NAME: Workforce Innovation and Opportunity Act - Interlocal Agreements, Chief Local Elected Official and Local Elected Official Roles and Responsibilities

POLICY NUMBER: 15-002 (21)

Summary of proposed changes: The Local Workforce Development Board Directors initiated the request to remove the procurement requirement for the fiscal agent and the direct service provider. Leadership in the Education & Workforce Development Cabinet and the Labor Cabinet were presented with the request. After leadership conferred, the Office of Legal & Legislative Services was directed to update the policy to remove the fiscal agent procurement requirement. The Resource Alignment Committee of the KWIB approved the following changes:

- A. Removal of the requirement that the Fiscal Agent had to be procured, and replaced with a designation procedure which is to be submitted to DWI for review, and submitted as an addendum to the Interlocal Agreement, as it modifies the terms of the contract executed by the LEOS/CLEOS.
- B. Identification of what items are to be put to the whole board for a vote, also by addendum, if the By-Laws, Partnership Agreement or Interlocal Agreement previously executed do not already make this designation.
- C. Incorporate 21-009 Conflict of Interest Policy, to ensure it is implemented and enforced by the Board, and acknowledge the Executive Branch Code of Ethics also applies to all subrecipients of the USDOL WIOA Funds. To be acknowledged in the addendum to the Interlocal Agreement.
- D. Work with Kentuckiana Works to ensure their signatories on the Interlocal agreement can continue to have the authority that the CLEOs have previously designated in prior version of 15-002.
- E. Make clear the definitions of the parties identified in the policy, to ensure consistent application.
- F. Remove the language about the CLEO/LEO cannot be the “highest ranking board member” and replace with cannot be “a board member” of the grant subrecipients: the One-Stop Operator entity, the Direct Service Provider, or the fiscal agent entity.

The modification of the procurement process for a fiscal agent contained in this policy will require Local Workforce Development Boards to provide proof of sufficient firewalls, and demonstrate implementation of a comprehensive conflict of interest policy that complies with the Executive Branch Code of Ethics and WIOA Sunshine provisions. The designated fiscal agent will remain subject to monitoring, and all of the provisions provided in DWI Policy 16-023.



KWIB Executive Committee Meeting

DRAFT MINUTES

April 8, 2021

Via zoom

<https://us02web.zoom.us/j/83347170400?pwd=KzljcExRdGlwTmZvR2lvNmhYd0Q3QT09> / password UzP8RE

MEMBERS PRESENT: Kevin Smith, Kim Menke, Amy Luttrell, Heidi Margulis, Scott Pierce, Lori Ulrich, Beth Davisson

OTHERS PRESENT: Scott Secamiglio, Stefanie Ebbens-Kingsley, John A. Lyons, Jacob McAndrews, Myra Wilson, Tammy Hurt, Jodi Rafferty, Amy Glasscock, Tara Noem, Jon Soward and Debbie Dennison

11:34am **CALL TO ORDER**

Kevin Smith, KWIB Chair called the meeting to order. Kevin asked the committee if there were any changes to previous meeting minutes from March 15th, 2021. No changes identified. Heidi Margulis motioned to accept the minutes; Amy Luttrell seconded the motion; motion carried.

EDWC updates

John Lyons, Executive Director, KWIB talked about the last several weeks initiatives by the Cabinet regarding community work programs and Pre-ets (pre-employment workshops); Beth Davisson added that the “skills bill” recently passed should help to implement this.

KWIB updates

John shared that interviews have begun with Deloitte leading for the **pilot initiative, “Putting Kentuckian’s First”**. In the next couple of weeks, KWIB will firm up objectives and steps to achieve clear deliverables; Amy Luttrell asked that we add a Goodwill representative(s). **Doodle polls** to be sent to the board for weeks of May 3 and May 17 for their participation in the “Greenhouse labs”.

Work search requirement discussions are ongoing within DOL and changes may be coming in May. More information to follow.

DOL / WIOA audit suggested an updated WIOA Record Retention Policy that made it clear this schedule applied to all contracted WIOA Partners. John walked through briefly. **KWIB staff** will help identify if any schedule changes were part of this policy.

Committee updates:

Education attainment / Employer engagement – Beth Davisson, Chair

Will continue monthly meetings for now to continue work in the following:

- CTE Certification Continuous Improvement / employer engagement
- Sector Strategies /Career Pathways
- Higher Education opportunities (apprenticeships, internships, mentorships for minorities and low-income individuals)

Workforce Participation and Sustainability – Amy Luttrell, Chair

Continuing to add partners to the committee. A budget bill for Goodwill to begin an **adult high school** passed. This will be for those older than K-12 age who need to finish high school and offer in person sessions. There are 400,000 Kentuckians without a high school diploma. Will offer training on entry-level and skilled jobs and will open summer of 2022.

The committee will focus on broadband opportunities for the state, especially in rural areas. There is value in what **TeleWorks** is doing and we want to extend that value to other areas allowing individuals to work remotely.

Amy is speaking with the Atlanta Federal Reserve on additional opportunities for the **benefit cliff calculator**. We can add information by industry, and her committee will begin to coordinate meetings with KY Stats, Atlanta, Louisville and St. Louis.

Resource Alignment and Funding – Kim Menke, Chair

The committee is working on the following:

- Funding and program activities within the resource mapping; will break his committee into groups
- Reviewing policy 15-002 further

Work Ready Communities Committee – Lori Ulrich, Chair

Working on review of 13 applications from counties; next meeting on April 23. Lori did bring up her concern for some counties not responding. The coordinators will continue to encourage and offer best practice examples for participation.

Perkins Leadership update – John Lyons

KWIB will pull together the team in the upcoming weeks to talk through the process and recommend any changes to the Executive committee for review. Reviewing / revising applications will be part of the process.

12:45PM ADJOURNMENT