The Workforce Investment Act and Its Impact on Post Secondary Training Providers: A Study of New York State's Compliance Plan

Dottie E. Near
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The Workforce Investment Act and Its Impact on Post Secondary Training Providers: A Study of New York State's Compliance Plan

Abstract

The purpose of this study is to analyze and interpret the requirements that the Workforce Investment Act (WIA) imposes on state and local workforce development initiatives. The research methodology was based on the two-part Near Model, which (1) determines the viability of a study and then (2) develops the process for project implementation. Initially, a case outline was constructed and sampling plan developed, which fulfilled the data requirements of the outline. The sampling plan included documents extracted from Federal and state government reports, websites and journal articles. Interviews were conducted in person and by telephone with individuals involved with writing, implementing or allocating funds in regards to WIA. An analysis of the strengths and weaknesses of the Act are reviewed in the final section of the manuscript. This study resulted in a report and a presentation, which offers a historical review of WIA; the governance structure at the Federal, state and local levels; and the specific requirements applied to the post-secondary training providers.

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The Workforce Investment Act and Its Impact on Post Secondary Training Providers:
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Dottie E. Near
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Acknowledgments

I wish to thank all those friends and colleagues who encouraged me to pursue this master degree and encouraged me to persevere to completion. I extend special thanks to my advisor, Professor Marilynn Butler, for her guidance and encouragement throughout the master’s program. My sincere gratitude goes to Bruce for his patience and support of this endeavor. Lastly, a special word of appreciation goes to Mary Ann Krebbeks, who has coached me through the rough spots so that I could see my way to achieving this goal.
The purpose of this study is to analyze and interpret the requirements that the Workforce Investment Act (WIA) imposes on state and local workforce development initiatives. The research methodology was based on the two-part Near Model, which (1) determines the viability of a study and then (2) develops the process for project implementation. Initially, a case outline was constructed and sampling plan developed, which fulfilled the data requirements of the outline. The sampling plan included documents extracted from Federal and state government reports, websites and journal articles. Interviews were conducted in-person and by telephone with individuals involved with writing, implementing or allocating funds in regards to WIA. An analysis of the strengths and weaknesses of the Act are reviewed in the final section of the manuscript. This study resulted in a report and a presentation, which offers a historical review of WIA; the governance structure at the Federal, state and local levels; and the specific requirements applied to the post-secondary training providers.
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The Workforce Investment Act and
Its Impact on Post-Secondary Training Providers:
A Study of New York State’s Compliance Plan

Our citizens need to become competitive in the labor market of the 21st century. Integrating the myriad of separate, categorical training and education programs will provide enhanced opportunities for the citizens of New York and help the State be competitive in the global economy (New York State Department of Labor [NYSDOL], 1996). The year 2000 is fast approaching. The pace of change is also accelerating—from changing technologies, to the redesign of the world of work, to new job definitions. To meet the human investment challenges of the 21st century our education and job-training programs must promote a different approach to prepare a workforce with the knowledge and skills necessary to perform the work of the next millennium.

The purpose of this project is to analyze and interpret the requirements that the Workforce Investment Act (Public Law 105-220) imposes on state job training providers. The focus of this study encompasses two categories of providers: (1) community colleges and (2) post-secondary teaching institutions in New York State. A presentation of these requirements will be delivered to the managers of the Rochester Market of Bryant & Stratton Business School (Bryant & Stratton). This institute is a current training provider under the auspices of the funding programs, which will be totally phased out by July 2000.
This chapter includes four interrelated sections. The first section introduces and reveals the purpose of the study. The second section offers an overview of the Workforce Investment Act and a discussion of the importance the study holds for the post-secondary training providers. The third section describes the study. The remainder of this chapter presents a brief preview of the organization of the manuscript. Finally, a glossary of terms and abbreviations used in the manuscript is located in Appendix A of this paper.

Overview of the Workforce Investment Act

President Clinton signed The Workforce Investment Act (WIA) into law on August 7, 1998. This historical job training reform bill reorganizes the Federal Job Training system, which receives about $3 billion a year to provide services to adults and youth. Most of the money flows to states, local job training agencies and in some cases, to community colleges.

One of the many changes, which this law creates, is “tough performance standards” for states and for providers, which receive job-training funds— including community, junior and technical colleges. These training providers that want to remain eligible, for example, must report detailed information about participants. These reports must include completion rates, job placement rates and earned wages (Federal Employment and Training Administration [ETA], 1999).

Another major change brought about with this job training bill is the demise of local Private Industry Councils (PICs), business-led organizations that
carried out federally funded programs. Business will continue to play an
important role under WIA, but this new law changes these entities to “local
workforce investment boards.” Such boards must have extensive input from
local education agencies, including post-secondary institutions (Dervarics, 1998).

States also will maintain their own workforce investment boards and the
bill specifically requires community college representation on those state panels.
The bill further demands that states designate local workforce areas, each of
which have a One-Stop Career center. Such centers serve as a central location
for job information, as well as education and training. Many similar centers are
currently located at community colleges.

At the local level, workforce investment boards will monitor the One-Stop
centers, identify eligible job-training providers and develop local goals to
promote quality. Overall, 85% of federal funds for youth training and adult
training will go to the local level with the workforce investment boards
maintaining some flexibility in choosing the best funding formulas to meet their
needs (Dervarics, 1998).

According to Dervarics (1998), another provision of this law will streamline
funding for adult education programs. This provision will impact the post-
secondary training providers. Under the new system, states will use 82.5% of
funds for competitive local grants. Eligible activities include workplace literacy
programs and family literacy services. Also, people will disabilities have more
extensive access to job training.
Description of the Study

To conduct this study, a qualitative assessment will be employed. The goal of this assessment is to identify the major job-training provisions of WIA as it applies to community colleges and other post-secondary training providers. Here, five categories of resources will be analyzed: (a) text of WIA, (b) position papers regarding WIA, (c) Federal and state government reports, (d) journal articles and (e) local newspaper articles. This examination will result in a presentation to Bryant and Stratton and a report.

The study will provide answers to the following ten questions:

1. How does the act alter the Federal government's role in job training, adult education and vocational rehabilitation—which current training programs are affected and what is the impact of the WIA on these programs?
2. What are the responsibilities of the state workforce investment boards and local workforce investment boards—what is the composition (categories of participants) of each of these boards and who are the named participants for New York State and Rochester’s Local Workforce Investment boards?
3. What are the requirements of a One-Stop Delivery system—identify core services to adult and dislocated workers available under this delivery system
4. Who are the eligible users of these services?
5. What determines eligibility for providers of these services?
6. What are the accountability measures under WIA?
7. What is the impact of this Act regarding the Job Training Partnership Act?
8. Under this unified plan, what are the 14 current programs, which are eligible for inclusion?
9. Does New York State have a State Workforce Plan in place and how will it impact the Local Plan?
10. What are the timelines at the Federal, state and local levels, which providers must meet in order to be considered for funding when the Act becomes official in July 1, 2000?

Organization of the Manuscript

This paper offers a five-part presentation of the study. Chapter One stated the purpose of the study and provided background information to establish the framework. Chapter Two presents a review of related literature. Topics explored in the literature include the background of the Federal WIA, the Work-First principle and the One-Stop Delivery System. Chapter Three details the methodology employed in conducting the research. Chapter Four reports the results of the study as it applies to New York State’s Workforce Development system (as of February 2000). Finally, the conclusion is made in Chapter Five. Here four sections are presented: summary, benefits and challenges of the new Workforce System and suggestions for next steps to be taken by those entities interested in becoming a training partner. Additionally, a glossary of terms and abbreviations is located in Appendix A.
CHAPTER TWO

Review Of The Literature

This paper explores the many facets of the Workforce Investment Act (WIA), which was signed into law by President Clinton on August 7, 1998. Employment and training programs in the United States have evolved through several legislative edicts since the early 1960s. The Manpower Development and Training Act of 1962, the Comprehensive Employment and Training Act of 1973 and the Job Training Partnership Act (JTPA) of 1982 were all major landmarks in the history of these programs. Clearly, the WIA represents another important milestone in this history of employment and training programs.

Chapter Two provides findings from a variety of literary sources including government agencies and the private sector. This chapter begins with a background study of WIA, which includes a description of the Work-First principle and the market-oriented approach. A discussion of the structure and governance (responsibilities) of the new Workforce System to include a description of the state and local Workforce Investment boards follows. Last, the Federal vision for the One-Stop Delivery System (including the three tiers of service and accountability issues) is described.
Background of the Federal Workforce Investment Act

For more than 50 years, the federal government has invested considerable effort and resources to help people find productive employment. The result today is 163 federal programs scattered across 15 federal agencies providing employment training assistance. Despite spending billions of dollars each year, most federal agencies do not know if their programs are really helping people find jobs. (Crawford, 1995, p. 1)

Clarence Crawford, Associate Director of Education and Employment Issues in the division of Health, Education and Human Services, testified before the US Senate Committee on Labor and Human Resources on January 10, 1995. In his testimony he implied that a major overhaul was needed in the multiple Federal Government sponsored employment training programs. And that radical change would be necessary to reduce costs, streamline the bureaucracy and improve results. Crawford further testified that the 1995 system for providing employment training assistance was greatly flawed, primarily by a multitude of narrowly focused programs that often compete for clients and funds. While these programs frequently target the same clients, share the same goals and provide similar services, each agency maintains its own separate administrative structure, devoting staff and other resources to administer, monitor and review program implementation. He further noted that this extensive overlap in administration raises questions about the system’s efficiency.
Another issue for contention, which was disclosed in Crawford's (1995) testimony, is the lack of accountability of most of these agencies. He reported that most agencies lack the basic information needed to manage their programs or measure their performance, that in fact many programs could not give a count of how many people they served or whether people obtained jobs. These details were previously affirmed in reports submitted before this same Senate Committee (National Commission for Employment Policy, 1991; GAO/HEHS-94-98, 1994; GAO/T-HEHS-94-239, 1994). As stated in these reports, almost 40 percent of the programs could not accurately tell how many people they served each year. For example, the JOBS program, which spends $1.3 billion annually, does not collect data on the number of people served. These sources also reported that less than 50 percent of the programs collected data on whether or not participants obtained jobs after they received services. For example, neither the Food Stamp program nor the NAFTA Trade Adjustment Assistance program collected placement data on their participants. Without this information, programs can not evaluate if they are training participants for real job opportunities and whether participants have the skills employers need.

It was further disclosed that at the state and local levels, similar and often parallel programs administer services to the same target groups. For example, the JTPA program funds about 630 service delivery areas (SDA) to administer local service delivery. Concurrently, to administer the delivery of their programs, the JOBS and Food Stamp E&T programs both fund numerous offices, which
frequently are the same network of over 3,000 state and/or county run welfare offices. In other instances, the 2,000 Employment Service offices are used to provide JTPA or JOBS services. (Crawford, 1995)

In summary, the case was established by the testimony presented before the U.S. Senate Committee on Labor and Human Resources that the “current system of federal employment training programs is fraught with so many problems it is difficult to know what has been accomplished...we remain convinced that a major overhaul and significant consolidation of the existing 163 programs is needed to create an effective and efficient employment training system” (Crawford, 1995, p. 2).

To address the existing flawed employment and training system the Workforce Investment Act was written. This legislation is the culmination of five years of debate within Congress and negotiation between Congress and the Administration. It makes dramatic changes in the way employment and training services will be delivered, creating a new governance structure consisting of state and local workforce investment boards, a streamlined one-stop delivery system and the replacement of local contracting with Individual Training Accounts (ITAs)/vouchers to deliver training services. The vocational education, adult education, and literacy and vocational rehabilitation programs all remain separately authorized and funded, although the legislation does provide for their linkage to the new One-Stop delivery system. While separately authorized and
funded, the adult education and literacy program now appears as Title II of WIA rather than stand-alone legislation.

**Work-First principle.** As noted, funds will be appropriated and allocated separately for services to adults and to dislocated workers; however, localities will be able (with the governor’s approval) to transfer up to 20 percent of these funds between the two target group categories. The Act’s provisions concerning services to adults and dislocated workers are among the most important changes made by the legislation.

Funds for adults and dislocated workers may be used for three levels, or tiers, of service:
1. core services
2. intensive services
3. training services.

