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**North Central Workforce Development Board
Continuous Improvement Committee Meeting
September 20, 2018; 3:00 PM
Meeting/Conference Call**

Agenda

1. Welcome
2. Committee Purpose - Updated
3. Local Oversight Plan
 - i. Scoring System for Risk Assessment
4. Workforce Solutions Performance Measures
5. Draft Performance Metrics - ResCare
6. Other Business
7. Adjourn

**Conference Call
Number:
1-814-245-1834
PIN: 225599**

Committees of Workforce Solutions/North Central Workforce Development Board:

Frequency of Meetings: All committees meet quarterly in accordance with the quarterly board meeting schedule and when necessary if a special issue rises. The exception is the Nominating Committee, which meets every two years to elect officers of the Board. Meetings are often conducted with the use of technology through conference calls, being sensitive to time and travel demands on board members. Members are asked to volunteer for the committee to which they can bring their expertise and experience. Committees are also open to interested parties who are not board members. The additional members are non-voting members who have expressed an interest in assisting in meeting our goals and objectives.

All committees will have a board member serve as the chair of the committee. The chair, in coordination with the designated staff, will be responsible for ensuring the committee functions properly, that there is full participation during meetings, that all relevant matters are discussed and that effective decisions are made and carried out.

Executive Committee

Membership: chairperson, first and second vice-chairpersons, secretary, treasurer, and additional members in order that a private sector majority is maintained.

Responsibilities and Activities:

- To carry on the routine business of the board and to act on behalf of the board when time does not permit the full board to meet.

Finance Committee

Membership: chair (treasurer), board members and other members requesting to serve on the committee as approved by the board.

Responsibilities and Activities:

- To conduct financial oversight
- To ensure WIOA funds are spent in the most cost effective manner
- To assist with budget development
- To approve, monitor, and recommend budgets
- To review financial monitoring reports and audits
- To analyze strategic plans and determine financial impact
- To present financial information and recommendations to the Board

Futures Committee

Membership: chair, board members and other members requesting to serve on the committee as approved by the board.

Responsibilities and Activities:

- To explore opportunities that will assist the board in accomplishing its goals for the future; including grant opportunities
- To ensure that Industry / Sector Partnerships, Business and Education Connect activities (regional) and other ideas as identified by the board are meeting the goals and objectives of the board
- To provide quarterly reports on each activity to the board at each of their quarterly meetings and upon request of the board
- To take a proactive position regarding company closings, acquisitions, bankruptcies and expansions

Local Management Committee (LMC)

Membership: chair, and County Assistance Office Executive Directors of each of our six counties

Responsibilities and Activities:

- To ensure that the individual performance expectations and goals of Workforce Solutions' EARN contract are being met
- To recommend how the EARN incentive dollars are to be spent

In addition, a quarterly group has been identified that includes the County Assistance Office Executive Directors, Workforce Solutions staff, the PA CareerLink® Site Administrators, the Community Action Agencies, North Central Workforce Development, Good Will, CCIS, as well as other interested parties. This group meets to discuss program updates, performance, and any issues that have been identified.

Youth Committee

Membership: chair, board members and non-voting members as approved by the board.

Responsibilities and Activities:

- To provide information and to assist with planning, operational oversight, and other issues relating to the provision of services to youth
- To identify eligible providers of youth workforce investment activities in the local area by awarding grants or contracts on a competitive basis
- To develop performance and report measure for youth providers in addition to those required by WIOA

Workforce Delivery System Committee

Membership: chair, board members and WIOA required partners in the workforce delivery system, as well as other members requesting to serve on the committee as approved by the board.

Responsibilities and Activities:

- To conduct oversight and continuous improvement of the PA CareerLink® System, including budgets and the memorandum of understanding
- To assist in the development of proposals and contracts between the entity selected to serve as the system Operator for the board
- To conduct oversight and guidance of the system Operator

Personnel Committee

Membership: chair (chair of the board), and board members only.

Responsibilities and Activities:

- To review regularly, but no less than every two years, the Personnel Manual
- To review/provide recommendations for the agencies salary scale
- To review/provide recommendations regarding Performance Reviews
- To review salary scale compliance annually
- To review/recommend salary increases for staff annually based on performance and the budget
- To review the benefits package a minimum of every two years to suggest changes
- To provide arbitration for potential employee grievance

Continuous Improvement Committee

Membership: chair, board members and non-voting members as approved by the board.

