

Board of Directors
 Agenda

- I. Welcome and Introductions**Jack Geller, Chair
- II. Roll Call**
- III. Chair’s Report**..... Jack Geller
- IV. Action/Discussion Items**
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 - Compensation Committee*.....*Karla Leavelle (Jennifer Brackney)*
 - 5. Employee Benefits Coverage.....Page 18
 - 6. CEO Contract- Jennifer Brackney.....Page 28
- V. Information Items**
 - 1. DEO Internal Control Questionnaire and AssessmentPage 29
 - 2. Finance Department Transition.....Page 59
 - 3. One-Stop Operator Update.....Page 60
- VI. Other Administrative Matters**
(Items of urgency not meeting the seven-day guideline for review)
- VII. Committee Reports**
 - 1. Compensation Committee.....Karla Leavelle (Jennifer Brackney)
 - 2. Finance CommitteeDavid Fetkenher (Jennifer Brackney)
 - 3. Workforce Solutions Committee Michael Gliner (Don Shepherd)
 - 4. One- Stop Committee..... John Howell (Don Shepherd)
 - 5. Science Center Committee Russell Leggette (Jennifer Brackney)
- VIII. CEO’s Report** Jennifer Brackney
- IX. Public Comments**
In accordance with the Sunshine Law, all meetings of WorkNet Pinellas, Inc. and its committees are open to the public. Members of the public who wish to comment must submit a public comment card to the recorder prior to the designated Public Comment segment.
- X. Open Discussion**
- XI. Adjournment**

Workforce Solutions Committee—November 13, 2018
 One-Stop Committee—November 15, 2018
 Finance Committee—November 27, 2018
 Science Center Committee—November 29, 2018
 Executive Committee —December 5, 2018
 Board of Directors—December 12, 2018

**CareerSource Pinellas
Board of Directors Minutes**

Date: Tuesday September 18, 2018 at 11:45 a.m.
Location: EpiCenter: 13805 58th Street N. Clearwater, FL 33760

Call to Order

Chair Jack Geller called the meeting to order at 11:45 a.m. There was a quorum present with the following board members participating.

Board Members in attendance

Vivian Amadeo, William Apple (phone), Jody Armstrong, Justin Bean, Candida Duff, James England, Celeste Fernandez (phone), David Fetkenher, Jack Geller, Commissioner Patricia Gerard, Michael Gliner, Barclay Harless, John Howell, Mark Hunt, Jack Jarrell (phone), Carolyn King (phone), Karla Leavelle (phone), Russell Leggette, Kay McKenzie, Michael Meidel (phone), Debbie Passerini, Rebecca Sarlo, Chad Simpson (phone), Scott Wagman, Zachary White (phone), Glenn Willocks.

Board Members not in attendance

Andrea Henning, Michael Jalazo, Samuel Kolapo, Adrian LaTrace, Dr. William Law, Kim Marston, Kenneth Williams.

Staff in attendance

Jennifer Brackney, Donald Shepherd, Deborah Budaj, Luna Clarke, Steven Blakey.

Board Counsel

Charles Harris – Trenam Law

Guests

Whitney Creech – Pinellas County
Richard Powell – Powell and Jones, CPAs
Marcie Mullins – Department of Economic Opportunity

Chair's Report

The Chair's report was provided in the form of the September Newsletter handout.

Approval of Consent Agenda - September 5, 2018 Executive Committee

The consent agenda of the September 5, 2018 Executive Committee was presented for approval.

Action/Discussion items listed were:

- Approval of the 8/1/18 EC Minutes
- MOU Amendment: CSPIN and the FL Dept. of Education- Division of Voc. Rehab
- Communication with Pinellas County Inspector General
- Request for Proposals : One-Stop Operator
- Feasibility of Selling the Science Center property

Motion: David Fetkenher

Second: Comm. Patricia Gerard

The Board of Directors approved the consent agenda as presented. This motion carried.

Action Item 1 – Approval of Minutes

The minutes of the July 18, 2018 Board of Directors meeting were presented for approval.

Motion: Comm. Patricia Gerard

Second: David Fetkenher

The minutes were approved as presented. This motion carried.

Action Item 2 – Annual Financial Audit for the Fiscal Year Ended June 30, 2018

The audit firm of Powell & Jones, CPAs has completed the annual financial audit for WorkNet Pinellas, Inc. for the fiscal year ended June 30, 2018. A copy of the audit report was presented to the Board. Representatives from the firm presented the results to the Audit Committee on August 28, 2018.

Mr. Richard Powell (auditor) confirms that no significant findings were reported as a result of the audit.

Motion: Comm. Patricia Gerard

Second: Jody Armstrong

The Board of Directors approved the Annual Financial Audit for the fiscal year ended June 30, 2018. This motion carried.

Action Item 3 – Business Services Compensation

Effective September 1, 2018, Pinellas and Tampa Bay Career Source began operating independently and there is no shared staff. Six of the employees retained by CareerSource Pinellas have been in positions eligible for a monthly incentive. Two of the employees are business account executives and four are recruiters. For the past few years individuals in these positions have been eligible for a bonus/incentive pay. Typically, the Compensation Committee would not be involved in decisions about pay for specific staff positions, however given the media attention, it is prudent for the Board to provide guidance as to whether this is a practice that should be continued.

Our objective is to provide guidance as to whether such an incentive plan should be continued.

- If we concur the two positions should have an incentive plan, it does not mean we need to accept the existing program. We can accept the existing program or ask the Human Resources consultant to construct a different plan.
- If we concur that the two positions do not need an incentive plan, we will want to consider if the loss of the incentive pay warrants consideration of an adjustment in base pay.

The following is information on the positions.

Account Executives:

- Current base pay \$45,500
- Last increase to base pay was in 2017
- 2016 average annual incentive earnings (based on calendar year not plan year) \$8,565
- 2017 average annual incentive earnings (based on calendar year not plan year) \$6,398
- 2018 average annual incentive earnings (based on calendar year not plan year) \$100

Recruiters

- Current base pay \$40,000
- Last increase to base pay for two recruiters was in 2017
- 2016 average annual incentive earnings (based on calendar year not plan year) \$9,930 --only two recruiters earned incentives
- 2017 – All four recruiters earning incentives. The range for the calendar year was \$600 - \$9,241
- 2018 – All four recruiters earning incentives. The range for the calendar year was \$450 - \$2,150

Salary Range

The follow is the salary range for the two positions. The data provided indicates this range was established in 2016. It is unclear the source used to establish the ranges.

Position	Entry	Mid-point	Maximum
Account Executive	\$46,600	\$60,600	\$74,600
Recruiter	\$40,000	\$52,000	\$64,000

ATTACHMENTS for your information

- The 2017-2018 incentive plan and the job descriptions for both roles were attached.

At this time, the Compensation committee will not reinstate the incentive plan for the Business Services staff.

Motion: Comm. Patricia Gerard

Second: Barclay Harless / David Fetkenher

The Board of Directors approved the increase of the base pay for Account Executives to the minimum of the current established pay range for that position, which is \$ 46,600 per year. This motion carried.

Action Item 4 – Approval of Training Vendor -- ICTC Governing Board dba AmSkills (American Manufacturing Skills Initiative)

AmSkills Apprenticeship Program is certified under the Florida Department of Education, Division of Career and Adult Education in the trades of Electronics Technician, Industrial Maintenance Repairer, Mechatronics, Tool and Die Maker. Staff conducted a site visit on Tuesday, July 24, 2018.

Courses/Certificate/Diploma Programs

Program – Course # - Type of Degree or Certificate	Books & Supplies	Tuition	Fees	Total Cost	Duration Of Training	Completion Rate	Average Wage At Placement
Pre-Apprenticeship Skills Training	\$300	\$1,792	\$0	\$2,092	400 clock hours/ 17 weeks	95%	\$12.00 per hour

- School Opened: 8/20/2014
- School Locations:

Regional Headquarters & Training Center Marchman Technical College 7825 Campus Drive, Building 6 New Port Richey, Florida 34653	Adult Pre-Apprenticeship Program Northeast High School 5500 16 th Street North, St. Petersburg, FL. 33703
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- Total enrollments for prior year: 20
- Total Cost, Completion Rates and Average Wage at Placement for the program are comparable to other schools that offer the same type of training.
- Currently there are several other approved training vendors for LWDB 14 that offer Registered Apprenticeship training.

NOTE: In accordance with CareerSource Florida Administrative Policy #90 – WIOA Eligible Training Provider List when the training provider has met the established criteria LWDB are required to approve the training provider.

Motion: Comm. Patricia Gerard

Second: Michael Gliner

The Board of Directors approved Amskills as an approved training vendor for LWDB 14. This motion carried.

Action Item 5 – Approval of Training Vendor -- Knowledge Quest Education Solutions Inc. dba Learning Alliance Corporation

Learning Alliance Corporation has a license from the Commission for Independent Education. Staff conducted a site visit on Tuesday, 7.24.2018. Learning Alliance Corporation will start reporting to FETPIP.

Courses/Certificate/Diploma Programs

Program – Course # - Type of Degree or Certificate	Books & Supplies	Tuition & Fees	Total Cost	Duration Of Training	Completion Rate	Average Wage At Placement	Retention Rate
Broadband Digital Installer	Included	\$10,000	\$10,000	304 hours	95%	\$12	95%
Business Information Systems	Included	\$3,500	\$3,500	240 hours	95%	\$12	95%
* Practical Project Management	Included	\$7,500	\$7,500	300 hours	N/A	Anticipated \$14	
* Lean Sigma Green Belt Champion	Included	\$7,500	\$7,500	300 hours	N/A	Anticipated \$14	

* New programs approved by Florida Department Education on 3.5.2018

- School Opened for 16 years
- Total enrollments for prior year: 43
- Total Cost, Completion Rates and Average Wage at Placement for the program are comparable to other private schools that offer the same type of training.

NOTE: In accordance with CareerSource Florida Administrative Policy #90 – WIOA Eligible Training Provider List when the training provider has met the established criteria LWDB are required to approve the training provider.

Motion: Comm. Patricia Gerard
Second: Jody Armstrong

The Board of Directors approved Learning Alliance Corporation as an approved training vendor for LWDB 14. This motion carried.

Action Item 6 – Approval of Training Vendor - Southern Technical College

Southern Technical College has a license from the Commission for Independent Education (#2274). Staff conducted a site visit on Wednesday, August 29, 2018. Southern Technical College currently reports to FETPIP.

Courses/Certificate/Diploma Programs

Program – Course # - Type of Degree or Certificate	Books & Supplies	Tuition	Fees	Total Cost	Duration Of Training	Completion Rate	Average Wage At Placement
Diagnostic Medical Sonographer-AS	\$0	\$41,552	\$0	\$41,552	98 Credit Hour	15.9%	\$26.63 per hour
Management -BS	\$0	\$38,400	\$0	\$38,400	192 Credit Hours	23.8%	\$14 per hour
Medical Assistant - Diploma	\$0	\$17,500	\$0	\$17,500	51 Credit Hours	9.4%	\$10.50 per hour
Medical Laboratory Technician-AS	\$0	\$35,910	\$0	\$35,910	105 Credit Hours	9.4%	\$16.50 per hour
Nursing -AS	\$0	\$45,885	\$0	\$45,885	115 Credit Hours	9.7%	\$25 per hour

- School Opened: 2000
- Total enrollments for prior year: 327
- Total Cost, Completion Rates and Average Wage at Placement for the program are comparable to other private institutions that offer the same type of training.

NOTE: In accordance with CareerSource Florida Administrative Policy #90 – WIOA Eligible Training Provider List when the training provider has met the established criteria LWDB are required to approve the training provider.

Motion to approve Southern Technical College as a training vendor for LWDB 14:

Motion: David Fetkenher

Second: Patricia Gerard

Nay: Mark Hunt

The floor was opened for discussion: There was varied discussion regarding concerns about the school's low completion rate. Several board members commented that the cost of tuition was very high, in comparison to the low completion rate of participants. Members requested more information on the educational institution, such as their accreditation information, their required minimum completion rate, the salary of completers and the completion rate for previous years 2016 and 2017.

The previous motion to approve Southern Technical College as a Training Vendor for LWDB 14 was tabled. The Board requested that more longitudinal information be obtained on the educational institution, to help understand/compare their completion rate over the course of several years.

There was a motion made to reconsider this action at a later date.

Motion: Barclay Harless

Second: Scott Wagman / Comm. Patricia Gerard

The Board of Directors votes to reconsider the approval of Southern Technical College as a training vendor at a later date. This motion carried.

Discussion Item 7 – CEO Search: Recommendation

An Ad Hoc Search Committee consisting of six Board Members was created by the CSPIN Board Chairman, for the purpose of searching for a new Chief Executive Officer (CEO) for CareerSource Pinellas. The open CEO position was advertised through various channels, including:

- Employ Florida
- The CSPIN website
- The National Association of Workforce Boards
- And various Social Media outlets (LinkedIn; Indeed; Facebook; etc.)

Over several weeks, the Search Committee – with the assistance of an HR Consultant – has evaluated candidates interested in the position. The Committee conducted Skype interviews with the top four candidates on 9/12/18. After much deliberation, the committee selected two candidates to bring forth for consideration by the Board of Directors. The Search Committee recommends that the following candidates be interviewed at the October 17th BOD meeting.

1. Jennifer Brackney
2. Rocco Tricarico

The candidates' resumes and accomplishments were attached, for prior perusal.

