

# Local Plan Modification



**New York State  
Department of Labor**

**Workforce Development  
and Training Division**

**July 1, 2008 – June 30, 2009**

## General Instructions for Modifying the Existing Local Plan

The Workforce Investment Act Local Plan Modification for Program Year 2008-2009, for Workforce Investment Act Title I-B and Wagner Peyser programs, must be submitted to the New York State Department of Labor (NYSDOL) no later than April 11, 2008, in accordance with the Planning Guidelines issued by NYSDOL on behalf of the State Workforce Investment Board and the Governor. The Plan Modification must be developed by the Local Workforce Investment Board (Local Board) in partnership with the Local Chief Elected Official(s).

The Plan Modification, generated through this process, will amend and extend both the approved Local Plan, which originally covered the period July 1, 2005 – June 30, 2008, and the local area's approved Functional Alignment Addendum. Therefore, this Local Plan Modification will extend the existing Plan and Addendum to June 30, 2009 and will become the basis for local area policy and monitoring.

### Plan Modification Guidelines

The Plan Modification Guidelines are available and can be downloaded on New York's Workforce Development System website at [www.workforcenewyork.com](http://www.workforcenewyork.com). The guidelines are attached to Technical Advisory # 08- 1, dated January 16, 2008.

### Publication

The Local Board must make copies of the proposed Plan Modification available for public comment through such means as public hearings, local news media, and local websites. The general public must have access to the proposed Plan Modification and has 30 days from the date of publication and/or availability in which to comment. When the Plan Modification is submitted for approval, any comments received in disagreement must be attached. In addition, the Plan Modification must explain how those disagreements were addressed.

### Time Table

Plan Modification Guidelines Issued	January 16, 2008
Latest Date for Publishing Plan for Public Comment	March 10, 2008
Local Plan Modifications due to NYSDOL	April 11, 2008
NYSDOL approval or request for information	No later than May 16, 2008

### Submission

The draft Plan Modification is **due April 11, 2008**. NYSDOL requests local areas to complete the submittal process electronically by posting **the draft Plan Modification, any comments received and the manner in which the comments were addressed**, to the local area's workforce website. Specifically, local areas are required to send an e-mail by cob April 11, 2008 to [WDTDLocalPlans@labor.state.ny.us](mailto:WDTDLocalPlans@labor.state.ny.us) that includes the following information:

- Advises that the local Plan Modification, any comments received and information on the manner in which comments were addressed, are posted on the local website and available for State review;
- Indicates the URL and location of the Plan Modification document(s) on the website;
- States the dates the Plan Modification was made available for public comment;
- Provides contact information in the event there are problems accessing the Plan Modification; and
- Attests that no changes will be made to the document once it has been posted for NYSDOL review.

Should a local area be unable to comply with this method of submission, email a request for assistance to: [WDTDLocalPlans@labor.state.ny.us](mailto:WDTDLocalPlans@labor.state.ny.us). Please use “Request for Assistance with Local Plan Submission” in the Subject line.

### **Required Attachments**

The required Attachments include:

- Attachment A: Signature of Local Board Chair
- Attachment B: Signature of Chief Elected Official
- Attachment C: Signatures of WIB Director and Regional Labor Market Analyst
- Attachment D: Units of Local Government
- Attachment E: Fiscal Agent/Grant Subrecipient
- Attachment F: One Stop Operator Information
- Attachment G: Federal and State Certifications

If any of the following have changed, please also attach:

- Chief Elected Official Agreement (if applicable)
- Local Board By-Laws
- One Stop Operator Agreements

**Note: Hard copies of the required attachments and signature pages must be mailed to the address below. These attachments and signature pages must be received no later than June 6, 2008.**

**Attn: Karen A. Coleman  
Local Plan Modification**

New York State Department of Labor  
Workforce Development and Training Division  
Building 12 ~ Room 450  
W. Averill Harriman Office Building Campus  
Albany, New York 12240

## **Instructions for Filling out the Plan Modification Document**

There are two main sections of the Local Plan Modification, each beginning with a short narrative and followed by instructions and questions. **A shaded area is provided into which the details of your response should be typed.** Your response will be formatted in a different font (**Arial 12, Bold Type**) to distinguish it from the form document.

You may unprotect the form by clicking on the lock on the forms toolbar to enter this information. For the check boxes, you may want to re-lock the form to easily tab from box to box. If the forms toolbar is not visible, right click in the upper right hand corner of the document. The toolbar menu will appear—click on “**Forms.**”

It is recommended that you save this document to your computer as your working document using the following naming convention: “LWIA NAME – Plan Modification.” Save your document frequently during its completion.

Technical assistance regarding the development of the Local Plan Modification should be directed to your WIA Program Manager. If you need any assistance with the form, please contact Cathy Laccetti at (518) 457-0389.

**Workforce Investment Act Local Plan Modification**  
**July 1, 2008 – June 30, 2009**

In compliance with the Workforce Investment Act (WIA), each local workforce investment area is required to have a Comprehensive Local Plan in place. With the delay in WIA Reauthorization and a desire to align the development of the State Plan and Local Plans, NYSDOL has determined that each local Workforce Investment Board will develop a One-Year Plan Modification to extend the current plan to now cover the period July 1, 2005 - June 30, 2009. The Plan Modification will allow for short-term changes, development of strategies and efficiencies for dealing with reductions in funding, and alignment with updated State and local priorities. Commencing July 1, 2008, the Local Workforce Investment Areas (LWIAs) will be monitored according to the current Comprehensive Three-Year Local Plan, the Functional Alignment Addendum to the Three-Year Plan, and the Plan Modification. The Plan Modification will allow Local Boards the opportunity to re-evaluate their current system's delivery of employment and training services in light of funding considerations, new initiatives and performance. In developing those new strategies, local areas are required to consult with their region's Labor Market Analyst to review updated data and trends that may impact planning efforts and to use demographic information provided to assure workforce related needs of special populations.

The Plan Modification consists of two parts, the Strategies and WIA Compliance sections.

1. The Strategies section is in the form of questions that will address current and future strategies and efficiencies to address the impacts of funding reductions including infrastructure costs; further plans to achieve functional alignment; regional initiatives and sector strategies to improve a region's competitive advantage by enhancing the supply and quality of the region's talent pipeline; a vision for Youth Services and program design strategies for achieving the common measures; critical local issues and successes; and continued emphasis on services for special needs populations.
2. The WIA Compliance section deals with the Local Board Policies that are regulated by the Workforce Investment Act. In this section, local boards are asked to verify that the policies contained in their current Three-Year Plan and in their Functional Alignment Addendum remain in effect, or indicate that the policy has changed. Where policies have changed or new policies have been instituted, the policy must be attached.

Plan Modifications will be reviewed by NYSDOL with a specific eye toward local area strategies that include efficiencies designed to address the effects of shrinking resources. During the State review process, local areas may be asked for clarification or additional information. Plan Modifications with strategies that do not include efficiencies will not be acceptable.

## Section I. Strategies

### 1. Funding Strategies

Please describe strategies currently underway or being planned by the local board to address continuing reductions to WIA resources. The State appreciates that local areas will find it increasingly more difficult to deliver the same high quality services they have in the past with less WIA resources. Therefore, we are interested in what other funding sources and resources you are seeking to supplement WIA funds, whether through leveraging foundation or grant funds, establishing corporate partnerships, exploring regional strategies, utilizing partner resources, or other creative initiatives. In describing how the local area will support local and regional workforce needs while continuing to provide high quality services to job seeking customers and businesses, address your area's efforts to:

- a. Further coordinate existing resources;
- b. Leverage additional resources, both public (federal, state, local) and private;
- c. Expand current functional alignment efforts to achieve further integration of workforce services;
- d. Implement consolidation strategies and efficiencies;
- e. Engage with neighboring local areas to regionally plan provision of services;
- f. Reduce current infrastructure costs; and,
- g. Form new partnerships and alliances (i.e. community colleges, faith based entities, etc).

#### a.) **Further coordinate existing resources:**

**The core focus of the system continues to be expanding and improving service delivery quality and effectiveness through Workforce1 Career Centers (including Centers staffed by the New York City Department of Small Business Service vendors, New York State Department of Employment Services, or a combination of staff) to more ably prepare jobseekers for employment in key sectors of New York City's economy. However, the New York City workforce system continues to face the realities of serious fiscal constraints in the near future. In an effort to ensure our jobseeker and business customers continue to receive high quality services, the New York City Workforce Investment Board (WIB) and its WIA-funded workforce partners, the New York City Department of Small Business Services (SBS) and the New York City Department of Youth and Community Development (DYCD), will work to strengthen current partnerships and explore new opportunities with the City's network of community based organizations (CBOs) and other workforce stakeholders such as private foundations, the New York City Economic Development Corporation (EDC) and the City University of New York (CUNY). These efforts will focus on building the foundation for a strong network of organizations across the five boroughs of New York City region to support regional economic development efforts.**

Through coordination of resources at the local level, the local workforce system, including the New York State Department of Labor's Employment Services Division, will work together to reduce unnecessary service redundancies across the Workforce1 Career Center system and other providers. For instance, SBS, in coordination with the New York State Department of Labor, will launch the City tax levy funded NYC Training Guide in early 2008. Leveraging the current Eligible Training Provider List (ETPL), the NYC Training Guide will improve the transparency and effectiveness of training investments by ensuring that participants have the information they need to pick quality programs that lead to results. The NYC Training Guide will provide a platform to pilot search functionality, standardized terminology, and online updates, saving the State and City valuable resources. The NYC Training Guide site will also be available to New York City Human Resources Administration (HRA) customers to search providers to meet their training needs.

**b.) Leverage additional resources, both public (federal, state, local) and private;**

As outlined in the 2005 Local Plan, one of the New York City Workforce Investment Board's (WIB) key roles is to leverage WIA and non-WIA resources to bolster the local workforce investment system. The WIB and its WIA-funded workforce partners, the New York City Department of Small Business Services (SBS) and the New York City Department of Youth and Community Development (DYCD), actively seek to access funding and resources from a range of sources, including dedicated City tax-levy funding, foundations, private sector organizations and state and federal grant programs. Working together to bring in additional resources to support current programs like the NYC Business Solutions Training Funds program (customized training) or new initiatives built with partners like the City University of New York (CUNY) and the foundation community benefits the entire system. For example, to date, SBS' NYC Business Solutions Training Funds program has awarded more than \$4.2 million to 42 companies to train nearly 3,000 New Yorkers. These NYC Business Solutions Training Funds were matched by nearly \$6.5 million in employer contributions.

To bring in additional funding from the State level, the NYC Business Solutions team also actively promotes and provides significant technical assistance to New York City businesses interested in applying for the former BUSINYS program, and more recently the ADVANCE NY program. Leveraging their knowledge of the grant process and requirements the NYC Business Solutions team provides step-by-step guidance to businesses, helping each business understand grant

eligibility and individual barriers to applying. The NYC Business Solutions team also reviews and provides comments on the draft applications. This intensive, hands-on approach has yielded 53 business awards since 2006 (includes both BUSINYS and ADVANCE NY), has brought more than \$1.9 million dollars into New York City, and has trained over 2,200 workers.