Reflecting the current prevailing “work first” philosophy associated with welfare reform, the legislation envisions a process whereby, initially, an effort will be made to place adults or dislocated workers in employment through the provision of “core services” before any training scenarios are considered. These core services include such short-term interventions as job search assistance, career counseling and provision of labor market and job vacancy information.

Unemployed workers who are unable to obtain employment through core services and employed workers who need additional assistance to remain employed will be eligible for “intensive services.” Intensive services will provide
more involved forms of assistance, such as comprehensive assessments; development of individual employment plans; case management and short-term prevocational services.

Only individuals who are unable to obtain or retain employment through intensive services will be eligible for “training services.” These services include a wide range of training activities, including occupational skills training; on the job training; customized training; adult and literacy education; skill upgrading and retraining and job readiness training.

To be eligible for training services, candidates must also meet three additional tests:

1. They must have the skill prerequisites for the training selected.

2. The training program selected must be linked to job opportunities in the local area.

3. It must be determined that they are unable to obtain training services under Pell grants or other grant assistance.

It can be determined by these stipulations, that training programs under the WIA are the last-resort after core services and intensive services have been exhausted (American Association of Community Colleges [AACC], 1999).

**Market-oriented approach.** The WIA in general is an ambitious law that shuns the old, bureaucratic mechanisms in favor of the market-oriented approach. As quoted in the Policy Report prepared by the New York State’s Department of Labor (February, 1996), “The new Workforce Development
System means empowering customers—youth and adult job seekers and employers—through providing reliable quality information for informed customer choice...and must create new systems of collecting, managing, packaging, supplying and marketing information to which the customers have direct access” (p. 12). The WIA focuses on serving all customers, that is, employers and job-seekers. Employers include small, medium and large organizations seeking workers with a range of skills—from the highly trained to entry-level, part-time and temporary employees. There are three categories of job-seekers:

1. Emerging workers—those who are not yet in the workforce and are enrolled in elementary, secondary, postsecondary or continuing education programs

2. Current workers (also known as incumbent workers)—those employed at all salary levels, both full-time and part-time and who need to continue to learn on the job in order to remain productively employed, advance in their careers or make a transition to a different career

3. Transitional workers—those not productively engaged in the workforce and who may be unemployed, marginally employed or receiving public assistance (McGowan & Mills, 1999).

According to James McGowan and Richard Mills (1999), to ensure that the system serves all of these customers with universal access, particular emphasis must be placed on four specific criteria:
1. Value-added services—the system should add value to the goals of customers after accessing the system, a customer should have more and better information.

2. Importance of choice—all customers need to be able to choose where and how they will access the system; access should also be convenient with adequate resources to assist customers.

3. Multiple levels of service and access points—employers and job-seekers should select for themselves the level of service they desire; therefore, there must be multiple points of access to meet job-seekers and employers where they are.

4. Continuum of education and training—for job-seekers, ongoing access implies a continuum of education and training that begins early and spans a lifetime; a continual process that will enable them to obtain skills and knowledge, renew and/or upgrade their skills and knowledge and redirect their abilities at anytime during their career.

In essence, the vision which underscores the "market-oriented" approach is demand-side led. Education and job training systems must define their products and services based on meeting each state’s economic and workplace needs. Additionally, skill standards must be established, which define what people must know and be able to do in order to be successful in a given occupation or field. These standards should continuously be under review so modifications can be made as job requirements change.
Structure and Governance of the System

The administrative structure of WIA, referred to as the Workforce Development system is intended to be different from what has been in place under past workforce legislation. The differences are seen at all levels of the Federal, state and local system. The governance of this system changes, in part, because it is demand-side driven and ensures employers have input regarding how the system operates and the determination of the expected outcomes (Finger Lakes Workforce Development Steering Committee, 1999). The key elements in the administrative structure are the state workforce investment boards, local workforce investment boards including their youth councils and the local One-Stop Delivery System.

**State workforce investment boards.** States will be required to establish state workforce investment boards to assist governors in the administration of the workforce investment system. The composition of these state boards is mandated under the Workforce Investment Act, Section 111, Subtitle B- Statewide and Local Workforce Investment System (U. S. Department of Labor, 1998):

- the Governor
- two members of each chamber of the state legislature
- representatives of business, who are owners, chief executives, operating officers, or employers with optimum policy making or hiring authority
- chief elected officials (representing both cities and counties)
- representatives of employees, including representatives of organized labor who have been nominated by State Labor Federations
- representatives of individuals and organizations that have experience relating to youth activities
- representatives of individuals and organizations that have expertise in the delivery of workforce investment activities, including chief executive officers of community colleges and community based organizations (CBOs)
- lead state agency officials with responsibility for One-Stop services
- other state agency officials as the Governor may designate, such as Economic Development and Juvenile Justice

Members of the state board should have optimum policy-making authority and will represent diverse regions of the state including urban, rural and suburban areas. A majority of the state board shall be representatives of business and the board must be chaired by a business representative.

The state board will advise the governor on developing the new statewide workforce investment system and, most importantly, will develop the state’s five-year strategic plan to be submitted by each governor to the Secretary of the US Department of Labor (USDOL). Subsequently, a State Plan submitted to the Secretary of Labor will be deemed approved at the end of 90 days, unless during that period the Secretary issues a written disapproval.
The requirements of the State Plan, under WIA (1998) includes eight requirements:

1. description of any state-imposed requirements for the statewide workforce investment system;
2. description of the state performance accountability system;
3. identification of criteria for chief elected officials to use in appointing members of local boards;
4. description of how the state board determined the in-state allocation formulas;
5. assurances that no local areas will suffer significant shifts in funding from year to year;
6. strategy the state will use for assisting local areas in development and implementation for a One-Stop System;
7. targeting issues---how will the state serve the employment and training needs of dislocated workers, including displaced homemakers, low income individuals, individuals for non-traditional employment and other individuals with multiple barriers to employment including older workers and individuals with disabilities;
8. identification of criteria that the Governor and local boards will use to identify effective and ineffective youth activities and providers.

(Section 112)
The plan is also to incorporate the detailed state plans under the Wagner-Peyser Act relating to the delivery of employment services.

The WIA encourages the submission of "unified" state plans to ensure coordination of and avoid duplication between, workforce development activities. There are fourteen programs that may be included, such as the Wagner-Peyser Act (unemployment/employment services) and the Food Stamp Act. It is further established that secondary and post-secondary educational programs may be included only if its inclusion is agreed to by the state legislature. Any programs included under a "unified" plan are still subject to the requirements or applications as initially stipulated under the Federal statute authorizing the program (U.S. Department of Labor Employment & Training, 1998, AACC, 1999).

**Local workforce investment boards.** Under WIA the chief local elected official (CLEO) in each workforce investment area will appoint a workforce investment board charged with setting policy, planning and overseeing the operations of the local workforce investment system that serves adults, dislocated workers and youth. Members of the local board will be appointed by the CLEO in accordance with criteria established by the Governor (AACC, 1999; Twomey, 1998). WIA stipulates that the local boards must include at least a 51 percent representation from the business sector. These business representatives can include owners, chief executive officers or chief operating officers and they should represent businesses with employment opportunities in the local area.
Other board members must include representatives from each of the following seven entities:

1. educational providers—local educational agencies, local school boards, post-secondary educational institutions (such as community colleges);
2. labor organizations (labor unions or other employee representatives);
3. community-based organizations (such as those representing individuals with disabilities and veterans);
4. economic development agencies (including private sector agencies);
5. One-Stop partners (representatives from programs participating in the One-Stop System);
6. providers of adult education and literacy services;
7. other individuals (if any) as deemed appropriate by the chief elected official.

In addition to developing the local plan, the Local Workforce Investment Board will designate or certify local one-stop operators, designate local providers of training services, negotiate local performance measures and assist in the development of a statewide employment statistics (labor market information) system. Unlike the private industry councils (PICs) under the Jobs Training Partnership Act (JTPA), who were allowed to operate programs, these Boards are prohibited from directly providing job-training services unless the chief local elected official and the governor agree to allow them to provide services.
In many localities, local boards have already replaced PICs under anticipation of the reform legislation. The National Association of Private Industry Councils estimates that approximately 40-50 percent of the PICs, as of July 1999, had been reorganized as workforce investment boards. (Twomey, 1998; Pierce, 1998; AACC, 1999).

As a subgroup of the local workforce investment board, a youth council is to be established. The council, which is appointed by the board, develops portions of the local plan relating to youth, recommends the providers of youth activities to be awarded grants by the local board and coordinates youth activities in the local area (AACC, 1999).

A governor can decertify a local board at any time after providing notice and an opportunity for comment. Activities which could justify decertification are fraud or abuse of power, failure to carry out the functions specified in the WIA and failure to meet the local performance measures.

Local service delivery areas must be established throughout each state. In designating the local areas, the governor must consider geographic areas served by local education agencies and post-secondary educational institutions, the extent to which such local areas are consistent with labor market areas, the distance individuals will have to travel to receive services and the resources available in the local area to administer job-training activities effectively. It is further determined that the governor must approve any request for temporary designation as a local workforce area under any of the following three criteria:
✓ be a unit of general local government with a population of 500,000 or more
✓ be an area served by a rural concentrated employment program under JTPA
✓ be an area that served as a SDA under JTPA with a population less than 1.1 million and a population density greater than 900 persons per square mile (New York State Department of Labor [NYSDOL], 1996; AACC, 1999; Pierce, 1998, p. 2).

It is mandatory that any of these units seeking temporary designation to have met JTPA performance measures during the preceding two years and to have sustained fiscal integrity of the funds used by the area to carry out activities as designated under JTPA. If a temporarily designated workforce unit meets local performance measures for up to two subsequent years, the designation extends through the end of the five year state plan.

One-Stop Delivery System

As Congress fought for years over the workforce legislation, the Labor Department set up pilot One-Stops in about 30 states to test the idea. In Baltimore, six one-stop centers have been up and running since 1995. These trial One-Stop centers are collaborative efforts in which federal, state and local governments, businesses, labor unions and nonprofit organizations offer a full array of career services and support (Stanfield, 1998). According to Carolyn Mashall, the Baltimore Career Center Network’s General Manager, the One-Stop
concept “involves a whole cultural change...and to change the mind-set of the center’s case managers from bean-counting bureaucrat to job-placement professional, we actually put them in a van and took them around to see how private [employment services] treat their customers” (Stanfield, 1998, p. 3). Marshall further notes that an example of action, which should support this change in culture, begins when a visitor to the center is greeted with polite good cheer by staff, that seem, intent on providing help rather than just filling in the blanks on a form. To reinforce the new approach the Baltimore centers changed their jargon from welfare (handout) rhetoric to coaching (supportive) language. For example a “case manager” became a “customer service representative.”

As demonstrated in this Baltimore pilot One-Stop, the Federal vision for the One-Stop process is for all people involved to recognize that they must serve at least two constituencies: (1) people who need jobs and (2) employers who need workers with specific skills to fill their immediate vacancies. To promote collaboration, WIA dictates that representatives of business must dominate the local boards that run the centers.

It is also mandated by WIA that each local area is to establish a One-Stop Delivery System, through which core employment related services are provided, and through which access is provided to other employment and training services funded under other Federal programs. The access to these services must be provided through at least one physical One-Stop center in each local area, which
may be supplemented by networks of affiliated sites. The programs providing
services through the One-Stop system are referred to as One-Stop partners.

One-Stop operators will make the key decisions concerning the appropriate
levels of service to be provided to individual adults and dislocated workers. The
local workforce investment board, with agreement from the CLEO is authorized
to designate or certify the One-Stop operators through two methods: (1) winning
in a competitive process or (2) designating a consortium of not less than three
one-stop partners (service providers) to operate a center. Entities eligible to be
designated as one-stop centers include post-secondary educational institutions;
employment service agencies; private, non-profit organizations (including
community-based organizations); private for profit agencies; government
agencies or chambers of commerce.

The local board, with the agreement of the local elected official (LEO),
develops and enters into a written memorandum of understanding (MOU) with
One-Stop partners and conducts oversight of the partners and centers. The
MOU is the cornerstone of the One-Stop system. It defines the terms of each
One-Stop partner’s participation in the One-Stop System, to include the following
five topics:

1. the services to be provided through the one-stop delivery system
2. how the service and system operating costs will be funded
3. methods for referral of individuals between the one-stop operator and
   one-stop partners for appropriate services and activities
4. the duration of the MOU and procedures for amending
5. other appropriate provisions agreed to by the partners (doleta, wdsc, 1998).

