



**Workforce Development Board
Executive Committee
1000 Emeline Ave., Santa Cruz
Wednesday, April 5, 2017, 8:30 a.m.**

18 W. Beach Street
Watsonville, CA 95076
(831) 763-8900
www.santacruzwb.com

Agenda

- I. Call to Order/Welcome**
- II. Approval of Agenda**
- III. Public Comment**
- IV. Approval of Minutes from February 1, 2017 meeting.....2-6**
- V. Consent Items (separate from agenda packet)**
 - C.1 WIOA Program Monitoring PY 16-17 GCC, SRSN, SBDC
 - C.2 2017-20 WIOA Local and Regional Plans
- VI. Administration**
 - A.1 Data Dashboard **7**
 - A.2 Strategic Plan Report **8-9**
 - A.3 Update on One-Stop Operator Services Procurement **10**
 - A.4 WDB Member Recruitment Update **11-12**
 - A.5 WDB Officer Nomination Process..... **13-16**
 - A.6 NAWB Conference Report **17**
- VII. Committee Reports**
- VIII. Chairperson’s Report**
- IX. Adjournment**

MEMBERS:

- Carol Siegel, Chair
Santa Cruz Seaside Company
- Rob Morse, Vice Chair
Pacific Gas and Electric Company
- Alia Ayyad, Director
Center for Employment Training
- Diane Berry-Wahrer, Supervisor
California Department of Rehabilitation
- Jack Carroll, Chair,
Career and Technical Education
Watsonville/Aptos Adult Education
- Christina Cuevas, Program Director
Community Foundation of Santa Cruz County
- MariaElena De La Garza
Executive Director
Community Action Board
- Marshall Delk, Vice President
Santa Cruz County Bank
- Elyse Destout, Owner
Photography by Elyse Destout
- Yuko Duckworth
Employment Program Manager
Employment Development Department
- Andy Hartmann, Business Manager/
Financial Secretary
IBEW Union, Local 234
- Sean Hebard
Carpenters Local 505
- Mark Hodges, Director,
Regional Occupational Program
Santa Cruz County Office of Education
- Dave Hood, President
First Alarm
- Barbara Mason,
Economic Development Coordinator
Santa Cruz County Economic Development
- Bill Miller, Director of Human Resources
Graniterock
- Francisco Rodriguez, President
PVFT Union, Local 1936
- Shaz Roth, President/CEO
Pajaro Valley Chamber of Commerce
and Agriculture
- Glen Schaller, Political Coordinator
Monterey Bay Central Labor Council, AFL-CIO
- Ron Slack, Owner
Fine Print Graphic Design
- Andy Van Valer, Founder
SlingShotSV

DIRECTOR:
Andy Stone

**Next Meeting: Executive Committee Meeting
Wednesday, May 3, 2017 @ 8:30 a.m.
1000 Emeline Street
Santa Cruz, CA 95060**

**Workforce Development Board Meeting
Wednesday, June 7, 2017 @ 8:30 a.m.
Simpkins Swim Center
979 17th Avenue
Santa Cruz, CA 95062**

The County of Santa Cruz does not discriminate on the basis of disability, and no person shall, by reason of a disability, be denied the benefit of the services, programs, or activities. This meeting is located in an accessible facility. If you are a person with a disability and require special assistance in order to participate in the meeting, please call (831) 763-8900 (TDD/TTY- 711) at least 72 hours in advance of the meeting in order to make arrangements. Persons with disabilities may request a copy of the agenda in an alternative format. As a courtesy to those affected, please attend the meeting smoke and scent free.



**Workforce Development Board
Executive Committee
1000 Emeline Ave., Santa Cruz
Wednesday, February 1, 2017, 8:30 a.m.**

18 W. Beach Street
Watsonville, CA 95076
(831) 763-8900
www.santacruzwb.com

The Chair called the meeting to order at 8:32 a.m., and a quorum was established.

Committee Members in Attendance

Delk, Marshall – Business Services Committee Chair
Destout, Elyse – Youth Council Chair
Hartmann, Andy – (Alt) Youth Vice Chair
Siegel, Carol – Chair
Slack, Ron – Prior Chair

Committee Members Absent

Morse, Rob – Vice Chair
Van Valer, Andy – (Alt) Business Services Committee Vice Chair

Staff in Attendance

Gray, Lacie – WDB Sr. Human Services Analyst
Stone, Andy – WDB Director
Zeller, Brenda – WDB Administrative Coordinator

Guests

Capitola-Duran, Jodi – Workforce Santa Cruz County
Guthrie, Anne – Workforce Santa Cruz County
Ullestad, Sharolynn – Workforce Santa Cruz County

Subject: Call to Order/Welcome

Discussion: Chair Carol Siegel called the meeting to order and asked staff and guests to introduce themselves.

Subject: Approval of Agenda

Action: It was moved to approve the February 1, 2017 Agenda.

Status: Motion to Approve: Marshall Delk
Motion Seconded: Andy Hartmann
Abstentions: None
Committee Action: All in favor, motion passed.

MEMBERS:

- Carol Siegel, Chair
Santa Cruz Seaside Company
 - Rob Morse, Vice Chair
Pacific Gas and Electric Company
 - Alan Aman, Chief Operating Officer
PAMF Santa Cruz
 - Alia Ayyad, Director
Center for Employment Training
 - Diane Berry-Wahrer, Supervisor
California Department of Rehabilitation
 - Jack Carroll, Chair,
Career and Technical Education
Watsonville/Aptos Adult Education
 - Christina Cuevas, Program Director
Community Foundation of Santa Cruz County
 - MariaElena De La Garza,
Executive Director
Community Action Board
 - Marshall Delk, Vice President
Santa Cruz County Bank
 - Elyse Destout, Owner
Photography by Elyse Destout
 - James Dion,
Employment Program Manager
Employment Development Department
 - Andy Hartmann, Business Manager/
Financial Secretary
IBEW Union, Local 234
 - Sean Hebard
Carpenters Local 505
 - Mark Hodges, Director,
Regional Occupational Program
Santa Cruz County Office of Education
 - Dave Hood, President
First Alarm
 - Julie Lambert, Director,
Finance & Human Resources
S. Martinelli and Company
 - Barbara Mason,
Economic Development Coordinator
Santa Cruz County Economic Development
 - Francisco Rodriguez, President
PVFT Union, Local 1936
 - Glen Schaller, Political Coordinator
Monterey Bay Central Labor Council, AFL-CIO
 - Ron Slack, Owner
Fine Print Graphic Design
 - William Tysseling, Executive Director
Santa Cruz Area Chamber of Commerce
 - Andy Van Valer, Founder
SlingShotSV
- DIRECTOR:**
Andy Stone

Subject: Public Comment

There was no public comment.

Subject: Approval of September 7, 2016 Meeting Minutes

Discussion: Chair Carol Siegel called for the September 7, 2016 minutes to be approved.

Action: It was moved to approve the September 7, 2016 Meeting Minutes.

Status: Motion to Approve: Ron Slack
Motion Seconded: Marshall Delk
Abstentions: None
Committee Action: All in favor, motion passed.

Subject: V. Consent Items:

C.1 – Common Measure Performance Update PY 2016-17 Q1
C.1 – PY 16-17 Budget Modification: High Performing WDB Award

Status: Motion to Approve: Ron Slack
Motion Seconded: Andy Hartmann
Abstentions: None
Committee Action: All in favor, motion passed.

Subject: VI. Administration Items:

A.1 – Data Dashboard

Director Andy Stone presented the Data Dashboard, noting there was slight improvement in the unemployment rate compared to the prior year.

A.2 – Strategic Plan Report Update (Action)

Director Andy Stone reviewed the goals for the WIB/WDB Strategic Plan for Program Years (PY) 2014-17 and gave an update on the status of each goal. He noted that the Proposition 39 Pre-Apprenticeship Program was launched in January with 17 students enrolled; a Regional Championship Meeting for the Slingshot Grant was scheduled for February and that Monterey County had hired a Regional Coordinator; the Business Services Committee will be holding a meeting in March with leaders from the business community to begin the process of education and outreach outlined in the Business Engagement Plan; a Purchase Order is in process to develop the next version of the Hot Jobs Report as well as other marketing services to refine the WDB's messaging with the next step being a meeting with an ad hoc

marketing committee; a contractor has been engaged to refine the WDB Scholarship List; and John Chamberlin will return to the next WDB Full Board meeting to give an over view of the National Workforce System, meet with Chair Carol Siegel to discuss a new WDB Member Orientation process, as well as meeting with WDB staff to review and develop WDB policies.

Action: It was moved to accept the WIB/WDB Strategic Plan Status Report as presented.

Status: Motion to Approve: Marshall Delk
Motion Seconded: Elyse Destout
Abstentions: None
Committee Action: All in favor, motion passed.

A.3 – Procurement Status PY 2017-18 (Information)

Director Andy Stone gave an update on the Request for Proposal (RFP) for WIOA Adult, Dislocated Worker and Career Center Operator program services. There were three proposals received, but the RFP was failed after a review by the County's General Services Department (GSD) determined the use of a local vendor preference (assigning additional points to local vendors) contradicted Federal law and could have discouraged non-local vendors from submitting bids. The current contract with Goodwill Central Coast (GCC) to provide Adult and Dislocated Worker services was extended by one year to allow time to conduct another procurement. Due to the Employment Development Department's (EDD) requirement that Career Center Operator services be contracted out, the WDB will be breaking the services into smaller components that can be contracted for under \$35,000 avoiding the need for a RFP process.