Currently, the WIB is working to identify opportunities to partner with community colleges on innovative workforce training programs that are inspired by local sector based work, and aim to take advantage of the U.S. Department of Labor's WIRED initiative. Recently the WIB and SBS has supported CUNY on several successful proposals including the \$1.6 million Kingsborough Community College U.S. Department of Labor, Community-Based Job Training Grants Initiative which also leveraged \$210,000 in Individual Training Account (ITA) funds. In fall 2007, the WIB and SBS also supported the successful applications for two CUNY campuses to the New York State Department of Labor, 12-N RFP: Limited English Proficiency and Contextualized Learning. Each grant was for \$500,000 and involved SBS in concept development and linkage support to vendor-staffed Workforce1 Career Centers.

In addition, the WIB and SBS continue to work closely with the New York City Workforce Development Funders Group. In August 2007, SBS and the New York City Workforce Development Funders Group, a consortium of 20 private foundations, were awarded a \$450,000 grant from the newly-launched National Fund for Workforce Solutions. The funding will help local organizations establish new sector-based programs to train low-wage workers in industries of economic development importance to the City. The City's relationship with the Workforce Development Funders Group has allowed the local workforce system to leverage more than \$15 million in non-WIA funds to support innovative programming in sector-based strategies and low basic skills.

c.) Expand current functional alignment efforts to achieve further integration of workforce services;

To date, the New York City Department of Small Business Services (SBS), the City University of New York (CUNY) and the New York State Department of Labor's, Employment Services Division (DoES) have worked through the Operator Consortium (OC) to design and has begun to implement a functionally-aligned front-end common intake program eligibility, program enrollments and initial assessment. The OC continues to review and implement processes to align services within the Workforce1 Career Centers, which encompasses ten Centers that are staffed by DoES, SBS vendors or a combination of staff.

The OC is currently in the process of priority setting for 2008. In an effort to determine in which areas functional alignment is successful and where improvements can be made, the OC recently conducted a survey of all Workforce1 Career Centers. Results of the survey are currently being analyzed by the OC and will be utilized to inform future aligned efforts. The work of the OC is ongoing surrounding operational integration of services and staff training. The OC has worked to implement system-wide policies that improve accessibility to all customers and streamline Workforce1 Career Center system usage. For example, Disability services, through the Disability Program Navigator, and ongoing staff training have been expanded to cover all ten Workforce1 Career Center locations in New York City. The Disability Workgroup subcommittee is in the process of being restructured to allow for increased coordination amongst a range of partners and services. Similarly, SBS vendor staff and DoES staff have coordinated on several large joint-recruitment efforts for local businesses. For example, collaborating on recruiting for a new Whole Foods Market store opening. SBS vendor staff and DoES staff jointly met with the employer, planned for customer flow, prescreened candidates, and referred candidates to interviews, successfully placing 349 candidates. Staff has similarly collaborated for other businesses including Fresh Direct, Delta, Champion Learning Center and others.

The OC also develops system quarterly reports that are analyzed to determine specific services needed by common customers within the operating constructs of the system. As a result, the OC has recently implemented a Language Access Policy that provides guidance and technical assistance in serving Limited English Proficient (LEP) jobseekers. Staff has received extensive training (e.g., how to use “I Speak” cards and interpretation services) and cultural sensitivity training, as well as developed a comprehensive directory of language resources available in the vendor-staffed Workforce1 Career Centers. In response to high demand, the system has translated intake materials into Spanish and will be selecting a third language in the next month or two. The upcoming OC policies will continue to support a functionally-aligned system. For example, the OC expects to release new policies surrounding Workplace Safety and Customer Grievance.

The New York City Workforce Investment Board (WIB) recognizes the value of service integration within the local workforce investment system and views functional alignment as an opportunity to streamline service delivery, eliminate duplications of effort, and improve the quality of our customers’ experiences. However, the WIB recognizes the inherent difficulty associated with aligning two separate systems. Moving forward, the WIB will provide the Operator Consortium with the

opportunity to engage a facilitator, as needed, in the ongoing effort to better align policies, service strategies and provide system leadership. Similarly, the WIB will make available resources to provide staff training applicable to the implementation of new strategies within the system.

d.) Implement consolidation strategies and efficiencies;

The New York City Workforce Investment Board (WIB), the New York City Department of Small Business Services (SBS) and the New York City Department of Youth and Community Development (DYCD), are always looking for ways to streamline service delivery and create efficiencies in the WIA-funded workforce programs operated in New York City. Efficiencies can be created across the Workforce1 Career Centers through streamlining internal processes and communication, or through larger, systems change and coordination. A recent example of streamlining and improving internal communication is the Individual Training Grant Pipeline Report, which is a mechanism developed by SBS to provide vendor-staffed Workforce1 Career Centers with tools to refer their ITA (commonly referred to as ITG or Individual Training Grant in New York City) customers to job opportunities available throughout the Workforce1 Career Center system. This report alerts the Workforce1 Career Centers when ITA customers complete their training courses and provides staff with information to determine which job opportunities these customers have been prepared to fulfill. With the help of this report, ITA customers are now being re-engaged by the Workforce1 Career Centers for job search assistance after training instead of leaving the system when they receive their ITA.

In an effort to create system-wide efficiencies, the vendor-staffed Workforce1 Career Centers have worked to increase overall placements through connections to a Community Partner Network (CPN), a network of Community Based Organizations (CBOs) throughout the five borough region of New York City. Through the CPN, local CBOs work with the vendor-staffed Workforce1 Career Centers to determine how to refer and screen individuals for appropriate placement with system job opportunities. Additionally, the Workforce1 Career Centers leverage non-WIA training and job preparation services offered by CBOs and refer jobseekers needing additional preparation and training, not available through the Workforce1 system, to these organizations. Through these cross-center partnership efforts, the system placed 1,581 jobseekers from July 2007 to January 2008, and strives to achieve 3,000 placements annually.

Finally, through the New York City Department of Youth and Community Development's (DYCD) Technical Assistance division, CBOs that provide youth services have access to assistance with Programmatic

**Development, Organizational Infrastructure and Development and Fiscal Management. This technical assistance provides CBOs with valuable skills development such as identifying program strategies, board development and refining financial management systems, further building the capacity of CBOs in the New York City region to better serve our customers.**

**e.) Engage with neighboring local areas to regionally plan provision of services;**

**The New York City Workforce Investment Board (WIB) spans a diverse five county economic region, which includes 8.2 million people who live within the five boroughs of New York City. The WIB is exploring appropriate opportunities to partner with other economic regions and Local Workforce Investment Areas that share similar goals and serve analogous populations. Similarly, the WIB is also exploring other potential partners that have a regional scope, including industry associations, community colleges and community based organizations, as well as other Workforce Investment Boards. The New York City region’s potential areas of interest include partnering with local areas to coordinate and deliver Rapid Response and Trade Adjustment Assistance, and investigating possible opportunities to collaborate on sector work and various federal and state grants.**

**f.) Reduce current infrastructure costs; and,**

**WIA provides critical funding to develop and locate job opportunities, as well as trains our City’s workforce for employment. The New York City workforce system continues to move forward creating efficiencies, and reducing costs, to build a true “one-stop” system, where New York City businesses and jobseekers can connect to the services they need to succeed. To create efficiencies, the WIA-funded programs are working to better collaborate with the community-based organizations (CBO) and on technology to improve communication.**

**Unfortunately, New York City’s WIA-funded programs have faced substantial reductions in the past several years. As a direct result of this funding reduction, New York City was forced to eliminate one Workforce1 Career Center located at CUNY on the Concourse. Due to these cuts, New York City has also had to eliminate funding for 14 programs which helped more than 1,800 individuals with special needs such as cultural barriers, English language barriers and a history of incarceration. In response, the Workforce1 system has leveraged the City’s network of CBOs and workforce stakeholders to ensure jobseekers still have the opportunity to receive essential services through referrals. (as described in above section d.)**

In an effort to improve vendor-staffed Workforce1 Career Center communication, performance accountability and service coordination the Department of Small Business Services (SBS) developed the Worksource1 technology in 2006. Worksource1 allows for the sharing of customer information across all vendor-staffed Workforce1 Career Center locations and allows staff to better understand customer needs, thereby providing better service. The application includes case management and assessment tools, along with management reporting capabilities. Importantly, the system has streamlined workflow in the Centers - reducing the time it takes to perform data entry and allowing the Centers to serve more customers. It also includes modules to capture case notes, services consumed, job placements and retention activities. The management report function provides a window into system performance, which helps to inform programmatic decision making. Worksource1 has allowed the New York City region the flexibility to capture customer information and run reports relating to local performance objectives.

**g.) Form new partnerships and alliances (i.e. community colleges, faith based entities, etc).**

In a region as large, diverse, and dynamic as the New York City, building a relationship with the broad array of community partners in the workforce investment system is of critical importance. New York City benefits from an extensive network of workforce stakeholders, including community colleges and universities, training providers, community-based organizations, local economic development corporations, public agencies, unions, trade associations, and numerous business groups, among others. It is a critical role of the New York City Workforce Investment Board (WIB) to connect partners and engage these stakeholders in the local workforce investment system. In light of the continuing cuts to WIA, the WIB will continue to strengthen current partnerships and explore new opportunities to partner with the City's robust network of community based organizations (CBOs) and workforce stakeholders. For example, by collaborating with the New York City Mayor's Office of Adult Education to define strategies to integrate and connect workforce with adult education, the New York City Mayor's Office of Industrial and Manufacturing Businesses, and several industry associations and Chambers of Commerce to market our customized training services, the workforce system is extending its reach without having to expend additional resources.

More recently, as the result of the 2006 Workforce Information Mapping project sponsored by the WIB, the WIB in partnership with the City University of New York (CUNY) has launched the NYC Labor Market

**Information Service (LMIS). The LMIS will provide dedicated analysis of available demographic, labor market and local industry data for the local workforce system. Specifically, the LMIS will provide the local system intelligence around economic sector trends and jobseeker opportunities. It is expected that the LMIS, in collaboration with other local data experts, will build off existing labor market and economic information made available through New York State Department of Labor, U.S. Census Bureau, New York City Economic Development Corporation, the New York City Department of City Planning, among others, to develop impartial, high quality products designed to inform workforce stakeholders of the critical issues affecting the five boroughs' diverse labor markets and local economies.**

**In an effort to mobilize and coordinate community resources, the vendor-staffed Workforce1 Career Centers developed a partner strategy, the Community Partner Network (CPN), in July 2006. This approach allows the system to increase overall placements through connections to a CPN, and builds the capacity of community organizations to better connect to the public workforce system. Through this process, local CBOs work with the vendor-staffed Workforce1 Career Centers to determine how to refer and screen individuals for appropriate placement with system job opportunities. This current service delivery model was enhanced in July 2007 through an investment from the Center for Economic Opportunity (CEO), New York City Mayor Michael Bloomberg's anti-poverty initiative, by supporting an expansion of the collaboration between the vendor-staffed Workforce1 Career Centers and community-based organizations in areas of high need in Brooklyn, the Bronx, and Queens. Specifically, this program funds an additional staff of three, at three vendor-staffed Workforce1 Career Centers, to implement outreach to the CEO-targeted areas of need.**

**Through system-wide partnership efforts, the system has seen a dramatic increase in placements and CBO engagement since July 2006. The system has placed 1,581 jobseekers from July 2007 to January 2008 through the engagement of 140 CBOs city-wide. Additionally, the system has connected 678 jobseekers to non-WIA training at these partner organizations. Recognizing that the system is demand-driven, moving forward the system will work to strengthen its partner relationships to better serve both jobseekers and businesses. In particular, the WIB and its workforce partners, in an effort to leverage the full resources of the workforce investment system, will continue to pursue relationships that will allow the system to better serve customers who struggle with multiple barriers to employment and will enable the workforce system to access hard to reach populations in New York City's neighborhoods.**

## 2. Regionally Based Sector Strategies

Local areas have previously been engaged in strategic planning to develop their human capital to address the needs identified by key industry sectors in their region. The USDOL's WIRED framework and the Department's own Regional Sectoral Strategy Initiative are also focused on the development of a talent pipeline to fuel the needs of key growth industry sectors and clusters within a regional economy. This framework brings together all the key players in a region to leverage their collective assets, resources and knowledge in order to devise strategies that focus on infrastructure, investment, and talent development that will optimize innovation and successful regional transformation. The workforce system must be fully connected and aligned with state and regional economic development and growth strategies. This requires integration of workforce development, economic development, and education systems in support of economic competitiveness. To this end, discuss your local board's efforts to engage in the development of a regional sector or cluster based strategy. Include within this discussion:

- a. Progress made in advancing the strategic planning efforts outlined and described in the local area's previous WIA Plan, and how this connects to the development of a regionally based sector strategy;
- b. Progress towards aligning the services of the local workforce system, economic development and education systems to support a regional based sector strategy;
- c. Policies adopted or planned for aligning training initiatives and ITAs to sector strategies and demand occupations;
- d. Partnerships developed in support of this effort and the role of these partners;
- e. Planned outcomes related to your strategy; and,
- f. Next steps to be taken in this effort during the coming year.