The Act contains a grandfather provision that allows the governor, the CLEO and the local board to continue to designate any One-Stop operator that was designated as an operator under a One-Stop system established prior to the enactment of WIA (U.S. Department of Labor, 1999).

**Three tiers of service.** Under WIA, the One-Stop centers must offer three levels of service: core services, intensive services and authorized training services. Table 1 describes activities required under each of these services and who may qualify to obtain such services.

Individuals receiving authorized training services will be served primarily through Individual Training Accounts (ITAs). While the term “vouchers” is not used in the legislation, ITAs will function essentially as vouchers. It is speculated in one AACC article (AACC, 1999) that for the vouchers to cover the full cost of training, in many states it will be necessary to secure funds from other sources to supplement the value of the voucher. In this same article, it is noted that the legislation is silent on the form in which the vouchers will be dispensed, the proportion of training costs they will cover and other administrative details. The ITA system will follow three steps:

1. The One-Stop system will provide participants with a list of eligible providers and related performance information.
### Table 1

**Services Offered Through the One-Stop System**

<table>
<thead>
<tr>
<th><strong>TIER ONE: CORE SERVICES</strong></th>
<th><strong>WHO QUALIFIES</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>• Determination of eligibility to receive assistance under Title I of WIA</td>
<td>Available to anyone who desires services with no eligibility requirements</td>
</tr>
<tr>
<td>• Outreach, intake (which may include profiling) and orientation to the services available through the One-Stop delivery system</td>
<td></td>
</tr>
<tr>
<td>• Initial assessment of skill levels, aptitudes, abilities and supportive service needs</td>
<td></td>
</tr>
<tr>
<td>• Job search and placement assistance, career counseling where appropriate</td>
<td></td>
</tr>
<tr>
<td>• Labor market information</td>
<td></td>
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<tr>
<td>• Provision of program performance information and program cost information</td>
<td></td>
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<tr>
<td>• Information on the performance of the local area and One-Stop delivery system</td>
<td></td>
</tr>
<tr>
<td>• Information on the availability of supportive services in the local area, including child care and transportation including referral to such services as needed</td>
<td></td>
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<tr>
<td>• Information on filing unemployment insurance claims (UI)</td>
<td></td>
</tr>
<tr>
<td>• Assistance in establishing eligibility for Welfare to Work (WtW) activities and financial aid assistance for other training and education programs available in the local area</td>
<td></td>
</tr>
<tr>
<td>• Follow-up services (including workplace counseling) for 12 months for individuals participating in Title I funded activities who are placed in unsubsidized employment</td>
<td></td>
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</tbody>
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<table>
<thead>
<tr>
<th><strong>TIER TWO: INTENSIVE SERVICES</strong></th>
<th><strong>WHO QUALIFIES</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>• Comprehensive and specialized assessments of skill levels</td>
<td>Unemployed workers who are unable to obtain employment from core services or employed workers who need additional assistance to remain employed</td>
</tr>
<tr>
<td>• Diagnostic testing</td>
<td></td>
</tr>
<tr>
<td>• In-depth interviewing to identify employment barriers</td>
<td></td>
</tr>
<tr>
<td>• Development of individual employment plans</td>
<td></td>
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<tr>
<td>• Group or individual counseling and career planning</td>
<td></td>
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<tr>
<td>• Short-term, prevocational services</td>
<td></td>
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</table>

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<tr>
<th><strong>TIER THREE: AUTHORIZED TRAINING SERVICES</strong></th>
<th><strong>WHO QUALIFIES</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>• Occupational skills training</td>
<td>Individuals who meet the eligibility for intensive services but are still unable to find employment—must also be deemed able to benefit from a particular job-training activity that is linked to employment opportunities in the local area AND must be unable to obtain other grant assistance (such as Federal Pell Grants)</td>
</tr>
<tr>
<td>• On-the-job training</td>
<td></td>
</tr>
<tr>
<td>• Programs that combine workplace training with related instruction</td>
<td></td>
</tr>
<tr>
<td>• Skill upgrading and retraining</td>
<td></td>
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<tr>
<td>• Job-readiness training</td>
<td></td>
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<tr>
<td>• Adult education and literacy activities and other authorized training</td>
<td></td>
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</tbody>
</table>
2. The participant will then choose the training program that best meets their needs.

3. Payment for the training will be arranged through the ITAs. There are three exceptions whereby contracting for training at the local level will be used instead of the individual ITAs: for on-the-job or customized training; where there is an insufficient number of providers to meet the competitive purposes of ITAs and for programs offered by community-based organizations (CBOs) or other private agencies that serve special populations that face multiple barriers to employment.

Section 122 of WIA stipulates that the local board must certify a provider with guidance by the governor before any services can be performed. Training providers can include post-secondary educational institutions (as defined under Title IV of the Higher Education Act) whose programs lead to an associate’s degree, baccalaureate degree or certificate; programs under the National Apprenticeship Act and other public or private providers of programs of training services. There is a two tiered structure for determining eligibility: (1) an initial eligibility determination, which is easy to obtain (basically a transitional measure) and (2) an ongoing subsequent eligibility determination based on performance. For example, all institutions eligible to participate in Title IV student aid programs are initially, automatically eligible to be training providers; however, they must provide performance information to the state in subsequent years to maintain eligibility (ACCC, 1999; Pierce, 1998; Twomey, 1998; DOLETA.wdsc, 1998).
provide performance information to the state in subsequent years to maintain eligibility (ACCC, 1999; Pierce, 1998; Twomey, 1998; DOLETA.wdsc, 1998).

These entities, to initially be recognized as eligible providers, must submit an application (designed by the local board) to the local board where the training services will be provided.

**Accountability.** Accountability is an important part of the new system.

Section 136 of WIA (1998) specifies core measures of performance for employment and training activities in adult, dislocated worker and youth programs. These performance measures include five categories of data:

1. completion rates
2. the percentage of people who obtain employment
3. the wages at placement in employment
4. retention rates in employment
5. wages received six months after trainees' first day of employment.

These measures apply to states as well as local areas. They do not apply to customers who receive only self-service and informational services. There is a total of 15 core measures that apply to the adult, dislocated worker and youth programs and two measures of customer satisfaction for a total of 17 required measures.

The core performance measures are the key indicators of success in achieving the legislative goals of WIA. The outcome of these seventeen required measures is used to facilitate various accountability activities:
1. track and report on achievements of the workforce investment system;
2. set agreed upon performance goals on a state and local level;
3. ensure comparability of state performance results to maintain objectivity in measuring results for incentive and sanction determinations;
4. provide information for system-wide reporting and evaluation for program improvement.

As previously stated, to maintain eligibility as a training provider, performance information regarding each program participant must be submitted to the state.

The specific levels of performance in each state, for each of the core indicators, will be agreed upon between the Governor of each state and the U.S. Secretary of Labor. If a state fails to meet these performance measures for one year, they will receive technical assistance from the Secretary of Labor. If the state fails to reach standards for a second consecutive year, the Secretary may reduce the state’s allotment of funds under the law by up to five percent.

According to David Pierce, former President of the American Association of Community Colleges (1998), there are similar accountability measures established at the local level. The specifics of these measures are to be negotiated among the governor, local board and LEO. If a local area fails to meet performance levels for one year, it will receive technical assistance from the governor. If the local area fails to meet performance levels for a second
year, the governor must take corrective action. These actions can include: (1) the development of a reorganization plan through which the governor may appoint a new board; (2) a prohibition of the use of eligible providers and one-stop partners (identified as achieving a poor level of performance) or (3) other actions which the governor deems appropriate.

Institutions must also provide information on program costs, such as tuition and fees. The governor or local board also has the authority to request additional information. If colleges incur "extraordinary costs" in tracking individuals six months after they leave a training program or incur "extraordinary costs" because of a request for additional information by the governor or local board; the governor or local board must provide colleges access to cost-effective methods for the collection of that information or provide additional resources to the providers for the collection of the data (Pierce, 1998).

As for the two measures of customer satisfaction, according to a recent policy briefing paper posted on the US Workforce's website (1999), the US Department of Labor (USDOL) will use customer satisfaction surveys to determine the level of satisfaction. The survey approach is used to capture common customer satisfaction information, which can be aggregated and compared at a state and national level. This survey will be conducted by using a small set of three required questions that will form a customer satisfaction index. These questions can be found in Appendix D of this paper. The US Workforce website further announces that the DOL will use the American Customer
Satisfaction Index (ACSI), which they (DOL) claim is the most widely used satisfaction index currently in practice. It is noted that this index is used extensively in the business community, including over 30 Fortune 500 companies. Also, it is claimed that many European countries use the ACSI and that the Federal government is committed to using the ACSI with 30 of their agencies.

The ACSI is a single score created by combining scores from three specific questions that address different dimensions of customers’ experiences. For WIA application, there will be one score for each of the two customer groups: participants and employers. Participants are those who were registered for WIA Title I services as defined in Table 1: Adults, Dislocated Workers, Youth 19-21 or Youth 14-18 that have departed WIA-funded and non-WIA funded (One-Stop) partner services. The employers include those participating in on-the-job training, rapid response or labor exchange activities. Employers who only receive some information or are involved in self-service activities, only, will not be part of the required population to be surveyed.

In conclusion, the Workforce Investment Act is an ambitious law which favors a market oriented approach to educating and training the American workforce. The comprehensive changes in the economy of the 21st century brought about by factors, such as the global economy, technological advancements and the onset of the “information age”, demands that a revised workforce training plan be developed. This plan must meet both business and job
competitive and the job seeker looking for quality services” (p. 3). While it becomes increasingly important for everyone, it is especially critical that the non-college bound student or high-school dropout knows: What jobs are out there? What skills do these jobs require? Do they possess those skills? If not, where can they get them? Correspondingly, businesses need a fast, high quality, flexible system that can help them procure skilled workers. The Workforce Investment system is reviewed in Figure 1.

In the following Chapter, Chapter Three, the methodology employed to conduct this study is described. Here, the research methodology draws from the Prestructured Case Model (Miles & Huberman, 1994). The two-part Near Model was developed to (1) determine the viability of the study and then (2) develop the process for project implementation.
Figure 1. The Workforce Investment system encompasses all levels of government from the Federal to local communities. It establishes One-Stop Career centers as an access point for employment related and training services. Also, the local board certifies One-Stop Partners that assist in providing services.
CHAPTER THREE

Methodology

The purpose of this project is to analyze and interpret the requirements that the Workforce Investment Act (Public Law 105-220) imposes on state job training providers. A presentation of these requirements will be delivered to the managers of the Rochester Market of Bryant and Stratton Business School. Chapter Three details the methodology followed to conduct the study. The Research method employed in this study is the Prestructured Case Model (Miles & Huberman, 1994). The Prestructured Case Model begins with a case outline, which is developed before any data are collected. Therefore, the outline becomes a shell to be completed by the data. The data influences the emerging conclusion and the report draft.

Part 1 of the Two Part Near Model: Front End Analysis

In the Prestructured Case Model the initial step for the process begins with a precise research question, which defines the purpose of the project. Next, the two-part Near Model is employed to (1) determine the viability of the study and then (2) develop the process for project implementation. In part 1 of the Near Model, after the purpose is defined, exploration of the macro concept is initiated—a preliminary investigation that requires the first sampling plan. This preliminary investigation makes up the front end matter, which provides the input for decision making: (a) abandon the project or (b) continue through
process implementation. If the decision is to continue, then a shell outline is developed. This outline supports part 2 of the Near Model: project implementation. Its form (shell outline) is perfected by the requirements of the manuscript and questions generated as a result of the preliminary investigation (see figure 2 for visual clarification). The aim is to "drive the data collection by the anticipated product" (Miles, 1990). That is, the researcher, knowing what the case has to look like, collects the data needed to fill the shell.

