



SOUTH FLORIDA WORKFORCE INVESTMENT BOARD

FINANCE COMMITTEE MEETING

**Wednesday, December 3, 2008
8:30 A.M.**

South Florida Workforce Investment Board Headquarters
7300 Corporate Center Drive
5th Floor - Conference Room 3
Miami, Florida 33126

AGENDA

1. Call to Order and Introductions
2. Approval of Finance Committee Meeting Minutes
 - A. August 12, 2008
 - B. September 10, 2008
3. October Finance Report
4. SFWIB Internal Controls Policy and/or Procedure Recommendations
 - A. Bank Reconciliation
 - B. Fidelity Bond Coverage
 - C. Formal Risk Assessment Process
 - D. Finance Staff Annual Training
 - E. Vendor Master File-Monthly Report
 - F. Revise Policy and Procedure to conduct Payroll Reconciliation
 - G. Mandatory Leave policy for Key Positions
 - H. Ernst and Young Recommendation IT Network Strengthening
 - I. Ernst and Young IT Recommendation Application Change Procedures
 - J. Ernst and Young IT Recommendation Backup and Recovery Procedures
5. Recommendation to Accept Reed Act funds
6. Recommendation to Accept Food Stamp Employment and Training Program (FSET)
7. Recommendation to Accept Additional Reed Act funds



2.A

SFWIB - Finance Committee

December 3, 2008

Minutes of SFWIB Finance Committee Meeting August 12, 2008

South Florida Workforce Investment Board
 Finance Committee Meeting
 August 12, 2008, Noon.
 South Florida Workforce Investment Board Headquarters
 7300 Corporate Center Drive, 5th Floor - Conference Room 3

COMMITTEE MEMBERS IN ATTENDANCE	ADDITIONAL SFWIB MEMBERS	OTHER ATTENDEES
1. Jeff Bridges, <i>Chairperson</i> 2. Bernardo Adrover 3. Willie Carpenter 4. Charles Gibson 5. Ramiro Inguanzo	Margolis, Edward, <i>SFWIB Chairperson</i> Manrique, Carlos SFW STAFF Beasley, Rick Alonso, Gustavo Kistner, Ken Pierre, Linda Quiñones, Dulce	Beaven, Heather – <i>Jobs for Florida Graduates (JFG)</i> Conklin, Coleen – <i>Jobs for Florida Graduates (JFG)</i> Harvey, Hilary – <i>Jobs for Miami</i> Iglesias, Laura – <i>Jobs for Miami</i> Mitchell, Carlana – <i>Miami-Dade County Public Schools</i> Pattee, Curt – <i>Ernst & Young LLP</i> Rabbito, Catherine – <i>Easter Seals</i> Tirado, Ruth – <i>ABC Institute</i> Weeks, Susan – <i>ABC Institute</i> Williams, Lionel – <i>Ernst & Young LLP</i>
COMMITTEE MEMBERS NOT IN ATTENDANCE 6. Jeffrey Blacher 7. Robert Datorre		

Agenda items are displayed in the order they were discussed.

1. Call to Order and Introductions

Mr. Jeff Bridges, Committee Chair, called the meeting to order at 12:07 p.m. Introductions of those in attendance were noted and a quorum was present.

2. Approval of Finance Committee Meeting Minutes of February 14, 2008, March 12, 2008, May 7, 2008, June 19, 2008, and June 25, 2008.

Mr. Charles Gibson moved approval of the Finance Committee meeting minutes of February 14, 2008, March 12, 2008, May 7, 2008, June 19, 2008, and June 25, 2008. The motion was seconded by Mr. Bernardo Adrover and carried.

3. June 2008 Finance Report

Mr. Rick Beasley, SFWIB Executive Director, presented the un-audited finance report for the months ending June 30, 2008, and reviewed the items on the second page of the report containing notes to be brought to the Member’s attention.

Mr. Beasley reported that expenditures were lower than expected due to the possible rescission of funds by the State that did not take place. He noted that some Reed Act funds had been used for the purchase of the mobile units, and added that most of our funding, which does not include funding such as Reed Act funds, could be rolled over to the next fiscal year.

Although Reed Act funds cannot be used for training, charges were adjusted to cover some core and intensive services of the adult & dislocated workers.

Mr. Beasley commented that at the next meeting he would provide the SAMS report for the past fiscal year.

Mr. Manrique expressed a concern regarding training and support services. He added that Mr. Beasley is correct, but he has concerns remaining regarding the WIA, and WIA Dislocated funding, and that traditionally TANF funding is difficult to spend. He is concerned that the funds might run out early in the fiscal year.

There was discussion regarding savings, if any due for the Career Centers. Mr. Beasley noted that there would be no change in the budget because the staff was retained, and there are still eleven centers. Mr. Margolis noted that that change would be reflected on the next budget year.

4. Internal Controls Review Presentation

Mr. Beasley introduced the item and explained that the Agency for Workforce Innovation (AWI) released an RFP to obtain consulting services from CPA firms with extensive experience in the area of internal control to conduct onsite internal control reviews of selected AWI sub-recipients. The firm of Ernst & Young LLP was selected to conduct these reviews for South Florida Workforce Investment Board.