**a.) Progress made in advancing the strategic planning efforts outlined and described in the local area's previous WIA Plan, and how this connects to the development of a regionally based sector strategy;**

**Over the past three years, the New York City Workforce Investment system has made significant progress advancing the strategic planning efforts outlined in the 2005 Local Plan. These efforts include the ongoing development and expansion of the Workforce1 Career Centers, anchoring the system's employment preparation and referral services in the hiring and training needs of growing New York City businesses, strengthening and creating a more transparent training structure, supporting the emerging workforce through the New York City Youth Council, and improving stakeholder access to easy-to-use labor market and workforce information.**

**Due to the success in recent years, the local workforce system has been afforded investments which have allowed the City to build and begin to implement new workforce programming. In September 2007, Mayor Michael Bloomberg established the Center for Economic Opportunity**

**(CEO) to provide and coordinate resources to combat poverty in New York City. Recognizing the important role workforce development plays in helping businesses grow and compete and the relationship between skills development and a life out of poverty, CEO has seeded several innovative workforce programs. These programs are focused on the hiring and training needs of businesses in growth sectors, and promote employment retention, job advancement and earnings gains for New York City's working poor population.**

**New York City, through the Department of Small Business Services, currently operates six vendor-staffed Workforce1 Career Centers, as well the soon to re-open Hunts Point Works hiring center located in the Hunts Point neighborhood of the Bronx. The Hunts Point Center will specifically serve the local population, which suffers from a significantly higher unemployment rate than the rest of New York City. Since July 2005, the vendor-staffed Workforce1 Career Centers have served over 150,000 jobseekers and placed over 36,000 individuals in jobs; over 16,000 per year in the last two years. As reported in the LWIA Common Measures Quarterly Performance Report issued by the New York State Department for Labor, for the months of July to December 2007, the Local Workforce Investment Area, had a total of 109,953 participants, including customers served by the Department of Employment Services staff. This number translates to over 200,000 customers annually across the Workforce1 Career Center system.**

**Leveraging WIA and the current workforce system in New York City, SBS plans to expand its services to include two CEO-funded Sector Focused Career Centers and a Work Advancement and Support Center. Each Sector Focused Career Center will base its services on one growth industry that targets placement, retention and advancement strategies for workers, while the Work Advancement and Support Center will focus primarily on increasing income for working poor in several growth industries/sectors, through coaching, counseling, work support uptake and job placement. Additionally, a CEO-funded program addressing barriers to employment for individuals with criminal backgrounds will also target specific industries and sectors that are open to hiring this population, as well as offer quality job opportunities.**

**Each of the vendor-staffed Workforce1 Career Centers, in an effort to prioritize objectives and streamline services, have also selected target sectors to focus their work. The vendor-staffed Workforce1 Career Centers are leveraging a sector framework to engage jobseekers and community partners using sector-specific information, including sector and borough profiles, developed by the New York City Department of Small Business Services (SBS) and the New York City Workforce Investment Board (WIB). Through this approach, vendor-staffed**

**Workforce1 Career Centers will strategically focus their development of job opportunities, as well as the hiring and training of jobseekers to meet the demand of local businesses. Over the next year through cross-center coordination, sectorally-focused employer engagements, and improved coordination with community based partners, the vendor-staffed Workforce1 Career Centers aim to increase the jobseeker placements from 17,000 to over 19,000 per year.**

**On the employer side, the NYC Business Solutions Hiring and Training team, located at SBS, continues to implement and grow programs that help businesses train and equip workers with the skills necessary for businesses to become more profitable and productive. In 2005, SBS launched NYC Business Solutions Hiring (“NYC Hiring”) to provide customized recruitment services for employers with large or recurring hiring needs. Account Managers, with expertise in six target industries, (retail, business services, financial services, healthcare, transportation, and food service and accommodation) provide a business with a single point of contact to source job candidates from Workforce1. NYC Hiring has successfully connected dozens of large, city-wide companies with 5,300 pre-screened and/or trained jobseekers since 2005.**

**In support of this effort, SBS also established a unique recruiting model, the Account Management Team (“AMT”) for the six target industries cited above. AMTs have an established lead and are made up of representatives from each of the vendor-staffed Workforce1 Career Centers located across the five boroughs that are relevant to that particular account (in terms of jobseeker pool and geography). AMTs work system-wide to leverage multiple jobseeker pools and to coordinate referrals and large recruitments. AMTs provide an array of employer services at no cost, including: recruiting; pre-screening; referring qualified candidates; providing space for recruitment sessions; arranging interviewing and training classes; and conducting analysis of past and current hiring strategies to improve performance and lower costs. In 2007, 3,051 placements were made in 34 large-scale businesses served by AMTs predominately in healthcare, retail, transportation, and business services.**

**As defined in the 2005 Local Plan, jobseeker skills development, including customized and individual training, play a critical role in New York City’s demand-driven workforce investment system. At the September 2007 WIB Quarterly Meeting, NYC Business Solutions Training launched an expanded customized training program, NYC Training Funds, which targets businesses in growth sectors. CEO has committed \$4.2 million in City tax levy funds to support the expansion of the customized training program. Leveraging current WIA customized training funds, the Mayor’s CEO investment allows the New**

**York City system to provide much needed work readiness training, as well as literacy, numeracy and English as a Second Language, to local employers to retain workers, promoting career advancement and increased wages. To date, New York City has awarded more than \$4.2 million to 42 companies to train nearly 3,000 New Yorkers, matched by nearly \$6.5 million in employer contributions. The majority of these companies have been in the manufacturing sector, including several “green” companies, and healthcare.**

**Throughout the last three years, the WIB and SBS have closely examined and monitored ITA investments and policies to enable the training system to prepare jobseekers for high-demand occupations by connecting them to high quality occupational and skills training. In an effort to improve the quality and accessibility of training services available to jobseekers throughout the five boroughs, SBS is launching the NYC Training Guide in early 2008. Building off the current ETPL, the NYC Training Guide will improve the transparency and effectiveness of training investments by ensuring that participants have the information they need to pick quality programs that lead to results. For 2007, 2,148 customers were trained using an ITA issuance of \$5,207,086. These ITA investments have been focused heavily in the healthcare and transportation sectors. This year will see an increase of ITA issuance in volume (PY07 less than 2,000 to the PY08 goal of 3000) as well as in quality. In the past year, the vendor-staffed Workforce1 Career Centers have improved assessment and focused ITA issuance on jobseekers who want to gain employment or advancement in Growth Occupations and target sectors.**

**The New York City Youth Board/Youth Council, through the New York City Department of Youth and Community Development (DYCD), continues to make strides in connecting New York youth to critical work-experience. In an effort to form new partnerships with private-sector employers, DYCD has developed the NYC Ladders for Leaders program. NYC Ladders for Leaders, is a joint initiative of the New York City Department of Youth and Community Development (DYCD) and the Mayor’s Commission on Women’s Issues (CWI), to provide corporate internships through public-private partnerships. The internship experience is complemented by regular gender-specific workshops focusing on work readiness, college orientation, health, leadership development, and other issues. Participants in this program are 16-21 years old; high school juniors and seniors, college freshmen and sophomores referred by DYCD-funded community-based organizations. In 2007 DYCD hired a Director of Corporate Relations, who is responsible for creating partnerships with the private sector and creating internships and employment opportunities for DYCD program**

participants, also benefiting the Summer Youth Employment Program, and Young Adult Internship Program.

Finally, as a result of the 2006 Workforce Information Mapping project sponsored by the WIB, the WIB in partnership with the City University of New York has launched the NYC Labor Market Information Service (LMIS). The LMIS will provide dedicated analysis of available demographic, labor market and local industry data for the local workforce system. Specifically, the LMIS will provide the local system intelligence around economic sector trends and jobseeker opportunities. It is expected that the LMIS, in collaboration with other local data experts, will build off existing labor market and economic information made available through New York State Department of Labor, U.S. Census Bureau, New York City Economic Development Corporation, the New York City Department of City Planning, among others, to develop impartial, high quality products designed to inform workforce stakeholders of the critical issues affecting the five boroughs' diverse labor markets and local economies.

**b.) Progress towards aligning the services of the local workforce system, economic development and education systems to support a regional based sector strategy;**

To ensure that businesses are well-served and that New York City continues to grow jobseeker opportunities, the New York City Workforce Investment Board (WIB) will continue to pursue a business-driven strategy that is anchored in the ability to meet the hiring and training needs of local employers. The WIB, through the NYC Labor Market Information Service (a partnership between the WIB and the City University of New York), and New York City Department of Small Business Services (SBS) are working to identify key sectors for focus, deepening the workforce system's understanding of growing businesses' hiring and training needs and providing local firms with hiring and training solutions. By working closely with employers, SBS is improving sector-specific assessment tools and employment preparation and training services so that jobseeker services are tightly linked to job requirements. Such employer feedback recently spurred a change to the customized NYC Business Solutions Training Funds program enabling business associations and training providers to apply as consortia applicants for customized training resources. By responding to business needs, New York City is changing employer perspectives of the workforce development system and attracting businesses to deeper engagements that foster employee retention and job advancement, and ongoing business investment into the system.

The WIB strongly values engaging with key stakeholders to share industry knowledge and explore opportunities to collaborate on sector

specific initiatives. The WIB recently concluded a Health Industry Steering Committee, whose work focused on bringing together stakeholders in the healthcare industry to respond to the planned layoffs as a result of the Berger Commission. Members of the Steering Committee included WIB members, union leaders, hospital and long term care facilities, and educational institutions. Through the work of the Steering Committee, 1199SEIU Training and Employment funds were successful in attaining funding from the New York State Department of Labor and New York State Department of Health to assist impacted workers in the New York City region.