Preliminary investigation—sample plan 1. Advance planning for the preliminary investigation is essential. Based on the research question, specific data samples are defined, such as: (1) key actors—people in coordinative positions; (2) key events—meetings where problem solving and coordination occur and (3) core processes—problems encountered, coping strategies as seen by a wide range of affected roles (Miles & Huberman, 1994, p 84). This preliminary investigation of the macro concept involved reading the Summary of Workforce Development Provisions of H.R. 1385, The Workforce Investment Act of 1998 (Doleta.wdsc, 1999) and conducting two informal interviews with key actors: (1) Kevin McCarthy, Associate Director of Bryant and Stratton to determine his interest in the topic and (2) Matthew Hurlbutt, Manager of Monroe County’s Department of Workforce Development to gather information regarding the implications that WIA holds for the local government and the existing training providers contracted under the current Job Training Partnership Act (JTPA). A list of nine questions emerged as a result of these preliminary investigative trials:
THE NEAR MODEL: PART 1

DEFINE PURPOSE

RESULTS OF:

1. RESEARCHERS' IDEA—GENERAL KNOWLEDGE OF TOPIC
2. KNOWN AUDIENCE WHO COULD BENEFIT FROM INFORMATION

EXPLORATION OF MACRO CONCEPT

PRELIMINARY INVESTIGATION:

1. INFORMAL INTERVIEWS WITH MEMBERS OF TARGET AUDIENCE AND LOCAL GOVERNMENT OFFICIALS
2. BASIC OVERVIEW OF TOPICS THROUGH READINGS OF A FEW DIFFERENT SOURCES

DECISION, DECISION, DECISION

NO/STOP YES/CONTINUE

FIVE REQUIRED PARTS FOR THE MANUSCRIPT

SUB-CATEGORIES FROM QUESTIONS GENERATED IN THE PRELIMINARY INVESTIGATION

FORM QUESTIONS FOR PROCESS INVESTIGATION

DEVELOP SHELL OUTLINE

PART 2: PROCESS IMPLEMENTATION

...
1. How does the Workforce Investment Act (WIA) alter the Federal government's role in job training, adult education and vocational rehabilitation—which current training programs are affected and what is the impact of the WIA on these programs?

2. What are the responsibilities of the state workforce investment boards and local workforce investment boards—which is the composition (membership profiles) of each of these boards and who are the actual participants for New York State's and Rochester's boards?

3. What types of services are offered through the one-stop system?

4. Who are the clients for these services?

5. Who can be a service provider?

6. What are the accountability measures under WIA?

7. How does WIA affect the Job Training Partnership Act?

8. Under this unified plan, what are the 14 current programs, which are eligible for inclusion? Does New York State have such a plan in place at this time and if so; how will it impact the Rochester community?

9. What are the time lines (Federal, state and local) which providers must meet to be funded when the Bill becomes official on July 1, 2000?

Ultimately, these questions became the topics for research and were added to the shell outline as sub-categories to the primary framework (shell outline).

**Shell outline.** After the preliminary investigation into the macro concept of the study, a shell outline was prepared (Figure 2), which began with the five
required parts for the manuscript: Introduction, Review of the Literature, Research Methodology, Report Findings and Conclusion. Next, the nine questions, which were generated from the preliminary investigation previously described, were considered. Headings for the sub-categories were generated from these questions and placed in the outline according to their fit, for example, part of question number eight asks “Does New York State have such a plan in place at this time and if so; how will it impact the Rochester Community?”; this question was assigned to Chapter Four (Findings) as a sub-category: B. Local Workforce Development Initiatives.

Part 2 of the two-part Near Model: Project Implementation

After the shell outline was in place, the second sampling plan was generated based on the nine research questions (which had evolved from the preliminary investigative trials) and the outline. This second sampling plan consisted of two distinct data collection techniques: (1) review of secondary documented sources and (2) interviews. Content analysis of these sources was then employed. As reported by Robert Weber (1985), when it comes to document selection for the purpose of content analysis, some studies make use of an entire population of documents. However, most do not. Sampling is employed for the sake of economy. Weber contends that for content analysis, three sampling populations exist: communication sources, documents and text within documents. Here, these sampling populations are defined in a hierarchical structure.
Implementation—sample plan 2. The first step in choosing a sample is to identify the universe from which the sample will be drawn. Communication sources represent the entire universe of possible choices of data sources. While it may appear that the two sampling populations (documents and text within documents) are samples (not populations) of the universe (communication sources), they are, in fact, populations unto themselves (Weber, 1985). Thus, for the purpose of this study, Weber’s model will be followed defining each of the two levels of selected documents as populations. This universe can include newspaper articles, position papers, authors and stakeholders who are involved with the topic or issue under consideration. A document of this universe represents a singular category of data, such as a position paper. The researcher may decide from the table of contents in the position paper that he/she are only interested in a certain chapter of the entire document, therefore, this subset (the chapter) represents the text within the document (refer to Figure 3).

After identifying the communication sources to be studied, Weber (1986) continues that the investigator may reduce the amount of text to be analyzed by sampling documents. When reviewing these samples (documents), whenever possible, the entire text should be analyzed. This method preserves the semantic coherence of texts as units. However, if sampling is required, then the investigator must take into account the structure of the text. For example, the introductory or closing sections might be excluded. If the researcher must sample text within documents, each sample should consist of one or more whole
Figure 3. Part 2 of the two part Near Model. The Near Model is used to (1) determine the viability of a study and then (2) develop the process for project implementation. Part 2 begins with a second sampling plan, which encompasses the entire universe of communication sources. Those populations, which can best provide the data to complete the shell outline are chosen. This step results in a body of relevant data to be coded according to its fit in the shell outline, where it is compared and contrasted with other data previously entered into the shell.
paragraphs to preserve some degree of semantic coherence. Sentences, according to Weber (1986) should not be sampled because analyzing sentences in isolation—even ones drawn from the same text—destroys semantic coherence, making validation and interpretation extremely difficult (pp 42-43).

This study collected data from the universal population of communication sources by narrowing the population to four categories represented by (1) websites established by the Federal and State Government to inform and explain WIA, (2) reports to the Governor’s office, (3) journal articles and (4) interviews:

Secondary documented sources. The first three of the population categories resulted in eight specific data sources:

1. Department of Labor websites (Federal and State)
2. Website established by the Federal Government as a gateway to information on the WIA (usworkforce.org)
3. New York Assembly web-site to follow the status of Bill A00366, which creates the State’s Workforce Development Commission responsible for policy development and provides for the commission’s powers and duties
4. Publications from the Unites States General Accounting Office regarding topics relevant to WIA
5. Reports to the Governor’s office from interested parties, such as the New York State Association of Training and Employment Professionals
6. Readings in the Federal Register regarding WIA
7. Articles from journals, such as the Monthly Labor Review
8. Articles from monographs, such as John Hopkins University’s Institute For Policy Studies

Interviews. The fourth category within the universal population of communication sources, interviews, were accomplished by telephone and in person. The target interviewees included individuals who are involved with writing, enforcing or allocating funds in regards to New York State’s compliance with WIA. They include Matthew Hurlbutt, Manager of Monroe County Workforce Development; Chris Wiest, Director of Human Resources for the Industrial Management Council (IMC) and who also is a steering committee participant of the Rochester Resource Alliance (RRA). Other participants include selected managers of the Rochester Market of Bryant and Stratton.

To ensure that the study sufficiently addressed concerns of the Bryant and Stratton management team, a list of eleven research questions were submitted to participants at Bryant and Stratton for approval and/or further suggestions. Research to answer these questions (which were also, incorporated in sections of the outline) provided additional data for completion of the manuscript and presentation:

1. Which of the current JTPA program/funding streams apply to your particular division (credit or noncredit)?
2. Who are your contacts at each of the programs that you have
designated in question one?

3. Which of these program contacts have discussed the Workforce
Investment Act (WIA) with you?

4. Which of these program contacts have offered guidance in procedural
changes brought about by the phasing out of their existing program?

5. What information have you received regarding any of the following:

✓ If students have not completed their programs of study by July
2000, will they still be funded past that date? If so, for how long
and at full-tuition?

✓ How will tuition fees be charged and collected for students who
enter programs within two or three months prior to the July 2000
deadline?

✓ Who will be handling concerns regarding activities (financial and
administrative) incurred prior to July 2000?

6. Have you been invited to any information sharing/planning sessions
sponsored by any city, county or state government agency?

7. Do you currently keep records on sponsored students in regards to any
of the following:

✓ Completion rates

✓ Time it takes a graduated student (sponsored by any of the funding
programs) to get a job using skills learned in the training program

✓ Starting salaries of graduated students

✓ Tracking of salaries of graduates at 3 month, 6 month and 12
month intervals
✓ Tracking of job retention of graduates at 3 month, 6 month and 12 month intervals.

8. As of February 1, 2000, how many students did you have enrolled in classes that were referrals from any of the programs listed in question one? These would be students enrolled in the Spring, 2000 semester (credit division) or cohort (non credit division) which was in session at February 1, 2000.

9. How many students, do you estimate, have been funded or are currently being funded by any of the programs listed in question one, for the period Fall of 1998 up to and including Fall of 1999?

10. How much tuition revenue, do you estimate, has been generated as a result of the answer to question nine? And how much from the answer to question eight? A range is a sufficient answer.

11. What particular questions and/or concerns do you have regarding the impact WIA will have on your division and/or the two campuses of the Bryant & Stratton Rochester Market?

Data collected during these interviews were analyzed through qualitative methods employed for interview research. The framework for the interview process was based on Mishler’s (1986) model of Research Interviewing: Context and Narrative. Here the interview survey research rests on three assumptions: (1) the interview of behavioral events is spoken of as “verbal behavior,” a “verbal exchange,” or “pattern of verbal interaction;” (2) the interview process is framed within the context of stimulus-response (question and answer); (3) the interview
situation is isolated from cultural and situational norms and frameworks of
meaning.

The Investigation

After establishing a precise set of research questions; designing a detailed
outline and organizing a second sampling plan (sampling plan 2); the next step
was to conduct the actual investigation. This process also followed the
Prestructured Case Model. At this stage (Miles and Huberman 1994), the various
forms of collected data are coded without being transformed into write-ups. The
researcher reviews this coded field-work and enters data directly into displays,
such as formatted templates (example: the outline). Then he/she writes
accompanying analytic text (conclusions) based on the displays. There will be
instances of missing or unclear data and of unanswered research questions.
These provide the targets for the next round of data collection. This procedure
is repeated until enough data is collected to sufficiently complete the
predetermined outline of topics or questions to be answered. “Thus the
processes of data collection, analysis, and report writing are collapsed into one
evolving procedure” (Miles & Huberman, 1994, p 85). Feedback from study
participants can be sought and incorporated along the way to verify and revise
preliminary conclusions.

Data analysis: content analysis method. Content analysis was employed
throughout this study, in each phase of parts 1 and 2 where required. All the
data collected from the previously described sources (secondary and interviews)
was coded or broken down into manageable categories on a variety of levels. Ultimately, these findings were used to complete the shell outline, which provided the framework for the manuscript.

Content analysis is, in essence, the research tool applied to dissect and categorize the data once it is collected. As defined by Robert Weber (1985) "Content analysis is a research methodology that utilizes a set of procedures to make valid inferences from text: these inferences are about the sender(s) of message, the message itself, or the audience of the message" (p 9). Compared with other data generating and analysis techniques, content analysis has several advantages. Two of these advantages are particularly significant to this study:

1. Communication is a central aspect of social interaction. Content analytic procedures operate directly upon text or transcripts of human communications (Weber, 1985).

2. Compared with techniques such as interviews, content analysis usually yields unobtrusive measures in which neither the sender nor the receiver of the message is aware that it is being analyzed. Hence, there is little danger that the act of measurement itself will act as a force for change that confounds the data (Webb et al., 1966).

Coding. In this study, all data was coded using the categories as stipulated in the initial outline. This process allowed all data, regardless of its source, to be compared and contrasted. As inferred by Brinberg and McGrath
(1982), if results from a number of studies agree, it suggests that the results are valid because they can be generalized from a variety of research situations. Also, a classification system serves as a data-reduction process by which the many words of texts are classified into much fewer content categories.

Specific steps are required in creating a coding scheme. The first step is to define the recording units, which are the basic unit of text to be classified. Weber (1986) identifies six common options:

1. Word—code each word
2. Word Sense—code different senses of words with multiple meanings and code phrases that constitute a semantic unit (e.g. “taken for granted”)
3. Sentence—when investigator is interested in words of phrases that occur together
4. Theme—labor intensive, but leads to much detailed and sophisticated comparisons
5. Paragraph—feasible when resources for human coding are limited
6. Whole Text—difficult to achieve high reliability.