Mr. Curt Pattee gave an overview of the process used to complete the review. Copies of the Ernst & Young report *Agency for Innovation Regional Workforce Board #23 – Miami Dade/Monroe, Finance Committee Presentation, 12 August 2008* were distributed.

Mr. Lionel Williams reported that Region 23 had the fewest number observations of all other reviews. There were positive observations as well in the Governance, Financial Systems, Information Technology, Participant Programs, and Compliance with Sub-Recipient Monitoring areas.

The report included a number of key observations and opportunities for improvement. Management's response is not included.

The closing remarks included their appreciation of the cooperation and assistance provided during the review by the Board, Executive Management Team, and staff.

It was noted as well, that the Workforce Board's Executive Management Team proactively began the process of addressing the recommendations by establishing new policies and operating standards designed to help minimize, mitigate, and/or limit the risks associated with the exposures identified.

Mr. Beasley informed the Members that he and the Executive Director of the Early Learning Coalition (ELC), Evelio Torres had discussed the possibility of performing peer reviews of SFW by ELC staff and peer reviews of ELC by SFWIB staff.

Mr. Margolis thanked the presenters and noted that the tone of the review report was appreciated.

Mr. Margolis suggested that management approval of system overrides to the MIP system should be investigated. Mr. Beasley noted that an override is sometimes necessary and that is a software issue. The functionality exists, but the package purchased by the State does not include that functionality.

Mr. Margolis asked for their opinion of the benefits of having quality assurance staff in the field. The response was that the OCI responsibility for that area was of benefit. Mr. Bridges requested that this topic be included on the next agenda.

Mr. Bridges requested that an action plan be provided at the next meeting to indicate actions taken to correct the reported observations. After review it would be forwarded to the Board for review, and then to the State, if appropriate. It seems appropriate to have a management response.

5. Approval of SFWIB 2008-2009 Budget

Mr. Beasley distributed the *Revised Budget Explanation of Changes*, and presented the funding revenue changes in new funding and carry-forward funding for the SFWIB FY 2008-2009 Budget. He also reported on the changes to expenditures for headquarters, training, facility costs, and contracts.

Mr. Bernardo Adrover moved approval of the SFWIB 2008-2009 Budget. The motion was seconded by Mr. Willie Carpenter and carried unanimously.

6. Approval to Renew Professional Services Agreement with Sharpton, Brunson & Company, P.A.

Mr. Beasley presented the item and noted that approval of this action would allow Sharpton, Brunson & Company, P.A. to begin the audit process immediately after the end of the current fiscal year.

Mr. Willie Carpenter moved approval to Renew Professional Services Agreement with Sharpton, Brunson & Company, P.A. The motion was seconded by Mr. Charles Gibson and carried unanimously

7. Financial Monitoring Report-Jobs for Miami

Mr. Beasley noted that SFWIB staff conducts financial monitoring of the Region's Service Partners. He presented the Executive Summary of the Financial Monitoring Report for Jobs for Miami (JFM) dated August 4, 2008, and added that the full report is available at the Committee.

Mr. Beasley noted that the report is presented in order to keep the Committee informed. JFM has been given until August 14th to provide requested documentation, and if not provided, SFW's relationship with JFM would be severed.

He added that an incident report prepared by Dulce Quinones, SFWIB Office of Continuous Improvement (OCI) would be sent today to the Inspector General.

Mr. Margolis noted that JFM is SFWIB's only African American provider, and all options need to be considered.

The meeting adjourned at 1:35 p.m.



2B.

SFWIB - Finance Committee

December 3, 2008

**Minutes of SFWIB Finance Committee Meeting
September 10, 2008**

South Florida Workforce Investment Board
 Finance Committee Meeting
 September 10, 2008, Noon.
 South Florida Workforce Investment Board Headquarters
 7300 Corporate Center Drive, 5th Floor - Conference Room 3

<p>COMMITTEE MEMBERS IN ATTENDANCE 1. Bernardo Adrover</p> <p>COMMITTEE MEMBERS NOT IN ATTENDANCE 2. Jeff Bridges, <i>Chairperson</i> 3. Jeffrey Blacher 4. Willie Carpenter 5. Robert Datorre 6. Charles Gibson 7. Ramiro Inguanzo</p>	<p>ADDITIONAL SFWIB MEMBERS Margolis, Edward, <i>SFWIB Chairperson</i></p> <p>SFW STAFF Beasley, Rick Alonso, Gustavo Glancy, Anne Kistner, Ken Pierre, Linda Quiñones, Dulce</p>	<p>OTHER ATTENDEES Rodriguez, Maria – <i>Youth Co-op, Inc.</i> Mitchell, Carlena – <i>Miami-Dade County Public Schools</i> Batista, Mercedes – <i>Arbor E&T</i> Duran, Alex – <i>SER Jobs for Progress, Inc.</i></p>
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Agenda items are displayed in the order they were discussed.

8. Call to Order and Introductions

Mr. Bernardo Adrover called the meeting to order at 12:28 p.m. Introductions of those in attendance were noted and a quorum was not present.