The WIB and SBS continue to work closely with CUNY, particularly through the LaGuardia Workforce1 Career Center, which is located at a CUNY college. More recently, the WIB has collaborated with CUNY on a number of workforce economic development initiatives, including Project Welcome, a U.S. DOL funded workforce initiative, located at Kingsborough Community College (KBCC) and New York City Sales and Service Training Partnership. Project Welcome, for example, works closely with two vendor-staffed Workforce1 Career Centers to recruit and train approximately 90 WIA registrants a year for careers in the Hospitality and Tourism industries. Once trained, KBCC will work directly with the Brooklyn Workforce1 Career Center to ensure that these individuals are placed in jobs consistent with their occupational training.

The WIB is also exploring another initiative, spurred by Mayor Bloomberg's commitment to PlaNYC, the Mayor's sustainability plan for New York City through 2030, around the issue of "green jobs". The WIB plans to (or already has) engage key stakeholders like PlaNYC and organizations such as the New York City Employment and Training Coalition (NYCETC), the New York Industrial Retention Network (NYIRN), Urban Agenda, and CUNY, to better understand the concept of "green" and the sectors affected, as well as the potential business demand and associated training requirements. By working in a coordinated effort with local industry, workforce development and education stakeholders, New York City hopes to be well positioned to take advantage of opportunities as they become available.

In an effort to better align the City's workforce and economic development initiatives, SBS and the New York City Economic Development Corporation (EDC) are collaborating on several redevelopment and new development projects in the five borough economic region of New York City. The projects characteristically have strong dislocated worker or job creation components. Encouraged by the impact of the current collaboration, as well as a better understanding of how economic development and workforce development fit together, all new Request for Proposals issued by EDC

will require an articulation of a workforce development plan. The workforce development plans will allow the WIB and its workforce partners to proactively develop business solutions for projects' hiring and training demands. These solutions will involve proper screening, preparation, and training of local residents for the businesses' required skills.

Finally, to build capacity of the local workforce system around sector-focused work, in late 2007, the New York City Workforce Innovation Fund (WIF) a partnership between SBS and the New York City Workforce Development Funders Group, and supported by the WIB, was awarded a three-year, \$450,000 grant by the National Fund for Workforce Solutions to support the creation of a local sector-strategy skills institute and a series of public workshops. The National Fund for Workforce Solutions is a funding intermediary (comprised of the Ford, Annie E. Casey, Weinberg and Hitachi Foundations along with the U.S. Department of Labor) that seeks to provide funding to regional funding collaboratives to help initiate new sector initiatives and to build the sector field.

Developed by the WIB and WIF, in collaboration with local partners, the Institute will increase the number of effective workforce intermediaries, and strengthen existing ones to implement sector strategies in the New York City region. Over twelve months, participating organizations will be exposed to experts in sector-based approaches and essential skills, as well as receive guidance to develop concrete plans (and funding proposals) for building sector partnerships in the New York City region. Drawing on their sectoral experience and the national Sector Skills Academy, Public/Private Ventures and the Aspen Institute will develop and implement the Institute's programming. In an effort to extend the reach of the Institute, the WIB, WIF and local partners will also launch the Sector Strategies Public Workshop Series to promote the sector concept across the workforce development and economic development community, and to recruit and engage potential partners to participate in the Institute.

**c.) Policies adopted or planned for aligning training initiatives and ITAs to sector strategies and demand occupations;**

Leveraging WIA and the workforce system in New York City the New York City Department of Small Business Services (SBS) plans to expand its vendor-staffed Workforce1 Career Centers, to include two Sector Focused Career Centers and a Work Advancement and Support Center. These new vendor-staffed Career Centers will be funded by the Center for Economic Opportunity (CEO), a City tax-levy funded initiative to eliminate poverty in New York City. Each Sector Focused Career Center

**will serve one specific growth industry and will target placement, retention and advancement strategies for working poor jobseekers. The Work Advancement and Support Center program will focus primarily on increasing income for working poor in several growth industries/sectors, through coaching, counseling, work support uptake, and job placement. The Work Advancement and Support Center program and the Sector Focused Career Centers, as well as the CEO-funded criminal justice initiative (Employment Works), will provide jobseekers with an “advancement plan” which will leverage WIA ITA training grants for job skills training where appropriate, as well as jobseeker supports such as pre-employment soft skills development, literacy skills, etc.**

**d.) Partnerships developed in support of this effort and the role of these partners;**

**A critical aspect of successful sector strategies and innovative initiatives are strong reciprocal partnerships. The New York City Workforce Investment Board (WIB), the New York City Department of Small Business Services (SBS) and the New York City Workforce Innovation Fund (WIF) currently partner with a variety of organizations to expand and deepen sector work in New York City. These organizations are an important part of creating system change and play a key role in developing infrastructure in the New York City region that supports sector work. The New York City workforce system’s key partners in establishing initial sector focused initiatives and strategies includes the local and national foundation community, national leaders in sector-work (including Public/Private Ventures, the National Network of Sector Partners, and the Aspen Institute) and the training provider community through the New York City Employment and Training Coalition (a membership organization with over 200 member groups).**

**As discussed in the 2005 Local Plan, in 2004 SBS and the New York City Workforce Development Funders Group formed the WIF. As its first project, WIF launched the New York City Sectors Initiative aimed at creating a new model for workforce development responsive to both employer and worker needs. Through a competitive process, the WIF awarded three planning grants and selected two initiatives to move forward into implementation: Metropolitan Council on Jewish Poverty’s “Medical Pathways” program in the healthcare sector, and State University of New York (SUNY) Downstate Medical Center’s biotechnology project. Throughout the implementation phase, these two initiatives have provided fundamental experiential knowledge around the development of partnerships and jobseeker preparation that the WIB and its workforce partners will continue learn from and utilize**

as the New York City region moves forward to implement new sector strategies and initiatives.

For instance, as part of the development phase of the vendor-staffed Sector Focused Career Center, SBS released a competitive Request for Proposals (RFP) for the Center which required applicants to include a partnership structure to support their sector initiative. This structure required the Sector-Focused Career Center vendor to partner with a minimum of one additional organization that would complement and supplement the skill set of the vendor. The structure also required at least two businesses from the target sector that would be active participants in the service delivery design and strategic direction of the Center.

In January 2008, SBS selected a proposal focusing in the Transportation and Logistics sector, with specific emphasis on air transportation, truck transportation, and ground passenger transportation sub-sectors, for the first vendor-staffed Sector Focused Career Center. The vendor plans to leverage existing partnerships with several businesses in the commercial transportation services and distribution industries, as well as a local development corporation and non-profit organizations located in Queens, New York. In addition to these established partnerships, the vendor will bring in other partners as needed to expand its services for businesses and workers, such as industry associations and community and technical colleges.

e.) Planned outcomes related to your strategy; and,

The Department of Small Business Services (SBS) expects that each vendor-staffed Sector Focused Career Center will achieve 500 placements and/or promotions in their first years of operation. Thereafter, each Center will be expected to achieve 1,000 placements and/or promotions in Year-2 and achieve 1,000 in Year-3. Similarly, the vendor-staffed Work Advancement and Support Center initiative has recruited over 6,000 individuals, and is working toward enrolling nearly 500 participants in work advancement and support programming.

Over the next two years, the Workforce Innovation Fund (WIF) (described in section d. above) and the NYC Workforce Investment Board (WIB) will launch the local sector-strategy skills Institute that will convene two yearlong sessions for over 20 organizations, resulting in the creation of new workforce intermediaries through skill development, as well as the completion of viable sector proposals/implementation plans.

f.) **Next steps to be taken in this effort during the coming year.**

**The first vendor-staffed Sector Focused Career Center is expected to be launched in early 2008. A Request for Proposals for the second vendor-staffed Sector Focused Career Center vendor is expected to be released mid-2008, and expected to begin services in January 2009. The Work Advancement and Support Center career advancement program operated out of the vendor-staffed Workforce1 Career Centers is expanding to two additional vendor-staffed Centers in the next two months (Queens and the Bronx). In these new programs, the Centers will focus on specific sectors (i.e., healthcare, finance and retail) to help low-income workers access better jobs by developing trainings, information sheets on career ladders, and relationships with employers for placement into non-entry level positions. Finally, the Workforce Innovation Fund and the New York City Workforce Investment Board (WIB) anticipate that the local sector skills development institute will convene two year-long sessions for over 20 organizations that will result in the creation of new workforce intermediaries through skill development, as well as the completion of viable sector proposals/implementation plans. To complement this Institute, the WIF and the WIB will launch a public information sector workshop series beginning in early 2008.**

Briefly describe any other regionally focused initiatives currently underway or planned by your local board.

**The New York City Workforce Investment Board (WIB) is currently exploring appropriate opportunities to partner with other economic regions and Local Workforce Investment Areas that share similar goals and serve analogous populations. Similarly, the WIB is also exploring other potential partners that have a regional scope, including industry associations, community colleges and community based organizations, as well as other Workforce Investment Boards.**

### **3. Youth**

Describe the strategies, activities and initiatives currently in place or planned by your local area to improve your ability to meet or exceed the Youth System Indicator and Common Measure goals through improved youth program design and service delivery. Include a description of any joint regional efforts your local area is also involved with or is planning with regard to youth initiatives. Specifically, address:

- a. Increasing Out-of-School Youth Participation: Describe the current and planned *recruitment* strategies to expand and market services to out-of-school youth. Describe

current and planned *retention* strategies to ensure seamless, year-round services to out-of-school youth despite possible gaps caused by expiration of provider contracts.

**The Department of Youth and Community Development (DYCD) plans to serve 924 Out-of-School Youth (OSY) in Program Year (PY) 08-09 assuming level funding received from NYSDOL. DYCD may be able to expand the number of OSY served in 08-09 through the renewal of its Partnership for Youth contract with the New York State Office of Children and Family Services (OCFS). This contract is designed to serve the hardest-to-serve youth through WIA OSY contractors in partnership with the local Youth Bureau, housed at DYCD in New York City. This collaboration served 90 participants in PY 06-07 and 112 participants in PY 07-08, bringing the total served for OSY to 1,015 and 1,036 in those respective years.**

**Currently, Contractors recruit youth using a variety of methods, including street outreach, partnerships with houses of worship and other community-based organizations, advertising in community newspapers, and by receiving referrals from friends and families of participants and other organizations. Contractors' retention strategies include case management and youth development activities, incentives, fostering the involvement of the participants' families, and offering services on weekends and during evening hours, among others. The current OSY contracts are structured to allow for renewals at the discretion of DYCD and for the contract to conclude without interrupting services to participants.**

**Additionally, DYCD plans to utilize the Young Adult Internship Program (YAIP) as a means of referring participants for OSY training. YAIP, DYCD's workforce development program targeting "disconnected youth", is part of Mayor Bloomberg's Center for Economic Opportunity (CEO) \$150 million anti-poverty initiative to explore innovative approaches to poverty reduction. The program launched with 15 service programs in October 2007 and operates with three 14 week cycles per year serving approximately 1,350 young adults, who range in age from 16 to 24. Each program offers participants the chance to develop essential skills for today's workforce through a combination of educational workshops, counseling, and short-term paid internships. The goal of YAIP is to reconnect youth to one or more of three outcomes: work, advanced training, or education.**

**Further, on October 17-19, 2007, DYCD hosted the 37<sup>th</sup> Annual Conference of New York State Youth Bureaus (ANYSYB), "Our Youth: Fulfilling New York's Promise," which took place at the Brooklyn Marriott. The theme for this event was inspired by New York City being named in 2007 as one of the "100 Best Communities for Youth People" by Americas Promise (an honor bestowed again this year). The event convened more than 400 youth serving professionals, from across the state. A key goal for this event was to work on strategies to positively engage all young people. The**

**event was sponsored by OCFS, the NYC WIB Youth Council, New York City Youth Board, Citibank, IBM, Forest City Ratner Companies, Commerce Bank, The Robert Bowne Foundation, Altman Foundation, Fidelis Care, CenterCare Health Plan, The Chazen Foundation, The Pinkerton Foundation, Youth Development Institute, Municipal Credit Union, United Neighborhood Houses and the Neighborhood Family Services Coalition.**

- b. Literacy/Numeracy Gains: Describe service strategies (current and planned) for assuring that out-of-school youth deficient in basic reading/writing and math, attain these basic skills. Describe the assessment strategy and procedures for pre-testing the basic reading/writing and math skills of all out-of-school youth for basic skills, including the assessment test, and the rationale for the timing of the pre-test within the 60-day window (i.e., is the pre-test administered at the beginning or at the end of the 60-day window, and how does this timing align with the service strategy?). Describe the assessment strategy and the procedure for ensuring post-testing occurs within one year of the first youth service or prior to exit.