Responsibilities and Activities:

- In collaboration with staff, develop performance metrics for our provider(s)
- To provide oversight of program performance and activities
- To identify corrective action plans when necessary
- To perform an annual evaluation of the oversight function to determine its effectiveness
- To develop/update the written oversight process/plan to be used



Workforce Solutions for North Central Pennsylvania

Local Oversight Policy

PURPOSE

The North Central Workforce Development Board/Workforce Solutions has the responsibility to provide oversight and monitoring of programs and activities as recipient of federal and state funds administered directly by the board. This policy is intended to ensure compliance with the Workforce Innovation and Opportunity Act (WIOA) and state requirements while at the same time, providing guidance for continuous improvement and technical assistance.

BACKGROUND

Workforce Solutions, in conjunction with the Chief Elected Official, must ensure compliance with applicable federal, state, and local laws and regulations as well as contract provisions, policies, official directives, and grant agreements. The board's oversight responsibilities must include, but are not limited to the following:

- Administrative Oversight
- Programmatic Oversight
- Fiscal Oversight and Reporting

REQUIREMENTS

Workforce Solutions in consultation with the Continuous Improvement Committee of the board has developed the following methods of oversight:

- On-site visit – both fiscal and programmatic monitoring to ensure all funds are adequately safeguarded, program performance goals are met, and local sub-contractors are programmatically, operationally, and fiscally compliant

- Desk Reviews – review of both fiscal and programmatic information to test compliance to identify potential or recurring problems, to prepare for more in-depth on-site visits, and to conduct more systematic and continuous oversight
- Random sampling – a random sample will be selected to help identify compliance violations, questioned costs, and/or potential weaknesses in performance
- Survey – surveys may be used to help identify compliance with violations, questioned costs, or potential weaknesses in performance, as well as to capture promising practices or needs for technical assistance

NOTE – All participant data or any data that contains Personally Identifiable Information (PII) must be sent using secure e-mail, data encryption, or through a secure document repository. Refer to the board’s policy regarding PII.

Monitoring Overview

Workforce Solutions has developed written monitoring tools that include supporting documentation. In addition, the board will on occasion enter into an agreement with another workforce development board to provide monitoring services. In this case we utilize the tools that board has developed for their reviews, making accommodations for local policies. Workforce Solutions monitors internal and external LWDA programs and operations of service providers. The varying requirements of the funding streams involved are taken into consideration when designing monitoring tools. At a minimum, monitoring tools include information such as, but not limited to:

- Name of the agency;
- Date(s) of the monitoring;
- Name of individual performing the monitoring;
- Services or activities provided;
- Total amount of the contract and sources of the funding;
- Date(s) of the oversight activity
- Staff interviewed; and
- A summary of the results that include program strengths, concerns, deficiencies and areas where technical assistance may be needed

Oversight Process

The staff responsible for the review will submit a written monitoring report within thirty (30) days of the monitoring visit to the agency being reviewed. A Corrective Action Plan to rectify any findings must be submitted to the Executive Director of Workforce Solutions within thirty (30) days of receipt of the board report or as requested in writing by the staff. Follow-up

activities will be conducted within 90 days of the date of the corrective action plan approval, if needed.

Staff will prepare a summary of monitoring findings following any reviews, along with the formal report, to the Continuous Improvement Committee of the board. The committee report will be included in the mailing to the full board. The action of the committee via the committee report is part of the consent agenda. It is up to each board member to review all items included within the consent agenda. However, any formal action necessary as a result of any monitoring findings will be presented to the full board for action. The Continuous Improvement Committee will perform an annual evaluation of the oversight function to determine its effectiveness; and will develop the written oversight process/plan to be used. Monitoring results will assist the board with strategic planning and continuous improvement efforts, as this may identify an area needing increased board focus.

Workforce Solutions staff provide quality technical assistance to service providers in enhancing program performance and accountability. If deficiencies or concerns are identified, Workforce Solutions works closely with the service provider in correcting these issues. Service providers that exhibit a pattern of inconsistency in providing quality services are considered during risk assessment. This action allows staff the opportunity to make adjustments necessary to create a sound oversight system for the North Central Workforce Development Area.