9. Approval of Finance Committee Meeting Minutes of August 12, 2008.

As there was no quorum, the minutes of the August 12th meeting were not approved

10. July 2008 Finance Report

Mr. Beasley provided the finance report reported, for the period of July 1, 2008 through July 31, 2008 beginning with the notes on page 1.

The new budget format is meant to capture any adjustments made to the Board approved budget throughout the year. Adjustments may include funding changes made by the State, and Board approved changes throughout the year. This month there were no adjustments.

Spending in general is low in Career Center Services and Training and Support Services because it is the beginning of the fiscal year and Service Providers were getting their programs started, however they are expected to pick up next month.

Mr. Beasley provided a detailed report on the agency summary.

Mr. Beasley added that SFWIB is in good shape financially. Mr. Adrover added that the carry-forward funding amount may be much more than expected.

11. Internal Controls Review Action Plan

Mr. Beasley presented the Internal Control Review Report action plan as requested at the August 12, 2008, Finance Committee meeting. He added that the action plan would be a part of each Finance Committee agenda until completed. He added that any policies developed from this process would be brought to the full Board.

Mr. Margolis noted that no implementation strategy was included for Observations #2, "A periodic assessment is not performed by the Board of Directors or Committees to evaluate its performance against the established goals and objectives." Mr. Beasley responded that the issue is not financial, but that the Board and the Executive Director must develop a process to assess progress.

Mr. Adrover commented that the goals must be specific, and there should be a quarterly assessment of those goals. Mr. Margolis suggested that the defined goals be communicated to the full Board. Mr. Beasley will request of the SFWIB Retreat facilitator Mr. John Metcalf, to provide a self-assessment tool for use prior to the Retreat.

Mr. Adrover asked staff to poll SFWIB Members for available dates for the Retreat.

5. Recommendation as to a Pilot Cash Advance Initiative

Mr. Adrover noted that as there was no quorum present, the item was for information only. Mr. Beasley added that the item could be brought to the Full Board for consideration.

6. Financial Monitoring Report – JFM Update

Mr. Beasley presented the item and reported that Jobs for Miami, Inc. had been given until August 14, 2008, to provide requested documentation to SFWIB. Documents had been received from Jobs for Miami, Inc, but the information was not acceptable. The information submitted contained statements that items were paid, but no documentation was provided.

He added that if required information is not provided by Jobs for Miami, Inc. their contract would not be extended.

The meeting adjourned at 1:00 p.m.



3.

SFWIB – Finance Committee

December 3, 2008

October 2008 Finance Report

BACKGROUND

The un-audited finance report for the month ending October 30, 2008, will be reviewed.

Attachments



4.

SFWIB – Finance Committee

December 3, 2008

SFWIB Internal Controls

Discussion

BACKGROUND

At the Finance Chair's request, on September 10, 2008, SFWIB staff submitted an action plan detailing corrective measures that would be implemented in response to the Ernst and Young, Internal Control Review Report. The action plan was a response to the reported observations contained in the Internal Control Review Report presented to the Finance Committee on August 12, 2008. Members also mentioned that the goals specified in the action plan must be specific, and that there should be a quarterly assessment of those goals and objectives.

Attached for the Committee's review and discussion is SFWIB Internal Control Policy and Procedures recommendations.



4A.

SFWIB – Finance Committee

December 3, 2008

Modify Bank Reconciliation Policies and Procedures

RECOMMENDATION

Staff is recommending that the SFWIB modify its Accounting Policies and Procedures to require that the Accounting Clerk performing the monthly bank reconciliations compares the amounts deposited per the bank statement to the check deposit logs.

BACKGROUND

An Internal Control (IC) review of Region 23 was conducted by Ernst & Young on May 2, 2008. The results of the IC review present the region with an opportunity to review its policies and internal processes with the objective of making enhancements, as deemed necessary. The IC report identifies the following observation and reflects the auditors' recommendation.

Observation # 6: There is currently no control in place to verify that checks received for non-grant revenue are deposited.

The auditors recommended that Management should implement a control to reconcile the checks received per the receipt log maintained by the Accounting Clerk to the amounts deposited per the monthly bank statement to verify that checks received were deposited.

Attachment to be handout at meeting



4B.

SFWIB – Finance Committee

December 3, 2008

Increasing Fidelity Bond Coverage to \$500,000

RECOMMENDATION

Staff is recommending that the SFWIB increase the fidelity bond coverage from the current \$100,000 to \$500,000, effective July 1, 2009. The cost of a \$500,000 policy would be approximately \$4,042 or \$2,605 more than the cost of the current \$100,000 policy.

BACKGROUND

An Internal Control (IC) review of Region 23 was conducted by Ernst & Young on May 2, 2008. The results of the IC review present the region with an opportunity to review its policies and internal processes with the objective of making enhancements, as deemed necessary. The IC report identifies the following observation and reflects the auditors' recommendation.

Observation # 1: Management maintains Fidelity Bond Coverage for \$100,000 per incident for all employees. Insufficient coverage may expose the Workforce Board to damages as a result of misappropriation of assets.

The auditors recommended that Management consider increasing coverage of the insurance policy to protect the agency against misappropriation of assets.