**All OSY contractors are required to provide instruction in basic skills to youth in need of such services. DYCD program staff review participant files to ensure that this instruction is taking place. Youth are tested using the Test of Adult Basic Education (TABE) instrument during the initial assessment period in the OSY program. Using test scores obtained prior to program registration allows contractors to customize the participants' individual service strategy and refer a youth, if necessary, to other programs that better fit his/her needs. All youth must have TABE scores on the date of the first youth services. Contractors have been notified, through meetings and written policies, that post-testing must occur within one year of the first youth service or prior to exit. In addition, DYCD is utilizing a monitoring tool that tracks the number of basic skills deficient out-of-school youth registered in the Out-of-School Youth (OSY) program across all contractors, dates of testing and the achievement of gains.**

**Further, DYCD received \$750,000 through the Center for Economic Opportunity (CEO) to expand adult literacy services to disconnected young adults. Every effort will be made to link OSY participants to the 4 planned awardees to provide these services projected to begin March 2008. Awards will take place through a competitive Request for Proposals process.**

- c. Attainment of a Degree or Certificate: Describe assessment and service strategies (current and planned) for youth to attain a high school diploma, GED, or certificate. Describe the specific certificate training (current and planned) offered by the program, and how each certificate relates to employment opportunities in the local area and/or region.

**In-School Youth (ISY) contractors administer the TABE test to incoming program participants as part of an initial assessment for services to be rendered. Educational services are provided by the contractors to support**

and enhance basic math, reading, writing, and oral English skills, and encourage regular school attendance. These educational activities augment, rather than replicate, school-day activities through the use of alternative learning strategies, which include, but are not limited to, tutoring, homework assistance, reading clubs, and computer-assisted and project-based learning. Contractors are encouraged to use contextualized learning experiences and materials, in which educational attainment is linked to career opportunities. ISY contractors assist youth to stay in school and achieve their high school diploma. As part of this effort, the contractor may offer Regents exam preparation.

The OSY contractors also administer the TABE test as described above in item b. All contractors make available both basic skills training and General Educational Development (GED) preparation to all OSY participants, based on their educational levels and goals. Most contractors offer GED onsite through partnerships with the New York City Department of Education or with their own instructors. A few contractors have partnerships with college-based GED programs such as, Henkels and McCoy with the CUNY Catch Programs at LaGuardia and Bronx Community Colleges, the New York Center for Interpersonal Development with the College of Staten Island, and Medgar Evers College OSY program with Medgar Evers' GED program. Approximately 160 OSY participants can utilize these college-based GED programs. The majority of OSY contractors also provide some form of occupational skills training, leading to a certificate that meets the current WIA definition of a certificate. Most of these occupational trainings are in industry sectors, such as retail/customer service; construction and construction-related; healthcare; and, hospitality and tourism, that were identified as high-growth sectors in research by the New York City WIB and the NYS Department of Labor. As a requirement of the most recent Youth Workforce Development Request for Proposals (November 2005) under which the current contractors are funded, proposers had to propose training in one of the aforementioned sectors, or in other sectors, where they were able to substantiate a strong demand for workers. All certificates offered have been reviewed and approved by DYCD.

- d. Placement in Employment or Education: Describe assessment and service strategies (current and planned) for placing youth into employment or enrolling youth in post-secondary education and/or advanced training/occupational skills (including apprenticeship, apprenticeship preparation, OJT, work readiness skills training, etc.).

The ISY contractors create an Individual Service Strategy (ISS) during the initial assessment period of participants. The ISS is based on the TABE score, work-history, goals and other relevant factors. The ISS provides a basic roadmap for the youth to use as a guide during his/her time with the contractor. Since most In-School youth pursue higher education, college-

related service activities are provided. These services include, but are not limited to, 'how to pick the right college', 'how to write an effective essay', 'how to apply for financial aid, etc. Contractors are encouraged to conduct college trips and Scholastic Aptitude Test (SAT) prep related workshops to prepare the youth for post-secondary education. The In-School Youth Program has teamed up with Seedco to create a Work-Readiness Curriculum that addresses how to prepare young people for Summer Youth Employment internships as well as unsubsidized employment. This curriculum is module-based and also guides the instructors on how to identify and track a participant's progress.

The OSY programs also create an ISS for each participant, outlining their career, educational and social histories, experiences, and goals. Since the majority of OSY participants come to workforce development programs looking for help in obtaining employment, OSY programs are geared toward helping them achieve this goal. All programs include job readiness training using the curriculum of their choice, and deploy staff to develop employment opportunities for participants. Other strategies contractors use to help youth prepare for employment include internships, on-the-job training, apprenticeship preparation, and occupational training leading to certificates. Since some OSY participants are interested in post-secondary education instead of or in addition to employment, college tours and assistance with college and financial aid applications is also offered in OSY programs.

Additionally, the Summer Youth Employment Program (SYEP), NYC Ladders for Leaders and YAIP play a critically important role in helping young people make the important connections between education, employment and life-long learning.

- **SYEP:** All ISY participants are guaranteed a summer job through DYCD's SYEP, which provides summer employment and educational experiences that capitalize on participants' individual strengths, develops their skills and competencies, and connects them to positive adult role models. As of PY 07, SYEP has 6,048 worksites, of which 1,604 were developed by ISY providers (21% in total were jobs in the private sector) and enrolled over 41,804 youth, of which 2,611 were from ISY.
- **NYC Ladders for Leaders:** Ladders for Leaders, a joint initiative of the New York City Department of Youth and Community Development (DYCD) and the Mayor's Commission on Women's Issues (CWI), provides corporate internships, with salaries paid by the businesses, through public-private partnerships. The internship experience is complemented by regular gender-specific workshops focusing

**on work readiness, college orientation, health, leadership development, and other issues. Participants in this program are 16-21 years old; high school juniors and seniors, college freshmen and sophomores referred by DYCD-funded community-based organizations.**

- **YAIP: YAIP, described earlier above, provides a combination of educational workshops, counseling, and short-term paid internships for disconnected youth. The goal for YAIP is to reconnect youth to one or more of three outcomes: work, advanced training, or education.**

**Finally, in 2007, DYCD hired a Director of Corporate Relations, who is responsible for creating partnerships with the private sector and creating internships and employment opportunities for DYCD program participants. Highlights of some milestones from that work include creating employment opportunities for OSY with Target in Brooklyn, Metro-North, The Crowne Plaza Hotel, Times Square, and 19 jobs with UPS.**

#### **4. Other Service Strategies**

Describe your service delivery strategies and initiatives currently in place or planned by your local area to address the workforce related needs of special populations. Include a description of any joint regional efforts your local area is involved with or is planning. Specifically, describe strategies to address the needs of:

- a. Unemployment Insurance Customers: UI claimants comprise over 60 percent of the one-stop system's current customer base. Describe current and planned strategies to improve services to UI customers, particularly in light of the goals established in the Incentive/Sanction Technical Advisory 07-11 and 07-11.1 and in alignment with the Reemployment Services Plan in your local area.

**The New York State Department of Labor, Employment Services Division (DoES) has made significant strides to improve current services to Unemployment Insurance (UI) customers in recent months. In an effort to encourage timely scheduling and appropriate triage of UI customers, DoES has developed and implemented several new staff guidelines for scheduling UI customers within the first fourteen days. Currently, all UI customers are immediately sent a Reemployment Services Assessment package upon appearing in the Reemployment Operating System (REOS). The package includes information like a supplemental registration form that includes a needs assessment, a list of Center Services, a skill checklist and a fact sheet containing UI work search requirements. Customers are then pre-assessed based on their responses in the returned documents. Customers are assessed as having low needs (who are capable of accessing employment utilizing**

remote assistance) or high needs (customers who require in-person services). Customers who fail to respond to the initial mailing are scheduled to report in person, where they attend a group orientation and an assessment process to route customers to appropriate next step services. To meet the fourteen-day scheduling guideline, DoES has increased the number of scheduling sessions in order to accommodate larger numbers of UI Customers. Due to the large population served, the workforce system continues to grapple with the ability to customize services to ideally meet the needs of individual jobseekers. DoES continues to reevaluate the initial UI customer outreach to better understand the appropriate incentives and services to offer jobseekers in order for them to initially engage, and continue to engage with DoES. For example, DoES staff have piloted, increasing the number of times DoES contacts non-responders and the intervals in-between contact. The fundamental goal is to give every customer an enrolling service as early as possible in their claim cycle.

- b. Individuals with Limited English Proficiency: Describe the need for employment, training and supportive services to individuals with limited English proficiency in your area. Describe current and planned strategies for increasing access to ESL training; providing services and materials in multiple languages; increasing cultural awareness among staff serving customers; and current and planned partnerships to improve the local area's ability to serve individuals with limited English proficiency.

**According to the 2006 U.S. Census American Community Survey estimates, over 3,000,000 New Yorkers are considered foreign born and nearly 1,800,000 non-native English speaking New Yorkers (ages 5 years and older) speak English "less than very well". A lack of English language literacy can be a serious barrier to accessing important government services, as well as employment opportunities. The New York City Workforce Investment Board (WIB), and its workforce partners continue to work to provide meaningful access to all services and opportunities available through the workforce system in New York City.**

**Supported by the New York State Education Department (NYSED) Title II WIA funds, in July 2006, the City University of New York (CUNY) entered into a three-year contract with the local New York City Workforce Investment area to provide Adult Literacy Services in collaboration with the vendor-staffed Workforce1 Career Center system. Recognizing the importance of providing services across the New York City region and of providing the necessary services at scale, the vendor-staffed Workforce1 Career Centers have partnered with five different CUNY colleges to provide ESL instruction and GED preparation services in each of the five boroughs. The NYSED funding provided for necessary teaching staff, curriculum development, resources and supplies. In addition, CUNY has leveraged its Adult and Continuing Education staff**

to provide onsite operations management, or Workforce1 Partner Coordinators, in each vendor-staffed Workforce1 Career Center. The approach for this Literacy program is two-fold. The first objective is for jobseekers to obtain the credential or specific skills proficiency needed to obtain a job, or advance in one's current job. The second objective is to assist jobseekers receive skills training that is needed to succeed in the workplace. The Workforce1/CUNY Literacy program set a target goal of engaging 1,200 participants for 2007.