A.4 – Technology Sector Initiative (Action)

Director Andy Stone reviewed the status of the Technology Sector Initiative, a partnership with Santa Cruz Works to address the Santa Cruz technology sector's need to attract and retain a skilled tech workforce to be competitive with Silicon Valley. He noted that the process would be similar to the Slingshot Healthcare partnership. WDB staff identified Collaborative Economics as an appropriate vendor to facilitate this initiative, and funds for the contract will be provided by the \$54,838 High Performing WDB Award referenced in Consent Agenda Item C.2.

Action: It was moved to approve the award of the Technology Sector Initiative contract to Collaborative Economics, to forward this recommendation to the WDB for its February 22, 2017 meeting and to recommend the contract be sent to the Board of Supervisors on March 21, 2017 (or thereabouts) for final approval.

Status: Motion to Approve: Marshall Delk
Motion Seconded: Ron Slack

Abstentions: None
Committee Action: All in favor, motion passed.

A.5 – 2017-20 WIOA Local Plan (Action)

Director Andy Stone presented the draft 2017-20 WIOA Local Plan and noted that it had been released to the public on January 18, 2017 and would remain open for public comment until the WDB meeting on February 22, 2017. There were no public comments received during the meeting. Committee members requested the draft plan be distributed to board members as soon as possible to give them time to review prior to the board meeting.

Action: It was moved to accept any comments generated at the meeting about the 2017-20 WIOA Local Plan and to recommend that the Local Plan be forwarded to the Santa Cruz County WDB and then to the Santa Cruz County Board of Supervisors.

Status: Motion to Approve: Ron Slack
Motion Seconded: Marshall Delk
Abstentions: None
Committee Action: All in favor, motion passed.

A.6 – Coastal Region WIOA Plan (Action)

Director Andy Stone presented the draft Coastal Region WIOA Plan and noted that it had been released to the public on January 18, 2017 and would remain open for public comment until February 17, 2017. There were no public comments received during the meeting. Committee members requested the draft plan be distributed to board members as soon as possible to give them time to review prior to the board meeting.

Action: It was moved to accept any comments generated at the meeting about the 4-Year Coastal Region WIOA Plan, to have WDB staff forward the comments to the Monterey County WDB, and to recommend that it be forwarded to the Santa Cruz County WDB and then to the Santa Cruz County Board of Supervisors.

Status: Motion to Approve: Marshall Delk
Motion Seconded: Ron Slack
Abstentions: None
Committee Action: All in favor, motion passed.

A.6 – Planning for February 22 WDB Meeting (Discussion)

Committee members discussed and developed an agenda outline for the February 22 WDB Meeting. Items included: a review of committee activities by committee chairs; an overview of best practices and impact of the new

Presidential administration on the national workforce development system by John Chamberlin; a brief introduction by each board member and an explanation of how their organization is involved in workforce development; guest speaker Matt Weis to discuss his program and what he can do for businesses.

VII. Chairperson's Report

WDB Chair Carol Siegel thanked committee members and staff for attending.

Meeting adjourned at 9:49 a.m.

**Next Meeting: Executive Committee Meeting
Wednesday, April 5, 2017 @ 8:30 a.m.
1000 Emeline Street
Santa Cruz, CA 95060**

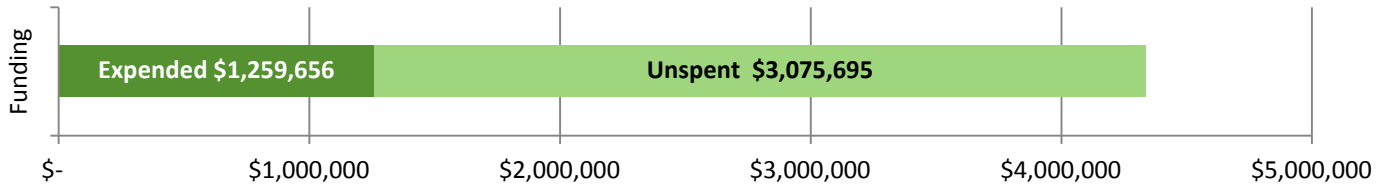
**Workforce Investment Board Meeting
Wednesday, February 22, 2017 @ 8:30 a.m.
Simpkins Swim Center
979 17th Ave.
Santa Cruz, CA 95062**

A.1 Dashboard

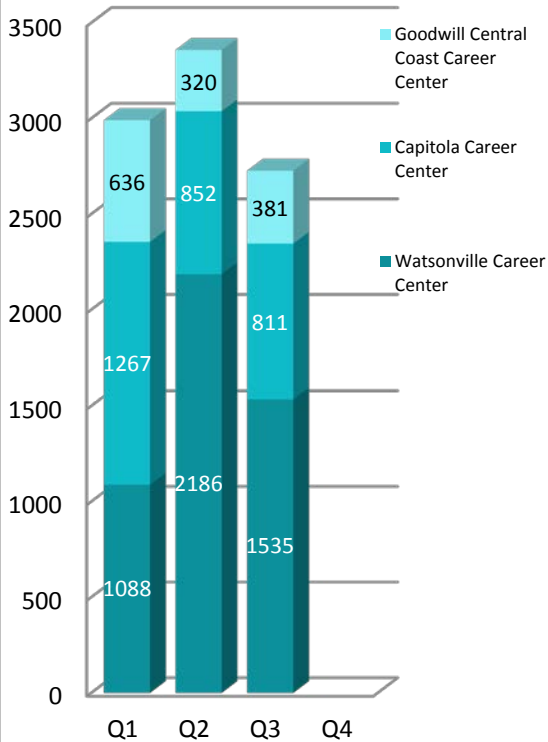
July 1, 2016 to March 30, 2017



Program Year 2016-17 Budget: \$4,335,351



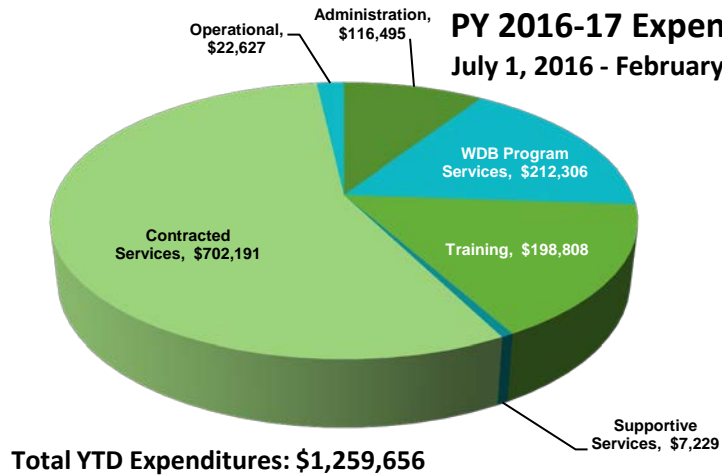
PY 2016-17 Jobseeker Visits
Total Visits by Quarter



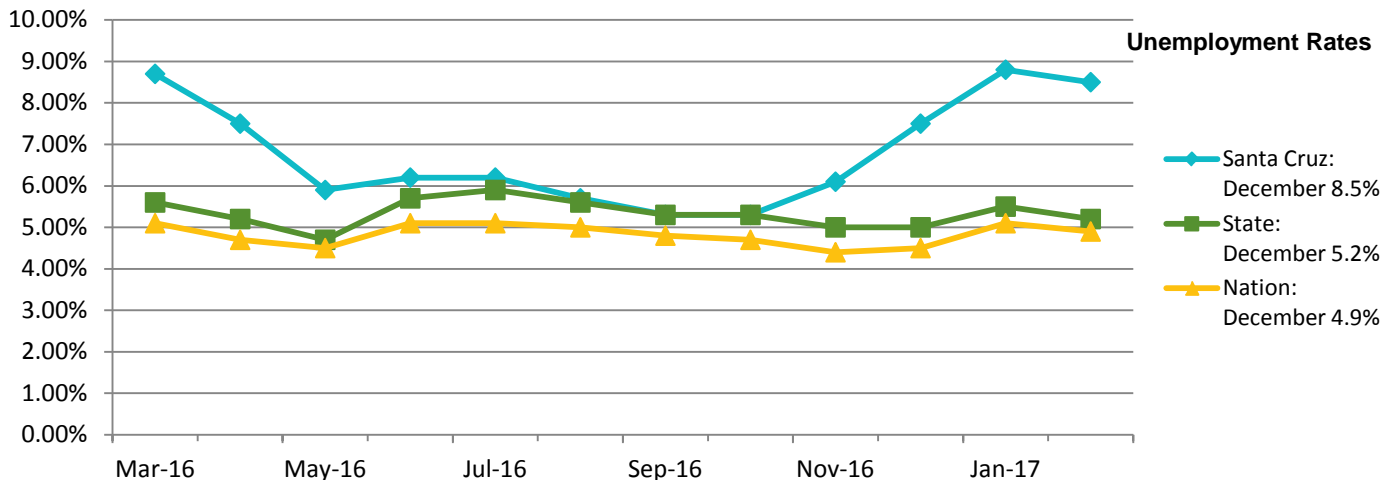
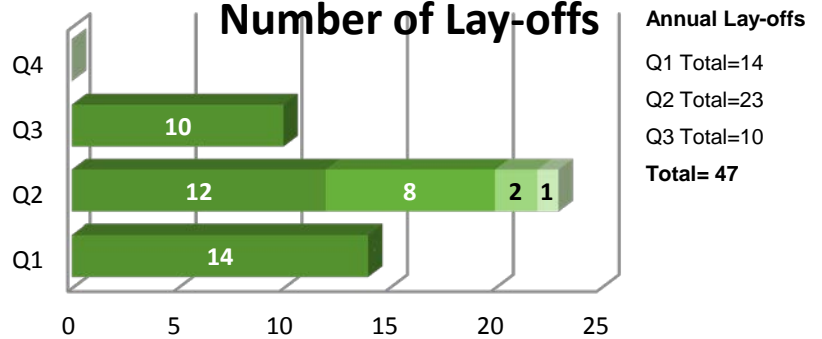
Year to Date Unique Visitors:

Watsonville: 2,623
 Capitola: 1,110
 Goodwill: 529
TOTAL: 4,250

PY 2016-17 Expenditures
July 1, 2016 - February 28, 2017



PY 2016-17 Rapid Response:
Number of Lay-offs





Action Consent Information Discussion

SANTA CRUZ COUNTY
WORKFORCE
DEVELOPMENT

A.2 Strategic Plan Report

| | |
|---|------------------------------------|
| COMMITTEE: Executive Committee | MEETING DATE: April 5, 2017 |
| STAFF NAME: Andy Stone, WDB Director | |

SUMMARY:

On October 8, 2015 the WIB approved the WDB Director's PY 2015-16 Operational Plan which lays out the specific actions for the program year designed to ensure that the Strategic Plan's goals are met. The attached scorecard represents the updated PY 2016-17 outcomes for the approved goals and action steps.