Staff obtained premium quotes for the following levels of coverage:

<u>Coverage</u>	<u>Premium</u>
\$100,000	\$1,437.00
\$300,000	\$2,740.00
\$500,000	\$4,042.00

Attachment to be handout at meeting



4C.

SFWIB – Finance Committee

December 3, 2008

Establishing a Formal Risk Assessment Process

RECOMMENDATION

Staff is recommending that the SFWIB and the Early Learning Coalition of Miami and Monroe Counties conduct an annual risk assessment using the self-assessment tool prepared by the Agency for Workforce Innovations.

BACKGROUND

An Internal Control (IC) review of Region 23 was conducted by Ernst & Young on May 2, 2008. The results of the IC review present the region with an opportunity to review its policies and internal processes with the objective of making enhancements, as deemed necessary. The IC report identifies the following observation and reflects the auditors' recommendation

Observation # 4: No formal risk assessment is in place at the Workforce Board.

The auditors recommended that a formal risk assessment process be performed to periodically evaluate the risks that the agency is exposed to and identify the controls in place to mitigate the identified risks. This would allow for a more proactive approach to risk as opposed to reactive.

Attachment to be handout at meeting



4D.

SFWIB – Finance Committee

December 3, 2008

Modify Accounting Policies and Procedures to require that Finance Staff take a minimum of eight hours of Training Annually

RECOMMENDATION

Staff is recommending that the SFWIB modify its Accounting Policies and Procedures to require that the finance staff take a minimum of eight hours of mandatory training annually.

BACKGROUND

An Internal Control (IC) review of Region 23 was conducted by Ernst & Young on May 2, 2008. The results of the IC review present the region with an opportunity to review its policies and internal processes with the objective of making enhancements, as deemed necessary. The IC report identifies the following observation and reflects the auditors' recommendation.

Observation # 5: Opportunity for improvement exists to provide mandatory periodic training to existing Workforce Board staff.

The auditors recommended that The Workforce Board should require formal, mandatory training, including any training provided by the Office of Management and Budget, Federal Inspectors General, State Auditors, and Industry Associates, for key personnel in Finance and IT Departments, as needed.

Effective with Fiscal Year 2008/09, SFWIB is proposing to either:

- Host an annual financial training seminar for all SFWIB Finance staff and key personnel in Finance at the One-Stop service providers, or
- Require the foregoing agency personnel to attend training provided by the Office of Management and Budgets, Federal Inspector General, State Auditor and Industry Associates.

Attachment to be handout at meeting



4E.

SFWIB – Finance Committee

December 3, 2008

Modify Accounting Policies and Procedures to Require that the Finance Staff Generate a Monthly Report Showing Changes to the Vendor Master File

RECOMMENDATION

Staff is recommending that the SFWIB modify its Accounting Policies and Procedures to require that the Finance staff:

- Generate and distribute to the Management Team a quarterly report listing changes (new vendors, vendor name changes, vendor address changes) to the vendor master file,
- Request the management team to review the report for appropriateness, and
- Require that the Assistant Director of Finance and the Assistance Director of Administration sign the report as evidence of their review.

BACKGROUND

An Internal Control (IC) review of Region 23 was conducted by Ernst & Young on May 2, 2008. The results of the IC review present the region with an opportunity to review its policies and internal processes with the objective of making enhancements, as deemed necessary. The IC report identifies the following observation and reflects the auditors' recommendation.

Observation # 7: An independent review of additions and changes to the Vendor Master File in MIP is not conducted.

Recommendation: Periodic monitoring of the vendor master file should be performed. This could be achieved by running monthly reports such as new vendors added, any vendor changes (i.e. vendors changed to inactive or deactivated status), last transaction date per vendor, or any other data items that would provide an activity trail and having the reports reviewed by the appropriate level of management on a consistent, periodic basis.

Attachment to be handout at meeting



4F.

SFWIB – Finance Committee

December 3, 2008

Revise Policy and Procedure to conduct Payroll Reconciliation

RECOMMENDATION

Staff is recommending a revision to the SFW Human Resources Internal Procedures Manual to expand its current review process to now include the verification of all changes made to the County’s payroll system and trace all changes requested to the County’s payroll system (see attached).

BACKGROUND

An Internal Controls (IC) Review of Region 23 was conducted by Ernst & Young on May 2, 2008. The results of the Internal Controls Review presented the region with an opportunity to review its policies and internal processes with the objective of making enhancements, as deemed necessary. The IC report identifies the following observation and reflects the auditors’ recommendation:

Observation #9 - There is no evidence of a reconciliation performed between changes requested by the Human Resources Department and the Payroll processed by the County.

The auditors recommend that Human Resources should vouch all changes made to the County’s payroll system for its employees back to approved documentation prior to payroll processing. Additionally, Human Resources should trace all changes requested to the County’s payroll system prior to payroll payment.

Attachment

SFWIB HUMAN RESOURCES

PERSONNEL/PAYROLL PROCEDURES

South Florida Workforce Investment Board (SFWIB) staff are considered County employees and therefore policies and procedures established by the County also govern the payroll activities performed by the SFWIB staff. Because SFWIB staff are considered employees of the county, the majority of the processing and profile changes are updated by the County. SFWIB reimburses the County on a monthly basis for actual payroll costs. The reimbursement is paid through the Accounts Payable (AP) Unit.