Discussion: Mr. Meidel (serving as the Search committee chair) explained that the next steps in the CEO search process would involve candidate assessment tests. The two tests suggested were: a general IQ test and a Psychological/Personality test. As the Board of Directors operates under the Sunshine Law, there is a possibility that the results of those tests be considered as public record. To protect the privacy

of the candidates, a recommendation was made to remove the suggested Candidates tests as part of the follow-up in the CEO search process. Instead, board members recommended that the candidates make a presentation that summarizes their prior experience, accomplishments and what they hope to accomplish within the organization. Additionally, board members want to have an opportunity to ask robust questions to the candidates.

Motion to remove the suggested IQ test and Psychological test as part of the follow-up in the CEO search process:

Motion: Russell Leggette

Second: Mark Hunt / Comm. Patricia Gerard

The Board of Directors votes to remove the suggested IQ test and Psychological test as part of the follow-up in the CEO search process. This motion carried.

CEO Candidate Interviews will be conducted on October 17, 2018 at the Epicenter. The two candidates to be interviewed will be: Rocco Tricarico and Jennifer Brackney. All board members are strongly encouraged to attend in person for this discussion. Due to the nature of this item, the meeting will likely span over the course of several hours.

Mr. Wagman expressed concerns about the CEO search process, and his concerns that taking on this role may be the “last gig” for the two candidates presented, since their careers have already spanned several decades. Mr. Wagman stressed the importance of selecting the right candidate for the CEO position, as it would be the most significant decision of the Board of Directors. Given the history of the organization and the magnitude of the decision, he suggested that more time be allowed before a decision can be taken and perhaps have a deeper pool of qualified candidates be presented. Several members of the search committee clarified that there were qualified candidates brought forth for consideration, but that they have chosen to recommend the two candidates that seem most qualified. When dealing with workforce boards and the public domain, those roles require a specific set of skills. Other members reiterated the role of the Board in hiring and keeping any CEO candidate, and replacing said person if the Board is not satisfied with his/her performance.

Other Administrative Matters

There were no administrative matters.

Committee Reports

1. Audit Committee: The audit firm of Powell & Jones, CPAs completed the annual financial audit for WorkNet Pinellas, Inc. for the fiscal year ended June 30, 2018. This item was discussed at today's meeting. The audit committee will address whether or not to enlist the assistance of the Clerk's Office Inspector General when conducting future internal monitoring.
2. Workforce Solutions Committee: The Workforce Solutions Committee met on September 11, 2018. Members recommended approval of three new training providers: Amskills ; Learning Alliance Corporation and Southern Technical College. The also reviewed the Target Occupation List, discussed brand marketing, discussed current workforce, employment and economic development trends in Pinellas county, and the Workforce Solutions Committee goals.
3. One-Stop Committee: The One Stop Committee met on August 23rd. At that meeting, the committee approved the recommendation to select Kaiser Group as the new one-stop operator. Kaiser Group received the higher scores of the two submissions that were received for that proposal. This item was also presented at this meeting. The DEO reporting for quarter 4 shows Pinellas with a total of 18,404 placements reported for program year 2017-2018 through year end. The average ranking for the Pinellas region for the program year was 4th in the state of Florida.
4. Science Center Committee: The Science Center Committee met on 08/31/18. During the meeting, members discussed the feasibility of selling the property and after much discussion, recommended

that an appraisal of the loan be made, for the purpose of refinancing the property. CSPIN hired a building inspector to assess the current structural condition of the Science Center of Pinellas. The property inspection was conducted by National Property Inspections and the full report is available on our website.

1. Pest Control: Quotes have been received for Pest Control and a PO will be initiated within the next few days. The best quote to date is ~\$900 for the first treatment and \$127 per month. Awaiting additional quotes.
2. Building Life Plan (Fire Marshall's Report): Because it states a 50 person occupancy for our classroom, two egress are required. All of our classrooms are less than 1000 square feet and the if we redo the life plan to occupancy levels of less than 50, only one egress is required.
3. Roof Repairs: The debris has been removed from the roof. No one has been scheduled to date to address leaks.
4. Structural repairs: The main issue is the beam holding the porch cover at the front door. My plan is to clean to bare metal check thickness and compare to minimum required thickness, then have an engineer tell me the method of any repairs.
5. Painting and Cleaning: Addressing this during our weekly Youth Build community service days.
6. HVAC: Johnson Controls does change filters on a quarterly basis, however they do not wipe down the filter covers. We will schedule our janitorial service to perform that task on a quarterly basis.
7. Electrical: PEC walked through yesterday. They plan to provide a quote by the end of the day.
8. We've reached out to Hancock Whitney Bank to discuss the option regarding an appraisal. The next Science Center meeting is for October 10, 2018.

Discussion 8: In an effort to address the issue of fire safety listed in the Building Inspection, board members recommend reducing the class size at the Science Center to a maximum of 40 people per room, at any given time.

Motion: Comm. Gerard

Second: Russell Leggette

The Board of Directors votes to limit the class size at the Science Center to a maximum of 40 people. This motion carried.

Interim Director's Report

None.

Public Comments

None.

Open Discussion

None.

Adjournment

The meeting was adjourned at approximately 12:50 p.m.

**CareerSource Pinellas
Board of Directors Minutes**

Date: Wednesday October 17, 2018 at 9:00 A.M.
Location: EpiCenter: 13805 58th Street N. Clearwater, FL 33760

Call to Order

Chair Jack Geller called the meeting to order at 9:00 a.m. There was a quorum present with the following board members participating.

Board Members in attendance

William Apple, Jody Armstrong, James England, David Fetkenher (phone), Jack Geller, Comm. Patricia Gerard, Michael Gliner, Barclay Harless, Andrea Henning, John Howell, Mark Hunt, Michael Jalazo, Carolyn King, Samuel Kolapo (phone), Adrian LaTrace, Karla Leavelle, Michael Meidel, Rebecca Sarlo, Chad Simpson, Scott Wagman, Zachary White, Glenn Willocks.

Board Members absent

Vivian Amadeo, Justin Bean, Candida Duff, Celeste Fernandez, Jack Jarrell, William Law, Russell Leggette, Kim Marston, Kay McKenzie, Debbie Passerini, Kenneth Williams.

Staff in attendance

Jennifer Brackney, April Torregiante, Linsey Stiglic, Luna Clarke, Steven Blakey.

Board Counsel

Charles Harris – Trenam Law

Guests

Mark Puente—Tampa Bay Times
Trevor Pettiford—Bay News Nine
Whitney Creech – Pinellas County
Marcie Mullins – Department of Economic Opportunity (phone)

1. Overview of Process

The Chairman opened the meeting by updating the board members on current events regarding the search. One of the finalists—Mr. Rocco Tricarico—removed himself from the running, and would not partake in the interviews. As Ms. Brackney remains the sole candidate, the chairman asked for a consensus from Board members about whether or not to proceed with interviewing Jennifer Brackney and make a decision, or to re-open the search for the CEO position. Over the course of two hours, Board Members debated on which direction to take. Several members did not think it necessary to re-open the search, as Ms. Brackney was chosen as a finalist, after the search process was completed. Other members argued in favor of re-opening the search and considering other candidates, to avoid the perception that the Board had not done its due diligence.

An option was proposed to appoint Ms. Brackney as the “Interim CEO”, granting her powers to hire senior management staff, in order to keep the organization running smoothly. Simultaneously, the CEO search would continue with the possible help of an outside consulting firm. Ms. Brackney indicated that she would not want an “Interim” position, but would respect the Board’s decision to re-open the search.

A motion was made by Mr. Wagman and seconded by Mr. Meidel, to keep Ms. Brackney in her role of Interim Executive Director, granting her full authority to make organizational decisions. At the same time, the search would be re-opened. **The motion was later withdrawn.**

A similar motion was made by Mr. Gliner and seconded by Commissioner Gerard, to grant Ms. Brackney full authority as Executive Director, with the stipulation of increasing her salary. **The motion was later withdrawn.**

(There was a 10-minute recess and the Board reconvened at 11:10 a.m.)

Taking into consideration all that was previously discussed, three options were presented to the panel.

Option 1: Offer a 1-year contract. Chief Executive Officer title. Termination for cause only.

Option 2: Keep Interim Executive Director. Compensation will be re-evaluated and she will be given full power of CEO to make organizational decisions. Continue the search process.

Option 3: Interview the sole candidate for CEO. Vote.

To determine the Board's consensus on whether or not to continue the search process of a new CEO, the chairman asked for a rollcall to be taken in which voting members answered by "yes" or "no". The roll was as follows:

YES—12

NO—9

The consensus of the board is to discontinue the search process.

A motion was made to continue with the interview process as was originally planned and interview Jennifer Brackney.

Motion: Michael Meidel

Second: Commissioner Gerard

The Board of Directors agrees to interview Ms. Jennifer Brackney as the only remaining candidate for the CEO role. The motion carried with dissenting votes from Messrs. Harless and Gliner.

2. Legally Compliant Interviewing

Board Counsel gave a brief overview of legally compliant interviewing regulations, and highlighted some topics/questions that were prohibited when interviewing a candidate.

3. CEO Candidates Interviews

Ms. Jennifer Brackney proceeded to give a presentation to the panel. She gave a summary of her accomplishments during the interim period, outlined her goals for the first 100 days as the CEO and gave an outlook on how she plans to move the organization forward.

Following her presentation, the panel interviewed Ms. Brackney. Questions included, but were not limited to: approach to current controversies surrounding to organization, leadership style, changes needed in the organization, implementing internal controls, path to excellence, strength and weaknesses.

4. Board Deliberation and Voting

Following the interview, the floor was open for discussion. Mr. Meidel provided a summary of the feedback received from Ms. Brackney's references.

Several members maintained that the organization needs a visionary leader to take the organization in a new direction, not someone who will simply maintain the "status quo". Others argued in favor of hiring Ms. Brackney, taking into consideration the work she has done in the last several months. Board members attested to the difference they've seen in CareerSource involvement and how positively this has affected the business community. The Board came to a consensus that Ms. Brackney was the leader that the organization needed at this moment, while still working through the various investigations and legal requests.

A motion was made to hire Ms. Jennifer Brackney as the new CEO of CareerSource Pinellas, under a 1-year contract, stipulating termination for cause only.

Motion: Jack Geller

Second: David Fetkenher

The Board of Directors approves to hire Ms. Jennifer Brackney as the new CEO, for a 1-year term. A formal contract will be negotiated by the Compensation Committee in the coming week. The motion carried.

5. Board of Directors Business

The Board of Directors will reconvene on another date to discuss the DEO Internal Control Questionnaire and Assessment. Board members are encouraged to review the document and bring forth any specific items that they wish to modify.

A Board of Directors will be scheduled for October 31, 2018 at 11:30am to discuss the DEO Questionnaire and other routine items, as well as approve the CEO contract for Jennifer Brackney.

Public Comments

None.

Adjournment

The meeting was adjourned at approximately 12:42 p.m.

DRAFT



Action Item 3

CareerSource Florida Ethics and Transparency Policy

Background

On September 25, 2018, the CareerSource Florida Board of Directors approved the “Ethics and Transparency Policy” (*see attached*). This policy communicates expectations about ethics and transparency in Florida’s workforce system to maintain integrity, accountability and transparency in decisions and actions that earn and protect the public trust.

Florida’s workforce system consists of CareerSource Florida, which provides policy oversight; the Florida Department of Economic Opportunity, the administrative entity for state workforce programs; and 24 local workforce development boards, to include the chief elected official and board of directors, as well as the career centers.

At every level of the workforce system, there must be a unified commitment to conduct work in a manner that is business-driven, focuses on talent and continuous improvement, and assures accountability to public and private stakeholders including businesses, workers and job seekers.

State and local workforce development boards must conduct business in an open manner, comply with federal and state laws and ensure the public has electronic or simplified access to information including but not limited to:

- Information about state and local plans;
- Professional employment of workforce development board members;
- Selection of one-stop operator;
- Awards of grants or contracts to eligible training providers of workforce activities;
- Minutes of formal meetings of workforce development boards; and,
- Workforce development board by-laws.

State and local workforce development boards are expected to create and enforce policies about the importance of ethics in operations and transparency in public meetings. Boards must ensure these policies align with federal and state laws and communicate clear expectations to board members, their designees, employees and other stakeholders.

Recommendation

Review and approve the adoption of the CSF Ethics and Transparency policy for LWDB 14.



2018.09.26.A.1

Strategic Policy

Title:	CareerSource Florida Ethics and Transparency Policy
Adopted:	09/26/2018
Effective:	09/26/2018

I. PURPOSE AND SCOPE

To effectively fulfill the mission of the CareerSource Florida network, volunteer leaders and workforce professionals statewide must ensure ethics and transparency guide their decision-making. This CareerSource Florida Board of Directors policy communicates expectations about ethics and transparency in Florida's workforce system to maintain integrity, accountability and transparency in decisions and actions that earn and protect the public trust. Florida's workforce system consists of CareerSource Florida, which provides policy oversight; the Florida Department of Economic Opportunity, the administrative entity for state workforce programs; and 24 local workforce development boards, to include the chief elected official and board of directors, as well as the career centers they direct.

At every level of the workforce system, there must be a unified commitment to conduct work in a manner that is business-driven, focuses on talent and continuous improvement, and assures accountability to public and private stakeholders including businesses, workers and job seekers.