Both the Strategic Plan and the WDB Director's Operational Plan incorporate the 2014-17 Strategic Goals referenced below.

2014-2017 Strategic Goals for Workforce Santa Cruz County

Goal 1: Increase effectiveness of local and regional workforce development system to better meet job seekers, business and community needs

Goal 2: Align workforce development strategies to support local economic development

Goal 3: Develop strategic relationships with educators, employers and community partners to:

- Increase the skill levels of youth and adult job seekers, and
- Create opportunities for employment, career mobility, and self-sufficiency

Goal 4: Increase Board (WDB) Effectiveness

Attachment(s)

SUGGESTED MOTION: (if applicable)

I move to adopt the WDB Director's Operational Plan update for PY 2016-17 and recommend approval by the Workforce Development Board.

| | |
|-----------------------|---|
| COMMITTEE DATE | COMMITTEE APPROVAL: <input type="checkbox"/> Yes <input type="checkbox"/> No Other: |
| BOARD DATE | BOARD APPROVAL: <input type="checkbox"/> Yes <input type="checkbox"/> No Other: |

**A.2 Attachment - Workforce Development Board of Santa Cruz County
STRATEGIC PLAN STATUS REPORT PY 2016-2017**

| | Benchmark (2015-16) | 2016-17 Target | 2016-17 Operational Goals to meet Target | YTD |
|--|---|--|--|---|
| <u>Goal 1</u> Increase effectiveness of local and regional workforce development system to better meet job seekers, business and community needs | Regional Strategies implemented in 2015-16: • Awarded Proposition 39 Pre-Apprenticeship Grant • Awarded Slingshot Grant for Health Care | In 2016-17: Deliver three WDB approved projects | <ul style="list-style-type: none"> Implement regional pre-apprenticeship training program Obtain and implement second round Slingshot grant for Health Care Sector Launch Local Tech Industry Partnership | <p>Prop 39: Classes started in January, 17 students enrolled</p> <p>Slingshot: Regional meeting in March, focus on care coordination and talent</p> <p>Tech Partnership: Kick-off meeting w/ Collaborative Economics on 3/31/17</p> |
| <u>Goal 2</u> Align workforce development strategies to support local economic development | In 2015-16, transitioned CEDS Committee management to the County's Economic Development Office | In 2016-17: Partner with economic development to help employers attract and retain talent | <ul style="list-style-type: none"> Create a county asset map of employment related business incentives Provide staff/partner training on business engagement practices Adopt Business Engagement Plan | <p>Asset Map: Working w/ County Economic Development</p> <p>Training: Provided by Business U on 9/26</p> <p>Business Engagement Plan: Assigned to Business Services Committee</p> |
| <u>Goal 3</u> Develop strategic relationships with educators, employers and community partners to: • Increase the skill levels of youth and adult job seekers, and • Create opportunities for employment, career mobility, and self-sufficiency | In 2015-16, launched WDB Scholarship list pilot program | In 2016-17: Use data and messaging to strategically target employers and job seekers | <ul style="list-style-type: none"> Release Initial County Hot Jobs Report Formalize the WDB Scholarship process with WDB input Establish new WDB messaging and update website content and materials | <p>Hot Jobs Report: Initial report completed</p> <p>WDB Scholarship List: Have started work with Chmura</p> <p>WDB Messaging: Setting up meeting w/ Studio Holladay for marketing services</p> |
| <u>Goal 4</u> Increase Board (WDB) Effectiveness | In 2015-16, approved new 25 member board | In 2016-2017: Establish the WDB as Workforce Development Experts | <ul style="list-style-type: none"> Provide development opportunities for every WDB member Establish a new WDB member on-boarding process Conduct a full WDB policy review and update to meet WDB goals and comply with WIOA | <p>Development Opportunities: Consultant provided WIOA overview at 10/26 WDB Meeting.</p> <p>New WDB Orientation: Consultant to meet w/ WDB chair in February</p> <p>WDB Policy Review: Consultant has begun work, to be completed by June 30, 2017</p> |

Benchmark = beginning of the strategic plan

Target = planned to be at the end of the year

| | |
|--------|---|
| Green | on track to meet planned target for the year |
| Yellow | needs to be watched |
| Red | in danger of not meeting target for the year. |



Action Consent Information Discussion

SANTA CRUZ COUNTY
WORKFORCE
DEVELOPMENT

A.3 Procurement Status PY 2017-18

| | |
|---|------------------------------------|
| COMMITTEE: Executive Committee | MEETING DATE: April 5, 2017 |
| STAFF NAME: Andy Stone, WDB Director | |

SUMMARY:

As you know, your board approved the issuance of a Request for Proposal (RFP) for WIOA Adult, Dislocated Worker and Career Center Operator program services at the June 8, 2016 meeting. The RFP was subsequently released at the Board of Supervisors (BOS) meeting on November 15, 2016.

As part of the process, the WDB worked with the County's General Services Department's Purchasing Division (GSD) to conduct the RFP procurement process. GSD requirements for RFP contracting allow for a one-year contract with three additional one-year options for renewal, for a total possible term of four years. This procurement process provided for a potential contract that could extend from PY 2017-18 through PY 2020-21 based on a contractor cost analysis. A new procurement process will need to be conducted every four years as required by utilizing the County procurement process and according to the Workforce Innovation and Opportunity Act (WIOA).

Results of Competitive Process

As a result of the RFP process managed by GSD three (3) proposals were received as follows: Eckerd Youth Alternatives, Inc., Goodwill Central Coast, and KRA Corporation. GSD exercised its right to withdraw the procurement due to a consequential technical error. The WDB staff, given the timeline, is planning to extend the current provider's contract to continue to provide Adult and Dislocated Worker services while developing a new request for proposals for these services and will bring this item to your Board in June. The One-Stop Operator, however, to meet WIOA guidelines, has to be competitively procured, with a new vendor providing services by July 1, 2017.

One-Stop Operator Procurement

WDB staff developed a solicitation for up to \$35,000 (which can be contracted through a County Purchase Order) for a vendor to provide One-Stop Operator services with the following timeline:

- The Application/Bid Invitation was released March 15, 2017.
- The Deadline for submittals of applications/bids is April 7, 2017.
- Applications/bids will be reviewed and scored April 7 through April 12, 2017.
- Respondents will be notified of the results of the procurement or around April 12, 2017.
- The start date for any resulting contract is July 1, 2017.

Your Committee and Board will be kept apprised of the results of the procurement.

Attachment(s)

SUGGESTED MOTION: (if applicable)

I move to accept the report on the One-Stop Operator Procurement and authorize the WDB Staff to develop a Purchase Order with the successful bidder on the One-Stop Operator Procurement.

| | |
|-----------------------|---|
| COMMITTEE DATE | COMMITTEE APPROVAL: <input type="checkbox"/> Yes <input type="checkbox"/> No Other: |
| BOARD DATE | BOARD APPROVAL: <input type="checkbox"/> Yes <input type="checkbox"/> No Other: |



Action Consent Information Discussion

SANTA CRUZ COUNTY
WORKFORCE
DEVELOPMENT

A.4 WDB Member Recruitment Update

| | |
|---|------------------------------------|
| COMMITTEE: Executive Committee | MEETING DATE: April 5, 2017 |
| STAFF NAME: Andy Stone, WDB Director | |

SUMMARY:

The Workforce Innovation and Opportunity Act (WIOA) requires that the WDB have a Local Business representation majority of 51%. Our current Board representation requirement is thirteen (13) business members, and there are currently four (4) business vacancies (see attachment). The current percentage of Local Business representation is 43%.

Actions since the last regular Executive Committee Meeting (February 1, 2017):

Business Memberships:

- Bill Miller, Human Resources Director, Graniterock, has been appointed by the County Board of Supervisors
- Shaz Roth, CEO/President, Pajaro Valley Chamber of Commerce and Agriculture, has been appointed by the County Board of Supervisors

At this meeting, the Executive Committee will discuss potential strategies and actions to ensure that the WDB meets the membership requirements of WIOA.