For the most part, the coding scheme option used in this study was theme. Here, the theme used in coding was in response to one question “where did the data fit in the outline.” After this first step (define the recording units), the next seven steps (step 2—step 8) (Weber, 1986) can be accomplished:
Step 2-define the categories, which range between narrow or broad
Step 3-test coding on sample of text
Step 4-assess accuracy or reliability
Step 5-revise coding rules
Step 6-return to step three
Step 7-code all the text
Step 8-assess achieved reliability or accuracy

This concludes Chapter Three, which presented the methodology followed to conduct the study. This complex process was described in a two-part model: Front-end Analysis and Process Implementation. Data collection techniques were detailed and analysis methods defined. Chapter Four presents the results of the study.
CHAPTER FOUR

Findings:

New York State's Workforce Development System

As Of February 2000

The Federal Workforce Investment Act (WIA) of 1998 represents the first major reform of the Nation's job training system in over 15 years. According to the US Secretary of Labor, Alexis Herman (1998) "the enactment of the WIA provides unprecedented opportunity for major reforms that will result in a reinvigorated, integrated workforce investment system...States and local communities should seize this historic opportunity by thinking expansively and designing a customer-focused, comprehensive delivery system" (p. 3). The Secretary further envisions strong, business-led local boards, which can contribute fresh thinking about the labor market and its needs—as well as about quality and continuous improvement—in a way that earns sustained support from local business leaders.

Intergovernmental partnerships between all three levels of government—Federal, state and local—will also be critical to successfully build and implement this new workforce system. The local level is key for policy and administrative decisions. It is where customers access services and where the design for the new One-stop system and the consumer driven training system will be implemented. The local workforce investment boards will have important roles in
the new system, such as the development of a five-year local plan, the identification of eligible providers of training services and the coordination of activities across programs. Through the local plan, the operation of the workforce investment system can be tailored to meet local needs (Herman, 1998; McGowan & Mills, 1999; USWorkforce, 2000).

This chapter will discuss the progress that New York State and the Local Workforce System have made towards compliance with the Federal WIA. It is a work in progress at all levels.

**The State Workforce Development Commission**

Although states are not required to fully implement all of the requirements of the Act until July 1, 2000, the US Department of Labor (USDOL) has encouraged states to implement early. The process to win passage of a bill is often a lengthy pursuit. New York State Bill S00003B is one such example: On January 6, 1999, New York State Bill S00003B was reintroduced to the State Senate during the 1999-2000 regular session. The Senate referred the Bill to the Finance Committee, which forwarded it on to numerous other committees. Eventually, the Bill was sent to the Assembly where it was passed (149:000) on August 3, 1999. After passage in the Assembly, finally, the Bill was returned to the Senate for a final vote and then on to the Governor for his final approval and on January 6th it became law. This Bill (NYS-S00003B) enacted the “Jobs two thousand for New York State Act” (J2K Act or Jobs2K Act). Sections three
through six of this act are known as the "New York State Workforce Investment and Strategic Training Alliance Program Act of 1999."

The J2K Act establishes the New York State Workforce Investment Board (NYSWIB) within the New York State Department of Labor (NYSDOL) to assist the Governor in fulfilling the requirements of WIA (1998). The State Board is composed of a business majority of 41 members, ten of which are permanent members: the Governor; two members of the senate; two members of the assembly; the Commissioners of Labor, Education, Children and Family Services, and Economic Development; and the Chancellor of the State University of New York. The Bill requires the appointment of four advisory councils (Youth council, Incumbent Worker council, Transition Worker council and Registered Apprenticeship council) to offer expert advice and recommendations to the board. The NYSWIB’s primary responsibility is the development of a comprehensive, coordinated, integrated and unified state plan for workforce development. The Board will also review plans of all state agencies who provide employment, training and literacy related services. They (NYSWIB) will establish statewide quality criteria for skill and customer satisfaction outcomes to guide Local Workforce Development Partnerships (NY State Assembly, 1999; Calendar of Bills, 1999; Bill S00003 Text, 1999; McGowan & Mills, 1999.) Exhibit 2 depicts the formal structure of the NYSWDS as previously described.
Figure 4. New York’s Workforce Development System’s Formal Governance—composed of a business majority of 41 members and four permanent advisory councils.

Local Workforce Development Initiatives

On December 24, 1999, the New York State Department of Labor (NYSDOL) issued Workforce Delivery System Technical Advisory 62-99 to provide planning guidelines for the Comprehensive Five Year Local Plan under Title I of the WIA. In New York State, with WIA implementation scheduled for July 1, 2000, these Local Plans are for the period 7/1/00 through 6/30/05 and are due to the NYSDOL by February 28, 2000.

This deadline was met by The Local Workforce Investment Area, which was created by the merger of the City of Rochester and the Monroe County individual workforce development divisions. This merger is a unique job training effort agreed to by Monroe County Executive, Jack Doyle, and Rochester's
Mayor, William Johnson, Jr. According to James Dillon, executive deputy commissioner at the NYSDOL, “Monroe County’s collaborative approach to the workforce training problem is unique in New York State” (Capato, 1999).

The administration of this local plan is also a nontraditional endeavor, in that neither the city nor the county will take on the administrative tasks. A non-profit corporation created by two agencies that represent local business interests—The Greater Rochester Metro Chamber of Commerce and The Industrial Management Council (IMC)—will perform the administrative duties. This corporation was formed in November, 1999, and named: The Rochester Resource Alliance Inc. (RRA). The concept for the creation of the RRA was first envisioned over a year ago. Matthew Hurlbutt, manager of the County’s Workforce Development Division said in a November, 1999, Democrat and Chronicle article:

A year ago, Doyle and Johnson convened a committee, which included business and government leaders, to look at how the Rochester region would conform to the Federal WIA. The committee recommended letting the private sector become more actively involved in running workforce programs, which serve roughly 10,000 people annually. The committee concluded that the county and city could save on administrative costs by combining their workforce development services. That savings, along with an increase in federal training dollars under the WIA, would mean more money for worker training. (Section A, pp.1, 12)
Jack Doyle vowed in the same article to inject about $4 million in Welfare-to-Work training dollars into this new workforce development endeavor.

To recap this arrangement: Monroe County and the City of Rochester have combined their existing Workforce Development divisions into a Unified Local Workforce Investment Area. Since the Local Workforce Investment Board has not yet been established, a steering committee with representatives from both the County and the City, has written and submitted to Margaret Moore, Director of the Workforce Development and Training Division of the NYSDOL, the Comprehensive Five Year Local Plan. Public notice of the completion of a draft Plan was announced in the February 2, 2000, Democrat and Chronicle. This document can be downloaded from the County’s website at http://www.co.monroe.ny.us. The administrative responsibilities of the Local Board will be handled by the Rochester Resource Alliance (RRA), a nonprofit corporation formed by the Chamber of Commerce and the Industrial Management Council.

Excerpts From the Drafted Local Plan

New York State has articulated its vision for the workforce development system and strategic goals in several informational documents, which are referenced in this paper. A summary of the state’s vision may be found on the Workforce Development System website at http://www.wdsnys.org. As for the local vision, it is stated on page two of the drafted Local Plan:
This plan expands on the best elements of the State plan. It aggressively seeks to involve employers in the workplace development system. It eliminates duplication of services. It focuses on the quality of services provided...it seeks long-term expansion of the local workforce for the benefit of employers and job seekers...it expands hard-to-serve population by involving all of the community in an integrated, community-wide job training and placement campaign.

Local area governance. The workforce investment system will adapt to the changing needs and conditions of the local economy through a strong leadership role from the Monroe County Executive and Mayor of Rochester, referred to as the Chief Local Elected Officials (CLEO). An agreement between the City of Rochester and Monroe County has outlined the roles and responsibilities assigned to each of these CLEOs under the WIA. An example of this collaboration is that Monroe County will act as the Grant Recipient for WIA funds. Supporting the CLEOs’ role will be a Workforce Investment Board (WIB) that is strategic and results orientated. Continuous improvement will be fostered through enhanced accountability systems and quality principles established by the WIB (Section I. A-1).

The Monroe County Executive and the Mayor of Rochester will jointly appoint the Monroe County WIB. In addition, the Mayor and County Executive will be Ex-Officio members of the WIB and will remain very active in the activities of the WIB, participating in the WIB meetings and processes (Section II. A-1).
The CLEOs have begun to solicit and select members for the Board. They (CLEOs) have contacted and received input from several organizations regarding who should be included to the Local Board. Some of these organizations are Council of Agency Executives, Greater Rochester Metro Chamber of Commerce, Rochester Tooling and Machining Association, Industrial Management Council, Rochester Educational Opportunity Center, Board of Cooperative Educational Services and the Out of School Youth Planning Committee (Section II. A-1). Once the Board has been appointed and functioning, they will review and make revisions as necessary to the initial Plan, which was submitted by the Steering Committee in February 2000.

Additionally, once the Board has been formed, it will be under the administrative control of the business community through the Rochester Resource Alliance (RRA). As previously described, the RRA is a nonprofit corporation operated by the Greater Rochester Metro Chamber of Commerce and the Industrial Management Council. These two organizations represent over 4,200 local companies. It is anticipated that this unique partnership will establish excellent linkages between workforce and economic development. The County (WIA Grant Recipient) will have a contract with the RRA for administration of the WIA, the Balanced Budget Act of 1997 (Welfare-to-Work Block Grant), Personal Responsibility and Work Opportunity Reconciliation Act of 1996 and New York State Welfare Reform Act. The administration of the WIA includes staffing the local WIB, facilitating Board meetings and initiating the tasks necessary to
develop a local plan and the implementation of programs under the direction of
the local WIB. The WIB will work with its staff at the RRA to solicit grants and
other donations that increase funding for services to all job seekers and
businesses and the Board will also direct the disbursement of funds through the
RRA. Regular performance reports will be provided by the RRA to the Board in
order to provide program oversight for youth activities, employment and training
activities in accordance with Section 134 of the WIA and the One Stop delivery
system. (M. Hurlbut, personal communication, July 7, 1999 and December 3,

Youth council. The Monroe County Youth Council will be appointed jointly
by the County Executive and the Rochester Mayor in the same manner as the
local WIB. Several members of the WIB will also serve as Youth Council
members in order to ensure coordination and proper communication between
the WIB and Youth Council. The RRA will provide staff to the Youth Council and
coordinate services with local agencies on behalf of the WIB and Youth Council.
The Youth Council will develop a request for proposal (RFP) for services to youth
throughout the One Stop system. The Youth Council will approve service
providers through this RFP process. Also, they (Council) will monitor
performance and take corrective action with service providers through its staff,
the RRA and with the support of the WIB and CLEOs. The RRA will provide
regular performance reports to the Youth Council so that they (Council) can
adequately monitor the service providers. (Section II.)
The Youth Council will research local economic, demographic and labor market information, to determine the needs of the youth population. They will also research existing local programs and forward the information to the WIB. The Board will subsequently establish a rating/evaluation system to identify successful providers of youth activities. Additionally, USDOL criteria (when finalized) will be used in awarding grants for youth activities. Special attention will be given to existing, successful partnerships and collaborations. Given current estimates, the following enrollments are planned for Monroe County:

- Summer---630 participants
- In School---100 participants
- Out-of-school---230 participants (Section III. B-4).

Local One-stop system. Monroe County and the City of Rochester have worked with a variety of system partners to obtain One-stop Demonstration and Implementation Grants from the NYSDOL. These projects were written under the guidance of the local Workforce Development Steering Committee to facilitate system integration and build a prototypical One-stop Career Center. Workforce system partners, as mandated by WIA, have met to take initial steps in system design and have discussed system operations. Additional partners, such as the Department of Social Services, the Chamber of Commerce and the Industrial Management Council have also been involved in these system-building discussions. It is anticipated that partners will be able to provide core, intensive and training services (Table 1) at the Local One-Stop Career Center or through
affiliation with the Center. It is possible that the local technology network will allow services to be provided at remote locations while achieving service integration. This technology network will allow front line staff to share program and customer information in order to integrate services and provide the support necessary to solve employment dilemmas for any job seeker. Various services to customers will be provided by partner agencies and billed to the appropriate funding source. The WIB will guide the strategic design of these relationships as the system progresses (Section III. A-1).

The One-Stop Operator was chosen through a consortium building process. The City of Rochester, County of Monroe and New York State Department of Labor have agreed to provide the required services at Monroe Community College’s Damon City Campus. This was a recommendation of the Workforce Development Steering Committee, which was supported by the Mayor and County Executive. Early system building activities focused on current system partners already providing services at this location and the ability to enhance the facility. It is anticipated that the WIB through a request for proposal (RFP) process will certify additional One-Stop Career Centers and “franchise partners.” These “franchise partners” will provide services required under the WIA without being a full service center. These One-Stop partners have yet to be determined by the Board (Section III. A-2).