Risk Assessments

Workforce Solutions uses a risk assessment approach to narrow and concentrate their scope of review. This method substantially increases the overall risk of negative consequences. There are four steps involved in conducting a risk assessment, and examples of pertinent questions to accomplish these steps follow:

1. Define the scope of the risk being assessed. Which providers involve the most risk exposing the board to adverse consequences;
2. Identify frequency in which to monitor. In determining the frequency, we consider the level of vulnerability to the board if a provider's compliance with programmatic and fiscal system requirements is not systematically and regularly monitored;
3. Identify the factors used to assess risk. The following factors are considered and assigned a point value to the overall scoring. The numerical ratings can then be used to help us determine how to allocate our monitoring resources.
 - ✓ Is the service provider new to operating or managing a similar contract or hasn't done so in the past 5 years?

- ✓ Does the provider have new personnel or new or substantially changed systems?
- ✓ Does the provider also receive direct federal funds?
- ✓ Does the provider lack effective operational and fiscal procedures and controls?
- ✓ Does the provider receive a Single Audit in accordance with 2 CFR 200, Subpart F – Audit Requirements of this part, and the extent to which the same or similar sub-award has been audited as a major program; and
- ✓ What is the provider’s contract award and what percentage of our allocation do they receive?

Service providers are classified as either “High Risk,” “Medium Risk,” or “Low Risk” for the purposes of measuring program accountability. At a minimum, all providers are monitored annually. The following frequency will apply based on risk determination:

- High Risk – Programmatic review quarterly, fiscal review quarterly, administrative review – quarterly
- Medium Risk – Programmatic review quarterly; fiscal review semi-annually; administrative review semi-annually
- Low Risk – Programmatic review quarterly; fiscal and administrative review annually

In any case, Workforce Solutions has the discretion to increase monitoring frequency. Please see Attachment A for a copy of the Scoring System for Risk Assessment. In addition, Administrative oversight is conducted annually; Programmatic oversight is conducted quarterly; and Fiscal oversight is conducted a minimum of annually for all providers.

Adult, Dislocated Worker, and Youth program services will be monitored for compliance with federal and state requirements for documenting services in case files. This includes, but is not limited to, ensuring that accurate, complete and timely data entry of types of services and dates of services are completed in the state system of record., the Commonwealth Workforce Development System (CWDS), as well as all participant files. Monitoring of Adult, Dislocated Worker, and Youth Program exits will be reviewed, ensuring that WIOA participants are exited from the program after 90 days without a service, using the last date of services as the exit date.

Monitoring via random sampling methodology will be conducted to monitor the use of self-certification and self-attestation of programs applications for all WIOA Title I programs as identified in the eligibility policy. The Title I program services contractor and the one-stop

**Workforce Solutions for North Central Pennsylvania
Scoring System for Risk Assessment**

Agency Being Reviewed:			
Being Reviewed By:			
POINTS	AREA OF REVIEW	SCORE	SCORING SCALE
Max = 10	Does the provider have prior experience with the same or similar contract?		10 Points = New program for this entity 0 Points = Prior experience with same award
Max = 15	Does the provider have new personnel or new or substantially changed systems?		15 Points = Extensive change 0 Points = Little to no change
Max = 25	Does the provider have a significant history of oversight/monitoring findings?		25 Points = More than 1 instance of serious non-compliance 0 Points = Full Compliance
Max = 20	Does the provider lack effective operational and fiscal procedures and controls?		20 Points = More than 1 instance of serious non-compliance 0 Points = Full Compliance
Max = 15	What is the extent of recent single audit?		15 Points = Substantial oversight findings occurred within past 2 years 0 Points = No findings in the past 2 years
Max = 15	What is the contractor's share of the local area's allocation?		15 Points = More than 25% of the local board's allocations 0 Points = Less than 10% of local board's allocation
Max 100	TOTAL POINTS		Risk Category: _____
<p>High Risk – Score of 67 - 100 Medium Risk – Score of 34 - 66 Low Risk – Score of 0 - 33</p>			