State and local workforce development boards must conduct business in an open manner, comply with federal and state laws and ensure the public has electronic or simplified access to information including but not limited to:

- Information about state and local plans;
- Professional employment of workforce development board members;
- Selection of one-stop operators;
- Awards of grants or contracts to eligible training providers of workforce investment activities;
- Minutes of formal meetings of workforce development boards; and,
- Workforce development board by-laws.

State and local workforce development boards are expected to create and enforce policies about the importance of ethics in operations and transparency in public meetings. Boards must ensure these policies align with federal and state laws and communicate clear expectations to board members, their designees, employees and other stakeholders.

II. REGULATORY EXPECTATIONS FOR ETHICS AND TRANSPARENCY

Chapter 445, Florida Statutes, creates the Florida workforce system. This law implements Public Law 113-128, the Workforce Innovation and Opportunity Act of 2014 (WIOA), and creates CareerSource Florida, Inc., the state workforce investment board, as the principal workforce policy organization for the state. The purpose of CareerSource Florida, Inc., is to design and implement strategies that help Floridians enter, remain and advance in the workplace so they may become more highly skilled and successful, benefiting these Floridians, Florida businesses and the entire state, and fostering development of the state's business climate.

It is the intent of the Florida Legislature that CareerSource Florida, Inc., operate in the most open and accessible manner consistent with its public purpose. The expectation of the CareerSource Florida Board of Directors is that the following laws, rules, and regulations referenced and described below are included in local policies and guide organizational decisions and professional actions.

U.S. Department of Labor Employment and Training Administration Advisory System Training and Employment Guidance Letter No. 35-10 was issued on June 16, 2011. The guidance letter (TEGL 35-10) states that providing responsible stewardship for and oversight of publicly funded workforce programs must be accomplished in a way that demonstrates strong integrity, accountability and transparency to preserve the public trust. The responsibility for this stewardship and oversight is shared in the public workforce system by federal, state and local entities.

Public Law 113-128, the Workforce Innovation and Opportunity Act, was signed into law on July 22, 2014. WIOA is designed to help job seekers access employment, education, training and support services to succeed in the labor market and to match employers with the skilled workers they need to compete in the global economy. WIOA Section 107(e) and 20 CFR 679 require local workforce development boards to make certain information available to the public, on a regular basis through electronic means, open meetings and upon request. Additional measures may be taken by state and local policymakers to ensure such information is readily accessible to the public.

The Code of Ethics for Public Officers and Employees, adopted by the Florida Legislature as Chapter 112, Part III, Florida Statutes, contains standards of ethical conduct and disclosures applicable to public officers, employees, candidates, lobbyists and others in state and local government. Workforce development board members and their designees are subject to the Code of Ethics for Public Officers and Employees.

The Florida Legislature specifically declared that CareerSource Florida, Inc., its board, councils, and any advisory committees or similar groups created by CareerSource Florida, Inc., are subject to the provisions of Chapter 119 relating to public records, and those provisions of Chapter 286 relating to public meetings (Chapter 445.004(1), Florida Statutes). Local workforce development boards are subject to Chapter 119, Florida Statutes and Chapter 286, Florida Statutes. Local workforce development boards also are subject to Section 24, Article I of the State Constitution, which describes Access to Public Records and Meetings.

Chapter 119, Florida Statutes, commonly known as Florida's Public Records Law, provides information on public records in Florida, including policies, definitions, exemptions, general information on records access, inspection, examination and duplication. It is the policy of the state of Florida that "all state, county, and municipal records are open for personal inspection and copying by any person. Providing access to public records is the duty of each agency" (Chapter 119.01, Florida Statutes). Included agencies are "public or private agencies, persons, partnerships, corporations or business entities acting on behalf of any public agency" (Chapter 119.011, Florida Statutes), "or other separate unit of government created or established by law" (Chapter 119.0701, Florida Statutes).

Chapter 286, Florida Statutes, also known as Florida's Sunshine Law, establishes a basic right of access to meetings of boards, commissions and other governing bodies of state and local governmental agencies or authorities. The law describes how boards conduct public meetings, how these meetings are noticed, who may attend, and how they may be accessed. This law also describes what records must be kept and made available to the public upon request.

CareerSource Florida and the Department of Economic Opportunity will collaborate with local workforce development boards to support best practices in organizational ethics and implementation of federal and state transparency requirements.

III. AUTHORITIES

[U.S. Department of Labor, Employment and Training Administration Advisory System, Training and Employment Guidance Letter No. 35-10](#)

[Public Law 113-128, the U.S. Workforce Innovation and Opportunity Act Of 2014 \(WIOA\), Sections 106-110](#)

[20 CFR Part 679—Statewide and Local Governance of the Workforce Development System Under Title I of the Workforce Innovation and Opportunity Act](#)

[Chapter 445.003-445.007, Florida Statutes](#)

[Chapter 112, Florida Statutes](#)

[Chapter 119, Florida Statutes](#)

[Chapter 286, Florida Statutes](#)



Action Item 4

Ad Hoc Committee: By-Laws and Interlocal Agreement Review

Background

On September 18, 2018, the Pinellas Board of County Commissioners (BCC) received a summary of recommendations on CareerSource Pinellas (CSPIN) via a consultant engaged by the county. The scope of the consultant's review was to evaluate and recommend revisions or improvements to the CSPIN Interlocal Agreement with Pinellas County, as well as to the CSPIN by-laws.

An Ad Hoc Committee consisting of board members is needed to review the recommendations, the Interlocal agreement, and the CSPIN by-laws. The final recommendations will be presented to the full CSPIN Board of Directors for approval. Once approved, the documents will be forwarded to the BCC for final approval.

Recommendation

Discuss and form an Ad Hoc Committee to review the Interlocal Agreement with Pinellas County and the CSPIN by-laws.



Action Item 5 - Employee Benefits Coverage

Background

The CareerSource Pinellas benefit year ends on December 31, 2018. In preparation for the new benefit year, staff recently met with Cigna, our benefit provider and Arthur Gallagher, our benefit consultant. During this meeting we reviewed the demographics of the staff who selected benefits, the claim history for the past year, the use of emergency rooms vs urgent care centers, the loss ratio for the organization, etc.

Staff received the initial renewal notice from Cigna on 10/02/2018 with an overall increase of 14 % (see attachment A). An initial renegotiation of rates with Cigna reduced the rates increase to 7% on 10/10/2018 (see attachment B). Further negotiations from CSPIN staff and staff of Arthur Gallagher allowed for a reduced new rate of 4.9% increase of the 2019 Medical Coverage rates. This new rate was finalized on 10/18/2018 (see attachment C).

Additionally, there will be no increase to the dental and vision rates (Attachments D & E). If approved, the new rates will take effect within the organization on 01/01/2019.

Recommendation

The Compensation Committee has reviewed the proposed renewal rates from Cigna and recommends approval to extend the organization's contract with Cigna for one year.

Carrier Name
Effective Date
Plan Name & Type
Network Access
PCP Election
Specialists
Calendar Year Deductible (CYD)
Individual
Family
Coinsurance (member pays)
Annual Out of Pocket
Includes (CYD, Copay, Coins or RX)
Individual
Family
Professional Services
PCP Office Visit
Specialists Office Visit
Physician Services at Hospital
Preventative Care Visits
Hospital / Facility Services
In-Patient Hospitalization
Out-Patient Hospital
Surgical Facility
Urgent Care Center
Emergency Care (waived if admitted)
In-Patient Mental Health / Substance Abuse
Out-Patient Mental Health / Substance Abuse
Diagnostic Services
Laboratory
X-Ray
MRI, MRA, CT & PET Scans
Pharmacy
Tier 1
Tier 2
Tier 3
Specialty Drugs
Mail Order Drugs
Mix
Employee
Employee + Spouse
Employee + Child(ren)
Family
Rates
Employee
Employee + Spouse
Employee + Child(ren)
Family
Monthly Total
Annual Total
% Over / Under Current Each Plan
Combined Monthly Total
Combined Annual Total
% Over / Under Current Rates
Annual Premium Increase / Decrease
Notes

Cigna - Current							
January 1, 2018							
OAP Net Only Gold	OAP HDHP		OAP Bronze		OAP Silver		
In-Network	In-Network	Out-of-Network	In-Network	Out-of-Network	In-Network	Out-of-Network	
No	No	No	No	No	No	No	
Open Access	Open Access		Open Access		Open Access		
	Embedded						
\$500	\$6,350	\$10,000	\$5,000	\$10,000	\$2,000	\$4,000	
\$1,000	\$12,700	\$20,000	\$10,000	\$20,000	\$4,000	\$8,000	
20%	0%	20%	30%	50%	20%	40%	
CYD, Copay, Coins & Rx	CYD, Copay, Coins & Rx		CYD, Copay, Coins & Rx		CYD, Copay, Coins & Rx		
\$3,000	\$6,350	\$12,700	\$6,350	\$15,000	\$5,000	\$10,000	
\$6,000	\$12,700	\$25,400	\$12,700	\$30,000	\$10,000	\$20,000	
\$20	No charge after CYD	20% after CYD	\$50	50% after CYD	\$40	40% after CYD	
\$35	No charge after CYD	20% after CYD	\$70	50% after CYD	\$60	40% after CYD	
20% after CYD	No charge after CYD	20% after CYD	30% after CYD	50% after CYD	20% after CYD	40% after CYD	
No charge	No charge	Limited Benefits	No charge	Limited Benefits	No charge	Limited Benefits	
20% after CYD	No charge after CYD	20% after CYD	30% after CYD	50% after CYD	20% after CYD	40% after CYD	
20% after CYD	No charge after CYD	20% after CYD	30% after CYD	50% after CYD	20% after CYD	40% after CYD	
20% after CYD	No charge after CYD	20% after CYD	30% after CYD	50% after CYD	20% after CYD	40% after CYD	
\$50	No charge after CYD	20% after CYD	\$75	50% after CYD	\$75	40% after CYD	
\$100	No charge after CYD		\$200		\$200		
20% after CYD	No charge after CYD	20% after CYD	30% after CYD	50% after CYD	20% after CYD	40% after CYD	
\$35	No charge after CYD	20% after CYD	\$70	50% after CYD	\$60	40% after CYD	
No charge	No charge after CYD	20% after CYD	No charge	50% after CYD	No charge	40% after CYD	
No charge	No charge after CYD	20% after CYD	No charge	50% after CYD	No charge	40% after CYD	
\$100	No charge after CYD	20% after CYD	30% after CYD	50% after CYD	20% after CYD	40% after CYD	
\$15	No charge after CYD		\$20		\$15		
\$35	No charge after CYD		\$40		\$35		
\$50	No charge after CYD	50% after CYD	\$70	40%	\$60	40%	
Applicable copay	No charge after CYD		Applicable copay		Applicable copay		
3 X Retail less \$10	No charge after CYD		3 X Retail less \$10		3 X Retail less \$10		
18	7		7		8		
1	0		0		0		
0	0		1		0		
0	0		0		0		
\$803.72	\$500.64		\$660.13		\$709.01		
\$1,920.09	\$1,196.03		\$1,577.05		\$1,693.82		
\$1,519.84	\$946.72		\$1,248.31		\$1,340.73		
\$2,431.25	\$1,514.45		\$1,996.90		\$2,144.74		
\$16,387.05	\$3,504.48		\$5,869.22		\$5,672.08		
\$196,644.60	\$42,053.76		\$70,430.64		\$68,064.96		
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			\$31,432.83				
			\$377,193.96				
			--		--		
			--		--		

Cigna - Renewal							
January 1, 2019							
OAP Net Only Gold	OAP HDHP		OAP Bronze		OAP Silver		
In-Network	In-Network	Out-of-Network	In-Network	Out-of-Network	In-Network	Out-of-Network	
No	No	No	No	No	No	No	
Open Access	Open Access		Open Access		Open Access		
	Embedded						
\$500	\$6,350	\$10,000	\$5,000	\$10,000	\$2,000	\$4,000	
\$1,000	\$12,700	\$20,000	\$10,000	\$20,000	\$4,000	\$8,000	
20%	0%	20%	30%	50%	20%	40%	
CYD, Copay, Coins & Rx	CYD, Copay, Coins & Rx		CYD, Copay, Coins & Rx		CYD, Copay, Coins & Rx		
\$3,000	\$6,350	\$12,700	\$6,350	\$15,000	\$5,000	\$10,000	
\$6,000	\$12,700	\$25,400	\$12,700	\$30,000	\$10,000	\$20,000	
\$20	No charge after CYD	20% after CYD	\$50	50% after CYD	\$40	40% after CYD	
\$35	No charge after CYD	20% after CYD	\$70	50% after CYD	\$60	40% after CYD	
20% after CYD	No charge after CYD	20% after CYD	30% after CYD	50% after CYD	20% after CYD	40% after CYD	
No charge	No charge	Limited Benefits	No charge	Limited Benefits	No charge	Limited Benefits	
20% after CYD	No charge after CYD	20% after CYD	30% after CYD	50% after CYD	20% after CYD	40% after CYD	
20% after CYD	No charge after CYD	20% after CYD	30% after CYD	50% after CYD	20% after CYD	40% after CYD	
20% after CYD	No charge after CYD	20% after CYD	30% after CYD	50% after CYD	20% after CYD	40% after CYD	
\$50	No charge after CYD	20% after CYD	\$75	50% after CYD	\$75	40% after CYD	
\$100	No charge after CYD		\$200		\$200		
20% after CYD	No charge after CYD	20% after CYD	30% after CYD	50% after CYD	20% after CYD	40% after CYD	
\$35	No charge after CYD	20% after CYD	\$70	50% after CYD	\$60	40% after CYD	
No charge	No charge after CYD	20% after CYD	No charge	50% after CYD	No charge	40% after CYD	
No charge	No charge after CYD	20% after CYD	No charge	50% after CYD	No charge	40% after CYD	
\$100	No charge after CYD	20% after CYD	30% after CYD	50% after CYD	20% after CYD	40% after CYD	
\$15	No charge after CYD		\$20		\$15		
\$35	No charge after CYD		\$40		\$35		
\$50	No charge after CYD	50% after CYD	\$70	40%	\$60	40%	
Applicable copay	No charge after CYD		Applicable copay		Applicable copay		
3 X Retail less \$10	No charge after CYD		3 X Retail less \$10		3 X Retail less \$10		
18	7		7		8		
1	0		0		0		
0	0		1		0		
0	0		0		0		
\$916.24	\$570.73		\$752.55		\$808.27		
\$2,188.90	\$1,363.47		\$1,797.84		\$1,930.95		
\$1,732.62	\$1,079.26		\$1,423.07		\$1,528.43		
\$2,771.63	\$1,726.47		\$2,276.47		\$2,445.00		
\$18,681.24	\$3,995.11		\$6,690.91		\$6,466.17		
\$224,174.84	\$47,941.29		\$80,290.93		\$77,594.05		
14.0%	14.0%		14.0%		14.0%		
			\$35,833.43				
			\$430,001.11				
			14.0%				
			\$52,807.15				