Intensive services for those unable to secure employment through core services, such as: comprehensive and specialized assessments of skill levels;
development of an individual employment plan; group counseling; internships; work experience; individual counseling and career planning; case management and short-term prevocational services will be provided through several One-Stop partners. The local WIB will use a RFP process to establish an eligible provider for the training list. The decision to include individual providers is exclusively that of the Local Board. The provider list will be maintained and made available to the public through the One-stop system (Section III. A-5).

Also, noted in Section III. A-5 of the draft for the Monroe County Local Workforce Investment Area Plan is a list of services that may be made available through the One-Stop system:

- information on the labor market and career options
- information about education and training programs
- information on program eligibility and financial aid opportunities
- basic assessment of customer skills and interest
- career development plan
- case management services
- identification of job openings/labor exchange
- job search assistance
- customized services to selected groups, including veterans, persons with disabilities and older workers
- connection to worker profiling
- connection to school-to-work transitions
- referral to apprenticeship programs
- in-depth assessment, testing and career counseling
- candidate recruitment and screening
- job task analysis
- out-placement services.

Access to the One-stop system. Technology is a critical underpinning for this new Workforce Development System. It is a tool to provide better access for the customer, a tool to keep information up-to-date and accurate and a tool for continuous improvement. The NYSDOL has selected the One-stop Operating System (OSOS) as its case management/management information system for all WIA programs. The OSOS, developed by America’s Job Bank under a grant from the USDOL, will produce all the required WIA reports. It will be fully integrated with the Workforce Investment Network System (WINS).

Most local areas of New York State have selected the OSOS as the labor exchange, case management, decision support and reporting system they will use under the WIA. Connection to the OSOS will be made utilizing the New York State Network (wdsyn Technical Advisory 00-3, 2000).

The Human Services Application Service Center (HSASC) will maintain the system’s control services while the NYDOL will maintain the system’s security that is built into the OSOS software. America’s Job Bank Service Center will provide the OSOS core software, the linkage to America’s Career Kit and updates
and enhancements as directed by the Consortium of States. Other OSOS responsibilities will be the responsibility of local users. For example, local areas will maintain the appropriate configured PCs and LANs for Tier 1 client access and will maintain Internet Explorer 5.0 software on each local computer (wdsyn Technical Advisory 00-5, 2000).

Other initiatives which will heighten access to the One-Stop System are noted in Section III. A3 of the Local Plan:

- outstationing and cross training of staff
- system partners will utilize the NYSDOL One-Stop Operating System in order to share program and service information for customers
- kiosks will be provided in public places to allow the general public to obtain service information at their leisure
- front line staff will be trained to better understand partner programs and services in order to provide core services to any job seeker.

**Customer Service Strategy**

McGowan and Mill (1999) report that the essence of the marketing concept was described as demand side controlled, serving the needs of all users--employers and job seekers--whether they be those not yet in the workforce (emerging workers and the youth population); those employed at all salary levels, both full-time and part-time who need to continue to learn so that their skill levels change to satisfy job requirements; those wanting to transition to a new career (current or incumbent workers) and those not productively engaged
in the workforce who may be unemployed, marginally employed or receiving public assistance (transitional workers) (p 3).

Other segments of the local population that may also be considered customers of the workforce investment system include low income individuals not on public assistance, women, minorities, individuals training for non-traditional employment, veterans and individuals with multiple barriers to employment (Section I. C-4).

Tables 2 and 3 describe some of the processes that the Local Plan suggests in addressing specific needs of various categories of customers. The Local Board will involve the community in discussions to ensure broad input in establishing the processes profiled in the tables. Communications between constituency will be facilitated by use of newspapers, editorial boards, radio and television talk shows and speeches or panels at community organization events.

The Local Board will use customer feedback to determine which services of the One-Stop are benefiting customers and which services should be modified to enhance customer satisfaction. The Board will solicit customer feedback through its “Community Connect” initiative. “Community Connect” includes the following five features:

1. a web-based, public forum for workers and employers to share and post their experiences in dealing with the new system

2. the One-Stop will publish a monthly on-line newsletter to inform the community WIA initiatives and provide news and updates about
any local developments related to the WIA—access is possible through the world wide web or through libraries and kiosks located at malls

3. monthly printed version of on-line materials will be distributed throughout the community

4. a guarantee by the Local Board that accessibility to “Community Connect” can be made from a minimum of 100 local locations that are free and open to the public

5. RRA will design and post surveys for community input, design discussion forums and bulletin boards for public discussions and coordinate monthly chats with government leaders, CBO managers and providers of services (Section I. E).

In conclusion, this chapter reviewed the status of the New York State and the Local Workforce System (Monroe County and city of Rochester) as of February 2000. At the local level, it has been a cumbersome, slow process. Both the Federal and state advisories regarding WIA implementation have been overlapping and often incomplete. The last day to submit state plans is April 1, 2000, with implementation required by July 1, 2000. As demonstrated by numerous sources in this paper, much work has been done to meet the mandates outlined in the Federal Workforce Investment Act of 1998. It appears that these last few months preceding the July 1st deadline will be equally demanding.
5. Provision of Services—since WIA requires the use of individual training accounts, clustering groups of clients or students will not be the delivery method, as it was under the Job Training Partnership Act, therefore, develop an understanding of how individual training accounts will work at the local level. Be knowledgeable about the WIA three-tiered services (core, intensive and training services) that the local workforce board and one-stop center must offer. Instructional and student service units should be ready to provide services and training which compliment the three-tier services of WIA and providers should advance the position to state and local boards that the guidelines for the local one-stop delivery system recognize that literacy and occupational skills training may be necessary to achieve stable and well paying jobs. Providers should make early contact with the local workforce investment boards to negotiate memos of understanding (MOUs) specifying the details of their relationships with the one-stops.

6. Services to Youth---providers interested in participating in local youth programs should seek to become members of the local youth councils or maintain close liaison with the councils, since the councils will develop the youth components of local plans and recommend the providers of youth services.

For businesses of any nation to be successful, the quality and skills of their employees is fundamental. With technology and markets changing at an
accelerated pace, job seekers who arrive unprepared for a high performance workplace or fall behind the skills curve face an uncertain future.

WIA has provided the Nation with a vision for change in the way employment and training services will be delivered, creating a new governance structure consisting of state and local workforce investment boards, a streamlined One-Stop Delivery system and the replacement of local training contracts with Individual Training Accounts/vouchers. For this vision to be carried forward, an ongoing dialogue is needed. To bring policies together in a meaningful and strategic way, business leaders will need to collaborate to articulate their needs, legislators will need to cooperate to shape responsive policies and both will need to communicate, listen and respond to the needs of each other if the potential of their constituents is to be developed.
References


Rochester/Monroe County Workforce Development Steering Committee. (2000, February). Planning Guidelines for the comprehensive five-year local plan under Title I of the WIA of 1998 (Document submitted to Margaret M. Moree, Director of Workforce Development and Training Division of New York State Department of Labor on behalf of the Monroe County Local Workforce Investment Area). Retrieved March 10, 2000 on the World Wide Web: http://www.co.monroe.ny.us


Appendix A

Glossary of Words and Terms

<table>
<thead>
<tr>
<th>Word/Term</th>
<th>Abbreviation</th>
<th>Comment</th>
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<tbody>
<tr>
<td>American Association of Community Colleges</td>
<td>AACC</td>
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<tr>
<td>American Customer Satisfaction Index</td>
<td>ACSI</td>
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<tr>
<td>Adult Education &amp; Family Literacy Act</td>
<td>AEFLA</td>
<td></td>
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<tr>
<td>Community Based Organization</td>
<td>CBO</td>
<td>For example—organizations representing individuals with disabilities and veterans</td>
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<tr>
<td>Department of Labor, Training &amp; Workforce Development</td>
<td>DOLTWD</td>
<td></td>
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<tr>
<td>Chief Local Elected Official(s)</td>
<td>CLEO/CLEOs</td>
<td>Appoints a local workforce investment board</td>
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<tr>
<td>Employment Services</td>
<td>ES</td>
<td></td>
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<tr>
<td>Federal Employment &amp; Training Administration</td>
<td>FETA</td>
<td></td>
</tr>
<tr>
<td>Human Services Application Service Center</td>
<td>HSASC</td>
<td></td>
</tr>
<tr>
<td>Individual Training Account</td>
<td>ITA</td>
<td>Works like a voucher system—pays for training services</td>
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<tr>
<td>Industrial Management Council</td>
<td>IMC</td>
<td></td>
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<td>Job Training Partnership Act</td>
<td>JTPA</td>
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<tr>
<td><strong>Word/Term</strong></td>
<td><strong>Abbreviation</strong></td>
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<tr>
<td>Jobs Two-thousand for New York State Act (Bill No. S00003)</td>
<td>Jobs 2K Act J2K Act</td>
<td>State legislation which creates the state workforce investment board within the department of labor to assist the Governor in fulfilling the Federal WIA</td>
</tr>
<tr>
<td>Local Elected Official</td>
<td>LEO</td>
<td></td>
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<tr>
<td>Labor Market Information</td>
<td>LMI</td>
<td>Statewide employment statistics, information on availability of jobs, wages &amp; skills sought</td>
</tr>
<tr>
<td>Memo of Understanding</td>
<td>MOU</td>
<td>Defines the terms of each One-Stop Partner’s participation in the One-Stop System—developed by the local WIB and the CLEOs</td>
</tr>
<tr>
<td>New York Association of Training &amp; Employment Professionals</td>
<td>NYATEP</td>
<td></td>
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<tr>
<td>New York Department of Labor</td>
<td>NYDOL</td>
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<tr>
<td>New York State Network</td>
<td>NYT</td>
<td></td>
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<tr>
<td>New York Workforce Investment Board</td>
<td>NYWIB</td>
<td></td>
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<tr>
<td>One-Stop Center</td>
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<td>A physical location or facility that makes a wide range of the system’s products &amp; services available at a single site</td>
</tr>
<tr>
<td>One-Stop Operator</td>
<td></td>
<td>Local WIB designates one or more One-Stop operators to manage the system’s One-Stop Center(s)</td>
</tr>
<tr>
<td><strong>Word/Term</strong></td>
<td><strong>Abbreviation</strong></td>
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<tr>
<td>One-Stop Partner</td>
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<td>A local entity that is responsible for one or more workforce development programs designated and required components of the One-Stop Center (i.e. Unemployment Insurance; BOCES; Community Colleges)</td>
</tr>
<tr>
<td>a. Required by law</td>
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<tr>
<td>b. Optional--Local areas may designate additional partners as needed</td>
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<td></td>
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<tr>
<td>One-Stop System</td>
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<td>Overall mechanism by which workforce development services, which meet business &amp; job seekers needs, are delivered</td>
</tr>
<tr>
<td>One-Stop Operating System</td>
<td>OSOS</td>
<td>Technology which links One-Stops with all other partners and state reporting &amp; information systems/ a computer based interactive management system</td>
</tr>
<tr>
<td>Private Industry Council</td>
<td>PIC</td>
<td>Business led organizations that carried out Federally funded programs under the old legislation-JTPA</td>
</tr>
<tr>
<td>Rochester Resource Alliance</td>
<td>RRA</td>
<td>Nonprofit corporation developed by IMC and the Chamber of Commerce to do the administrative work of the local WIB</td>
</tr>
<tr>
<td>Service Delivery Areas</td>
<td>SDA</td>
<td>Agencies established under former programs such as JTPA to administer local services</td>
</tr>
<tr>
<td>State Education Department</td>
<td>SED</td>
<td></td>
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<tr>
<td>Unemployment Insurance</td>
<td>UI</td>
<td></td>
</tr>
<tr>
<td>US Department of Labor</td>
<td>USDOL</td>
<td>State 5 year plan submitted to USDOL by governors</td>
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<tr>
<td>Word/Term</td>
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<tr>
<td>Workforce Investment Act</td>
<td>WIA and also The Act</td>
<td>Latest Federal Workforce Development Legislation, which replaces the JTPA, to be fully implemented by 7/1/2000 by all states</td>
</tr>
<tr>
<td>Workforce Investment Boards</td>
<td>WIB</td>
<td>Charged with setting policy, planning &amp; overseeing the operations of the workforce investment system</td>
</tr>
<tr>
<td>Workforce Investment Network System</td>
<td>WINS</td>
<td>Technology (computer system) to integrate, on-line, all state workforce systems between each other and the Federal workforce system</td>
</tr>
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</table>
CHAPTER FIVE

Conclusion

This study was conducted to analyze and interpret the requirements assigned to local training providers under the Workforce Investment Act (WIA). In Chapter One the importance of this undertaking was established, especially for the post-secondary training provider. Therefore, it is inferred that WIA will have a major impact on Bryant and Stratton, an associate degree granting business school. Bryant and Stratton is a training provider under the existing workforce training laws in both their degree granting division and noncredit (certificate) programs. Some of the current program/funding streams, which are directly affected by the WIA legislation, provide trainee referrals and consequently provide a source of revenue for the school. Therefore, a loss of training provider status would be detrimental to the school.