Attachment(s)

SUGGESTED MOTION: (if applicable)

I move to accept the WDB Member Recruitment Update and direct WDB staff to take any actions indicated.

| | |
|-----------------------|---|
| COMMITTEE DATE | COMMITTEE APPROVAL: <input type="checkbox"/> Yes <input type="checkbox"/> No Other: |
| BOARD DATE | BOARD APPROVAL: <input type="checkbox"/> Yes <input type="checkbox"/> No Other: |

**A.4 Attachment
Current Workforce Development Board Roster**

| Required Representatives | Name, Title | Organization |
|---|---|--|
| Economic/Community Development (1) | Barbara Mason, Economic Development Coordinator | County of Santa Cruz Economic Development |
| Higher Education (1) | Christina Cuevas, Program Director | Community Foundation of Santa Cruz County |
| Adult Educational Entities (1) | Jack Carroll, Chair, Career and Technical Education | Watsonville/Aptos Adult Education |
| Vocational Rehab (1) | Diane Berry-Wahner, Rehabilitation Supervisor | Department of Rehabilitation |
| Wagner-Peyser (EDD) (1) | Yuko Duckworth, Employment Program Manager | Employment Development Department |
| WIB Nominated - At-Large (optional) (1) | Alia Ayyad, Regional Director (Appointment in progress) | Center for Employment Training |
| County Board of Supervisors (optional) (1) | Mark Hodges, Senior Director (Appointment in Progress) | Regional Occupational Program, Santa Cruz County Office of Education |
| Workforce - Community Based Organizations (optional) (1) | Maria Elena De La Garza, Executive Director | Community Action Board |
| Labor & Pre-Apprenticeship (required minimum of 15-20% including "Workforce") (4) | 1 Andy Hartmann, Business Manager/Financial Secretary | IBEW Union, Local 234 |
| | 2 Sean Hebard, Field Representative | Carpenters Local 505 |
| | 3 Francisco Rodriguez, President | Pajaro Valley Federation of Teachers, Local 1936 |
| | 4 Glen Schaller, Political Coordinator | Teamsters 912/Monterey Bay Central Labor Council |
| Subtotal of Public Sector | 12 | |

| | | |
|--|--|---|
| Local Businesses (required to be majority of 51%) (13) | 1 Marshall Delk, Vice President | Santa Cruz County Bank |
| | 2 Elyse Destout, Owner | Photography by Elyse Destout |
| | 3 Dave Hood, President | First Alarm |
| | 4 Bill Miller, Director of Human Resources | Graniterock |
| | 5 Rob Morse, Manager | Pacific Gas & Electric Company |
| | 6 Shaz Roth, President/Chief Executive Officer | Pajaro Valley Chamber of Commerce & Agriculture |
| | 7 Carol Siegel, Employment Manager | Santa Cruz Seaside Company |
| | 8 Ron Slack, Owner | Fine Print Graphic Design |
| | 9 Andy Van Valer, Owner | SlingShot |
| | 10 TBD | |
| | 11 TBD | |
| | 12 TBD | |
| | 13 TBD | |
| Subtotal Business | 13 | |

Total

25



Action Consent Information Discussion

SANTA CRUZ COUNTY
WORKFORCE
DEVELOPMENT

A.5 WDB Officer Nominations PY 2017-18

| | |
|---|------------------------------------|
| COMMITTEE: Executive Committee | MEETING DATE: April 5, 2017 |
| STAFF NAME: Andy Stone, WDB Director | |

SUMMARY:

The WDB has a Nominating Committee process which calls for the members of the Slate of Officers Nominating Committee to be appointed by the Executive Committee. Listed below is the composition of the Nominating Committee:

Membership of the Nominating Committee shall include and shall follow these principles:

- The immediate past Chair, and one member from the Executive Committee.
- Two at-large members from the WDB membership.
- One member from the prior year's committee membership.
- The number of Nominating Committee members shall be five total members.
- All discretionary members to be appointed by the Executive Committee. The Nominating Committee shall appoint one member from its committee to be a member of the next committee.

Your committee will want to discuss the Nominating Committee process and decide how to proceed.

Past Nominating Committee members have been: Alia Ayyad, James Dion, Dave Hood, Rob Morse, Carol Siegel, Ron Slack, Howard Sherer, and Bill Tysseling. Howard Sherer served as Chair of the most recent Nominating Committee.

The Nominating Committee should return to your committee's May 3, 2017 meeting with a slate of candidates. Then, from the written Nominating Process:

“Executive Committee presents recommended slate of Officers to the Board plus all other nominations before the WDB at the June Board meeting and recommends that nominations be closed. The WDB then votes on a closed written ballot for any contested positions. For positions that are uncontested, a voice vote may be taken. If there are no contested positions the slate may be voted upon in its entirety as a single vote”.

Attachment(s)

SUGGESTED MOTION: (if applicable)

I move to develop a WDB Officer Nominating Committee and develop a Slate of Candidates for Election at the WDB's June 2017 meeting.

| | |
|-----------------------|---|
| COMMITTEE DATE | COMMITTEE APPROVAL: <input type="checkbox"/> Yes <input type="checkbox"/> No Other: |
| BOARD DATE | BOARD APPROVAL: <input type="checkbox"/> Yes <input type="checkbox"/> No Other: |

A.5 Attachment 1

NOMINATING COMMITTEE PROCESS FOR THE WORKFORCE DEVELOPMENT BOARD

1. Purpose.
The purpose of this is to define a process for the nomination of WDB officers that is inclusive and effective in identifying candidates who are willing and capable of assuming leadership roles on the WDB.
2. Committee Membership.
Membership of the Nominating Committee shall include:
 - a. The immediate past chair, and one member from the executive committee;
 - b. Two at large members from the WDB membership.
 - c. One member from the prior year's committee membership.
 - d. The number of Nominating Committee members shall be five total members.
 - e. All discretionary members to be appointed by the Executive Committee. The Nominating Committee shall appoint one member from its Committee to be a member of the next Committee.
3. Committee Duties
The Nominating Committee shall recommend for approval to the Executive Committee a slate of WDB officers, to be voted on by the entire Board, for: a) Board Chair and Vice Chair; b) Chair and Vice Chair of Business Services Committee; c) Chair and Vice Chair of Youth Council.
4. Schedule.
 - a. WDB elections shall open at the January Meeting of every year.
 - b. Board wide nominations close on March 31.
 - c. Nominating Committee presents recommended slate in time for May Executive Committee meeting plus all other nominations received.
 - d. Executive Committee presents recommended slate of Officers to the Board plus all other nominations before the WDB, at the June Board meeting and recommends that nominations be closed. The WDB then votes on a closed written ballot for any contested positions. For positions that are uncontested a voice vote may be taken. If there are no contested positions the slate may be voted upon in its entirety as a single vote.
5. Mid-Term Resignations
 - a. Board Chair accepts resignation and determines whether there is enough time left in the term to seek a new officer. If so, Board Chair informs the Chair of the nominating committee.
 - b. Chair of the nominating committee informs the other members of the committee and places on the next agenda an open request for nominations.
 - c. Open nominations are closed at the end of 30 days.
 - d. Nominating Committee forwards to the Board Chair in time for the Executive Committee meeting before the next Board meeting the Committee's recommended slate plus all other nominations.
 - e. The Executive Committee places on the next board agenda, the recommended slate and all other nominations. The election is then conducted as described under item 4.d.

6. Procedures/Definitions and other Considerations.
 - a. Board and Committee officer assignments are one-year terms. Each term to begin at the first WDB meeting following the regular June meeting of each calendar year and continue through the regular June meeting of next calendar year.
 - b. To be valid, a nomination requires any one voting member of the Board to place a name into nomination, including self-nominations, and for the individual nominated to accept the nominations. If the Board Member nominated is not at the meeting in which the nomination occurs, the nominating committee shall contact that Member to determine whether the nomination is accepted.
 - c. A majority vote of a quorum of the Board is sufficient to elect the nominee to the position. If there are more than two nominations for any one open position and no individual receives a majority of a quorum vote then the top two vote getters are submitted to the Board for a final run-off election.
 - d. For uncontested seats, a motion to adopt the slate and a voice vote from the floor would be appropriate.
 - e. For any contested seats: a motion to adopt the uncontested positions and a voice vote on the uncontested positions would be appropriate. Confidential paper ballots shall be used for votes on all contested seats.

A.5 Attachment 2
WDB Current Officers Slate

WDB Officers for 2016-2017

| WDB Governing Body | Position | Member |
|--|---|----------------|
| <i>Full Board / Executive Committee</i> | Chair | Carol Siegel |
| | Vice-Chair | Rob Morse |
| | Immediate Past Chair / At Large Member | Ron Slack |
| <i>Business Services</i> | Chair | Marshall Delk |
| | Vice-Chair | Andy Van Valer |
| <i>Youth Council</i> | Chair | Elyse Destout |
| | Vice-Chair | Andy Hartman |



Action Consent Information Discussion

A.6 NAWB Conference Report

| | |
|---|------------------------------------|
| COMMITTEE: Executive Committee | MEETING DATE: April 5, 2016 |
| STAFF NAME: Andy Stone, WDB Director | |

SUMMARY:

In March 2017 Ron Slack, Carol Siegel, Marshall Delk, and Andy Stone attended the annual National Association of Workforce Boards Conference in Washington D.C. and will share some of their experiences and recommendations.