The SFWIB Human Resources Unit performs payroll processing functions on a bi-weekly basis. These functions include, the review of the Payroll Attendance Records (PARs) generated and distributed by the Miami-Dade County, Human Resources Department (HRD).

The SFWIB receives pre-printed PARs from HRD that contains the names of each employee presently in the employ of the SFWIB. PARs are distributed internally to the designated Section Managers/Supervisors for the purpose of capturing employee work hours and absences for the 2 week period or bi-weekly pay-period.

The Section Manager/Supervisor manually completes the PARs and is responsible for gathering supporting documentation and ensures each employee under their supervision verifies the accuracy of the hours being reported for him/her. Each Section Manager/Supervisor signs the PAR in the upper left-hand corner, confirming the accuracy of the hours being reported. In addition, all SFWIB employees indicates the accuracy of the hours reported by signing the PAR sheet in the area marked "sign". In cases when the employee is absent or unavailable to sign the PAR, the Manager/Supervisor must complete/attach a Request for Leave form and write-in the corresponding Leave Slip Number in the area designated for the employee's signature.

On behalf of the SFWIB, the Executive Director or designee reviews the entire Payroll and is required to sign the submittal sheet which affirms "the following PAR pages have been reviewed by this office".

The receipt, issuance, collection and review of the Payroll and Attendance Record (PAR) is the responsibility of the SFWIB Human Resources Unit. This activity occurs on a bi-weekly basis and is submitted to the Miami-Dade County, Human Resources Department.

PAYROLL RECONCILIATION

The SFWIB Human Resources Unit performs an audit of the PAR sheet for the purpose of ensuring a paycheck is generated for each current employee of the SFWIB. Payroll reconciliation involves the manual verification of the hours reported on the PAR sheet in comparison with the data entered by the HRD, confirming changes initiated internally by the SFWIB and tracing a change that was initiated externally by the employee or the HRD.

Examples of Changes Initiated by the SFWIB: a) salary changes due to performance increase, b) changes to benefits election, c) compensation for extraordinary appointments

Examples of Changes Not Initiated by the SFWIB: a) employee makes a change to his/her deferred compensation deduction; b) employee makes changes to W-4; c) employee fails to provide supporting documentation for dependent health coverage; d) longevity bonus payments

This verification process usually occurs on alternate Wednesday's, the day in which HRD has restored access to user departments to preview the paychecks and direct deposit vouchers that will be issued by the County on the following Friday.

Whether the source of the change originates internally or externally, the SFWIB Human Resources Unit insures that any unordinary transactions are researched thoroughly. Discrepancies that are a result of changes initiated by the County are addressed to the county to obtain the reasons for the change. If the discrepancy is initiated by the employee, the SFWIB has implemented a new procedure that took effect on 11/20/08, that will require a response from the employee attesting to the adjustment.

Once the review process has been completed, an e-mail is forwarded to the HR Manager, Executive Director, and the Assistant Controller, and the Account Clerk who also performs a form of payroll reconciliation, noting the changes.

RETAINING OF PAYROLL AND ATTENDANCE RECORDS

The SFWIB Human Resources Unit reviews the PARs to verify that all PARs have been submitted and all PARs contain the employees' signature and have required supporting documentation for leave and overtime. After it is determined that all PARs are received and are reasonable, the 3-page PAR is separated; the first page (original) PAR is submitted to the County, the second page (duplicate) is retained in HR; and the third page, along with PAR for the upcoming pay-period is distributed to the appropriate section manager.

DISTRIBUTION OF PAYCHECKS

Employees are compensated on a bi-weekly basis; there are 26 pay periods that comprises the employees' annual income. The county officially releases paychecks to County employees on Friday.

The SFWIB Human Resources Unit picks up paychecks and direct deposit vouchers from the Miami-Dade County, Finance Department every other Friday and distributes these to each employee via the Section Manager/Supervisor. Managers/Supervisors are required to sign SFWIB Acknowledgment of Receipt of Paycheck indicating they have received the paychecks and direct deposit vouchers and new PARS.

NEW HIRES & PROFILE CHANGES *Adding a New Employee to the System*

The County is responsible for adding new employees to the County payroll system. When a new employee is hired the employee must go through a background check and drug screening. The Manager of Personnel & Administrative Services completes a New Hire Form. *The New Hire Form indicates the position, salary, employee information, etc.* The employee must then submit for a drug screening and background check; both tests are scheduled through Miami-Dade County. Arrangements are made with the applicant to meet with a SFWIB Human Resources representative to pick-up documents that the applicant needs to complete and submit at the time of each appointment. For example, the applicant reports to the County with the W-2 and I-9 documentation, FRS form and related new hire documents. Results of the background check and the drug screening are submitted directly from third party providers to the County. The County will transmit the results from the background check to the SFWIB; the decision to hire the person is determined after consideration of the background results; if the person does not successfully pass the drug screening, the person is not eligible for hire.

General Profile Changes

General profile changes are those changes related to marital status, address, name changes can be submitted in writing by the employees and made by the SFWIB Human Resources Unit. Profile Changes such as

address (only) can be entered directly into the County Payroll system. Other changes to the general profile will not be made without a formal request and accompanying documentation from the employee i.e. marital status, beneficiary changes, or changes to education level requires submission of transcript and/or original degree.