During the first year, the Workforce1/CUNY Literacy program assessed over 1,800 candidates interested in GED or ESL services, of which 797 candidates were found eligible for literacy services. The remaining candidates were referred to other literacy service providers through the Literacy Assistance Center (LAC), or other programs that had a current relationship with the Workforce1 Career Center.

Over the next year, the Workforce1/CUNY Literacy program hopes to build a stronger program based on the lessons learned throughout 2007. The program's foundation is based on the ongoing development of contextualized curriculum and jobseeker placement services. Over the next year, the Workforce1/CUNY Literacy program will work to continue to improve coordination with partners, develop linkages with non-literacy related workforce services at the vendor-staffed Workforce1 Career Centers, and explore the opportunity to contextualize literacy and ESL materials for the target industries the vendor-staffed Workforce1 Career Centers have identified in their Strategic Operating Plans.

The Operator Consortium has also recently implemented a Language Access Policy that provides guidance and technical assistance in serving limited English proficient jobseekers. Center staff received extensive training on legal requirements for providing Language Access, proper service procedures (e.g., how to use "I Speak" cards and interpretation services) and cultural sensitivity training. Each Workforce1 Career Center, which includes Centers that are staffed by DoES, SBS vendors or a combination of staff, has designated an appropriate staffer at each site to act as the Language Access Coordinator (LAC). LACs are responsible for ensuring all Limited English Proficient individuals have access to available services, as well as the continued compilation and dissemination of the Directory of Multi-Lingual staff, which provides contact information and details about languages spoken by the staffers across the system. LACs also regularly report to the Operator Consortium on number and demographics of the Limited English Proficient customers served at the Career Centers. As a result of this data collection, the workforce system has translated intake materials into Spanish and will be

selecting a third language (likely Chinese or Korean based on initial survey results) in the next few months.

The vendor-staffed Workforce1 Career Center system has also begun to use ACCESS NYC, a free service provided by the City of New York, that identifies and screens for over 30 City, State, and Federal human service benefit programs. This technology helps jobseekers access all the benefits they are eligible for that can support them in getting and maintaining work. ACCESS NYC is currently available in seven languages including English, Spanish, Chinese, Korean, Haitian Creole, Russian, and Arabic.

- c. Low-Income, Low-Skilled Workers: Describe current and planned strategies for increasing the ability of low-income workers to earn sustainable wages and access good jobs with benefits and/or career ladders that will help sustain themselves and their families. Describe current and planned strategies for assessing and increasing the skills of workers, including the TANF population, to enable them to qualify for higher wage positions. Describe strategies to partner with other agencies to provide these workers with supportive services including transportation, child care, mentoring, etc.

**In 2006, the Center for Economic Opportunity was established by Mayor Michael Bloomberg to provide tax-levy funding and coordinate resources to combat poverty. The 2006 U.S. Census American Community Survey estimates that nearly 600,000 New York households earn less than \$15,000 per year, and 19.2% of New Yorkers are considered to be living in poverty. In an effort to assist low-wage workers advance out of poverty, the New York City Department of Small Business Services (SBS) has launched several initiatives to assist low-wage workers advance in the labor market.**

**One such initiative is the Work Advancement and Support Center (WASC) model that was developed with the primary goal being to reduce poverty and increase income for low-wage workers through job upgrades, increase access to work supports (such as food stamps, health care, EITC, etc.) and promote asset-building activities. The secondary goal of the WASC is to strengthen the competitiveness of local businesses by providing employer-based retention and advancement services (often through articulation of career ladders) to meet workforce skill needs, address shortages of qualified workers, and increase worker productivity. To achieve these two goals, the WASC model will be implemented through an expansion of services within the existing vendor-staffed Workforce1 Career Center system, and through a stand-alone employer-focused, vendor-staffed Center located in Brooklyn.**

**In terms of the expansion of services within the existing Workforce1 Career Center system, SBS has launched a pilot program, EarnMore, in the vendor-staffed Upper Manhattan Workforce1 Career Center to provide additional services to incumbent workers designed to promote career advancement and increased earnings. In this business-driven approach, each customer works with a job coach to develop a personalized advancement plan that includes plans for skills training, further education, and future employment in fields and industries targeted for advancement. As a part of the program, every customer receives intensive advancement-focused career coaching and access to screening for and enrollment in: work-supports, income and asset-building workshops, peer support groups, and adult education and skills training courses. Administered by Seedco, EarnMore targets individuals earning \$14 or less an hour and employed continuously over the past 6 months for “upgrade”. An “upgrade” includes an increase of weekly earnings gained through increases in wages or hours, movement from a temporary position to a permanent position, or increases in access to employer sponsored fringe benefits. Recruitment for career advancement programs target low-wage workers, including the TANF population, previously placed at the vendor-staffed Workforce1 Career Centers or community-based partners. This pilot will be used to inform the program’s integration into services provided at other vendor-staffed Workforce1 Career Centers.**

**The stand-alone vendor-staffed WASC will utilize an employer-based strategy to target employers interested in improving the performance and productivity of their entry-level workforce. When a workforce is struggling to make ends meet to support their families, employers face lost work hours, declining work quality, an increase in job-related conflicts, and rapid turnover, all of which translate into lost dollars for a business. The employer-based WASC strategy will provide individualized job and career coaching, advancement planning, and connections to work supports for targeted employees. In addition, to ensure that employees have the skills needed to advance and that the needs of the employer are met, the WASC will provide support to develop customized trainings that enable the employer to retain employees, build and upgrade skills, and increase wages. These retention and advancement services will be, when possible, located at the employer site. Providing services at the job site can lessen the burden placed on workers to balance work and family and minimize transportation and child care costs. Moreover, employers will take the lead in the design and delivery of services, adding motivation for workers to invest their time and effort to pursue advancement opportunities.**

The vendor-staffed Workforce1 Career Center system has also begun to use ACCESS NYC, a free service provided by the City of New York that identifies and screens for over 30 City, State, and Federal human service benefit programs. This system helps jobseekers access all the benefits they are eligible for that can support them in getting and maintaining work. ACCESS NYC is currently available in seven languages, including English, Spanish, Chinese, Korean, Haitian Creole, Russian and Arabic.

- d. Individuals with Disabilities: Describe current and planned strategies for providing services to individuals with disabilities through the one-stop center, including the role of the Disability Program Navigator and how that role will be sustained in light of diminishing funds. Discuss how functional alignment has improved service delivery, partner relationships and referral processes as it relates to this population.

**According to 2006 U.S. Census American Community Survey estimates, over 975,000 New Yorkers over the age of 16 have disability status. Since 2003, the New York City Workforce Investment Board (WIB) and the New York City Department of Small Business Services (SBS) have received a federal Work Incentive Grant from the U.S. Department of Labor and State level WIA funding to implement a pilot Disability Program Navigator program (DPN) throughout the Local Workforce Investment Area. In conjunction with the NYS Department of Labor, the vendor-staffed Workforce1 Career Center system instituted the DPN program to serve the common customer pool. Since its inception, the program has grown to include five Disability Program Navigator staff who serve the five boroughs. The key function of the DPN program is to increase employment opportunities and the self-sufficiency of people with disabilities. DPN services have three primary areas of focus for the workforce system. The first area is around providing expertise, and serving as a resource to the workforce system, providing information on requirements in serving persons with disabilities, on the availability of workforce partner programs, training services, information about Social Security Administration work incentives and other employment support programs. The second area is to provide technical assistance to the workforce system, to build capacity within the system to respectfully provide appropriate services to persons with disabilities. The final area is to educate local employers about how to employ persons with disabilities, as well as the associated incentives for doing so.**

**Recently, the DPN program surveyed Workforce1 Career Centers staffed by DoES to better understand their needs around serving persons with disabilities. As a result, DPNs will now provide services to these aforementioned Workforce1 Career Centers on a weekly basis, as well as refer jobseekers to the system's partner programs as appropriate. In addition, DPNs are working closely with vendor staff and DoES staff to**

**better understand the availability and condition of adaptive equipment throughout all Workforce1 Career Centers, as well as coordinating the system with partner organizations that also utilize particular adaptive equipment and supportive materials. DPNs are also working with Center staff to develop a resource manual for how to serve persons with disabilities, including information on etiquette, how to operate adaptive equipment, and how to serve individuals with a disability in the absence of adaptive equipment.**

- e. Veterans: Describe new or planned local/regional initiatives for providing services to veterans in, or returning to, your local area.

**Annually, concurrent with Fleet Week, the vendor-staffed Workforce1 Career Center system partners with the Mayor's Office for Veterans Affairs to hold a job fair for nearly 400 Veterans. Workforce1 vendor staff provides Veterans information about job readiness, training and job connection services available through the Workforce1 Career Centers. Staff also provides these jobseekers with currently available job opportunities to review as well as information about connecting to vendor-staffed Workforce1 Career Centers for preparatory services. Recognizing the expected increase in Veterans returning from active duty in the future SBS and the vendor-staffed Workforce1 Career Centers will continue to work with the Mayor's Office of Veterans Affairs to provide Veterans information about career services.**

**The New York City Department of Small Business Services (SBS) also administers City Council funding to Black Veterans for Social Justice (Black Vets), a strategic partner with the vendor-staffed Brooklyn Workforce1 Career Center's Community Partner Network (CPN). Black Vets serves individuals in the central Brooklyn area, targeting homeless Veterans that have received Honorable Discharge (or under Other Than Honorable Discharge) through their Homeless Veteran Reintegration Program. Through the City Council funding, it is expected that Black Vets will place 70 jobseekers with 50% of those placements being made through collaboration with the Brooklyn Workforce1 Career Center.**

**The New York State Department of Employment Services (DoES) also manages an ongoing Veterans' Program in the Workforce 1 Career Centers/System which assesses and matches Veterans to appropriate job openings. Veterans are case-managed and provided access to supportive services. Many of these support programs deal with chronic problems Veterans face which are not readily apparent. As part of the intensive service strategy, DoES makes contact with Veteran customers at least once a month to measure the success of their jobseeking efforts. Veteran jobseekers are given priority service for employer recruitments, job fairs, and job openings. By Federal mandate, Veterans**

**must be referred to job openings for which they qualify before other jobseekers can be referred.**

**The local Veterans service plan for New York City includes outreach to newly discharged or about to be discharged service members through the Transition Assistance Program (TAP). This program consists of four days of intensive personal appraisal, career exploration, strategies for effective job search, interviewing techniques, resume preparation, reviewing job offers, and other support services. Nine sessions are offered each year at Fort Hamilton in Brooklyn. The program is staffed by two Disabled Veterans Outreach Specialists (DVO) and two Local Office Veteran's Representatives (LVER) from various Workforce1 Career Centers in New York City. Each session serves about 35 to 40 Veterans. In addition, there are DVOs stationed at various U.S. Department of Veterans Affairs Medical Centers from one to five days per week to assist Veterans in need of employment services as part of their return to civilian life. Veterans are provided with the full range of core services along with priority placement services. Every effort is made to ensure returning Veterans make a smooth transition back into civilian life.**

- f. Other individuals with barriers to employment: Discuss any other strategies in place to address services to individuals with barriers to employment.