Under WIA (often referred to as the "historical job training reform bill") the consequences of the changes to the current system are far reaching. They are discussed in Chapter Two and Chapter Four. Chapter Three established the research methodology, which includes a description of the sampling plan and a review of the components of content analysis.

Chapter Five concludes the manuscript. It offers a two-part conclusion. First, a summary which addresses some of the benefits and challenges resulting
from this legislation are noted. Second, some recommendations for next steps are suggested.

Summary

For more than 50 years, the Federal government has invested considerable effort and resources to help people find productive employment. The result today is 163 Federal programs scattered across 15 Federal agencies providing employment training assistance (Crawford, p 1). Despite spending billions of dollars each year, most Federal agencies do not know if their programs are really helping people find jobs. The Workforce Investment Act is meant to consolidate the array of 60 to 70 Federal job programs. Currently, these programs focus separately on job training, employment services, unemployment insurance, jobs for out-of-school youth and vocational rehabilitation to the disabled. Under WIA, these programs will be turned into three block grants, which the states and local governments can spend with greater freedom than before. Another change is the establishment of a system of vouchers for low-income wage earners to use in securing their own job training in the private sector, instead of taking the traditional government-run classes.

The new workforce system means to help not only welfare recipients trying to enter the mainstream workforce, but also, to help a much broader audience as well. It also tries to link training to real job openings by involving employers in running the programs. The new state boards and local workforce boards must consist of at least 51 percent representation from the business
sector; unlike the old state councils under JTPA that had to include only 30 percent business representation. Additionally, the chairperson of the local workforce investment board must be from the business sector.

Each local area is to establish a one-stop delivery system through which core employment-related services are provided and through which access is provided to other employment and training services funded under this title and other Federal programs. The programs providing services through the one-stop system are referred to as one-stop partners. The local board, with the agreement of the local elected official(s), develops and enters into a memorandum of understanding with one-stop partners, designates one-stop service center operators and conducts oversight of the partners and centers.

The Act establishes a performance accountability system to assess the effectiveness of state and local areas in continuously improving workforce investment activities and to optimize the return on the investment of Federal taxpayer dollars in such activities. States are to prepare and submit to the Secretary of Labor annual reports on progress in achieving state and local area performance measures.

As major providers of employment and training services, post-secondary training providers have an important stake in the new workforce investment system. The following section discusses some of the benefits and challenges that WIA poses for these training providers.
Benefits. The following list presents ten benefits which training providers can realize under WIA:

1. Share accountability/common terms and definitions—in the past it was impossible to compare the success of various key stakeholders in the workforce development system. Definitions of success were unique to each of the reporting entities; the new system requires common definitions and a coordinated performance accountability framework across labor, adult education, vocational education and vocational rehabilitation programs.

2. More rigorous and systematic measurement of program outcomes are called for under Titles I and II—those providers offering the best services will get their due credit and those providers performing below standard will be exposed.

3. Provides for substantial funding for exemplary programs on behalf of out-of-school and at risk youth and young adults—an opportunity for those providers who have the ability and resources to design top-notch youth programs.

4. The dislocated worker program and services to adults has been retained as a separate funding stream—post-secondary training providers have been major players under these initial JTPA programs and can continue their appointment, if they are in good standing and abide by the new guidelines.
5. Contracting for training at the local level will be replaced with individual training accounts (ITAs)—for providers of high-quality training services, vouchers can be an advantage. These providers will now be able to market their services directly to the consumers of these services.

6. WIA establishes requirements that a training provider must meet in order to be eligible to receive adult or dislocated worker training funds—virtually any post-secondary training provider will automatically qualify for initial eligibility if the institution is certified under the Higher Education Act and providing programs leading to a two or four-year degree or certificates.

7. Community colleges are guaranteed at least one seat on the state workforce investment board.

8. The local workforce investment board must include representatives of education providers, one-stop partners (programs participating in the one-stop system) and providers of adult education and literacy services—establishes representation of these interests.

9. The local boards will be business oriented, offering post-secondary educators the opportunity to build upon their connections with the local business community in order to develop close working relationships with business representatives on the boards.
10. Community colleges are specifically authorized under WIA to serve as one-stop operators—offers the opportunity to play a pivotal role in the operation of the local workforce investment system.

**Challenges.** WIA may be the right idea at the right time, but it does have its skeptics. For example, Garth Mangum and associates at the Sar Levitan Center for Social Policy Studies proclaim that “Unfortunately, from the viewpoint of the long history of employment and training programs, some of WIA’s current weaknesses offset its strengths” (p 8). Nine potential shortcomings of the Act are listed:

1. Paradoxically, despite its Workforce Investment title, WIA emphasizes immediate placement of adults in jobs consistent with existing skills and suggests that job training is to be a service of last resort for the most difficult to employ. Its strong “work first” commitment makes training a last resort.

2. WIA training services are to be available only to those unable to obtain other grant assistance for such services—for example, Federal Pell Grants. Therefore, WIA is also last resort among alternative sources of financial support for training services.

3. Training under WIA is to be provided through individual training accounts. How will individuals who could not obtain even an unskilled and low paying job manage to make decisions regarding which occupations to prepare for and then to assess if they have the
necessary education and skill backgrounds to enroll in and successfully complete such advanced training? Can the budget support enough counselors to provide services to these job seekers and what sort of outreach programs will attract this clientele?

4. How to justify the training of incumbent workers with funds from an Act restricting training to those unable to obtain or retain employment?

5. Advocating the preparation of disadvantaged and dislocated workers for employment in higher level occupations incurs the substantial risk of promoting the selection of only those trainees who have demographic and personal attributes more like the current incumbents of those occupations, thus screening out the less literate members of the eligible population.

6. With the potential demand for core, intensive and training services posed by the youth population, welfare reform, immigration and other workforce challenges cited in this paper, will the appropriations for WIA support the services needed?

7. The replacement of training contracts with individual training vouchers will pose problems with planning because of the unpredictability of the number of participants who will receive vouchers and which training provider will these voucher-holders choose?

8. WIA mandates that representatives of business must dominate the local boards that run the one-stop centers. How employers fulfill this
mandate and their attitude toward the workforce system will
determine the success or failure of the one-stop centers.

9. WIA mandates a large number of board members at both the state
   and local levels. When coupled with the requirement that 51 percent
   must be business, the potential for these boards to be very large is
   amplified. Research (Miller, 1996, p 14) seems to indicate that 20 is a
   good size for a highly functioning board. These numbers will be much
greater than that. This will cause problems and may pose a great risk
for loss of membership, especially in the start-up phase.

Next Steps

Reengineering the workforce development system for the nation will
require the concentrated efforts of many state and local partners. The
legislature, local government, employers and many others, will have strong and
important roles to make it succeed. Many separate systems, such as job
training, education and economic development, must begin to take a new view
of themselves and how they fit into the new workforce development system. To
reiterate a statement in A Report to Governor Pataki, "New partnerships must be
forged in which the economic prosperity of the State and its citizens is achieved”
(McGowan and Mills, 1999).

This list presents six “next steps” that post-secondary training providers,
such as Bryant and Stratton, should consider to better position themselves as
key players in the local workforce system:
1. Becoming an approved provider—write to the local board requesting designation as a provider for the first year of the program (under WIA first year of implementation if current provider in good standing can qualify without providing performance information).

2. Performance requirements—develop a budget system to maintain the performance and cost information required by WIA; work with local workforce board to obtain assistance in establishing cost-effective data collection methods, such as use of unemployment insurance wage records to track post-training employment and wages and influence local board decisions regarding performance criteria the board may require in addition to requirements in the law.

3. Marketing—create an action plan for marketing the institute’s services to the local workforce board and to the one-stop career centers established by WIA and create a methodology to inform students, staff/faculty and the community about the link between the institute and the local One-stop center.

4. Financial Aid—develop procedures with One-stop centers or local workforce boards to ensure that potential students referred for training have applied for Pell Grant assistance. Potential students must apply for Pell Grants before individual training accounts dollars can be applied to educational costs.
Table A1

The Local Workforce Plan Addresses Employers' Concerns

<table>
<thead>
<tr>
<th>SPECIFIC CONCERN</th>
<th>ACTION PLAN</th>
</tr>
</thead>
</table>
| 1. How will the Board ensure the availability of a workforce which possess the skills necessary to get the job done? | ✓ RRA will regularly solicit input from the business community by conducting a needs assessment utilizing surveys and focus groups
✓ Information obtained from needs assessment will help guide the development of local WIA programs specifically targeted to meet employers' needs |
| 2. How will the Local Workforce Investment system keep up with the changing skill demands as the greater Rochester area continues to transition from a manufacturing based economy to a high tech and service based economy? | ✓ Comprehensive skills inventory will be developed (see answer #1) and shared with job seekers and training providers
✓ The One-Stop will provide information on "hot jobs" in the community, including skill set requirements and current and/or anticipated openings at local employers |
| 3. How will the Local Board engage employers in the One-Stop system?             | ✓ The Local WIB through RRA will engage the business community in the activities of the One-Stop system by regularly seeking their input, involving them in program development whenever possible and demonstrating to them the value of participation in the system
✓ The IMC and Chamber of Commerce will highlight One-Stop activities in their newsletters, forums and member meetings (reaching 4,200 greater Rochester employers)
✓ The Presidents of IMC and Chamber will actively solicit employer involvement and support through their frequent contacts with business leaders
✓ Business leaders will serve on the Local WIB
✓ A portion of marketing plan will be devoted to ensuring employers understand the One-Stop concept and the value to employers |
<table>
<thead>
<tr>
<th>SPECIFIC CONERN</th>
<th>ACTION PLAN</th>
</tr>
</thead>
</table>
| 4. What services will be available to businesses in recruitment of new employees? | ✓ RRA will provide employers with information on how to best utilize recruiting services through the One-Stop: job postings, matching job requisitions with candidates, referral and use of electronic media (on-line resume banks, etc.)  
✓ RRA will solicit input from profit and not-for-profit agencies engaged in placement activities to develop the most effective system to link candidates with job openings  
✓ Personalized attention, including one-on-one meetings between program managers and employers will be arranged |
| 5. What resources will be available to provide labor market information?        | ✓ RRA will compile labor market statistics on a monthly basis utilizing various information sources, including NYSDOL data  
✓ Above information will be made available both in a printed document and electronic (website) format  
✓ Other potential services to business: tax credit certification assistance and human resource policy assistance |
Table A2

The Local Workforce Plan Addresses the Job Seekers’ and Incumbent Workers’ Concerns