Salary Changes

Salary changes can occur due to raises, changes in pay scales, promotions, demotions, or changes in positions. Raises are initiated by either the annual evaluation process or periodic salary adjustment due to market conditions.

Performance Evaluations are completed annually for each employee. When paychecks are obtained from the County, the SFWIB is provided with a listing of all employees approaching their annual evaluations. With the listing of employees, the County provides a label for each employee. These labels are affixed to the appropriate blank evaluation form and submitted to the employee's Section Manager/Supervisor for completion.

The following instructions would assist all parties in the preparation and delivery of the performance appraisal for non-executives:

- I. The ***Rater*** prepares the 1st draft of the performance evaluation and forward to the Reviewer to obtain their consensus on the narratives on the employee's performance and ratings
- II. The ***Reviewer's*** provides feedback, objectivity and agreement on the observations made by the Rater
- III. Once the performance evaluation has been discussed, reviewed and signed by both the Rater and Reviewer, only then should the completed performance evaluation be presented to the employee. It is most important to note, that without the collaboration and signatures from the Rater and Reviewer, the employee is not receiving the consideration he/she is entitled to and failure to follow this step could create an uncomfortable situation between the Rater and Reviewer and especially, for the affected employee.
- IV. The ***Presentation*** of the performance evaluation is handled by the Rater. He/she allocates time to meet with the employee to go over the rating categories.
- V. The employee takes this opportunity to discuss with the Rater areas of concern and to offer supporting information on their viewpoint.

If an employee achieves at least a "Satisfactory" rating on the evaluation, the County processes the merit increase. If employees do not receive a Satisfactory rating the raise is deferred for a period of time and re-evaluation. Salary Changes are made in the system by the County.

For changes related to position, a Request for Reclassification Form must be completed. *HR completes the Request for Reclassification Form and submits it to the Executive Director for review and approval as indicated with a signature and submitted to the County for analysis.* The County approves the change in position and advises the SFWIB in the form of a memorandum that indicates the new salary range

A Personnel Change Document (PCD) is filled-out and submitted to the Executive Director or the HR Manager for signature. The signed Personnel Change Document is submitted to the County. The County inputs the changes in the payroll system. Only the County has access to make changes to the payroll system other than general profile changes.

TERMINATIONS

SFWIB has a formal process to terminate employees. Employees are terminated usually for poor performance on job or not following Policies and Procedures. Depending on the reason and the severity of the infraction, an employee may receive verbal warning, documented warning, or immediate termination. Some employees are considered “at will” employees; meaning their continued employment is at the discretion of the Executive Director.

The responsibility of the Supervisor/Manager will be that of implementing corrective measures to assist employee with performance. For employees that commit a severe infraction or have documented counseling’s, reprimands, or similar actions administrative action on record, termination may be the result. These more serious actions have been thoroughly reviewed and investigated by Human Resources and discussed with the Executive Director along with supporting documentation. *The Executive Director signs the Termination Form as indication of his decision.* The Termination Form is filed in the employee file. The County is notified by the SFWIB Human Resources Unit. By means of the designation “T” on the PAR on the last day worked, this marks the last date of employment. The Termination Form is forwarded to the County. The County then processes the termination and pays the last paycheck

Depending on the nature in which the termination occur HR conducts an exit interview with the employee for the retrieval of SFWIB equipment, employee ID and other items issued to the employee, and to finalize arrangements for the receipt of the final paycheck. A copy of the final paycheck is placed in the employees personnel file.



4G.

SFWIB – Finance Committee

December 3, 2008

Establishment of Mandatory Leave Policy for Key Positions

RECOMMENDATION

Staff is recommending the establishment of an SFWIB Mandatory Leave Policy requiring a minimum of five (5) consecutive days of schedule leave time each calendar year for employees where inherent risk is higher, such as Finance and the Information Technology Units.

BACKGROUND

An Internal Controls (IC) Review of Region 23 was conducted by Ernst & Young on May 2, 2008. The results of the Internal Controls Review presented the region with an opportunity to review its policies and internal processes with the objective of making enhancements, as deemed necessary. The IC report identifies the following observation and reflects the auditors' recommendation:

Observation #3 - The Workforce Board does not require a minimum number of consecutive days of scheduled, paid leave time each calendar year for any employees.

The auditors recommended the establishment of a policy that requires a minimum number of consecutive days of schedule leave time each calendar year for all employees (or at a minimum, for employees within departments where inherent risk is higher, such as the Finance and IT Departments). Management should notify the employees that the policy is mandatory.



4H.

SFWIB – Finance Committee

December 3, 2008

**Ernst and Young IT Recommendations
Network Strengthening**

RECOMMENDATION

SFWIB staff recommends a revision of the Information Technology policies to strengthening network security as described below.

BACKGROUND

An Internal Controls (IC) Review of Region 23 was conducted by Ernst & Young on May 2, 2008. The results of the Internal Controls Review presented the Region with an opportunity to review its policies and internal processes with the objective of making enhancements as deemed necessary. The IC report identifies the auditors' recommendations.