**The Center for Economic Opportunity, established by Mayor Michael Bloomberg to provide tax-levy funding and coordinate resources to combat poverty, has reported that the majority of ex-offenders returning to New York City come back to poverty-stricken neighborhoods with few job opportunities and little social capital. Without appropriate service intervention, two-thirds are likely to be arrested again. According to New York City Department of Probation figures, nearly 32,000 individuals are sentenced to probation each year in New York City. Approximately half of these individuals are unemployed.**

**To address this problem, the New York City Department of Small Business Services (SBS) and the New York City Workforce Investment Board (WIB) are engaged in a number of initiatives to better serve this population. For example, the WIB and SBS are building the Workforce1 Career Center system's capacity to serve and place this population through the education of all system stakeholders, including employers, on legal issues and fair hiring practices, as well as encouraging the development of policies and practices that address the unique placement and retention challenges faced by individuals with criminal records.**

**In an effort to better understand the complex issues facing individuals with criminal histories, the New York City Workforce Investment Board established a steering committee of experts to convene to discuss ways to collaborate. Over the course of a year, the WIB Prisoner Re-entry Steering Committee met to share information about programs and resources, to understand the concerns and needs of the business community, and to review the information collected. Its meetings created a venue for members to discuss programmatic and policy ideas, which supported cooperative program design and development among a few member organizations outside of the Committee meetings.**

**The Committee's formation was particularly timely, as it coincided with the efforts of the Mayor Michael Bloomberg's effort, through the Center for Economic Opportunity, to create and test practices that could help people involved in the Criminal Justice System to become gainfully employed. One such initiative is the SBS Employment Works program. Employment Works will concentrate on improving employment outcomes for individuals on probation in the summer of 2008. Developed through the close collaboration of SBS and the New York City Department of Probation, this innovative program will place 600 probationers each year in long term jobs paying \$9.00 an hour or more. Providers selected to implement the program will leverage the existing vendor-staffed Workforce1 Career Center system for 15% of placements.**

**Finally, SBS is also overseeing the disbursement of \$6 million in New York City Council funds to serve New York City residents with high barriers to employment with a focus on: individuals with long-term unemployment histories and immediate employment need, court-involved individuals, disconnected young adults and "aging out" foster care youth, and emerging entrepreneurs. SBS designed the Community Workforce Innovations (CWI) initiative, in which the New York City Council selected the appropriate vendors. In total, this initiative aims to place approximately 1,200 New York City residents in full-time employment and serve 165 businesses. The program is SBS' most recent effort to develop new partnerships with local community-based organizations. These partnerships will ultimately place more New York City residents in high-need communities in jobs and increase investment in the overall workforce development community in the City.**

## **5. Critical Local Issues**

Please describe any critical issues or major initiatives unique to your local area that you are currently addressing or developing strategies to address. Specifically, describe:

- a. The issue and its impact on the area and/or region;

- b. Other parties involved (e.g., industry sectors, state, local or community partners, etc.); and,
- c. The proposed resolution or actions being taken, timeframe and outcomes expected.

**a. The issue and its impact on the area and/or region;**

**The New York City Workforce Investment Board, along with its workforce partners, would describe Mayor Michael Bloomberg’s Center for Economic Opportunity (a \$150 million anti-poverty initiative) as a key initiative unique to New York City. The 2006 U.S. Census American Community Survey estimates that nearly 600,000 New York households earn less than \$15,000 per year, and 19.2% of New Yorkers are considered to be living in poverty. Individuals who are considered working poor often face periods of unemployment or under-employment due to lack of applicable job skills or access to necessary work-supports. These periods lead to the inability of many working poor individuals to support themselves or their families, increasing the likelihood of cyclical family poverty. (“Profile of the Working Poor”, US DOL Report 983). Through thoughtful workforce interventions, the New York City workforce system hopes to stem this cycle by providing businesses with career coaching and guidance for their workers (improving retention and skills attainment) and New Yorkers with increased access to work supports and asset building to assist with career advancement and increased earnings. In addition, as the United States faces a possible recession, the WIB, through its committee work, hopes to better understand the impact of economic trends on the New York City economy and the potential layoffs that may result. This issue is of particular importance to low-wage jobseekers that are currently in occupations in potentially affected industries like retail, hospitality and food service.**

**b. Other parties involved (e.g. industry sectors, state, local, or community partners)**

**New York City benefits from an extensive network of workforce stakeholders, including community colleges and universities, training providers, community-based organizations (CBOs), local economic development corporations, public agencies, unions, trade associations, and numerous business groups, among others. For the implementation of the Center for Economic Opportunity (CEO) funded initiatives, the New York City Workforce Investment Board (WIB), New York City Department of Small Business Services (SBS) and the Department of Youth and Community Development (DYCD), have relied on the involvement of many key workforce stakeholders. In addition to the extensive network of stakeholders in New York City, SBS and DYCD also work closely with current vendors, the CBO community and City**

agencies. For the development of the vendor-staffed Sector Focused Career Centers, SBS has also worked closely with the foundation community through the New York City Workforce Development Funders Group, national leaders in sector work (including Public/Private Ventures, the National Network of Sector Partners, and the Aspen Institute), and the training provider community through the New York City Employment and Training Coalition (a membership organization with over 200 workforce related groups). For the vendor-staffed Work Advancement and Support Center program design, SBS worked closely with the Manpower Development and Research Corporation (MDRC) and will continue to consult with them on implementation. To develop the Employment Works criminal justice initiative, SBS has worked closely with the New York City Departments of Probation and Corrections, as well as criminal justice experts from the education and provider community. Finally, DYCD is working closely with high performers in the CBO community to implement a disconnected youth initiative. To better understand the impact of a recession on the New York City economy, the WIB hopes to work with local labor market experts in the coming months. These experts include the City University of New York, the New York State Department of Labor and the Federal Reserve, as well as industry associations, among others, to gather information about impacted sectors and occupations.

**c. The proposed resolution or actions being taken, timeframe and outcomes expected.**

In September 2007, Mayor Michael Bloomberg established the Center for Economic Opportunity (CEO) to provide and coordinate resources to combat poverty in New York City. Recognizing the important role workforce development plays in helping businesses grow and compete, and the relationship between skills development and a life out of poverty, CEO has seeded several innovative workforce programs. These programs are focused on the hiring and training needs of businesses in growth sectors and promote employment retention, job advancement and earnings gains for New York City's working poor population. The vendor-staffed Workforce1 Career Center system has also begun to use ACCESS NYC, a free service provided by the City of New York, that identifies and screens for over 30 City, State and Federal human service benefit programs.

Leveraging WIA and the current workforce system in New York City, the New York City Department of Small Business Services (SBS) plans to expand the vendor-staffed Workforce1 Career Centers. This expansion will include two CEO-funded, vendor-staffed Sector Focused Career Centers and a vendor-staffed Work Advancement and Support Center program. Additionally, CEO has funded programs that are focused on

addressing barriers to employment for individuals with criminal backgrounds and disconnected youth. All programs will target growth industries and sectors that are open to hiring these populations, as well as offer quality job opportunities.

Each vendor-staffed Sector Focused Career Center will provide services specifically to one growth industry that targets placements, retention and advancement strategies for workers. The first Sector Focused Career Center, selected by SBS in January 2008, proposed to offer services in the Transportation and Logistics sector, with specific emphasis on air transportation, truck transportation, and ground passenger transportation sub-sectors. The vendor plans to leverage existing partnerships with several businesses in the commercial transportation services and distribution industries, as well as a local development corporation and non-profit organizations located in Queens, New York. In addition to these established partnerships, the vendor will bring in other partners as needed to expand its services for businesses and workers, such as industry associations and community and technical colleges. A Request for Proposals for the second vendor-staffed, Sector Focused Career Center vendor is expected to be released mid-2008, and planned to begin services in January 2009. Each Center will place 500 in year one and 1,000 in subsequent years.

The Work Advancement and Support Center (WASC) model was developed with the primary goal to reduce poverty and increase income for low-wage workers through job upgrades, access to work supports (such as food stamps, health care, EITC, etc.) and asset-building activities. The secondary goal of the WASC is to strengthen the competitiveness of local businesses by providing employer-based retention and advancement services (often through articulation of career ladders) to meet workforce skill needs, address shortages of qualified workers, and increase worker productivity. To achieve these two goals, the WASC model will be implemented through an expansion of services within the existing vendor-staffed Workforce1 Career Center system, and through a stand-alone, employer-focused, vendor-staffed Center located in Brooklyn. The Work Advancement and Support Center career advancement program operated out of the vendor-staffed Workforce1 Career Centers is expanding to two additional Centers in the next two months (Queens and the Bronx). In these new programs, the Centers will focus on specific sectors (i.e. healthcare, finance and retail) to help low income workers access better jobs by developing trainings, information sheets on career ladders and relationships with employers for placement into non-entry level positions.

Another CEO initiative is the Employment Works program. As reported by CEO, the majority of ex-offenders returning to New York City come

back to poverty-stricken neighborhoods with few job opportunities and little social capital. Without appropriate service intervention, two-thirds are likely to be arrested again. Employment Works will concentrate on improving employment outcomes for individuals on probation starting in the summer of 2008. Developed through the close collaboration of SBS and the New York City Department of Probation, this innovative program will place 600 probationers each year in long-term jobs paying \$9.00 an hour or more. Providers selected to implement the program will leverage the existing vendor-staffed Workforce1 Career Center system for 15% of placements.

In an effort to provide local employers with resources for much needed work readiness training, as well as literacy, numeracy and English as a Second Language skills, SBS' NYC Business Solutions Training launched an expanded NYC Workforce Training Funds (customized training) program. The NYC Workforce Training Funds program targets businesses in growth sectors with a matching grant that promotes retention, career advancement and increased wages for their employees. CEO has committed \$4.2 million in City tax-levy funds to support the expansion of this WIA-funded Training Funds program. Since 2005, New York City has awarded more than \$4.2 million to 42 companies to train nearly 3,000 New Yorkers, matched by nearly \$6.5 million in employer contributions.

Finally, the New York City Department of Youth and Community Development (DYCD) is implementing a CEO-funded workforce development program targeting "disconnected youth" (a growing population in need of employment services in NYC). The program launched with 15 service programs in October 2007 and operates with three 14-week cycles per year. The program serves approximately 1,350 young adults, who range in age from 16 to 24. Each service program offers participants the chance to develop essential skills for today's workforce through a combination of educational workshops, counseling and short-term paid internships. The goal of the Young Adult Internship Program (YAIP) is to reconnect youth to one or more of three outcomes: work, advanced training or education. Furthermore, DYCD received \$750,000 through CEO to expand adult literacy services to disconnected young adults. Every effort will be made to link Out-of-School Youth participants to the four planned awardees to provide these services (projected to begin March 2008). Awards will take place through a competitive Request for Proposals process.

## Section II WIA Compliance

The Local Plan Modification will extend the existing Local Plan and Functional Alignment Addendum to June 30, 2009 and will become the basis for local area policy and monitoring.

It is anticipated that many of the local board's policies and procedures have remained constant since implementing the approved 2005-2008 Plan and Functional Alignment Addendum. Therefore, the purpose of this Compliance Section is to capture and publish local information about policies that may have changed or been updated. The local board is asked to certify as to whether a policy change has occurred and, where that has happened, provide the new policy.

Please complete the following chart (which follows the same order as the Compliance Section of the 2005-2008 Plan) indicating the status of your governing policies and attach new policy where appropriate.