Attachment(s)

SUGGESTED MOTION: (if applicable)

| | |
|-----------------------|---|
| COMMITTEE DATE | COMMITTEE APPROVAL: <input type="checkbox"/> Yes <input type="checkbox"/> No Other: |
| BOARD DATE | BOARD APPROVAL: <input type="checkbox"/> Yes <input type="checkbox"/> No Other: |



Action Consent Information Discussion

SANTA CRUZ COUNTY
WORKFORCE
DEVELOPMENT

C.1 WIOA Program Monitoring PY 2016-17

| | |
|---|------------------------------------|
| COMMITTEE: Executive Committee | MEETING DATE: April 5, 2017 |
| STAFF NAME: Andy Stone, WDB Director; Sara Paz-Nethercutt, Sr. Analyst | |

SUMMARY:

WDB Staff monitored the following contracted services in December 2016:

1. Goodwill Central Coast (GCC)
2. Cabrillo Student Resource & Support Network (SRSN)
3. Cabrillo Small Business Development Center (SBDC)

The monitoring includes the following:

- **Contract Questionnaire:** covers work environment, program and site accessibility, administrative requirements, staffing requirements, grievance, and program operations.
- **Financial Questionnaire:** covers fiscal management, program income, cost allocation, facilities and property, and audit.
- **Program Operations:** covers contractor specific operations, assessment, service delivery, and specific services.
- **Case File Review:** covers required WIOA service documentation of a sample percentage of randomly chosen participant files.
- **Participant Questionnaire:** asks about services and recommendations from the randomly chosen participants, services important to the customer, and overall satisfaction with services on a 1-10 scale.
- **Financial Sampling:** A fiscal sampling review was conducted by Mike McLay, HSD Accountant. This is an annual review of program fiscal records.

Goodwill Central Coast has one (1) finding. Cabrillo SRSN has two (2) findings. Cabrillo SBDC has one (1) finding. WDB staff next steps include but are not limited to the following:

- Implement the performance objectives for enrollments, completions and job placements (GCC)
- Identify possible action plan steps and create formal Corrective Action Plan (SBDC)
- Apply internal protocols as required and developed (All contractors)
- Review all findings at the next annual monitoring visit (All contractors)

All three (3) complete drafted reports are attached.

Attachment(s)

SUGGESTED MOTION: (if applicable)

I move to approve the monitoring reports as drafted by WDB staff.

| | |
|-----------------------|---|
| COMMITTEE DATE | COMMITTEE APPROVAL: <input type="checkbox"/> Yes <input type="checkbox"/> No Other: |
| BOARD DATE | BOARD APPROVAL: <input type="checkbox"/> Yes <input type="checkbox"/> No Other: |

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Goodwill Central Coast
Workforce Innovation and Opportunity Act Services

Service Provider: Goodwill Central Coast (GCC)

Workforce Investment Board Analyst: Sara Paz-Nethercutt, WDB Sr. Analyst
831.763.8756
Sara.Paz-Nethercutt@santacruzcounty.us

Monitoring Dates: On site December 12- December 20, 2016

Term of Contract: July 1, 2016 through June 30, 2017

Overview of Scope of Work

Contractor is the designated service provider for Adult and Dislocated Worker Workforce Innovation and Opportunity Act (WIOA) programs in the Career Center (One-Stop). WIOA services are offered at the full-service, comprehensive career center located at 18 West Beach Street in Watsonville, and a satellite center at 350 Encinal Street, Santa Cruz. Contractor provides Universal Services to the public in the Watsonville Career Center Resource Room as well as coordinating service delivery in the “one stop” system with other public “partners”.

Contractor is responsible for providing comprehensive services and activities to participants as required under WIOA regulations. These activities include client outreach/recruitment, eligibility determination, case management, access to training scholarships, supportive services, workshops, employment, and follow-up services, as well as data entry and report preparation as required in the approved WIOA automated case management system. WIOA services are branded as services of Workforce Santa Cruz County, a proud partner of the America’s Job Center of California™ Network.

Contractor provides eligible customers with scholarships for a full range of training services by establishing an Individual Training Account (ITA). Customers choose training providers from the State Eligible Training Provider List (ETPL) and from those providers who have entered into an agreement with the Santa Cruz WDB. Contractor also operates an On the Job Training(OJT) program serving WIOA eligible participants and develops OJT contracts with employers to achieve placement, retention, wage replacement, and training credentials.

Contractor uses the State CalJOBS system to register, enroll, and track the WIOA participants they serve and to provide the information needed to measure program outcomes.

Contractor provides business outreach and rapid response services with Business Services Representatives (BSRs) who work closely with the WDB and partners to focus on meeting the needs of local businesses and job seekers through the services offered by Workforce Santa Cruz County. Contractor BSR staff function as job developers to match businesses with job seekers maximizing employment opportunities and making successful job matches.

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Current Findings and Recommendations The following represents one (1) finding that was identified:

| Findings: | Corrective Action(s): |
|--|---|
| <p>1. Supportive Services</p> <p>a. Supportive Services activity code was not entered in CalJOBS for a WIOA funded activity. (Repeat finding from PY 15/16 monitoring)</p> <p>Participant (State ID#236432607) was WIOA enrolled and received supportive services as a funded service without the proper corresponding CalJOBS activity code for State performance and financial data tracking purposes.</p> <p>b. Supportive Services documented need was not found in case notes, nor in the hard copy case file</p> <p>Participant (State ID#987374433) (and in several other instances) was WIOA enrolled and received supportive services as a funded service without the documented need on file.</p> <p>*Citation: WIOA Section 134; 20 CFR680.900-970; WIOA Supportive Services Policy 16-04, page 2 (local policy, WDB authorized 6/8/2016; CalJOBS Data validation: source documentation for activities tied to expenditures or required activities; Goodwill <i>WIA Services and OJT Operational Flow document</i>, page 7.</p> | <p>a. Provide written assurance that all enrolled WIOA participants who receive a WIOA funded activity, e.g. supportive services will have the corresponding CalJOBS activity code for State performance and financial data tracking purposes.</p> <p>b. Provide written assurance that all case files will contain the documented need for supportive service. Eliminate the practice of authorizing the \$200.00 supportive service amount on each and every WIOA Expenditure Plan/ Commitment without documenting the need for such service. Protocol should include the following:</p> <ul style="list-style-type: none"> • assessing the need • documenting the need in case note entry • creating CalJOBS activity code • authorizing the expenditure <p>NOTE: These all would have been allowable expenses with the corresponding documentation/activity code.</p> |

GCC Response: A written procedure has been provided to WDB staff and will be put into practice in order to eliminate future errors in the documentation and processing of payments of Supportive services.

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Next steps:

- Work with WDB staff on finalizing WIOA Services Operational Work flow including eliminating all WIA references to universal, core, and intensive services, as well as refining the service flow steps.
- Implement the performance objectives for enrollments, completions and job placements.
- Apply the internal protocols as developed.
- Review at the next annual monitoring visit.

Recommendations (No response necessary):

1. It is recommended that Contractor create a plan for meeting the remaining contractual performance objectives, primarily those that are tied to expenditures, i.e. training enrollments.
2. It is recommended that Contractor update the *WIOA Services and OJT Operational Flow document*. The purpose of the *WIOA Services and OJT Operational Flow document* is to clarify the roles and responsibilities of the staff at Goodwill and the partnering agencies. This document is to be used as a working document and is expected to be changed as needed throughout the year as service delivery issues are tested and modified. [Note: With repeated GCC WIOA management (4) and program staffing (6) changes over the last 18 months it is imperative this document be updated so it can be used for the local service delivery model and procedural reference point]. This document would also assist staff by having a reference when determining/questioning the difference between a training related expenditure and a supportive service.
3. It is recommended that the Contractor develop internal protocols:
 - a. To ensure data entry consistency for specific funding sources; all activities for an individual should be in the same grant funding source;
 - b. To ensure WDB staff receives the OJT contracts upon approval by the business/employer and not wait until the first invoice is submitted. Waiting until the first invoice for review/approval by WDB places the contractor at risk for payment of the reimbursed employer costs should the OJT contract not be WDB approved;
 - c. To ensure blank eligibility documents, e.g. Equal Opportunity Is the Law, Advisement of Participants Right, are not pre-signed by staff;
 - d. To ensure that case note entries are created in CalJOBS in a timely manner, as set by a reasonable standard. Randomly selected case note review found entries were made 30 days after the contact. Contractor should also ensure that case note subject line entries are specific enough to allow for ease of finding/referring to an action item. E.g. S/S Documented need; or Δ in training dates; and
 - e. To ensure that participants expenditures are reconciled at case closure to ensure all payment/vouchers are accounted for and documented in the County Commit and Pay (CnP) system. This process would assist in reviewing the ITA amounts for individual participants and releasing commitments (ITA amounts reserved) that are no longer necessary.

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Note: WDB will be working on a case management policy for PY 17/18.

4. It is recommended that Contractor remove the name of the WDB staff listed on the locally developed *GCC Assessment* form. Contractor developed a *GCC Assessment* form which appears to be very similar to the WIOA Pre-application form used at the Orientation event and redundant to ask the participant the same questions several times on different documents. It could be beneficial to include a box for staff to enter the documented need for supportive services. (REPEAT RECOMMENDATION from PY 15/16 monitoring-SECOND REQUEST)

Observations (No response necessary):

1. Contractor provided a USB flash drive (thumb drive) with all GCC program documents for the monitor to review. In reviewing those documents, it was noted that the GCC internal billing procedure was outdated with references to Workforce Investment Act (WIA) and the Virtual One-Stop/Virtual Career Center now replaced by WIOA and CalJOBS, respectively.
2. The current program year contract allows for two (2) Business Services Representatives (BSRs) with one BSR position being vacant from approximately 11/23/2016 until 1/3/2017. It was difficult to ascertain "a day in the life" and /or day to day responsibilities of the BSRs. To date, there are four (4) On-the-Job-Training (OJT) contracts; three of which ended in late November or December, leaving one current open OJT contract.
3. The current program year contract allows for a program manager. This position was vacated in approximately July 2016 and filled on November 14, 2016 by a Workforce Director position. Duties of the newly created position should conform to those in the Scope of Work.
4. Revised forms were provided on 12/1/2016: Equal Opportunity Is the Law; Advisement of Participants Rights. This concludes the revision of all former Workforce Investment Act (WIA) forms to include the WIOA language.
5. Of the state data change requests that have been submitted during this program year to date, 75% have been for 300/301 data changes; 25% have been for other data changes.