Observation #11 - Passwords should be set to expire on a regular, defined cycle (i.e., 60-90 days). In addition, a password history of 3-8 passwords should be maintained with a minimum number of days before a user may re-use the same password (i.e., one day). Without a minimum password age, the user can repeatedly cycle through passwords until they get to an old favorite.

The 90 day password change recommendation has been implemented to access the MIP system. In addition, a security form originating from the Finance Director or Controller is now used to authorize access to the MIP system. (See form attached). Password history is set to 3 and the minimum number of days to re-use the same password has been set to one day. Additionally, all users on the SFWIB Network will be required to change their passwords every 90 days.

Attachment



MIP

90-DAY PASSWORD CHANGE FORM

User Name:	Password Changed:

IT Staff Name: _____
Signature: _____
Date: _____



4I.

SFWIB – Finance Committee

December 3, 2008

**Ernst and Young IT Recommendations
Application Change Procedures**

RECOMMENDATION

SFWIB staff recommends a revision of the Information Technology policies to strengthening security as described below.

BACKGROUND

An Internal Controls (IC) Review of Region 23 was conducted by Ernst & Young on May 2, 2008. The results of the Internal Controls Review presented the Region with an opportunity to review its policies and internal processes with the objective of making enhancements as deemed necessary. The IC report identifies the auditors' recommendations.

Observation #12 - The Workforce Board should document the policies and procedures for application change and maintenance. The policy should define a classification of changes and the appropriate level of required documentation based on the type of change (i.e., patches, upgrades etc). Management should include as part of the documentation any evidence supporting the authorization, testing and approval of changes moved into production.

An MIP authorization configuration and upgrade form will be used to approve any changes to the MIP system. Finance and IT staff will sign the form and discuss any potential issues prior to system updates. See attached form.

Attachment



MIP CONFIGURATION - UPGRADE FORM

UPGRADE CONFIGURATION CHANGE UPDATE OTHER

(PLEASE CHECK ONE OF THE ABOVE)

DESCRIPTION: _____

Requested by:

Name of Network Manager* **Signature*** **Date***

AUTHORIZATION: The below named Supervisor or Assistant Director of the Department authorizes this employee to have the system access specified on this form.

Name of Supervisor or Assistant Director* **Signature*** **Date***

Name of Supervisor or Assistant Director* **Signature*** **Date***

Signature of completion*: _____ **Date*:** _____



4J.

SFWIB – Finance Committee

December 3, 2008

**Ernst and Young IT Recommendations
Backup and Recovery Procedures**

RECOMMENDATION

SFWIB staff recommends a revision of the Information Technology policies to increase reliability of data recovery as described below.

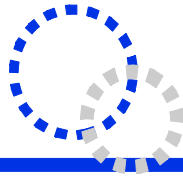
BACKGROUND

An Internal Controls (IC) Review of Region 23 was conducted by Ernst & Young on May 2, 2008. The results of the Internal Controls Review presented the Region with an opportunity to review its policies and internal processes with the objective of making enhancements as deemed necessary. The IC report identifies the auditors' recommendations.

Observation #13 - The Information Technology and Finance Departments should collaborate to create a periodic test of backup and recovery procedures for MIP.

Backup tapes will be tested on a quarterly basis. In addition, tapes will be tested on a monthly basis during hurricane season. Results of the test will be documented and recorded after each test is conducted. The backup test results form will be signed by both Finance IT Staff after the completion of each test to ensure its successful completion.

Attachment



Chapter 3 INFORMATION TECHNOLOGY MANAGEMENT

ADDITIONAL INFORMATION TECHNOLOGY INFORMATION

IV-3-1. The Information Technology Helpdesk. The ITU has established a “Helpdesk” system to centralize technical assistance provided to One-Stop Career Centers in the Region. Assistance is provided in the areas of field engineering, networking, telephone system support, and software/system support through the Help Desk. Under this model, all One-Stop Career Centers and other administrative offices have a single point of contact to obtain assistance with all technology-related issues. Helpdesk services are provided in the following manner:

Table 3: Helpdesk Tiered Services

TIER	SERVICE
Tier 1	IT Staff logs the initial telephone call and performs initial assessment. If possible, the issue is resolved over the telephone with the help of remote assistance software. If the issue cannot be resolved, then it is handled at the Tier 2 level. The majority of the system support is provided at this level.
Tier 2	Field engineer is dispatched to location. Normally, this occurs within 48 hours of the call. If the issue cannot be resolved, then it is handled at the Tier 3 level.
Tier 3	In this tier, the field engineer and network engineer will work together with the IT Unit Manager and/or the appropriate hardware or software vendor or contracted service provider agency to resolve the issue.

IV-3-2. Information Technology Disaster Recovery. Since disasters make the continuation of normal business functions impossible, a Disaster Recovery Plan, or DRP, contains precautions to minimize the impact and allow SFW to maintain or quickly resume administrative-critical functions. For a comprehensive copy of the SFW emergency plan and procedures, refer to **Volume IV, Part III, *Emergency Preparedness and Facilities Management***, of this Administrative Management Operations manual.