<table>
<thead>
<tr>
<th>SPECIFIC CONCERN</th>
<th>ACTION PLAN</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. What services will the Local Workforce Investment system provide to the</td>
<td>✓ Through the Local WI system, workers will have access to a wide range of</td>
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<tr>
<td>incumbent worker (employed but needs training to develop new skills or</td>
<td>training programs throughout the community</td>
</tr>
<tr>
<td>update current skills)?</td>
<td>✓ Career counselors will be available in the One-Stop system to assist in</td>
</tr>
<tr>
<td></td>
<td>forming career development strategies</td>
</tr>
<tr>
<td>2. How will the incumbent worker be made aware of the services?</td>
<td>✓ Through employers</td>
</tr>
<tr>
<td></td>
<td>✓ Kiosks in local malls</td>
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<tr>
<td></td>
<td>✓ Information in other public venues (i.e., libraries) will highlight</td>
</tr>
<tr>
<td></td>
<td>available programs and services</td>
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<tr>
<td></td>
<td>✓ Information will be posted on the One-Stop center’s website</td>
</tr>
<tr>
<td>3. How will the employment and training needs of the adult with disabilities</td>
<td>✓ Will have access to all services of the One-Stop system: data bases of</td>
</tr>
<tr>
<td>be handled?</td>
<td>job openings, training programs and career consultation</td>
</tr>
<tr>
<td></td>
<td>✓ The Local WIB will work with the NY State Office of Vocational and</td>
</tr>
<tr>
<td></td>
<td>Educational Services for Individuals with Disabilities (VESID) and</td>
</tr>
<tr>
<td></td>
<td>community-based organizations (CBOs) serving these individuals regarding</td>
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<tr>
<td></td>
<td>training needs on adaptive technology</td>
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<td></td>
<td>✓ VESID and the CBOs are expected to provide the Board with greater outreach</td>
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<tr>
<td></td>
<td>in discovering employment opportunities</td>
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<tr>
<td></td>
<td>✓ VESID and the CBOs will reach out to individuals with disabilities to</td>
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<td></td>
<td>inform them of services available through the One-Stop system</td>
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<tr>
<td>4. Will the services provided to the adult job seeker be different than the</td>
<td>✓ Services will be similar for both of these worker categories</td>
</tr>
<tr>
<td>services provided to the dislocated worker?</td>
<td>(table continues)</td>
</tr>
<tr>
<td>SPECIFIC CONCERN</td>
<td>ACTION PLAN</td>
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</table>
| 5. What types of services will be offered to the adult job seeker and dislocated worker? | ✓ SELF SERVICE—  
• Eligibility determination  
• Intake & initial assessment  
• Labor market information  
• Consumer reports  
• Group job search help  
• Placement Assistance  

✓ STAFF ASSISTED CORE & INTENSIVE SERVICES (REQUIRES CUSTOMER REGISTRATION)—  
• Follow-up activities  
• Individual job development  
• Screened job referrals  
• Comprehensive Assessment  
• Case management  
• Individual career counseling & planning  

✓ TRAINING (FOR THOSE STILL UNABLE TO FIND A JOB)—  
• Occupational skills training through classroom programs  
• On-the-job training  
• Customized training |

| 6. What role does technology play in the conveyance of services to this worker population? | ✓ The Local WIB and the One-Stop system will collaborate with the NYSDOL in utilizing the One-Stop Operating System (OSOS), which includes on-line access to America’s Job Bank, NYSDOL job bank listings and a local directory which can be directly accessed by all job seekers  
✓ The OSOS will allow for integrated case management records  
✓ The OSOS will be used to gather feedback from One-Stop customers through automated Customer Satisfaction surveys  
✓ Pertinent job order and referral information will be conveyed between employers and the system via e-mail to expedite the flow of timely information |
Appendix D

CUSTOMER SATISFACTION MEASURES

Required Participant Satisfaction Questions:

1) Overall, on a scale of 1 to 10 where “1” means “Very Dissatisfied” and “10” means “Very Satisfied” how satisfied are you with the services?

<table>
<thead>
<tr>
<th>Very Dissatisfied</th>
<th>Very Satisfied</th>
<th>*DK</th>
<th>*REF</th>
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</thead>
<tbody>
<tr>
<td>1 2 3 4 5 6 7 8 9 10 11 12</td>
<td></td>
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2) Considering all of the expectations you may have had about the services, to what extent have the services met your expectations? “1” now means “Met None of My Expectations” and “10” means “Met All of My Expectations.”

<table>
<thead>
<tr>
<th>Met None</th>
<th>MET ALL</th>
<th>DK</th>
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<tr>
<td>1 2 3 4 5 6 7 8 9 10 11 12</td>
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3) Now I want you to think of the ideal program for people in your circumstances. How well do you think the services you received compare with the ideal set of services? “1” now means “Not Very Close to the Ideal.”

<table>
<thead>
<tr>
<th>Not Very Close</th>
<th>Very Close</th>
<th>DK</th>
<th>REF</th>
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<tr>
<td>1 2 3 4 5 6 7 8 9 10 11 12</td>
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</table>

Required Employer Satisfaction Questions

1) Overall, on a scale of 1 to 10 where “1” means “Very Dissatisfied” and “10” means “Very Satisfied” how satisfied are you with the services?

<table>
<thead>
<tr>
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<th>Very Satisfied</th>
<th>DK</th>
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</thead>
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<td>1 2 3 4 5 6 7 8 9 10 11 12</td>
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<tr>
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<table>
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<td>9</td>
<td>10</td>
<td>11</td>
<td>12</td>
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</tbody>
</table>

*DK = Don’t Know
*REF = Refused to Answer

The calculation for the Customer Satisfaction Indicator is accomplished by summing the three questions for employer or participants, taking the average of the three and transforming that score into a final score on a 0--100 scale:

\[ Q1 + Q2 + Q3 \div 3 \]

**Note.** To meet the customer satisfaction measurement requirements of WIA, the Department of Labor will use customer satisfaction surveys. The Department will use the American Customer Satisfaction Index (ACSI), which is the most widely used index currently in practice. For WIA application, there will be one score for each of the two customer groups: participants and employers. Adapted from the Department of Labor document, *Workforce Investment Act Performance Accountability*. Retrieved on the World Wide Web:

http://usworkforce.org/pol-perform.htm
Appendix E

Institutional Review Board Matter
October 22, 1999

Ms. Dottie Near
90 Engel Place
Rochester, NY 14620

Dear Ms. Near:

Thank you for submitting your research proposal to the Institutional Review Board.

The Board has approved the proposal for Expedited Review for the project, "A Study of New York State’s Compliance Plan in Regards to the Federal Workforce Investment Act.” A copy of their decision is enclosed.

Should you have any questions about this process or your responsibilities, please contact me at 385-8471 or by e-mail to mccloskey@sjfc.edu, or if unable to reach me, please contact the secretary to the IRB, Lillian Harris, at 385-8468, e-mail harris@sjfc.edu.

Sincerely,

[Signature]

Sylvia Ricci McCloskey, DNS
Chair, Institutional Review Board

RM: lhm

cc: SAGE IRB
   Approve expedited.doc
FORM B
St. John Fisher College
Institutional Review Board

Application For Expedited Review

Please submit nine (9) copies of this form to the IRB Chairperson.

Investigator(s): Dottie F. Neal

Staff Sponsor (if different): Marilyn N. Butler, Ph. D.

Project: A Study of New York State's Compliance Plan in regards to the Federal<br>Force Investment Act (Public Law 105-220) and its Impact on Post Secondary <br>Education Providers

Investigator and Nature of Activity (check one):

- Faculty or staff at St. John Fisher College 

- Student of St. John Fisher College 

All applications from students and from persons outside of the College must be signed by the faculty, staff or administrator supervising the research activity.

Answer the following questions with regard to the proposed research activity. (An affirmative response to any of the following questions or other controlled substances may necessitate formal review.)

YES NO

research involve:

- for or other controlled substances

- subjects through a cooperating institution?

- subjects taking internally or having externally applied any substance?

- any fluids (e.g., blood) or tissue from subjects?

- experiencing stress (physiological or psychological) above a level that would be associated with normal everyday activity?

- subjects about any aspect of the research?

- subjects who would be judged to have limited freedom of consent (e.g., minors, mentally retarded, aged)?

- procedures or activities that might place the subjects at more than minimal risk (psychological, physical, or social/economic)?

- use aspects of the person's own behavior, such as illegal conduct, drug use, sexual behavior, or alcohol use?
which of the following categories are you applying for expedited review? (check one)

1. Voice recordings made for research purposes such as investigations of speech defects.

2. Moderate exercise by healthy volunteers.

3. The study of existing data, documents, records, pathological specimens, or diagnostic specimens, if the individual from whom the data were collected are identifiable.

4. Research on individual or group behavior or characteristics of individuals, such as studies of perception, cognition, game theory, or test development, where the investigator does not manipulate subjects' behavior and the research will not involve stress to subjects.

5. Collection of: hair and nail clippings, in a non-disfiguring manner; deciduous teeth; and permanent teeth if patient care indicates a need for extraction.

6. Collection of excreta and external secretions including sweat, uncannulated saliva, placenta removed at delivery, and amniotic fluid at that time of rupture of the membrane prior to or during labor.

7. Recording of data collected from subjects 18 years of age or older in the course of noninvasive procedures routinely employed by professionally certified/licensed individuals in the clinical practice of medicine, psychology and social work. This includes the use of physical practice sensors that are applied either to the surface of the body or at a distance and do not involve input of matter or significant amounts of energy into the subject or an invasion of the subject's privacy. It also includes such procedures as weighing, testing sensory acuity, electrocardiography, electroencephalography, thermography, detection of naturally occurring radioactivity, diagnostic echography, and electroretinography. It does not include exposure to electromagnetic radiation outside the visible range (for example x-rays, microwaves).

8. Collection of blood samples by venipuncture, in amounts not exceeding 450 milliliters in an eight-week period and not more often than two times per week, from subjects 18 years of age or older who are in good health and not pregnant.

9. College of both supra- and subgingival dental plaque and calculus, provided the procedure is not more invasive than putting prophylactic scaling of the teeth and the process is accomplished in accordance with accepted prophylactic techniques.

familiar with the policies and procedures of St. John Fisher College regarding human subjects. I subscribe to the standards described in the document, IRB Policies and Procedures for the Protection of Human Subjects.

familiar with the published guidelines for the ethical treatment of subjects associated with my particular field of inquiry as published by the American Psychological Association, American Sociological Association.

familiar with and will adhere to any official policies in my department concerning research with human subjects.

Understand that upon consideration of the nature of my project, the IRB may request a full application for review of my research at their discretion and convenience.

Changes in procedures involving human subjects become necessary, I will submit these changes for review before initiating changes.

Signature - Investigator(s)

Date & Signature - Collaborator(s) and/or Student Investigator Advisor

All applicants and applicants from outside the College must have a College sponsor.
The proposed project has not research component and does not need be in further compliance with Article 24-A.
The proposed project has a research component but does not place subjects “At Risk” and need not be in further compliance with Article 24-A.

The proposed project has a research component and places subjects at risk. The proposal must be in compliance with Article 24-A.

[Signatures and dates]

Institutional Review Board

Date

[Signatures and dates]

10-20-99

11/2/99
ADULT INFORMED CONSENT FORM

PROJECT TITLE: A Study of New York State’s Compliance Plan in Regards to the Federal Workforce Investment Act (Public Law 105-220) and Its Impact on Post Secondary Training Providers

You are invited to participate in a study to analyze and interpret the requirements that the Workforce Investment Act imposes on New York State training providers. Your input regarding issues relevant to this study will become part of the research data I am gathering for this study.

If you decide to participate, your required time will be minimal. You will be given a list of questions prior to a scheduled interview date, which we will discuss during the interview. No formal written response is required of you. Since you will be given the questions beforehand, the actual interview should take no longer that one hour.

This research activity will cause you no physical discomfort. The purpose is to share information, which is already known to you.

Any information obtained in connection with this study and that can be identified with you will remain confidential only at your request. If you give me your permission by signing this document, the plan for the disclosure of information will be in report form and may possibly be used in the presentation to be delivered to selected managers of Bryant & Stratton Business School.

If you have read this form and have decided to participate in this project, please understand that your participation is voluntary and you have the right to withdraw your consent or discontinue participation at any time without penalty. You have the right to refuse to answer particular questions. You agree and understand that your identity may be made known in all written and/or presented data resulting from this study, unless you declare certain information to be “off the record”. If your identity is revealed it will be for the purpose to add credibility to the research or to offer your personal viewpoint.

If you have questions about your rights as a study participant, or are dissatisfied at any time with any aspect of this study, you may contact, anonymously if you wish—the Institutional Review Board at St. John Fisher College, 3690 East Avenue, Rochester, NY 14618.
I acknowledge that Dottie Near has fully explained to me the risks involved and the need for the research; has informed me that I may withdraw from participation at any time without prejudice; has offered to answer any inquires which I may make concerning the procedures to be followed; and has informed me that I will be given a copy of this consent form. I freely and voluntarily consent to my participation in the research project.

[Signature]
Participant Signature & Date

[Signature]
Investigator Signature & Date

1/3/99
ADULT INFORMED CONSENT FORM

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