Contract Questionnaire: Completed with Sandra Mata, Employment Services Specialist, and Jodi Capitola-Duran, GCC Workforce Services Director

Financial Questionnaire: Completed by Sonya Sirrs, GCC Controller.

Administrative Questionnaire: Completed by Jodi Capitola-Duran, GCC Workforce Services Director and Anne Guthrie, Vice President, Workforce Development Services

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Participant Interviews: Four (4) participants and one employer were interviewed on site, face to face, or via phone interview.

Entrance Conference conducted with Jodi Capitola-Duran, GCC Workforce Services Director and Anne Guthrie, Vice President, Workforce Development Services

Exit Conference conducted with Jodi Capitola-Duran, GCC Workforce Services Director and Anne Guthrie, Vice President, Workforce Development Services

Planned verses Actual Performance/Expenditures:

The program year is 41.6% of the contract period completed (July- November). Ideally, the year to date actual performance goals should be in line with that percentage. However, the contractor has submitted invoices through the month of November 2016.

PROGRAM PERFORMANCE OBJECTIVES

| Program Year 16-17 | Total | Adult | Dislocated Worker (DW) |
|--|--------------|--------------|-------------------------------|
| Planned Number of Training Enrollments* | 231 | 100 | 131 |
| Actual as of 11/30/16 | 55 | 31 | 24 |
| Percentage of Planned goal | 23.8% | 31% | 18% |
| | | | |
| Training Completions (vocational certificates) | 140 | 60 | 80 |
| Actual as of 11/30/16 | 27 | 14 | 13 |
| Percentage of Planned goal | 19.2% | 23.3% | 16.2% |
| | | | |
| Training Related Employment | 132 | 58 | 74 |
| Actual as of 11/30/16 | 33 | 21 | 12 |
| Percentage of Planned goal | 25% | 36.2% | 16.2% |
| | | | |

SERVICE PLAN FOR BUSINESS SERVICE REPRESENTATIVES

| Program Year 16-17 | Planned Total | Actual as of 11/30/16 | Percentage of Planned goal |
|---------------------------|----------------------|------------------------------|-----------------------------------|
| Job Orders | 30 | 15 | 50% |

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PROGRAM EXPENDITURES

| Program Year 16-17 | Total | Adult | Dislocated Worker | Rapid Response |
|--|--------------|-------------|-------------------|----------------|
| Planned Operations Cost | \$600,000 | \$287,500 | \$287,500 | \$25,000 |
| Expended as of 11/30/2016 claims* | \$169,950.07 | \$81,595.61 | \$78,807.27 | \$9,547.19 |
| Percent Expended | 28.3% | 28.3% | 27.4% | 38.1% |

*Contractor submitted claims through November 30, 2016

File Review: Thirteen (13) case files were randomly selected for file and service review. Contracted staff conducted the intake eligibility on eleven (11) of the thirteen (13) cases and the monitoring review focused on the work performed by the contractor.

Data validation Issues:

- One (1) case file was missing the mandated WIOA eligibility documentation for Dislocated Worker (DW) eligibility as a displaced homemaker; and there were multiple funding stream grant codes used for varying activities. Although a state data change request was submitted, the state denied the request as the WDB administrator had the authority to void out the DW activity. It should be noted that this participant will still appear in the ADULT performance measures as there was a enrollment completed into the WIOA program. In the future, all eligibility documentation should be obtained at the time eligibility is determined and the participant data is entered into CalJOBS system. Since there were no services provided in the DW program, this issue is not a finding.
- Five (5) case files had issues with the Individual Employment Plan (IEP) document with either an inconsistency between the employment plan CalJOBS activity dates and the hard copy document date of completion, or a modification to the IEP that failed to be written on a revised form and was written directly over (striking) the previous written text on the document. It should be noted that any modification to the IEP requires the participant be involved in the modification specifics and a new document be completed, with staff checking the modification box at the top right hand corner of the document, obtaining the participant signature and creating a case note entry about the IEP modification discussion.
- There were also instances of case notes and case closures not created in a timely manner. Some cases displayed months from the date of the actual event to the date the case note was created.

Participant-Employer Interview Results: Goodwill Central Coast staff was given a list of six (6) randomly selected participants for interviewing purposes. Only four (4) participants (66.7%) were interviewed as the contractor could not reach the other two (2) for scheduling. One (1) employer was interviewed. The results are:

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Satisfaction Scale of 1- 10 with 1 being Very Dissatisfied and 10 being Very Satisfied:

The average participant response was 8.5.

- All participants expressed their gratitude for the WIOA program.
- One participant commented on how supportive and accessible the WIOA contracted service staff has been with him.
- Two (2) participants commented that the communication about the WIOA case details could be improved.

The employer response was 9.0.

- The employer appreciated the development of the plan for the skills necessary for the position as it had not been done previously; he commented that the plan gave him an insight to the position he would not normally have taken the time to review.

Fiscal Sampling Review Results:

A fiscal sampling review was conducted by Michael McLay, HSD Accountant. He reviewed accounting records and systems; cash management and payroll systems; internal audit controls; cost classification and allocation systems. No issues were identified in this review.

Administrative Questionnaire: Based on the review, there is continued compliance in all areas and there are no major concerns.

Contract Questionnaire: Based on the review, the areas of concern are so noted as recommendations and findings with requests for corrective action plans.

Financial Questionnaire: Based on the interview responses, there is continued compliance in all areas and there are no major concerns.

Andy Stone
Director, Workforce Development Board
Human Services Department

Date

Santa Cruz County Workforce Development Board

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Monitoring Report 2016-17

Cabrillo College – Student Resource and Support Network (SRSN)

Service Provider: Cabrillo College – Student Resource and Support Network (SRSN)

Workforce Development Board Analyst: Sara Paz-Nethercutt, Senior Analyst
831.763.8756
Sara.Paz-Nethercutt@santacruzcounty.us

Monitoring Dates: On site: November 29, 2016 through December 2, 2016

Term of Contract: July 1, 2016 through June 30, 2017

Overview of Scope of Work:

Student Resource and Support Network (SRSN) provides support services for Workforce Innovation and Opportunity Act (WIOA) Adult and Dislocated Worker eligible participants enrolled in short term training programs at Cabrillo College. After WIOA eligibility requirements have been met, participants meet with specialized academic counselors to create an Education Plan that specifies their degree and/or certificate objective and lists the sequence of required courses for all terms. SRSN program approves and processes training related Individual Training Account (ITA) expenditures, payment vouchers and reimbursement forms, tracks academic progress and enrollment levels, and records case management activities. The SRSN program ensures that students are informed about other college services they may need, and refers them for financial aid (Pell Grant, BOGW), student employment, tutoring, personal counseling, health services, Calfresh and other support services.

In the current program year (2016-2017), with a 12-month contract, SRSN has been contracted to provide services for 60 WIOA participants which includes 11Adult and 11Dislocated Worker participants, the remaining 38 participants were carried in (19 Adult; 19 DW) from previous program years.

Current Findings and Recommendations

Finding(s): The following represents two (2) findings that were identified:

| Findings: | Corrective Action(s): |
|--|--|
| <p>1. Contractor noncompliance with the coordination of WIOA training funds and other grant assistance. Contractor failed to enforce the requirement to use other available funds to finance training so that WIOA supplements other sources of training grants.</p> | <p>Provide written assurance that all WIOA participants are applying for financial aid and notifying WIOA participants to share their financial aid award letters upon receipt, even after the term has started as WIOA staff <i>may</i> need to adjust the Individual Training Account (ITA) scholarship to reflect the financial aid. The SRSN intake form</p> |

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Monitoring Report 2016-17

Cabrillo College – Student Resource and Support Network (SRSN)

| | |
|--|---|
| <p>Participant (State ID#1000403415) Student ID #0124562 Participant answered <i>No</i> on the SRSN (FTTW) Intake form: <i>Have you applied for financial aid (FAFSA) this year?</i> There was no follow-up to ensure that participant subsequently applied; As of 12/8/16, college reported participant had not applied for financial aid.</p> <p>*Citation: WIOA Section 134; 20 CFR 680.230 WIOA Individual Training Account Policy 16-02, page 1 (local policy, WDB authorized 6/8/16)</p> | <p>clearly asks the participant the question: <i>Have you applied for financial aid (FAFSA) this year?</i></p> <p>SRSN and WIOA contracted staff must follow up with the participant accordingly, based on their answer.</p> |
|--|---|

SRSN Response:

All students will be informed of the need to apply for financial aid and inform WIOA staff with a print out of their financial aid letter during the intake process, via a To Do List.

| Findings: | Corrective Action(s): |
|---|--|
| <p>2. Contractor inadequately/incorrectly authorized allowable book voucher expenditures for two (2) WIOA participants.</p> <p>a. Receipts exceeded authorized amounts Participant (State ID#549589605) Student ID #0270412: 1/26/2015 authorized \$307.59; receipt 341.65</p> <p>b. Receipt/charges made on expired voucher Participant (State ID#67387573) Student ID#0255578: voucher expired 9/18/2015; receipt dated 10/7/2015</p> <p>*Citation: OMB Uniform Guidance under Title 2 CFR Part 200, Uniform</p> | <p>Provide written assurance that the bookstore voucher process includes controls for program expenditures.</p> <p>Repeat issue from WIOA PY 15/16 program monitoring--See Recommendation #3 from Final Monitoring Report PY 2015/16 dated 6/8/2016.</p> |

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Monitoring Report 2016-17

Cabrillo College – Student Resource and Support Network (SRSN)

| | |
|--|--|
| Administrative Requirements, Costs Principles, and Audit Requirements for Federal Awards; WSD15-15, Allowable Costs, dated 1/22/2016 | |
| <p><i>SRSN Response:</i> Corrective action has taken place to prevent a recurrence of the events documented in finding #2:</p> <ul style="list-style-type: none"> • Additional directions have been added to the Voucher Procedure (page 2) in verbal directions to the students regarding the expiration date and the cover sheet with the amounts and expiration date. • Additional provisions have been added to the Voucher Procedure in regards to verifying the purchases on the receipts to verify that they correspond to the authorized purchases and amounts. | |

Next steps:

- Communicate with participant (state ID#1000403415) about his continued eligibility for the WIOA program.
- Apply the internal protocols as developed.
- Review at the next annual monitoring visit.