In an effort to provide SFW with an adequate IT Disaster Recovery mechanism, the following areas are addressed:

- a. Back-up tapes are stored at the vault of the Information Technology Department of Miami-Dade County (offsite location). A special fireproof cabinet is used to store tapes on a daily basis in the IT computer storage room. Adequate security is provided within the IT facilities area. Backup tapes are tested and delivered to the offsite location every three months, except during hurricane season where they are tested on a monthly basis.
- b. IT Disaster Recovery Team. Three IT Staff members, two Network Managers, and one Senior Systems Analyst are responsible for executing disaster recovery activities.
- c. Prioritize IT operations to be restored. Decisions will be made by the Senior Systems Analyst to restore all IT functions starting with the most critical ones first during a disaster.



BACKUP RESTORE FORM

Restored Date _____

Database/File Name _____ Outcome _____

Database/File Name _____ Outcome _____

Database/File Name _____ Outcome _____

Database/File Name _____ Outcome _____

Database/File Name _____ Outcome _____

Database/File Name _____ Outcome _____

Database/File Name _____ Outcome _____

Database/File Name _____ Outcome _____

Performed By:

Name: _____

Signature: _____

Date: _____



5.

SFWIB – Finance Committee

December 3, 2008

Recommendation to Accept Reed Act Funds

RECOMMENDATION

SFWIB staff recommends that the Finance Committee accept the Reed Act funding.

BACKGROUND

The Workforce Florida Inc (WFI) awarded SFWIB \$222,660 in Reed Act funds for the period of the October 1, 2008-June 30, 2009. The allocation was based on a Reed Act implementation plan submitted by SFWIB to AWI to conduct outreach for the region. SFWIB staff the available the funds will aid the regions’ performance with Temporary Assistance for Needy Families (TANF) participation rates and the overall state performance.

At the December 2, 2008, Workforce Systems Improvement Committee meeting, the committee approved the allocation based on the following chart.

Career Center	Mandatory Caseload	% of Caseload	\$ Allocations
Carol City	394	6.76%	\$ 10,146
West Dade	844	14.47%	\$ 21,733
Little Havana	805	13.80%	\$ 20,729
Miami Beach	89	1.53%	\$ 2,292
North Miami Beach	382	6.55%	\$ 9,837
Northside	1,055	18.09%	\$ 27,167
Transition	147	2.52%	\$ 3,785
Hialeah Gardens	589	10.10%	\$ 15,167
Perrine	838	14.37%	\$ 21,579
Hialeah Downtown	333	5.71%	\$ 8,575
Homestead	356	6.10%	\$ 9,167
Monroe		6.70%	\$ 10,784
SFWIB			\$ 30,972
Facility Costs			\$ 30,727
Region 23 Total	5,832	100.00%	\$ 222,660



6.

SFWIB – Finance Committee

December 3, 2008

**Recommendation to Accept Food Stamp
Employment & Training (FSET) Funds**

RECOMMENDATION

SFWIB staff recommends that the Finance Committee to accept FSET funding.

BACKGROUND

The Food Stamp Employment and Training Program (FSET) emphasize work, self-sufficiency and personal responsibility. The program strives to meet the needs of participants in gaining skills, training, work, and experience that will increase the programs participants’ ability to obtain total self-sufficiency.

The Workforce Florida Inc (WFI) has authorized the allocation of FSET funds to the 24 workforce regions. The Workforce Florida Inc (WFI) awarded SFWIB funds totaling \$1,560,767. The FSET funding period is from October 1, 2008- June 30, 2009. SFWIB staff is recommending the authorization to allocate the funding to Career Centers based on the attached chart minus facility and headquarter cost.

At the December 2, 2008, Workforce Systems Improvement Committee meeting, the committee approved the allocation based on the following chart.

Career Center	FSET Cases	% of Caseload	\$ Allocations
Perrine	1,150	10.8%	\$ 113,192
North Miami Beach	677	6.3%	\$ 66,636
Northside	3,112	29.1%	\$ 306,307
West Dade	864	8.1%	\$ 85,041
Hialeah Downtown	455	4.3%	\$ 44,785
Homestead	822	7.7%	\$ 80,908
Miami Beach	254	2.4%	\$ 25,001
Hialeah Gardens	570	5.3%	\$ 56,104
Carol City	938	8.8%	\$ 92,325
Little Havana	1,202	11.2%	\$ 118,310
Transition Inc	651	6.1%	\$ 64,076
Monroe County			\$ 75,595
SFWIB			\$ 217,103
Facilities			\$ 215,386
Region 23 Total	10,695	100.00%	\$ 1,560,767



7.

SFWIB – Finance Committee

December 3, 2008

Recommendation to Accept Additional Reed Act Funds

RECOMMENDATION

SFWIB staff recommends that the Finance Committee accept Reed Act funding.

BACKGROUND

On December 1, 2008, the Workforce Florida Inc (WFI) awarded SFWIB an additional \$222,659 in Reed Act funds for the period of the July 1, 2008-June 30, 2009. The additional Reed Act allocation is based on Regional TANF performance. SFWIB staff feel the available the funds will aid the regions' performance with Temporary Assistance for Needy Families (TANF) participation rates and the overall state performance.