WIOA Performance Negotiations Worksheet
PY 2018 & PY 2019

Pennsylvania							
	Negotiated Level PY 2017	1st Quarter PY 2017 Results	2nd Quarter PY 2017 Results	3rd Quarter PY 2017 Results	4th Quarter PY 2017 Results	PY 2017 Annual Results	Suggested Level PY 2018 & PY 2019
Adult							
Employment (Second Quarter after Exit)	65%	76.5%	74.2%	76.1%	77.5%	77.2%	73.0%
Employment (Fourth Quarter after Exit)	65%	-	-	75.7%	76.3%	76.0%	70.0%
Median Earnings (Second Quarter after Exit)	\$5,000	\$5,548	\$5,776	\$5,745	\$5,876	\$5,770	\$5,300
Credential Attainment Rate	55%	-	-	48.3%	63.4%	66.4%	55.0%
Measurable Skill Gains	Baseline	0.4%	0.9%	13.9%	17%	33.8%	Baseline
Dislocated Workers							
Employment (Second Quarter after Exit)	74%	85.1%	78.9%	84.0%	83.7%	84.4%	75.0%
Employment (Fourth Quarter after Exit)	75%	-	-	85.3%	83.2%	84.4%	76.0%
Median Earnings (Second Quarter after Exit)	\$7,000	\$7,676	\$8,098	\$8,300	\$8,455	\$8,135	\$7,300
Credential Attainment Rate	57%	-	-	61.1%	70.6%	73.0%	57.0%
Measurable Skill Gains	Baseline	0.7%	0.4%	8.4%	12%	24.5%	Baseline
Youth							
Employment (Second Quarter after Exit)	65%	64.9%	62.8%	68.3%	64.3%	65.5%	65.0%
Employment (Fourth Quarter after Exit)	57%	-	-	70.1%	68.0%	69.2%	58.0%
Median Earnings (Second Quarter after Exit)	Baseline	\$2,690	\$2,874	\$2,690	\$2,623	\$2,684	Baseline
Credential Attainment Rate	70%	-	-	78.4%	71.4%	75.8%	72.0%
Measurable Skill Gains	Baseline	9.8%	5.6%	19.1%	34%	60.1%	Baseline

North Central LWDA								
	Negotiated Level PY 2017	1st Quarter PY 2017 Results	2nd Quarter PY 2017 Results	3rd Quarter PY 2017 Results	4th Quarter PY 2017 Results	PY 2017 Annual Results	Suggested Level PY 2018 & PY 2019	Counter PY 2018 & PY 2019
Adult								
Employment (Second Quarter after Exit)	65%	85.3%	69.4%	65.0%	81.6%	77.7%	70.0%	75.0%
Employment (Fourth Quarter after Exit)	65%	-	-	77.1%	85.7%	81.4%	77.0%	Accepted
Median Earnings (Second Quarter after Exit)	\$5,000	\$2,784	\$4,436	\$4,212	\$5,184	\$4,550	\$3,954	\$4,200
Credential Attainment Rate	55%	-	-	81.8%	85.7%	94.1%	81.0%	Accepted
Measurable Skill Gains	Baseline	0.0%	0.0%	18.9%	24%	47.7%	Baseline	Baseline
Dislocated Workers								
Employment (Second Quarter after Exit)	74%	90.8%	75.0%	83.6%	81.3%	86.2%	83.0%	Accepted
Employment (Fourth Quarter after Exit)	75%	-	-	90.8%	89.3%	89.7%	90.0%	Accepted
Median Earnings (Second Quarter after Exit)	\$7,000	\$7,447	\$8,316	\$6,883	\$7,389	\$7,794	\$7,447	\$7,500
Credential Attainment Rate	57%	-	-	40.0%	82.6%	83.3%	65.0%	Accepted
Measurable Skill Gains	Baseline	0.0%	0.0%	21.7%	9%	27.6%	Baseline	Baseline
Youth								
Employment (Second Quarter after Exit)	65%	68.5%	53.5%	68.8%	53.5%	60.4%	65.0%	Accepted
Employment (Fourth Quarter after Exit)	57%	-	-	74.5%	65.1%	70.4%	65.0%	Accepted
Median Earnings (Second Quarter after Exit)	Baseline	\$2,302	\$3,028	\$3,014	\$2,409	\$2,527	Baseline	Baseline
Credential Attainment Rate	70%	-	-	71.4%	83.3%	79.5%	71.0%	65.0%
Measurable Skill Gains	Baseline	0.0%	0.0%	22.2%	13%	38.1%	Baseline	Baseline