Recommendation(s) (No response necessary):

1. It is recommended that SRSN create a process to eliminate the possibility of the student exceeding the bookstore authorization amount listed on the voucher. NOTE: At the exit conference, SRSN informed the monitor that a process has been created which involves a cover memo on neon green paper to the bookstore/WIOA participant.
2. It is recommended that SRSN review and reconcile the Commit and Pay (CnP) system with the vouchers on a routine basis.
3. It is recommended that SRSN routinely review the CalJOBS system for matching 300 activity code with the college educational plan as the data entry is completed by WIOA contracted staff with the information provided by the college counselors via the college education plan and SRSN staff. When there is a discrepancy, SRSN staff should notify WIOA contracted staff for the correction.
4. It is recommended that SRSN work with the WIOA contracted service provider to establish a protocol for denying a Cabrillo student/WIOA participant an expenditure (e.g. inappropriate expense or reimbursement; exceeding the ITA or supportive services limits).
5. It is recommended that SRSN connect with WIOA contracted service staff if and when participant employment is known, so that it is reflected in the case file and a case closure is entered when appropriate.

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Monitoring Report 2016-17

Cabrillo College – Student Resource and Support Network (SRSN)

Observation(s) (No response necessary):

1. SRSN staff was having CnP log in issues while monitor was onsite. An IT work order was submitted and the issue was resolved.
2. There were two (2) CnP accounts in the system for the same participant. The monitor alerted the County Fiscal staff and the accounts were merged resolving any potential issues for over expending.
3. As a reminder to SRSN: *WIOA SRSN Operational Service Flow is used as a working document and is expected to be changed as needed throughout the year, as service delivery issues are tested and modified. It will be the responsibility of the WDB Analyst and SRSN Director to ensure that this plan remains current and continues to be used to guide WIOA SRSN coordination with the WIOA staff and Fiscal staff in program operations. A meeting to revise the document can be requested by either the WDB staff or the SRSN Director.*

Interviews held with:

Contract/Staff Interview Questionnaire: Completed by the monitor based on an interview with Karen Reyes, Director of SRSN. SRSN Director and Gina Sonsini, Program Specialist.

Financial Questionnaire: Completed by Graciano Mendoza, Cabrillo College Director of Business Services.

Administrative Questionnaire: Completed by Karen Reyes, Director of SRSN.

Participant Interviews: Five (5) participants were randomly selected for an interview; four (4) were interviewed on site, and the remaining one (1) could not be reached by phone.

Entrance Conference conducted with Karen Reyes, Director of SRSN and Gina Sonsini, Program Specialist.

Exit Conference conducted with Karen Reyes, Director of SRSN and Gina Sonsini, Program Specialist.

Planned versus Actual Performance and Expenditures:

NUMBER OF PARTICIPANTS

| Program Year 16-17 | TOTAL | Adult | Dislocated Worker |
|-----------------------------|--------------|--------------|--------------------------|
| Carry-in from previous year | 38 | 19 | 19 |

| Program Year 16-17 | Total New | Adult | Dislocated Worker |
|-----------------------------------|------------------|--------------|--------------------------|
| Planned new enrollments | 22 | 11 | 11 |
| Actual as of 9/30/2016 | 15 | 6 | 9 |
| Percentage of Planned goal | 68.1% | 54.5% | 81.8% |

Santa Cruz County Workforce Development Board**DRAFT****Monitoring Report 2016-17****Cabrillo College – Student Resource and Support Network (SRSN)**

With one term already near completion in the program year, SRSN has another opportunity to recruit students for the spring and summer terms to reach their program performance objectives.

PROGRAM EXPENDITURES

| Program Year 16-17 | Total | Adult | Dislocated Worker |
|---|--------------|--------------|--------------------------|
| Planned Operations Cost | \$75,000 | \$37,500 | \$37,500 |
| Expended as of 9/30/2016 invoice | \$13,942.60 | \$6,908.07 | \$7034.53 |
| Percent Expended | 18.59% | 18.4% | 18.7% |

Currently SRSN is at 18.5% expenditure level with claims submitted through September 2016; customarily expenditure levels at that time of year would be closer to 25% in a 12-month contract year.

It should be noted that at the end of the 2014/15 program year, SRSN expended 89.1% and in 2015/16 SRSN expended 91% of the contracted allocation. SRSN met their performance based outcomes in 2015/16. Given this trend, the WDB may choose to revisit the allocation amount for subsequent program years.

File Review:

Eleven (11) SRSN participant case files were randomly selected for file and service review. Some of the issues include:

- One transportation voucher was on file from May 2016 but hadn't been submitted to County fiscal for processing. **NOTE:** SRSN should follow-up with the processing of this voucher, if appropriate.
- Two (2) data change requests were submitted to the state for the CalJOBS 300 activity (training) code that is directly linked with the College education plan.
- Four (4) case files had hard copy vouchers missing in the case file; all were reconciled by the end of the monitoring visit
- Five (5) cases showed a job search activity via the WIOA contracted service provider where the communication between service providers could be improved to share any and all communication about the WIOA participant's whereabouts and post training employment.

Participant Interview Results:

Student Resource and Support Network was given a list of five (5) randomly selected participants for interviewing purposes. Four (4) participants were interviewed. Two (2) of the five were interviewed in person onsite and three (3) were scheduled for a phone interview, however only two (2) of those three (3) were reached via telephone. One (1) participant was called several times and messages left to call the monitor back but to no avail. The results are:

Santa Cruz County Workforce Development Board

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Monitoring Report 2016-17

Cabrillo College – Student Resource and Support Network (SRSN)

Satisfaction scale of 1 - 10 with 1 being “Very dissatisfied” and 10 “Very satisfied”:

The average response was 8.8.

- Two participants commented on not having used the early registration process because of the program they are accepted into reserves their classes for them.
 - One participant relayed their experience with a miscommunication between SRSN staff and the Admissions office for the early registration process.
 - Two participants provided feedback that the communication between WIOA contracted staff could use improvement.
 - One participant commented on the bookstore voucher process needing a process for purchasing online books instead of the participant reimbursement process.
- NOTE: At the exit conference when this particular feedback was provided to SRSN, monitor was told that SRSN now has a college credit card with a procedure for this very purpose.

Staff Interviews:

Gina Sonsini answered the questions during the monitoring. All information requested by the monitor was provided.

Fiscal Sampling Review Results:

A fiscal sampling review was conducted by Michael McLay, HSD Accountant. He reviewed accounting records and systems; cash management and payroll systems; internal audit controls; cost classification and allocation systems for the month of August of program year 2016/17. There were no findings.

Administrative Questionnaire:

Based on the review, there is continued compliance in all areas and there are no major concerns.

Contract Questionnaire:

Based on the review, the areas of concern are so noted as recommendations and findings with corrective action plans in place.

Fiscal Questionnaire Results:

Based on the review, there is continued compliance in all areas and there are no major concerns.

Andy Stone
Director, Workforce Development Board
Human Services Department

Date

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Service Provider: Cabrillo College Small Business Development Center

Workforce Development Board Analyst: Sara Paz-Nethercutt, Senior Analyst
831.763.8756
Sara.Paz-Nethercutt@santacruzcounty.us

Monitoring Dates: On site: December 9, 2016

Term of Contract: July 1, 2016 through June 30, 2017

Overview of Scope of Work:

Cabrillo College Central Coast Small Business Development Center (SBDC) provides assistance to employers that are either closing altogether or are planning to lay off workers. SBDC provides early intervention assistance to struggling businesses to preserve jobs that otherwise might be lost. Additionally, SBDC delivers technical assistance including operational analysis, increased profit earning strategies and general “business turnaround” assistance for the prevention of layoffs.

In the current program year (2016-2017), with a 12-month agreement, SBDC is contracted to provide assistance to 40 at-risk businesses, averting layoffs or retaining at least 60 jobs. The funding for this contract is completely allocated from the Workforce Development Board’s (WDB) Rapid Response funding stream.