Carrier Name
Effective Date
Plan Name & Type
Network Access
PCP Election
Specialists
Calendar Year Deductible (CYD)
Individual
Family
Coinsurance (member pays)
Annual Out of Pocket
Includes (CYD, Copay, Coins or RX)
Individual
Family
Professional Services
PCP Office Visit
Specialists Office Visit
Physician Services at Hospital
Preventative Care Visits
Hospital / Facility Services
In-Patient Hospitalization
Out-Patient Hospital
Surgical Facility
Urgent Care Center
Emergency Care (waived if admitted)
In-Patient Mental Health / Substance Abuse
Out-Patient Mental Health / Substance Abuse
Diagnostic Services
Laboratory
X-Ray
MRI, MRA, CT & PET Scans
Pharmacy
Tier 1
Tier 2
Tier 3
Specialty Drugs
Mail Order Drugs
Mix
Employee
Employee + Spouse
Employee + Child(ren)
Family
Rates
Employee
Employee + Spouse
Employee + Child(ren)
Family
Monthly Total
Annual Total
% Over / Under Current Each Plan
Combined Monthly Total
Combined Annual Total
% Over / Under Current Rates
Annual Premium Increase / Decrease
Notes

Cigna - Current							
January 1, 2018							
OAP Net Only Gold	OAP HDHP		OAP Bronze		OAP Silver		
In-Network	In-Network	Out-of-Network	In-Network	Out-of-Network	In-Network	Out-of-Network	
No	No		No		No		
Open Access	Open Access		Open Access		Open Access		
\$500	Embedded		\$5,000	\$10,000	\$2,000	\$4,000	
\$1,000	\$6,350	\$10,000	\$10,000	\$20,000	\$4,000	\$8,000	
20%	0%	20%	30%	50%	20%	40%	
CYD, Copay, Coins & Rx	CYD, Copay, Coins & Rx		CYD, Copay, Coins & Rx		CYD, Copay, Coins & Rx		
\$3,000	\$6,350	\$12,700	\$6,350	\$15,000	\$5,000	\$10,000	
\$6,000	\$12,700	\$25,400	\$12,700	\$30,000	\$10,000	\$20,000	
\$20	No charge after CYD	20% after CYD	\$50	50% after CYD	\$40	40% after CYD	
\$35	No charge after CYD	20% after CYD	\$70	50% after CYD	\$60	40% after CYD	
20% after CYD	No charge after CYD	20% after CYD	30% after CYD	50% after CYD	20% after CYD	40% after CYD	
No charge	No charge	Limited Benefits	No charge	Limited Benefits	No charge	Limited Benefits	
20% after CYD	No charge after CYD	20% after CYD	30% after CYD	50% after CYD	20% after CYD	40% after CYD	
20% after CYD	No charge after CYD	20% after CYD	30% after CYD	50% after CYD	20% after CYD	40% after CYD	
20% after CYD	No charge after CYD	20% after CYD	30% after CYD	50% after CYD	20% after CYD	40% after CYD	
\$50	No charge after CYD	20% after CYD	\$75	50% after CYD	\$75	40% after CYD	
\$100	No charge after CYD		\$200		\$200		
20% after CYD	No charge after CYD	20% after CYD	30% after CYD	50% after CYD	20% after CYD	40% after CYD	
\$35	No charge after CYD	20% after CYD	\$70	50% after CYD	\$60	40% after CYD	
No charge	No charge after CYD	20% after CYD	No charge	50% after CYD	No charge	40% after CYD	
No charge	No charge after CYD	20% after CYD	No charge	50% after CYD	No charge	40% after CYD	
\$100	No charge after CYD	20% after CYD	30% after CYD	50% after CYD	20% after CYD	40% after CYD	
\$15	No charge after CYD		\$20		\$15		
\$35	No charge after CYD		\$40		\$35		
\$50	No charge after CYD	50% after CYD	\$70	40%	\$60	40%	
Applicable copay	No charge after CYD		Applicable copay		Applicable copay		
3 X Retail less \$10	No charge after CYD		3 X Retail less \$10		3 X Retail less \$10		
18	7		7		8		
1	0		0		0		
0	0		1		0		
0	0		0		0		
\$803.72	\$500.64		\$660.13		\$709.01		
\$1,920.09	\$1,196.03		\$1,577.05		\$1,693.82		
\$1,519.84	\$946.72		\$1,248.31		\$1,340.73		
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\$16,387.05	\$3,504.48		\$5,869.22		\$5,672.08		
\$196,644.60	\$42,053.76		\$70,430.64		\$68,064.96		
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			\$31,432.83				
			\$377,193.96				
			--				
			--				

Cigna - Negotiated Renewal							
January 1, 2019							
OAP Net Only Gold	OAP HDHP		OAP Bronze		OAP Silver		
In-Network	In-Network	Out-of-Network	In-Network	Out-of-Network	In-Network	Out-of-Network	
No	No		No		No		
Open Access	Open Access		Open Access		Open Access		
\$500	Embedded		\$5,000	\$10,000	\$2,000	\$4,000	
\$1,000	\$6,350	\$10,000	\$10,000	\$20,000	\$4,000	\$8,000	
20%	0%	20%	30%	50%	20%	40%	
CYD, Copay, Coins & Rx	CYD, Copay, Coins & Rx		CYD, Copay, Coins & Rx		CYD, Copay, Coins & Rx		
\$3,000	\$6,350	\$12,700	\$6,350	\$15,000	\$5,000	\$10,000	
\$6,000	\$12,700	\$25,400	\$12,700	\$30,000	\$10,000	\$20,000	
\$20	No charge after CYD	20% after CYD	\$50	50% after CYD	\$40	40% after CYD	
\$35	No charge after CYD	20% after CYD	\$70	50% after CYD	\$60	40% after CYD	
20% after CYD	No charge after CYD	20% after CYD	30% after CYD	50% after CYD	20% after CYD	40% after CYD	
No charge	No charge	Limited Benefits	No charge	Limited Benefits	No charge	Limited Benefits	
20% after CYD	No charge after CYD	20% after CYD	30% after CYD	50% after CYD	20% after CYD	40% after CYD	
20% after CYD	No charge after CYD	20% after CYD	30% after CYD	50% after CYD	20% after CYD	40% after CYD	
20% after CYD	No charge after CYD	20% after CYD	30% after CYD	50% after CYD	20% after CYD	40% after CYD	
\$50	No charge after CYD	20% after CYD	\$75	50% after CYD	\$75	40% after CYD	
\$100	No charge after CYD		\$200		\$200		
20% after CYD	No charge after CYD	20% after CYD	30% after CYD	50% after CYD	20% after CYD	40% after CYD	
\$35	No charge after CYD	20% after CYD	\$70	50% after CYD	\$60	40% after CYD	
No charge	No charge after CYD	20% after CYD	No charge	50% after CYD	No charge	40% after CYD	
No charge	No charge after CYD	20% after CYD	No charge	50% after CYD	No charge	40% after CYD	
\$100	No charge after CYD	20% after CYD	30% after CYD	50% after CYD	20% after CYD	40% after CYD	
\$15	No charge after CYD		\$20		\$15		
\$35	No charge after CYD		\$40		\$35		
\$50	No charge after CYD	50% after CYD	\$70	40%	\$60	40%	
Applicable copay	No charge after CYD		Applicable copay		Applicable copay		
3 X Retail less \$10	No charge after CYD		3 X Retail less \$10		3 X Retail less \$10		
18	7		7		8		
1	0		0		0		
0	0		1		0		
0	0		0		0		
\$859.98	\$535.68		\$706.34		\$758.64		
\$2,054.49	\$1,279.75		\$1,687.43		\$1,812.38		
\$1,626.23	\$1,012.99		\$1,335.68		\$1,434.57		
\$2,601.43	\$1,620.46		\$2,136.67		\$2,294.86		
\$17,534.13	\$3,749.76		\$6,280.06		\$6,069.12		
\$210,409.56	\$44,997.12		\$75,360.72		\$72,829.44		
7.0%	7.0%		7.0%		7.0%		
			\$33,633.07				
			\$403,596.84				
			7.0%				
			\$26,402.88				

Carrier Name
Effective Date
Plan Name & Type
Network Access
PCP Election
Specialists
Calendar Year Deductible (CYD)
Individual
Family
Coinsurance (member pays)
Annual Out of Pocket
Includes (CYD, Copay, Coins or RX)
Individual
Family
Professional Services
PCP Office Visit
Specialists Office Visit
Physician Services at Hospital
Preventative Care Visits
Hospital / Facility Services
In-Patient Hospitalization
Out-Patient Hospital
Surgical Facility
Urgent Care Center
Emergency Care (waived if admitted)
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Pharmacy
Tier 1
Tier 2
Tier 3
Specialty Drugs
Mail Order Drugs
Mix
Employee
Employee + Spouse
Employee + Child(ren)
Family
Rates
Employee
Employee + Spouse
Employee + Child(ren)
Family
Monthly Total
Annual Total
% Over / Under Current Each Plan
Combined Monthly Total
Combined Annual Total
% Over / Under Current Rates
Annual Premium Increase / Decrease
Notes

Cigna - Current							
January 1, 2018							
OAP Net Only Gold	OAP HDHP		OAP Bronze		OAP Silver		
In-Network	In-Network	Out-of-Network	In-Network	Out-of-Network	In-Network	Out-of-Network	
No	No	No	No	No	No	No	
Open Access	Open Access	Open Access	Open Access	Open Access	Open Access	Open Access	
	Embedded						
\$500	\$6,350	\$10,000	\$5,000	\$10,000	\$2,000	\$4,000	
\$1,000	\$12,700	\$20,000	\$10,000	\$20,000	\$4,000	\$8,000	
20%	0%	20%	30%	50%	20%	40%	
CYD, Copay, Coins & Rx	CYD, Copay, Coins & Rx		CYD, Copay, Coins & Rx		CYD, Copay, Coins & Rx		
\$3,000	\$6,350	\$12,700	\$6,350	\$15,000	\$5,000	\$10,000	
\$6,000	\$12,700	\$25,400	\$12,700	\$30,000	\$10,000	\$20,000	
\$20	No charge after CYD	20% after CYD	\$50	50% after CYD	\$40	40% after CYD	
\$35	No charge after CYD	20% after CYD	\$70	50% after CYD	\$60	40% after CYD	
20% after CYD	No charge after CYD	20% after CYD	30% after CYD	50% after CYD	20% after CYD	40% after CYD	
No charge	No charge	Limited Benefits	No charge	Limited Benefits	No charge	Limited Benefits	
20% after CYD	No charge after CYD	20% after CYD	30% after CYD	50% after CYD	20% after CYD	40% after CYD	
20% after CYD	No charge after CYD	20% after CYD	30% after CYD	50% after CYD	20% after CYD	40% after CYD	
20% after CYD	No charge after CYD	20% after CYD	30% after CYD	50% after CYD	20% after CYD	40% after CYD	
\$50	No charge after CYD	20% after CYD	\$75	50% after CYD	\$75	40% after CYD	
\$100	No charge after CYD		\$200		\$200		
20% after CYD	No charge after CYD	20% after CYD	30% after CYD	50% after CYD	20% after CYD	40% after CYD	
\$35	No charge after CYD	20% after CYD	\$70	50% after CYD	\$60	40% after CYD	
No charge	No charge after CYD	20% after CYD	No charge	50% after CYD	No charge	40% after CYD	
No charge	No charge after CYD	20% after CYD	No charge	50% after CYD	No charge	40% after CYD	
\$100	No charge after CYD	20% after CYD	30% after CYD	50% after CYD	20% after CYD	40% after CYD	
\$15	No charge after CYD		\$20		\$15		
\$35	No charge after CYD		\$40		\$35		
\$50	No charge after CYD	50% after CYD	\$70	40%	\$60	40%	
Applicable copay	No charge after CYD		Applicable copay		Applicable copay		
3 X Retail less \$10	No charge after CYD		3 X Retail less \$10		3 X Retail less \$10		
18	7		7		8		
1	0		0		0		
0	0		1		0		
0	0		0		0		
\$803.72	\$500.64		\$660.13		\$709.01		
\$1,920.09	\$1,196.03		\$1,577.05		\$1,693.82		
\$1,519.84	\$946.72		\$1,248.31		\$1,340.73		
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\$196,644.60	\$42,053.76		\$70,430.64		\$68,064.96		
--	--		--		--		
			\$31,432.83				
			\$377,193.96				
			--		--		
			--		--		