Program Year 2018 (July 1, 2018 - June 30, 2019)

Services to Employers (\$55,000):

- 1) New Employer Engagement - Employers who have not used PA CareerLink® services in the past 2 years that do so in the current quarter
 \$6,875 Per Quarter Possible
- 2) Market Penetration - Percent of employers in a county utilizing PA CareerLink® services in the current quarter
 \$6,875 Per Quarter Possible

	Quarter 1 Goal	Quarter 1 Performance	Percent of Goal	Quarter 2 Goal	Quarter 2 Performance	Percent of Goal	Quarter 3 Goal	Quarter 3 Performance	Percent of Goal	Quarter 4 Goal	Quarter 4 Performance	Percent of Goal
Measure 1	7	7		7	7		7	7		7	7	
Measure 2	10% Increase			10% Increase			10% Increase			10% Increase		
Total Payment												

*Payment based on the following: Meet Measure = 100% of possible; 80 - 100% = 80% of possible; 60 - 80% = 50% of possible; less than 60% = \$0
 *The Total Payment row at the bottom of each column represents the total payment per quarter for all categories listed based on the measurements that were met.

Program Year 2018 (July 1, 2018 - June 30, 2019)

Services to Job Seekers (\$55,000):

1) Training Expenditures - Expenditures/Obligations of the total training funds available in each funding stream per the approved budget.

*Expectation is that 100% of funds will be expended by June 30, 2019.

\$5,500 Per Quarter Possible

2) Enrolled Customers - Number of customers enrolled in services

\$5,500 Total Per Quarter Possible

3) Co-Enrollment - Number of Job Seekers who are co-enrolled in other partners' services (not counting WIOA/EARN Co-Enrollments)

\$2,750 Per Quarter Possible

	Quarter 1 Goal	Quarter 1 Performance	Percent of Goal	Quarter 2 Goal	Quarter 2 Performance	Percent of Goal	Quarter 3 Goal	Quarter 3 Performance	Percent of Goal	Quarter 4 Goal	Quarter 4 Performance	Percent of Goal
Measure 1	25%			50%			75%			100%		
Measure 2												
Training Expenditures												
Enrolled Customers:												
Adult	50			100			150			200		
Dislocated Workers	72			144			216			288		
Youth	48			96			144			192		
TANF Youth	19			38			57			76		
Co-Enrollment	56			113			169			226		
Total Payment												

*Payment based on the following: Meet Measure = 100% of possible; 80 - 100% = 80% of possible; 60 - 80% = 50% of possible; less than 60% = \$0

*The Total Payment row at the bottom of each column represents the total payment per quarter for all categories listed based on the measurements that were met.

Program Year 2018 (July 1, 2018 - June 30, 2019)

Quality Measures (\$36,433):

- 1) All Staff Hired, Trained and Retained - compared to the plan submitted from ResCare in contract negotiations
 \$3,188 Per Quarter Possible
- 2) Employee Satisfaction - based on a survey by Workforce Solutions staff each quarter
 \$3,188 Per Quarter Possible
- 3) Board Reports and Invoicing - on-time and no major issues each quarter
 \$1,366 Per Quarter Possible
- 4) MOA's Developed for Youth Programs - number of agreements developed with partners that provide services to our youth
 \$1,366 Per Quarter Possible

	Quarter 1 Goal	Quarter 1 Performance	Percent of Goal	Quarter 2 Goal	Quarter 2 Performance	Percent of Goal	Quarter 3 Goal	Quarter 3 Performance	Percent of Goal	Quarter 4 Goal	Quarter 4 Performance	Percent of Goal
Measure 1	100%			100%			100%			100%		
Measure 2	100%			100%			100%			100%		
Measure 3	100%			100%			100%			100%		
Measure 4	12			12			12			12		
Total Payment												

* Payment based on the following: Meet Measure = 100% of possible; 80 - 100% = 80% of possible; 60 - 80% = 50% of possible; less than 60% = 50
 *The Total Payment row at the bottom of each column represents the total payment per quarter for all categories listed based on the measurements that were met.