Current Findings and Recommendations

Finding(s): [NOTE: can be removed with further clarification]

1. Services provided to a business that did not meet the layoff aversion criteria under the contract. [WIOA County Contract 17W3825 Scope of Work, Page 1, 2]:
 - *The Santa Cruz Small Business Development Center (SBDC) will expand upon and support the efforts of the Workforce Development Board (WDB) and its Career Center and Economic Development partners to assist employers that are **either closing altogether or are considering reducing their workforce.***
 - *Provide technical assistance / business turnaround services and strategies **for the prevention of layoffs** and potential business starts through self employment.*

Corrective Action(s): Explain the rationale for providing services to the business under this contract See Recommendation 1 below.

SBDC Response: *A written procedure has been provided to WDB staff and will be put into practice in order to eliminate future errors in the documentation and processing of payments of Supportive services.*

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Next steps:

- Please refer to Recommendation 1 from the draft report to identify possible action plan steps for the CAP that must be generated.
- Work on creating formal plan as referenced above.
- Review at the next annual monitoring visit.

Recommendation(s) (No response necessary):

1. It is recommended that SBDC create a specific layoff aversion intake form to assess the need for services through the WIOA layoff aversion contract. During the business interview portion of the monitoring, it was determined that the business did not intend to layoff any employees. The business owner shared with the monitor that financial counseling and an operational analysis were needed to better understand their profit/loss margins. Business owner believed her business was at-risk for lower profitability at that time. See Business Interviews section below.

Observations:

1. SBDC provided the New Client Satisfaction survey questions. This survey is provided to business at the end of their experience, who received SBDC services, to ascertain their level of client satisfaction with the overall services.
2. SBDC provided the monitor with the online SBDC Request for Services questionnaire and online assessment.
3. SBDC and WDB staff reviewed in depth the WIOA Regulations related to layoff aversion services. [20 CFR 682.320]. A cop of the regulations was provided to SBDC Director at the time of the monitoring.
4. SBDC provided an explanation for the Neoserra scorecard which is provided to WDB staff with every quarterly claim/invoice. It should be noted that the jobs retained data does not have an economic impact value for the services the business may have received.

Interviews held with:

Business Interviews: Monitor conducted two (2) phone interviews with local business owners who received services under this contract.

Satisfaction scale of 1 - 10 with 1 being “Very dissatisfied” and 10 “Very satisfied”:

The average response was 10.0.

- One business owner shared their experience for finding the SBDC Lay-off Aversion brochure in the County of Santa Cruz Planning Department.
- Both business owners received business counseling from a number of SBDC contracted business advisors.

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- Both business owners expressed deep gratitude for the services they received at no-cost to them during a very stressful, volatile time in their business cycle.
- One of the business owners interviewed, when asked by the monitor specifically about the lay-off aversion services: “Where you at any point at-risk of laying anyone off?”, the answer was , “No”. Refer back to Recommendation 1.

Staff Interview Questionnaire: Completed by the monitor based on an interview with Teresa Thomae, SBDC Director.

Contract Questionnaire: Completed by Teresa Thomae, SBDC Director.

Financial Questionnaire: Completed by Roy Pirchio, Cabrillo College Director of Business Services.

Administrative Questionnaire: Completed by Teresa Thomae, SBDC Director.

Entrance Conference conducted with Teresa Thomae, SBDC Director and Amy Nama, SBDC Assistant.

Exit Conference conducted with Teresa Thomae, SBDC Director and Amy Nama, SBDC Assistant..

Planned versus Actual Performance and Expenditures:

Currently SBDC is at 37.8% expenditure level with claims submitted through September 2016; expenditure levels at that time of year should be approximately 25%. Although the contractor is slightly above expenditures for expected levels at this time of year, there are no concerns with the contractors claiming the contract allocation. They are fully aware of the expected maintenance of effort and will continue to provide services should they claim the allocated amount prior to years end.

SERVICE PLAN TABLE

| Program Year 16-17 Units of service | Planned Total (Annual Goal) | Year to Date (As of 9/30/16) ACTUAL | % of Annual TOTAL |
|--|--|--|------------------------------|
| Number of new at-risk businesses served | 40 | 15 | 37.5% |
| Number of actual Layoffs averted/jobs retained | 60 | 37 | 61.6% |

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PROGRAM EXPENDITURES

| Program Year 16-17 | Total |
|---|--------------------|
| Planned Operations Cost | \$44,000 |
| Expended as of 9/30/2016 invoice | \$16,633.11 |
| Percent Expended | 37.8% |

Fiscal Sampling Review Results:

A fiscal sampling review was conducted by Michael McLay, HSD Accountant. He reviewed expenditure report records for the first quarter of the program year. There were no issues noted during the fiscal monitoring.

Administrative Questionnaire:

Based on the review, there is continued compliance in all areas and there are no major concerns.

Contract Questionnaire:

Based on the review, the areas of concern are so noted as recommendations and findings with corrective action plans in place.

Fiscal Questionnaire Results:

Based on the review, there is continued compliance in all areas and there are no major concerns.

 Andy Stone
 Director, Workforce Development Board
 Human Services Department

 Date



Action Consent Information Discussion



C.2 2017-20 WIOA Local and Regional Plans

| | |
|---|------------------------------------|
| COMMITTEE: Executive Committee | MEETING DATE: April 5, 2017 |
| STAFF NAME: Andy Stone, WDB Director | |

SUMMARY:

As you may recall, the California Workforce Development Board has developed a State Workforce Innovation and Opportunity Act (WIOA) Plan, which is the controlling state policy document for regional and local plans. It sets the state's policy direction for these plans, and serves as a conceptual map for Local Boards and their partners as they jointly develop the regional and local plans required by WIOA.

Under the State Plan, the primary purpose of local plans and partnerships is to facilitate access to workforce services at the local level. While regional plans and partnerships are specifically focused on constructing a regional training and education architecture that aligns with regional labor markets, individuals will access and experience this regional workforce architecture primarily through local service delivery efforts, principally those of WIOA partners operating in the America's Job Center of California (AJCC) system, formally known as One-Stop Career Centers, but potentially through other partners of the workforce system as well. In this regard, it is typically at the local level where services will be integrated, resources coordinated, and supportive services provided to individuals being served by the partners.

On September 16, 2016, the State issued instructions for guidance for the preparation of both local and regional plans required by the WIOA. The Local Plan was prepared in accordance with the requirements and planning guidance provided by the State of California, including the mandated public notice, public comment and review period. The Draft Local Plan was released on January 18, 2017. Public comment period closed on February 22, 2017. The Board of Supervisors, as the Chief Elected Local Official for the WDB, will considered the Draft Plan at its March 14, 2017 meeting. The Local Plan was submitted to the State by March 15, 2017 as required.

The public comment period for the Plan has closed (January 18-February 17). The Executive Committee hosted in person public comment at its February 1, 2017 meeting. No comments were received at that meeting. The Executive Committee recommended that the Plan be forwarded to the WDB for approval and that the WDB forward the Plan to the Santa Cruz County Board of Supervisors for approval. Other counties in the region followed a similar process, culminating with the Coastal RPU's Regional Plan being submitted by the Monterey County WDB on behalf of the RPU to the California Workforce Development Board on March 15, 2017, for review and approval.

Attachment(s)

SUGGESTED MOTION: (if applicable)

I move to accept the update on the 2017-20 WIOA Local and Regional Plans.

| | |
|-----------------------|---|
| COMMITTEE DATE | COMMITTEE APPROVAL: <input type="checkbox"/> Yes <input type="checkbox"/> No Other: |
| BOARD DATE | BOARD APPROVAL: <input type="checkbox"/> Yes <input type="checkbox"/> No Other: |

C.2 Attachment
Santa Cruz County WIOA Local And Regional Plans 2017-20 Timeline

| Local Plan (Santa Cruz County) | | Regional Plan (Monterey, San Benito, San Luis Obispo, Santa Cruz) | |
|---------------------------------------|--|--|--|
| Date | Benchmark | Date | Benchmark |
| 2016 | | | |
| December 31, 2016 | Complete Draft Local Plan | | |
| 2017 | | | |
| January 18, 2017 | 30 Day Public Comment Period Opens | January 18, 2017 | 30 Day Public Comment Period Opens |
| February 1, 2017 | WDB Executive Committee Meeting- Public Invited to Attend and Comment | February 1, 2017 | Monterey County WDB review/approval - Regional Plan and Monterey WDB Local Plan WDB Executive Committee Meeting- Public Invited to Attend and Comment |
| | | February 17, 2017 | 30 Day Public Comment Period Closes |
| February 22, 2017 | Full Board Meeting –Close Public Comment Period | February 22, 2017 | Full Board (Santa Cruz County) Meeting –On Consent |
| | | February 28, 2017 | Monterey County BOS review/approve Regional Plan and Monterey WDB's Local Plan |
| March 14, 2017 | Board of Supervisors memo to ask for approval of the Local Plan | March 14, 2017 | Santa Cruz County Board of Supervisors memo to ask for approval of the Regional Plan |
| March 15, 2017 | WIOA Local Plan due to the State | March 15, 2017 | Regional WIOA Plan due to the State |
| April 30, 2017 | State Board approves or conditionally approves Local Plan | | |
| May 15, 2017 | State Board notifies local boards of any Local Plan deficiencies | | |
| | | June 15, 2017 | State Board approves or conditionally approves Regional Plan |
| | | July 1, 2017 | State Board notifies regions of any plan deficiencies |
| August 1, 2017 | Final Local Plans due to the State (if unsigned copy sent by 3/15/17, signed copy due) | August 1, 2017 | Final Local Plans due to the State |
| September 1, 2017 | State scheduled to issue final approval of all Local Plans | September 1, 2017 | State scheduled to issue final approval of all Local Plans |