Cigna - Final Negotiated Renewal							
January 1, 2019							
OAP Net Only Gold	OAP HDHP		OAP Bronze		OAP Silver		
In-Network	In-Network	Out-of-Network	In-Network	Out-of-Network	In-Network	Out-of-Network	
No	No	No	No	No	No	No	
Open Access	Open Access	Open Access	Open Access	Open Access	Open Access	Open Access	
	Embedded						
\$500	\$6,350	\$10,000	\$5,000	\$10,000	\$2,000	\$4,000	
\$1,000	\$12,700	\$20,000	\$10,000	\$20,000	\$4,000	\$8,000	
20%	0%	20%	30%	50%	20%	40%	
CYD, Copay, Coins & Rx	CYD, Copay, Coins & Rx		CYD, Copay, Coins & Rx		CYD, Copay, Coins & Rx		
\$3,000	\$6,350	\$12,700	\$6,350	\$15,000	\$5,000	\$10,000	
\$6,000	\$12,700	\$25,400	\$12,700	\$30,000	\$10,000	\$20,000	
\$20	No charge after CYD	20% after CYD	\$50	50% after CYD	\$40	40% after CYD	
\$35	No charge after CYD	20% after CYD	\$70	50% after CYD	\$60	40% after CYD	
20% after CYD	No charge after CYD	20% after CYD	30% after CYD	50% after CYD	20% after CYD	40% after CYD	
No charge	No charge	Limited Benefits	No charge	Limited Benefits	No charge	Limited Benefits	
20% after CYD	No charge after CYD	20% after CYD	30% after CYD	50% after CYD	20% after CYD	40% after CYD	
20% after CYD	No charge after CYD	20% after CYD	30% after CYD	50% after CYD	20% after CYD	40% after CYD	
20% after CYD	No charge after CYD	20% after CYD	30% after CYD	50% after CYD	20% after CYD	40% after CYD	
\$50	No charge after CYD	20% after CYD	\$75	50% after CYD	\$75	40% after CYD	
\$100	No charge after CYD		\$200		\$200		
20% after CYD	No charge after CYD	20% after CYD	30% after CYD	50% after CYD	20% after CYD	40% after CYD	
\$35	No charge after CYD	20% after CYD	\$70	50% after CYD	\$60	40% after CYD	
No charge	No charge after CYD	20% after CYD	No charge	50% after CYD	No charge	40% after CYD	
No charge	No charge after CYD	20% after CYD	No charge	50% after CYD	No charge	40% after CYD	
\$100	No charge after CYD	20% after CYD	30% after CYD	50% after CYD	20% after CYD	40% after CYD	
\$15	No charge after CYD		\$20		\$15		
\$35	No charge after CYD		\$40		\$35		
\$50	No charge after CYD	50% after CYD	\$70	40%	\$60	40%	
Applicable copay	No charge after CYD		Applicable copay		Applicable copay		
3 X Retail less \$10	No charge after CYD		3 X Retail less \$10		3 X Retail less \$10		
18	7		7		8		
1	0		0		0		
0	0		1		0		
0	0		0		0		
\$842.80	\$524.99		\$692.23		\$743.46		
\$2,013.46	\$1,254.21		\$1,653.73		\$1,776.10		
\$1,593.75	\$992.77		\$1,309.01		\$1,405.86		
\$2,549.47	\$1,588.12		\$2,094.00		\$2,248.93		
\$17,183.86	\$3,674.93		\$6,154.62		\$5,947.68		
\$206,206.32	\$44,099.16		\$73,855.44		\$71,372.16		
4.9%	4.9%		4.9%		4.9%		
			\$32,961.09				
			\$395,533.08				
			4.9%				
			\$18,339.12				

Carrier Name
Effective Date
Plan Name & Type
Network Access
Benefit Maximum / Calendar Year
Individual Deductible
Family Deductible
Dental Description
Preventative Services
Basic Services
Major Services
Procedures
Routine Office Visits - 9430
Teeth Cleaning - 1110
Full Mouth / Panoramic x-rays - 0330
Amalgam Fillings - 2140
Extraction - simple per tooth - 7140
Endodontics - 3330
Periodontal scaling - 4341
Full or partial dentures - 5110
Crowns - 2752
Orthodontia
Benefit
Lifetime Maximum
Participation
Reimbursement UCR or MAC
Waiting period - Late Entrants
Rate Guarantee
Mix
Employee
Employee + Spouse
Employee + Child
Family
Rates
Employee
Employee + Spouse
Employee + Child
Family
Monthly Total
Annual Total
% Over / Under Current Each Plan
Combined Monthly Total
Combined Annual Total
% Over / Under Current Rates
Annual Premium Increase / Decrease
Notes:

Cigna - Current			
January 1, 2018			
DPPO Low		DPPO High	
In-Network	Out-of-Network	In-Network	Out-of-Network
\$1,000		\$1,500	
\$50		\$25	
\$150		\$75	
No charge	No charge	No charge	No charge
20% after CYD	30% after CYD	20% after CYD	30% after CYD
50% after CYD	60% after CYD	50% after CYD	60% after CYD
No charge	No charge	No charge	No charge
No charge	No charge	No charge	No charge
No charge	No charge	No charge	No charge
20% after CYD	30% after CYD	20% after CYD	30% after CYD
20% after CYD	30% after CYD	20% after CYD	30% after CYD
20% after CYD	30% after CYD	20% after CYD	30% after CYD
20% after CYD	30% after CYD	20% after CYD	30% after CYD
50% after CYD	60% after CYD	50% after CYD	60% after CYD
50% after CYD	60% after CYD	50% after CYD	60% after CYD
Not covered		Child Only	
		50%	60%
		\$1,500	\$1,500
Current			
Negotiated Fee	90th UCR	Negotiated Fee	90th UCR
50% coverage on major & ortho for 12 months			
Current			
24		12	
1		2	
3		2	
1		1	
\$25.53		\$35.72	
\$57.12		\$79.93	
\$51.04		\$76.47	
\$83.86		\$124.89	
\$906.82		\$866.33	
\$10,881.84		\$10,395.96	
--		--	
\$1,773.15			
\$21,277.80			
--			
--			
Notes:			

Cigna - Renewal			
January 1, 2019			
DPPO Low		DPPO High	
In-Network	Out-of-Network	In-Network	Out-of-Network
\$1,000		\$1,500	
\$50		\$25	
\$150		\$75	
No charge	No charge	No charge	No charge
20% after CYD	30% after CYD	20% after CYD	30% after CYD
50% after CYD	60% after CYD	50% after CYD	60% after CYD
No charge	No charge	No charge	No charge
No charge	No charge	No charge	No charge
No charge	No charge	No charge	No charge
20% after CYD	30% after CYD	20% after CYD	30% after CYD
20% after CYD	30% after CYD	20% after CYD	30% after CYD
20% after CYD	30% after CYD	20% after CYD	30% after CYD
20% after CYD	30% after CYD	20% after CYD	30% after CYD
50% after CYD	60% after CYD	50% after CYD	60% after CYD
50% after CYD	60% after CYD	50% after CYD	60% after CYD
Not covered		Child Only	
		50%	60%
		\$1,500	\$1,500
Remain current			
Negotiated Fee	90th UCR	Negotiated Fee	90th UCR
50% coverage on major & ortho for 12 months			
12 months			
24		12	
1		2	
3		2	
1		1	
\$25.53		\$35.72	
\$57.12		\$79.93	
\$51.04		\$76.47	
\$83.86		\$124.89	
\$906.82		\$866.33	
\$10,881.84		\$10,395.96	
0.0%		0.0%	
\$1,773.15			
\$21,277.80			
0.0%			
\$0.00			
Notes:			

Carrier Name	Cigna - Current		Cigna - Renewal	
Effective Date	January 1, 2018		January 1, 2019	
Plan Name & Type	Vision		Vision	
Network Access	In-Network	Out-of-Network	In-Network	Out-of-Network
Eye Care Wellness Copay	\$5	--	\$5	--
Eye Exam	No charge after copay	Reimbursed up to \$45	No charge after copay	Reimbursed up to \$45
Frequency	12 Months		12 Months	
Materials Copay	\$10	--	\$10	--
Lenses	No charge after copay	Reimbursed up to \$32	No charge after copay	Reimbursed up to \$32
Single Vision	No charge after copay	Reimbursed up to \$55	No charge after copay	Reimbursed up to \$55
Bifocals	No charge after copay	Reimbursed up to \$65	No charge after copay	Reimbursed up to \$65
Trifocals	12 Months		12 Months	
Frequency	12 Months		12 Months	
Frames	\$150 retail allowance + 20% off additional	Reimbursed up to \$83	\$150 retail allowance + 20% off additional	Reimbursed up to \$83
Selected Frames	12 Months		12 Months	
Frequency	12 Months		12 Months	
Contacts Copay	In lieu of any other eyewear benefits		In lieu of any other eyewear benefits	
Elective	\$150 retail allowance	Reimbursed up to \$120	\$150 retail allowance	Reimbursed up to \$120
Medically Necessary Contacts	Covered in full	Reimbursed up to \$210	Covered in full	Reimbursed up to \$210
Frequency	12 Months		12 Months	
Value Added Discounts	Min. 20% savings	--	Min. 20% savings	--
Eyewear	Discounts available	--	Discounts available	--
Lasik	Current		Remain current	
Participation	Current		12 months	
Rate Guarantee	Current		12 months	
Mix				
Employee		33		33
Employee + Spouse		6		6
Employee + Child(ren)		5		5
Family		2		2
Rates				
Employee		\$8.00		\$8.00
Employee + Spouse		\$15.87		\$15.87
Employee + Child(ren)		\$16.75		\$16.75
Family		\$25.65		\$25.65
Monthly Total		\$494.27		\$494.27
Annual Total		\$5,931.24		\$5,931.24
% Over / Under Current Rates		--		0.0%
Annual Premium Increase / Decrease		--		\$0.00
Notes				

Carrier Name	Cigna - Current
Effective Date	January 1, 2019
Class Description	All Full-Time Employees
Basic Life with Accidental Death & Dismemberment Benefit	1x Salary
Maximum Benefit	\$200,000
Guarantee Issue	\$200,000
Reduction Formula	
At Age 65	65%
At Age 70	42%
At Age 75	27%
At Age 80	--
At Age 85	--
Waiver of Premium	Included
Rate Guarantee	12 months remainig
Premium	
Active Employee Volume	\$9,891,550
Life Rate Per \$1,000	\$0.100
AD & D Rate	\$0.020
Monthly Total	\$1,186.99
Annual Total	\$14,243.83
% Over / Under Current Rates	--
Annual Premium Increase / Decrease	--
Notes	

Carrier Name	Cigna - Current																		
Effective Date	January 1, 2019																		
Class Description	Employees	Spouse	Child(ren)																
Supplemental Life Benefit	\$20,000 up to the lesser of 5x salary or \$300,000	Not to exceed 50% of employee amount or \$50,000, terms at age 70	Birth to 6 months - \$250, 6 months to 26: \$5,000 max																
Guarantee Issue	\$50,000	\$25,000	\$5,000																
Increments of Coverage	\$10,000	\$5,000	\$5,000																
Accidental Death & Dismemberment	Not included																		
Age Reduction Formula	<table border="1"> <tr> <td>At Age 65</td> <td>65%</td> <td rowspan="5"> </td> <td rowspan="5">N / A</td> </tr> <tr> <td>At Age 70</td> <td>42%</td> </tr> <tr> <td>At Age 75</td> <td>27%</td> </tr> <tr> <td>At Age 80</td> <td>--</td> </tr> <tr> <td>At Age 85</td> <td>--</td> </tr> <tr> <td>Portability</td> <td colspan="3">Included. Rates may change.</td> </tr> </table>			At Age 65	65%		N / A	At Age 70	42%	At Age 75	27%	At Age 80	--	At Age 85	--	Portability	Included. Rates may change.		
At Age 65	65%		N / A																
At Age 70	42%																		
At Age 75	27%																		
At Age 80	--																		
At Age 85	--																		
Portability	Included. Rates may change.																		
Participation	Current																		
Rate Guarantee	12 months remaining																		
Premium - per \$1000	Non-Smoker	Smoker	Child(ren)																
0 - 19	\$0.100	\$0.170																	
20 - 24	\$0.100	\$0.170																	
25 - 29	\$0.100	\$0.170																	
30 - 34	\$0.130	\$0.230																	
35 - 39	\$0.150	\$0.300																	
40 - 44	\$0.200	\$0.410																	
45 - 49	\$0.320	\$0.700																	
50 - 54	\$0.500	\$1.110	\$0.900																
55 - 59	\$0.850	\$1.880																	
60 - 64	\$1.430	\$2.620																	
65 - 69	\$2.320	\$4.160																	
70 - 74	\$3.350	\$5.180																	
75 - 79	\$6.270	\$8.690																	
80 - 84	\$10.640	\$13.270																	
85+	\$17.760	\$19.690																	
AD & D Rate (per \$1,000)	N / A	N / A	N / A																
Notes:																			

Carrier Name	Cigna - Current
Effective Date	January 1, 2019
Class Description	All Full-Time Employees
Elimination Period	
Accident	0 days
Illness	7 days
Benefit Begins	1st day / 7th day
Benefits	
Percentage	60%
Maximum Weekly	\$1,000
Minimum Weekly	\$25
Benefit Duration	12 weeks Illness, 13 weeks Accident
Pre-existing conditions	3 / 12
Participation	Current
Rate Guarantee	12 months remaining
Premium	
Active Employee Volume	\$77,402
Rate per \$10 of benefit	\$0.470
Monthly Total	\$3,637.89
Annual Total	\$43,654.73
% Over / Under Current Rates	--
Annual Premium Increase / Decrease	--
Notes:	

Carrier Name	Cigna - Current
Effective Date	January 1, 2019
Class Description	All Full-Time Employees
Benefit Percentage	60%
Maximum Benefit	\$5,000
Benefits	
Elimination Period	90 days
Earnings Test	80% / 60%
Own Occupation	24 months
Zero Day Residual	Included
Max Payment Period	SSNRA
Mental & Nervous	24 months lifetime
Drug & Alcohol	24 months lifetime
Survivor Income	3 months
Minimum Benefit	Greater of \$100 or 10%
Pre-ex	3 / 12
Return to Work Incentive	24 months
Trial Work Days	Unlimited
Participation	Current
Rate Guarantee	12 months remaining
Premium	
Active Employee Volume	\$454,487
Rate per \$100 of payroll	\$0.430
Monthly Total	\$1,954.29
Annual Total	\$23,451.53
% Over / Under Current Rates	--
Annual Premium Increase / Decrease	--
Notes	



Action Item 6

CEO Contract – Jennifer Brackney

On October 23, 2018, the Compensation Committee met to discuss the contents of a 1-year employment contract with Jennifer Brackney, as the new CEO of CareerSource Pinellas.

The committee voted on the following three recommendations:

1. Compensate Jennifer Brackney a salary of \$175,000 for a one-year contract, termination for cause only.
2. Grant six (6) weeks of severance pay in the instance of job loss for reasons, other than cause.
3. Offer Jennifer Brackney a “sign-on” bonus of \$12,000 to be paid as a lump sum.

Board Counsel will formulate further details within the written contract, as was discussed at the meeting and present it to the full Board of Directors for consideration.



Information Item 1

Department of Economic Opportunity 2018-2019 Internal Control Questionnaire and Assessment

The Internal Control Questionnaire and Assessment (ICQ) was developed by the Department of Economic Opportunity (DEO), Bureau of Financial Monitoring and Accountability, as a self-assessment tool to help evaluate whether a system of sound internal control exists within the Local Workforce Development Board (LWDB). An effective system of internal control provides reasonable assurance that management's goals are being properly pursued. Each LWDB's management team sets the tone and has ultimate responsibility for a strong system of internal controls.

The self-assessment ratings and responses should reflect the controls in place or identify areas where additional or compensating controls could be enhanced. When the questionnaire and the certification are complete, each LWDB must submit them to DEO by uploading to SharePoint.

2018-19 Internal Control Questionnaire and Assessment

Bureau of Financial Monitoring and Accountability
Florida Department of Economic Opportunity

September 14, 2018



107 East Madison Street
Caldwell Building
Tallahassee, Florida 32399
www.floridajobs.org

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OVERVIEW

Introduction and Purpose

The Internal Control Questionnaire and Assessment (ICQ) was developed by the Department of Economic Opportunity (DEO), Bureau of Financial Monitoring and Accountability, as a self-assessment tool to help evaluate whether a system of sound internal control exists within the Local Workforce Development Board (LWDB). An effective system of internal control provides reasonable assurance that management's goals are being properly pursued. Each LWDB's management team sets the tone and has ultimate responsibility for a strong system of internal controls.

The self-assessment ratings and responses should reflect the controls in place or identify areas where additional or compensating controls could be enhanced. When the questionnaire and the certification are complete, submit them to DEO by uploading to SharePoint.

Definition and Objectives of Internal Controls

Internal control is a process, effected by an entity's board of directors, management and other personnel, designed to provide "reasonable assurance" regarding the achievement of objectives in the following categories:

- Effectiveness and efficiency of operations
- Reliability of financial reporting
- Compliance with applicable laws and regulations

The concept of reasonable assurance implies the internal control system for any entity, will offer a reasonable level of assurance that operating objectives can be achieved.

Need for Internal Controls

Internal controls help to ensure the direction, policies, procedures, and practices designed and approved by management and the governing board are put in place and are functioning as designed/desired. Internal controls should be designed to achieve the objectives and adequately safeguard assets from loss or unauthorized use or disposition, and to provide assurance assets are used solely for authorized purposes in compliance with Federal laws, regulations, and program compliance requirements. Additionally, Title 2, Part 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, § 200.303 Internal controls, states:

The non-Federal entity must:

- (a) Establish and maintain effective internal control over the Federal award that provides reasonable assurance the non-Federal entity is managing the Federal award in compliance with Federal statutes, regulations, and the terms and conditions of the Federal award. These internal controls should be in compliance with guidance in “Standards for Internal Control in the Federal Government” issued by the Comptroller General of the United States and the “Internal Control Integrated Framework”, issued by the Committee of Sponsoring Organizations of the Treadway Commission (COSO).
- (b) Comply with Federal statutes, regulations, and the terms and conditions of the Federal awards.
- (c) Evaluate and monitor the non-Federal entity's compliance with statute, regulations and the terms and conditions of Federal awards.
- (d) Take prompt action when instances of noncompliance are identified including noncompliance identified in audit findings.
- (e) Take reasonable measures to safeguard protected personally identifiable information and other information the Federal awarding agency or pass-through entity designates as sensitive or the non-Federal entity considers sensitive consistent with applicable Federal, state and local laws regarding privacy and obligations of confidentiality.

What Internal Controls Cannot Do

As important as an internal control system is to an organization, an effective system will not guarantee an organization's success. Effective internal controls can keep the right people, such as management and the

governing board members, informed about the organization's operations and progress toward goals and objectives. However, these controls cannot protect against economic downturns or make an understaffed entity operate at full capacity. Internal controls can only provide reasonable, but not absolute, assurance the entity's objectives can be met. Due to limitations inherent to all internal controls systems, breakdowns in the internal control system may be caused by a simple error or mistake, or by faulty judgments made at any level of management. In addition, controls may be circumvented by collusion or by management override. The design of the internal controls system is dependent upon the resources available, which means there must be a cost-benefit analysis performed as part of designing the internal control system.

Five Components of Internal Control

- **Control Environment** – is the set of standards, processes, and structures that provide the basis for carrying out internal control across the organization. The board of directors and senior management establish the tone at the top regarding the importance of internal control and expected standards of conduct.
- **Risk Assessment** – involves a dynamic and iterative process for identifying and analyzing risks to achieving the entity's objectives, forming a basis for determining how risks should be managed. Management considers possible changes in the external environment and within its own business model that may impede its ability to achieve objectives.
- **Control Activities** – are the actions established by policies and procedures to help ensure that management directives mitigate risks to the achievement of objectives are carried out. Control activities are performed at all levels of the entity and at various stages within business processes, and over the technology environment.
- **Information and Communication** – are necessary for the entity to carry out internal control responsibilities in support of achievement of its objectives. Communication occurs both internally and externally and provides the **organization** with the information needed to carry out day-to-day internal control activities. Communication enables personnel to understand internal control responsibilities and their importance to the achievement of objectives.
- **Monitoring** – are ongoing evaluations, separate evaluations, or some combination of the two used to ascertain whether the components of internal control, including controls to effect the principles within each component, are present and functioning. Findings are evaluated and deficiencies are

communicated in a timely manner, with serious matters reported to senior management and to the board of directors.

Makeup of the ICQ

Subsequent sections of this document emphasize the “17 Principles” of internal control developed by the Committee of Sponsoring Organizations of the Treadway Commission (COSO) and presented in the Internal Control – Integrated Framework. The five components of internal control listed above are fundamentally the same as the five standards of internal control and reflect the same concepts the “Standards for Internal Control in the Federal Government” utilizes.

The principles are reflected in groupings of questions related to major areas of control focus within the organization. Each question represents an element or characteristic of control that is or can be used to promote the assurance that operations are executed as management intended.

It should be noted that entities may have adequate internal controls even though some or all of the listed characteristics are not present. Entities could have other appropriate internal controls operating effectively that are not included here. The entity will need to exercise judgment in determining the most appropriate and cost effective internal control in a given environment or circumstance to provide reasonable assurance for compliance with Federal program requirements.

Completing the Document

On a scale of 1 to 5, with “1” indicating the greatest need for improvements in internal controls and “5” indicating that a strong system of internal controls already exists, select the number that best describes your current operating environment. Please provide details in the comments/explanations column for each statement with a score of 1 or 2. **For those questions requiring a narrative, please provide in the comments/explanations column.**

Certification of Self-Assessment of Internal Controls

Attachment A, includes a certification which should be completed and signed by the Executive Director, reviewed and signed by the Board Chair or their designee and uploaded to SharePoint.

CONTROL ENVIRONMENT

		<i>Self-Assessment of Policies, Procedures, and Processes</i>					Comments/Explanations
		<i>Weak</i>		<i>Strong</i>			
		1	2	3	4	5	
Principle 1. The organization demonstrates a commitment to integrity and ethical values.							
1.	The LWDB's management and board of directors' commitment to integrity and ethical behavior is consistently and effectively communicated throughout the LWDB, both in words and deeds.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Integrity and ethical behavior is an integral component to the LWDB's beliefs, values and standards of conduct. Management and the Board of Directors attitude and actions adequately set the tone of the organization influencing the control consciousness of the employees. This "tone" is apparent in committee, director and staff meetings.
2.	The LWDB has a code of conduct and/or ethics policy that has been communicated to all staff, board members, and outsourced service providers. Provide policy/policy number(s) and page number(s) that address the statement made above.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Staff: LWDB's code of ethics and code of conduct clearly defines expectations and standards that align with management's beliefs. <u>The code of conduct (p27) and code of ethics (p26) is included in the LWDB's employee handbook.</u> The employee handbook is signed by each employee as evidence that they understand the policies, rules and regulations of the LWDB. Board members: All board members will complete a standard of conduct provided by Pinellas County. Outsourced service provider: Included as a provision in the Subrecipient agreement.

3.	When the LWDB hires employees from outside of the organization the person is trained or made aware of the importance of high ethics and sound internal controls.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	The code of conduct and code of ethics is included the LWDB's employee handbook. The employee handbook is signed by a new employee as evidence that they understand the policies, rules and regulations of the LWDB. In addition, desk guides and standard operating procedures address internal controls.
Principle 2. The board of directors demonstrates independence from management and exercises oversight of the development and performance of internal control.							
4.	The board of directors define, maintain, and periodically evaluate the skills and expertise needed among its members to enable them to question and scrutinize management's activities and present alternate views.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	The structure of the Board is maintained in accordance with Federal and State regulations. All members are appointed by the Pinellas County Board of County Commissioners. Members are reviewed based on their qualifications to ensure there are a variety of skill sets. The composition of the Board as well as the various committees, allows for members to present alternative views. Committees. Chairperson of each committee is a community employer. The members ensure the workforce system is demand driven by providing valuable feedback on the local economy and community as a whole. They are able to provide first-hand knowledge of employment needs in their industry. All board members will complete a standards of conduct form provided by Pinellas County. The LWDB is currently conducting a review of their roles and responsibilities as it relates to

							oversight of the development and performance of internal controls.
5.	The board of directors and/or audit committee maintains a direct line of communication with the board's external auditors and internal monitors.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	The LWDB's external auditors directly communicate both verbally and in writing to the Audit Committee. In addition, the external auditor will do initial presentation to the board of the overall financial statement audit by request. The annual audit review was presented and approved at the Audit Committee, Executive Committee and at the full Board Meeting.
6.	The board of directors establishes the expectations and evaluates the performance of the chief executive officer or equivalent role.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	The board of directors reviews/evaluates/approves the CEO's performance goals. In light of recent events, the board of directors will be reviewing the criteria and methods of evaluation to ensure performance meet the expectation of the board of directors.
Principle 3. Management establishes, with board oversight, structures, reporting lines, and appropriate authorities and responsibilities in the pursuit of objectives.							
7.	Management reviews and modifies the organizational structure of the LWDB in light of anticipated changing conditions or revised priorities.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Recently, the LWDB has made significant changes to the organizational structure, including a complete separation of shared services. This separation of shared services occurred on September 1 st . At this time, the LWDB has developed a new organizational structure to include a CEO and CFO. The organizational structure is designed to provide a proper decision making framework. The structure, groups, divides and coordinates the tasks

							required to achieve the LWDB's identified goals. The organizational structure makes best use of available resources while maintaining adequate controls to ensure compliance with federal and state rules and regulations and other applicable requirements.
8.	Specific lines of authority and responsibility are established to ensure compliance with federal and state laws and regulations.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	The LWDB is in the process of reviewing specific lines of authority to ensure compliance with federal and state laws and regulations.

CONTROL ENVIRONMENT (continued)

		<i>Self-Assessment of Policies, Procedures, and Processes</i>					Comments/Explanations
		<i>Weak</i>		<i>Strong</i>			
		1	2	3	4	5	
9.	The LWDB management understands the importance of internal controls, including the division of responsibility.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	The LWDB is currently changing the organizational structure to include a CEO and CFO. This dictates appropriate controls by segregating the duties of responsibilities.
Principle 4. The organization demonstrates a commitment to attract, develop, and retain competent individuals in alignment with objectives.							
10.	The LWDB provides training opportunities or continuing education to develop and retain sufficient and competent personnel. Describe the Specific Training Offered	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	The CEO and CFO will evaluate training opportunities or continuing education that will aid in the development and retention of sufficient and competent personnel. DEO training through technical assistance. In addition, key Finance personnel attend FOG meetings and applicable webinars throughout the year. Finally, Finance personnel at a Director level or above attend not-for-

							profit updates on an annual basis and the appropriate CPE credits to maintain their CPA license.
11.	The LWDB has succession plans for senior management and contingency plans for assignments of responsibilities important for internal control.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	The Organization understands the importance of a succession plan and contingency plan for assignment of responsibilities. In the event there is an open Director level position, the program coordinator will work directly with the CEO until the position is filled. The Chair will appoint an interim CEO in the event this position is vacated. CEO will appoint interim CFO, if needed. A proactive and systematic process will be put in place to identify those positions considered to be at the core of the organization. Based on this information, the CEO will create a strategic plan to fill those positions with capable and qualified employees. The organization will re-evaluate this business structure in six months.
12.	For all positions, there are current written job descriptions, reference manuals or other forms of communication to inform personnel of their duties. How Often are Positions Descriptions Reviewed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	A job descriptions exists for each position. Upon hire, each employee is required to review their job description.. The most recent review was conducted in 2016. A comprehensive review of job descriptions will be completed during 2018. Job descriptions will be reviewed annually.
Principle 5. The organization holds individuals accountable for their internal control responsibilities in the pursuit of objectives.							

13.	Policies, processes or directives are in place that ensures employees are aware of their role related to internal control responsibilities.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	All financial processes will be reviewed for internal control and efficiency purposes. Financial and Procurement Policies will be updated and documented as appropriate. In addition, informal meetings are held with staff members to discuss their internal control responsibilities as well as included in job descriptions, desk guides and quarterly trainings. As part of that review, we will reiterate directives to ensure employees are aware of their role as it relates to internal controls.
14.	The LWDB's structure and tone at the top helps establish and enforce individual accountability for performance of internal control responsibilities.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	In light of recent events, the LWDB's structure and tone regarding individual accountability has been amplified throughout the organization. As part of this, the organization's tone reinforces the requirement for individual accountability for performance of internal controls and responsibilities. LWDB reviews and discusses the results of quarterly monitoring with Director of Audits, Programs and Contracts to identify additional areas of focus, if needed.
15.	The LWDB has policies, processes and controls in place to evaluate and promote accountability of outsourced service providers (and other business partners) and their internal control responsibilities. Provide policy/policy number(s) and page number(s) that address the statement made above.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Subrecipient service providers are monitored, as needed, and required by Federal Grant Guidelines and the Organization's <i>Compliance Monitoring Policies and Procedures</i> . Also, vendors are monitored and reviewed to ensure compliance with

							deliverables. The respective agreement is used as a tool for monitoring.
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RISK ASSESSMENT

		<i>Self-Assessment of Policies, Procedures, and Processes</i>					Comments/Explanations
		<i>Weak</i>		<i>Strong</i>			
		1	2	3	4	5	
Principle 6. The organization specifies with sufficient clarity to enable the identification and assessment of risks relating to objectives.							
16.	Management establishes a materiality threshold for each of its major objectives and identifies risk at each location where the LWDB conducts activities.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Finance and operations management will be performing a risk assessment for each of its major objectives and at each of its locations by the end the first quarter of 2019. Where appropriate, key controls will be implemented, communicated to the appropriate staff and periodically monitored.
17.	Management uses operational objectives as a basis for allocating the resources needed to achieve desired operational and financial performance.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Risk/Benefit analysis is performed periodically as a basis for allocating/prioritizing resources to operational objectives and goals. Metrics will be developed to monitor the performance. Corrective actions and/or reallocation of resources will be enacted if appropriate.
18.	The LWDB sets entity-wide financial reporting controls and assesses the risks that those controls will not prevent material misstatements, errors, or omissions in the financial statements.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Segregation of duties will be implemented where appropriate. In addition, a monthly financial package will be developed and distributed that contains, a monthly review of actual versus budgets, actuals versus prior years, grant spending, etc. Also,

						<p>quarterly meetings, at minimum, with department stakeholders will be implemented to review spending, budgets and grant status.</p> <p>On a monthly basis, balance sheet reconciliations will be performed for all balance sheet accounts and an audit will be performed by an outside CPA firm annually.</p>	
Principle 7. The organization identifies risks to the achievement of its objectives across the entity and analyzes risks as a basis for determining how the risks should be managed.							
19.	<p>Management ensures that risk identification considers internal and external factors and the potential impact on the achievement of objectives.</p> <p>What are three biggest risks affecting the organization, and what mitigating controls are in place?</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p>Finance: With the elimination of shared services. CSPIN has had to build a finance and administrative team and system from the ground up. In addition, there is a reduction of funding budget; a need to better utilize technology to monitoring financial activities and develop reports; and to provide additional oversight by finance committee.</p> <p>Loss of key personnel: Cross training; talent management; addressing competency gaps; attracting, retaining and developing quality talent; and consideration for a more formalized succession plan.</p> <p>External Influences: External factors include the public perception; the need to rebuild trust within the general community and with employers. In addition, the realities of the current</p>

		<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	economic trend, including the low unemployment rate..
20.	<p>The LWDB adequately and effectively manages risks to the organization and has designed internal controls that mitigate the known risks.</p> <p>What new controls, if any, have been implemented since the prior year and what organizational risks do they mitigate?</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p>Due to recent events, CSPIN decided to no longer participate in a shared services model. This was important decision in order to focus on the development of sound business structure in Pinellas county. As part of this process, CSPIN is building the leadership team; reviewing the entire fiscal process to move to a more automated system; reviewing program operations; and awaiting final reports from DOL/OIG/DEO to ensure policies and procedures align with state/federal guidelines.</p>
21.	<p>The LWDB's risk identification/assessment is broad and includes all significant interactions, both internal to the LWDB and its business partners and outsourced service providers.</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p>The LWDB has established performance indicators for key objectives and monitors those indicators on a regular basis as well as communicates policies to business partners and services providers via formal or informal meetings, as needed. In addition, we will ensure that all contracts with outsourced service providers contain confidentiality agreements, conflict of interest certifications and that the provider will abide by all laws and norms when conducting business as an agent of the LWDB. Also, we will evaluate the cost/benefit of an employee hotline to be able to make anonymous calls with issues that may arise internally.</p>
Principle 8. The organization considers the potential for fraud in assessing risks to the achievement of							

objectives.							
22.	The LWDB periodically performs an assessment of is exposures to fraudulent activity and how the operations could be impacted.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	The Organization continuously evaluates areas of exposure to fraudulent activity. A Director's meeting will be scheduled in the upcoming months to evaluate potential exposures. In addition, quarterly internal monitoring will be utilized as a means of identifying potential risk areas. As noted above, finance and operations management will be performing a risk assessment for each of its major objectives and at each of its locations by the end the first quarter of 2019. In addition, the LWDB is hiring a new finance team who will develop and set up new processes to ensure that financial transactions are recorded timely and accurately and financial statements can be relied up to meet the objectives of the organization. One area already identified that will be revamped is the online Purchase Order and approval process to take advantage of available technologies.

<i>Self-Assessment of Policies, Procedures, and Processes</i>					Comments/Explanations
<i>Weak</i>		<i>Strong</i>			
1	2	3	4	5	

23.	<p>The LWDB periodically performs an assessment of each of its operating locations' exposure to fraudulent activity and how the operations could be impacted.</p> <p>When was the last assessment performed, and by whom?</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p>The new CFO, along with operations, will evaluate all major business operations and objectives. From a financial standpoint, the goal is to utilize financial software and other technology to adequately and timely record all transactions. Overall, the organization continuously evaluates areas of exposure to fraudulent activity. Director's meeting is also used as a forum to discuss areas of potential impact. In addition, quarterly internal monitoring will be utilized as a means of identifying potential risk areas. Quarter ending June 30, 2018 most recent programmatic monitoring was conducted. One Stop Credentialing performed by Program Monitoring in November 2017.</p>
24.	<p>The LWDB's assessment of fraud risks considers opportunities for unauthorized acquisition, use and disposal of assets, altering the reporting records, or committing other inappropriate acts.</p> <p>In the comments/explanations section, provide a narrative of the system/process for safeguarding prepaid program items (i.e. gas cards, visa cards) against unauthorized use/distribution.</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p>As noted above, we will be modifying and tightening controls surrounding online Purchase Order and approval process. Relating to prepared cards, our intent is to minimize the use and pay vendors directly instead of to the participants. For prepaid cards that will be used, they will be tightly controlled, inventory kept, and surprise audits performed. We will evaluate additional controls including requiring the participant to sign an acknowledgement of receipt of the cards and attestation that they will use the cards for their intended purpose.</p>
<p>Principle 9. The organization identifies and assesses changes that could significantly impact the system of internal controls.</p>							

25.	<p>The LWDB has mechanisms in place to identify and react to risks presented by changes in government, regulatory, economic, operating, or other conditions that could affect the achievement of the goals and objectives.</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p>Any legislative, regulatory, or changes in accounting principles are reviewed and mandatory training implemented within the quarter of the change. Also, the CEO receives and disseminates via email to all Directors USDOL/ETA advisories and DEO communiques which impact the Organization. In addition, the CEO regularly attends WFI meetings. Also, the Finance Directors attend various webinars on upcoming changes in financial accounting standards. Also, management will perform a SWOT analysis on an annual basis to identify organizational strengths, weaknesses, opportunities and threats. Finance will implement monthly/quarterly financial reviews with program stakeholders to review costs and trends.</p>
26.	<p>The most significant risks affecting the LWDB have been identified and controls designed and implemented that mitigate risks.</p> <p>Identify three of the most significant internal risk that could impact the achievement of objectives.</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<p>1) Reduction in funding 2) Loss of key personnel 3) Lack of use of technology for transactions/backup (too much use of Excel worksheets).</p>
27.	<p>Considering the most significant risks, identified above, have controls been designed and implemented that mitigate risks associated with each.</p> <p>In the comments/explanations section, please elaborate on the mitigating controls.</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<p>1) budget, continuous monitoring, burn report to monitor expenditure rate, oversight by finance committee, SWOT analysis 2) Cross training; consideration for a more formalized succession plan will be looked into</p>

								3) New finance team will be aggressively looking at better ways to use existing technology tools to ensure timelier recording of financial transactions, more efficient use of time and better use of resources and build in better financial controls.
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CONTROL ACTIVITIES

		Self-Assessment of Policies, Procedures, and Processes					Comments/Explanations
		Weak		Strong			
		1	2	3	4	5	
Principle 10. The organization selects and develops control activities that contribute to the mitigation of risks to the achievement of objectives to acceptable levels.							
28.	Management control activities consider all the relevant business processes, information technology and locations where control activities are needed, including outsourced service providers and other partners.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	On a weekly basis, network access is audited using the Microsoft Active Directory. In addition, a physical firewall is installed on the perimeter of the LWDB's network to control access to the internal network. The LWDB will also be developing Disaster Recovery and Business Continuity plans.
29.	Controls employed by the LWDB include authorizations, approvals, comparisons, physical counts, reconciliations and supervisory controls.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Some of the areas that will be strengthened will be montly balance sheet reconciliations, development of a monthly financial package, monthly/quarterly financial reviews with internal stakeholders and online purchase order and approval process.
30.	The LWDB periodically (e.g., quarterly, semiannually) reviews system privileges and access controls to the different applications and databases within the IT infrastructure to determine whether system privileges and access controls are appropriate.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	RSO reviews and updates system privileges and access.
Principle 11. The organization selects and develops general control activities over technology to support the achievement of objectives.							
31.	Management selects and develops control activities that are designed and implemented to restrict technology access rights to authorized users commensurate with their job responsibilities and to protect the entity's assets from external threats. In the comments/explanations section, provide a narrative of the process of authorizing access for new employees,	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	IT provides access based upon direction provided by supervisory level staff, HR directs email to key personnel to remove system access, as applicable.

CONTROL ACTIVITIES

		<i>Self-Assessment of Policies, Procedures, and Processes</i>					Comments/Explanations
		<i>Weak</i>		<i>Strong</i>			
		1	2	3	4	5	
	revoking access for separated employees, and changes to authorized users commensurate with their changes to their job responsibilities.						
32.	Management has identified the appropriate technology controls that address the risks of using applications hosted by third-parties.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	In all cases, IT must test and approve installation and use of third party hosted software as part of the computer software use policy.
33.	<p>The LWDB has considered the protection of personally identifiable information (PII), as defined in 501.171(1)(g)1, F.S., of its employees, participants/clients and vendors, and have designed and implemented policies that mitigate the associated risks.</p> <p>Describe how personally identifiable information of program participants is protected and/or redacted.</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	The policy on handling and protection of personally identifiable information and sensitive information applies to all careersource employees, DEP staff located in CareerSource offices, training vendors, program coordinators and partners that have access to PII and/or sensitive information shall be protected through a combination of measures including operational safeguards (policy and training), privacy-specific safeguards (procedures for collection and handling such information) and security controls (role-based access control, passwords, use of encrypted emails, etc.) In addition, the LWDB ensures that confidential information is kept under lock and key and access is limited to only those employees who need the information to perform the functions of their job. Also, the LWDB does not keep any credit card information of any person or

CONTROL ACTIVITIES

		<i>Self-Assessment of Policies, Procedures, and Processes</i>					Comments/Explanations
		<i>Weak</i>		<i>Strong</i>			
		1	2	3	4	5	
							company. Any personal information of participants is kept solely for programmatic purposes and access is limited to only those employees who need it to perform their jobs.

CONTROL ACTIVITIES (continued)

		<i>Self-Assessment of Policies, Procedures, and Processes</i>					Comments/Explanations
		<i>Weak</i>		<i>Strong</i>			
		1	2	3	4	5	
Principle 12. The organization deploys control activities through policies that establish what is expected and procedures that put policies into action.							
34.	The LWDB has policies and procedures addressing proper segregation of duties between the authorization, custody, and recordkeeping for the following tasks, if applicable: Prepaid Program Items (Participant Support Costs), Cash/Receivables, Equipment, Payables/Disbursements, Procurement/Contracting, and Payroll/Human Resources. For tasks lacking the appropriate segregation of duties describe any compensating controls in place in the comments/explanations section.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	The new CFO will evaluate all current processes and modify as appropriate to ensure that there is adequate segregation of duties provided between performance, review and recordkeeping of all tasks. See above for other new processes that will be implemented.
35.	Management has performed a review of all policies and procedures to determine their continued relevance, consistency, compliance with 2 CFR Part 200 (Uniform Guidance) or other guidance or directives. When did the last in-depth policy review occur; what, if any, policies were updated as a result?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Policies and procedures are reviewed on an on-going basis to ensure processes are in compliance with current rules and regulations. In-depth review is in-progress and will continue through the end of the fiscal year.

36.	<p>The LWDB maintains policies and procedures to facilitate the recording and accounting of transactions in compliance with laws, regulations, and provisions of contracts and grant agreements.</p> <p>Provide policy/policy number(s) and page number(s) that address the statement made above.</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<p>With the move from shared services to non-shared services, it is the responsibility of the new CFO to design accounting processes that ensure that ALL transactions being properly recorded and accounted.</p> <p>Financial Policies and Procedures manual exists to facilitate transactions being properly recorded and accounted. Also, prior to recording any transactions to the general ledger, an individual separate from the preparer reviews the entry. A contract checklist is utilized to ensure a contract and/or grant agreement is executed in accordance with applicable laws and regulations. In addition, only the CEO and Board Chair have signatory authority over contracts. Additionally, all operating policies and procedures are clearly written and communicated.</p> <p><i>Compliance Monitoring Policies and Procedures. Financial Policies and Procedures. Procurement Policies and Procedures.</i></p>
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INFORMATION AND COMMUNICATION

		<i>Self-Assessment of Policies, Procedures, and Processes</i>					Comments/Explanations
		<i>Weak</i>		<i>Strong</i>			
		1	2	3	4	5	
Principle 13. The organization obtains or generates and uses relevant, quality information to support the functioning of internal control.							
37.	<p>Federal, state, or grant program rules or regulations are reviewed with one or more of the following: governing board, audit, finance or other committee.</p> <p>How often are these reviewed?</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<p>New policies and procedures are reviewed with the relevant committee. However, in light of recent activities, the LWDB is requesting to take a more engaged approach to better understand the program rules and regulations.</p> <p>In-depth review is in-progress and will continue through the end of the fiscal year.</p>
38.	The LWDB considers both internal and external sources of data when identifying relevant information to use in the operation of internal controls.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	The LWDB understands the importance of relevant data (internal and external) in the decision making process and the underlying factors of the data having a predictive value, feedback value and being timely.
39.	<p>The LWDB has controls in place to ensure costs are accurately recorded and allocated to the benefiting federal/state fund or grant.</p> <p>In the comments/explanations section, elaborate on the control(s) that ensure costs accurately recorded.</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<p>The accounting system provides for separate identification of federal grant and nonfederal transactions as each transaction is recorded in a specific fund. The fund identifies the funding source, i.e., WIOA, USDOL, etc. In addition, the funds for which pooled costs have been allocated are transparent to the benefiting fund. Adequate source documentation exists to support amounts and items reported. We will continue to monitor</p>

INFORMATION AND COMMUNICATION

		<i>Self-Assessment of Policies, Procedures, and Processes</i>					Comments/Explanations
		<i>Weak</i>		<i>Strong</i>			
		1	2	3	4	5	
							and review to ensure controls are in place to accurately record and allocate costs.
Principle 14. The organization internally communicates information, including objectives and responsibilities for internal control, necessary to support the functioning of internal control.							
40.	Communication exists between management and the board of directors so that both have information needed to fulfill their roles with respect to the LWDB's objectives.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Board of Directors (BOD) meetings occur every other month. Each meeting will include minutes and consent agendas from all the respective committees. Additionally, the BOD is given the five year plan for review and the 990. Included in the meetings are the activities, objectives, and goals of each of the respective committees.
41.	There is a process to quickly disseminate critical information throughout the LWDB when necessary. Please provide a description of the dissemination process.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Email is used to quickly disseminate critical information throughout the LWDB when necessary by applicable staff. We are reviewing the communication process to ensure we have explored all options for communication and provide a distribution forum that quickly disseminates critical information.
42.	Management has a process for the development, approval and implementation of policy updates and communicates those updates to staff.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Policy updates are communicated by and disseminated to staff by mandatory training and staff meetings. We are currently reviewing the communication is robust and adequately provides guidance regarding the development, approval

INFORMATION AND COMMUNICATION

		<i>Self-Assessment of Policies, Procedures, and Processes</i>					Comments/Explanations
		<i>Weak</i>		<i>Strong</i>			
		1	2	3	4	5	
							and implementation of policy.
Principle 15. The organization communicates with external parties regarding matters affecting the functioning of internal control.							
43.	<p>The LWDB has a means for anyone to report suspected improprieties regarding fraud; errors in financial reporting, procurement, and contracting; improper use or disposition of equipment; and misrepresentation or false statements.</p> <p>Describe the process of how someone could report improprieties. Who receives/processes/investigates, etc.?</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	The LWDB Board Chair has provided his direct cell phone number to report improprieties along with the opportunity to make anonymous calls with any issues that may arise. As we move forward, in lieu of external hotline, we will consider using the Audit Committee Chair for this role.

INFORMATION AND COMMUNICATION (continued)

		<i>Self-Assessment of Policies, Procedures, and Processes</i>					Comments/Explanations
		<i>Weak</i>		<i>Strong</i>			
		1	2	3	4	5	
44.	The LWDB has processes in place to communicate relevant and timely information to external parties.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Depending on the audience, channels of communication are held via email, phone call, or face to face meeting.
45.	The LWDB has processes in place to communicate the results of reports provided by the following external parties: Independent Auditor, DEO Bureau of Financial Monitoring and Accountability (FMA), DEO Bureau of One-Stop and Program Support, DEO Office of Inspector General, Florida Auditor General, and Federal Awarding Agencies (USDOL, USDHHS, and USDA) to the Board of Directors.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Various committees exist whereby staff can disseminate information. A specific Finance and Audit Committee handles financial and audit related communications. One-Stop Committee would receive One-Stop level information. In addition, Committee level information is also

							shared with and approved, if necessary, by the Executive Committee as well as Board.
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MONITORING ACTIVITIES	Self-Assessment of Policies, Procedures, and Processes					Comments/Explanations
	Weak		Strong			
	1	2	3	4	5	

Principle 16. The organization selects, develops, and performs ongoing and/or separate evaluations to ascertain whether the components of internal control are present and functioning.

46.	The LWDB management periodically evaluates its business processes such as cash management, comparison of budget to actual results, repayment or reprogramming of interest earnings, draw down of funds, procurement, and contracting activities.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Business processes over cash management, budget to actual results, draw down of funds, procurement and contracting activities is reviewed on an on-going basis to ensure control activities are properly designed, effective and implemented. Procedures are modified as needed.
47.	The LWDB management considers the level of staffing, training and skills of people performing the monitoring given the environment and monitoring activities which include observations, inquiries and inspection of source documents.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
48.	LWDB management periodically visits Career Center locations and other decentralized locations (including subrecipients) to determine whether policies and procedures are being followed and functioning as intended. Describe when the most recent visit was performed, by whom, and who were the results communicated to?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Monitoring is periodically conducted during the year to ensure compliance with requirements. Leads are required to perform desk monitoring quarterly. Review of One Stop Centers is performed annually. The last review was conducted in November 2017.

MONITORING ACTIVITIES

		<i>Self-Assessment of Policies, Procedures, and Processes</i>					Comments/Explanations
		<i>Weak</i>		<i>Strong</i>			
		1	2	3	4	5	
Principle 17. The organization evaluates and communicates internal control deficiencies in a timely manner to those parties responsible for taking corrective action, including senior management and the board of directors, as appropriate.							
49.	The LWDB management takes adequate and timely actions to correct deficiencies reported by the external auditors, financial and programmatic monitoring, or internal reviews.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	If deficiencies are reported by the external auditor, financial and/or programmatic monitoring, a plan of action and implementation deadline is established.
50.	The LWDB monitors subrecipients to ensure that federal funds provided are expended only for allowable activities, goods, and services and communicates the monitoring results to the LWDB's board of directors.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Desk and/or on-site monitoring reviews are performed. The results of those monitoring reviews are communicated, as appropriate.

ATTACHMENT A

Department of Economic Opportunity Certification of Self-Assessment of Internal Controls

Local Workforce Development Board: 14

To be completed by the Executive Director:

A self-assessment of internal controls has been conducted for the fiscal monitoring period, April 1, 2018 – March 31, 2019. As part of this self-assessment, the Internal Control Questionnaire developed by the Department of Economic Opportunity has been completed and is available for review.

Signature: _____

Printed Name: Jennifer Brackney

Title: Interim Executive Director

Date:

To be completed by the Board Chair or their designee:

I have reviewed the self-assessment of internal controls that was conducted for the fiscal monitoring period, April 1, 2018 – March 31, 2019.

Signature: _____

Printed Name: Jack Geller

Title: Board Chair

Date:

Please scan and upload to SharePoint an executed copy of this certification on or before October 15, 2018.



Information Item 2

Finance Department Transition

Goal: To develop a finance department using available technology to deliver timely and accurate results to Management, the Board, the State of Florida and all stakeholders of CareerSource Pinellas.

Transition

- CareerSource Pinellas and CareerSource Tampa ceased shared service operations effective September 1, 2018.
- Interim CFO/Consultant was brought on board during the last week of August to assist with separation of accounting shared services.
- Senior Accountant hired September 17, 2018
- Director of Finance hired October 8, 2018. Will assume the role of Chief Financial Officer in the near future.
- Recommended structure of Finance Department: CFO, Senior Accountant and Finance Specialist.

Extension of Hours for CFO Consultant

Per the contract, the CFO consultant was allotted a total of up to 320 hours. The hours are currently at 320. In an effort to assist with the transition of the newly appointed CFO, the consultant will work part time for no more than 150 additional hours through the end of January for a total of no more than 500 hours. During this time, the CFO will conduct work related to the following projects:

- Federal Indirect Cost Rate application.
- Automate Purchase Order entry and approval process and streamline procurement process.
- Modify 2018-2019 Budget for updated grant award amounts.
- Integrate current year planning budget into Abila MIP accounting system to generate budget to actual reports.
- Set up electronic payment process for selected 1099 vendors utilizing outsourced payroll provider.
- Revise and update payroll allocations.
- Reconcile grants funding with accounting system.



Informational Item 3 - One Stop Operator

CareerSource Pinellas defines the role of a One-Stop Operator as an entity that coordinates the service delivery of participating one-stop partners and service providers within the Career Centers.

A request for proposals was issued to solicit bids for a One Stop Operator. On September 28th, the Board of Directors approved entering into contract negotiation with The Kaiser Group dba Dynamic Workforce Solutions.

Per the negotiated contract, Dynamic Workforce Solutions will:

- Establish and/or maintain linkages between all one-stop partners designated by CareerSource Pinellas to improve communication, referral, service delivery, and tracking of performance of the partners;
- Coordinate and hold at least quarterly meetings with one-stop partners designated by CareerSource Pinellas;
- Assist CareerSource Pinellas in the identification of appropriate clauses for Memorandum of Understanding with one-stop partners designated by CareerSource Pinellas as it relates to sharing of information, reporting of performance and tracking of customers;
- Manage, track, and oversee CareerSource Pinellas' Customer Satisfaction initiatives; and
- Conduct online and in person customer service training for CareerSource Pinellas staff and management.

In addition, based on a recommendation from the LWDB, the One-Stop Operator will conduct bi-annual internal programmatic monitoring utilizing the DEO Monitoring Tool.