<i>Required Policy</i>	<i>Is current policy, definition, design or provision of services different from that in the approved 2005-2008 Plan or the Functional Alignment Addendum?</i>	<i>Is changed or new policy, definition, design or provision of services description attached?</i>
<b>1. Selecting and Certifying One Stop Operators</b>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
<b>2. Contracting for Service Providers</b>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
<b>3. Priority of Service</b>  <i>Has the Board declared a priority of service to be in effect?</i>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No  <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No  <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
<b>4. Self-Sufficiency</b>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No (Attachment 1)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
<b>5. Supportive Services and Needs-Related Payments</b>  <i>Does the Board make needs-related payments?</i>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No  <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No  <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
<b>6. Grievances and Complaints</b>  <i>Provide the name, title, and contact information of the EO Officer.</i>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No  <b>Nancy Gannie, Director of EOO, New York City Department of Small Business Services, 110 William Street, 8<sup>th</sup> Floor, New York, New York 10038</b>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
<b>7. Youth Services</b>  <i>In designing this plan and the services to be provided, the LWIA consulted with their regional Labor Market Analyst to assure a comprehensive understanding of the demographic characteristics of the population.</i>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	

<b>Performance</b> <i>Provide the name and contact information of the local area's performance expert.</i>	<b>Suzanne Lynn, Deputy Commissioner, Department of Youth and Community Development, 156 William Street, New York, New York 10038</b>			
<b>Design Framework</b>	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
<b>Youth Council</b>	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
<i>Selecting youth providers</i>	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
<i>Youth eligibility definitions</i>	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
<b>8. Adult, Dislocated Worker and Wagner-Peyser Services</b>				
<i>In designing this plan and the services to be provided, the LWIA consulted with their regional Labor Market Analyst to assure a comprehensive understanding of the demographic characteristics of the population.</i>			<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
<b>Performance</b> <i>Provide the name and contact information of the local area's performance expert.</i>	<b>Angie Kamath, Deputy Commissioner for Workforce Development, Department of Small Business Services, 110 William Street, New York, New York 10038</b>			
<b>Eligibility Definitions</b>	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No (Attachment 5)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
<b>Rapid Response</b>	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
<b>Business Services</b>	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No (Attachment 1)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
<b>Integration of Services</b>	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No (Attachment 5)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
<b>Services to Special Populations</b>	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No (Attachment 4)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
<b>Eligible Training Providers (ETP)</b>	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No (Attachment 3)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
<b>Individual Training Accounts (ITA)</b>	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No (Attachment 2)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
<b>Customized Training/OJT</b>	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No (Attachment 1)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
<b>Trade Act Strategies</b>	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
<b>9. WIA IB &amp; Title III PY05 Performance and System Indicators</b>	NA			
<b>10. Local Monitoring</b>	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No (Attachment 6)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
<b>11. Open Meetings</b>	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
<b>12. Public Comment on Local Plan</b>	NA			

**Required Signatures (TO BE ATTACHED TO FINAL PLAN)**

	<i>Required Signatures</i>	<i>Attached?</i>	
Attachment A	Signature of Local Board Chair	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Attachment B	Signature of Chief Elected Official(s)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Attachment C	Signatures of WIB Director and Regional Labor Market Analyst	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Attachment D	Units of Local Government	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Attachment E	Fiscal Agent/Grant Subrecipient	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Attachment F	One Stop Operator Information	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Attachment G	Federal and State Certifications	<input type="checkbox"/> Yes	<input type="checkbox"/> No

If any of the following documents have changed in whole or in part, please attach.

	<i>Changed?</i>		<i>Attached?</i>	
Chief Elected Official Agreement	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
Local Board By-Laws	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
One Stop Operator Agreement	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No

**ATTACHMENT A: SIGNATURE OF LOCAL BOARD CHAIR**

**Workforce Investment Act Local Plan Modification for  
Program Year 2008-2009, for Workforce Investment Act Title 1-B  
and Wagner Peyser Programs**

In compliance with the provisions of the Workforce Investment Act of 1998, the Interim Final Rule, and Planning guidelines and instructions developed by the Governor, this Plan Modification is being submitted jointly by the Local Board and the respective Chief Elected Official(s).

By virtue of my signature, I:

- agree to comply with all statutory and regulatory requirements of the Act as well as other applicable state and federal laws, regulations and policies
- affirm that the composition of the Local Board is in compliance with the law, rules and regulations and is approved by the State
- affirm that this Plan Modification was developed in collaboration with the Local Board and is jointly submitted with the Chief Elected official(s) on behalf of the Local Board
- agree to comply with § 661.310 by ensuring a firewall exists between the board and the provision of core services, intensive services, training services and the One Stop Operator

Date:	6/12/08	Signature of Local Board Chair:	
Mr.	<input checked="" type="checkbox"/>	Typed Name of Local Board Chair:	
Ms.	<input type="checkbox"/>	Mr. Stuart Saft	
Other	<input type="checkbox"/>		
Name of Board:	New York City Workforce Investment Board		
Address 1:	110 William Street		
Address 2:	8 <sup>th</sup> Floor		
City:	New York		
State:	New York	Zip:	10038
Phone:	212.618.8956	E-mail:	

**Submittal directions:** Complete this form as part of the Plan Modification development process and submit the entire Plan Modification electronically as described earlier in this guidance. Submit this form with original signatures as directed on page 2 of the Instructions.

**ATTACHMENT B: SIGNATURE OF CHIEF ELECTED OFFICIAL**

**Workforce Investment Act Local Plan Modification for  
Program Year 2008-2009, for Workforce Investment Act Title 1-B  
and Wagner Peyser Programs**

In compliance with the provisions of the Workforce Investment Act of 1998, the Interim Final Rule, and Planning guidelines and instructions developed by the Governor, this Plan Modification is being submitted jointly by the Local Board and the respective Chief Elected Official(s).

By virtue of my signature, I:

- agree to comply with all statutory and regulatory requirements of the Act as well as other applicable state and federal laws, regulations and policies
- affirm that the Grant recipient possesses the capacity to fulfill all responsibilities and assume liability for funds received, as stipulated in **§667.705** of the rules and regulations
- affirm that the composition of the Local Board is in compliance with the law, rules and regulations and is approved by the State
- affirm that the Chair of the Local Board was duly elected by that Board
- agree to comply with **§661.310** by ensuring a firewall exists between the board and the provision of core services, intensive services, training services and the One Stop Operator

**Note:** A separate signature sheet is required for each local Chief Elected Official.

Date:		Signature of Local Chief Elected Official (CEO):	
Mr. <input checked="" type="checkbox"/>		Typed Name of Local CEO:	
Ms. <input type="checkbox"/>		Michael R. Bloomberg	
Other <input type="checkbox"/>			
Title of Local CEO:	Mayor of the City of New York		
Address 1:	City Hall		
Address 2:			
City:	New York		
State:	New York	Zip:	10007
Phone:	212.639.9675	E-mail:	

**Submittal directions:** Complete this form as part of the Plan Modification development process and submit the entire Plan Modification electronically as described earlier in this guidance. Submit this form with original signatures as described on page 2 of the Instructions.

**ATTACHMENT C: SIGNATURES OF WIB DIRECTOR and REGIONAL LABOR MARKET ANALYST**

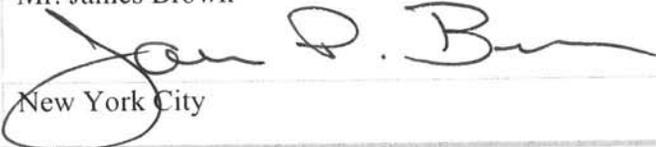
**Workforce Investment Act Local Plan Modification for  
Program Year 2008-2009, for Workforce Investment Act Title 1-B  
and Wagner Peyser Programs**

In compliance with the Planning guidelines and instructions developed by the Governor, this Plan Modification was developed through consultation and dialogue between the local area's representative(s) and the New York State Department of Labor's Regional Labor Market Analyst.

By virtue of my signature, I:

- attest that face-to-face dialogues were conducted between the WIB's representatives and the LMA which provided the WIB with data and the demographic characteristics of the LWIA's resident population
- assure that service delivery and design, resource allocation, and other planning decisions were made by the WIB as a result of a careful consideration of the implications of the data and demographics as provided

Date:	6/12/08	Signature of Local WIB Director:
Mr.	<input type="checkbox"/>	Typed Name of Local WIB Director:
Ms.	<input checked="" type="checkbox"/>	Ms. Blake Foote
Other	<input type="checkbox"/>	
Name of Board:	New York City Workforce Investment Board	

Date:	6/12/08	Signature of Labor Market Analyst:
Mr.	<input checked="" type="checkbox"/>	Typed Name of Labor Market Analyst:
Ms.	<input type="checkbox"/>	Mr. James Brown
Other	<input type="checkbox"/>	
Region:	New York City	

**Submittal directions:** Complete this form as part of the Plan Modification development process and submit the entire Plan Modification electronically as described earlier in this guidance. Submit this form with original signatures as directed on page 2 of the Instructions.

**ATTACHMENT D: UNITS OF LOCAL GOVERNMENT**

*Where a local area is comprised of multiple counties or jurisdictional areas, provide the names of the individual governmental units and identify the grant recipient.*

Unit of Local Government	Grant Recipient	
	Yes	No
	<input type="checkbox"/>	<input type="checkbox"/>

**ATTACHMENT E: FISCAL AGENT/GRANT SUBRECIPIENT**

*Identify the Fiscal Agent or a Grant Recipient to assist in the administration of grant funds.  
Provide the names of the agent and/or subrecipient.*

Entity	Fiscal Agent	
	Yes	No
New York City Department of Small Business Services	X	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>

Entity	Grant Subrecipient	
	Yes	No
New York City Department of Youth and Community Development	X	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>

**ATTACHMENT F: ONE STOP OPERATOR INFORMATION**

Complete the following information for each locally certified One Stop Operator in your Workforce Investment Area.

<b>OPERATOR: New York City Operator Consortium</b>	
<i>Method of Selection</i>	<i>Type of Operator</i>
<input checked="" type="checkbox"/> Consortium  <input type="checkbox"/> Competitive Bid	<input checked="" type="checkbox"/> System  <input type="checkbox"/> Center(s)
<b>Operator Address:</b>	c/o Suzanne Towns New York City Department of Small Business Services 110 William Street, 8th Floor New York, NY 10038
<b>Operator Phone:</b> 212.618-6719	
<b>E-Mail:</b> stowns@sbs.nyc.gov	

Attach a list of all One Stop centers overseen by this Operator and include for *each* center:

- Name/Address/Phone of Center(s)
- Identify Full-Service or Certified Affiliate Site
- Identify Partners On-Site and Frequency On-Site (e.g., half day/week; two days/week)
- Identify Center Hours of Operation

**OPERATOR CERTIFICATION STATUS**

Indicate status of Local Level Operator Recertification:

- Granted
- Application Submitted/Pending LWIB Review
- Application Not Yet Due
- Other (explain)

See attachment F-1
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## ATTACHMENT G: FEDERAL AND STATE CERTIFICATIONS

The funding for the awards granted under this contract is provided by either the United States Department of Labor or the United States Department of Health and Human Services which requires the following certifications:

### A. CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION-LOWER TIER COVERED TRANSACTIONS

1. The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
2. Where the prospective lower tier participant is unable to certify to any of the statement in this certification, such prospective participant shall attach an explanation to this proposal.

### B. CERTIFICATION REGARDING LOBBYING - Certification for Contracts, Grants, Loans, and Cooperative Agreements

By accepting this grant, the signee hereby certifies, to the best of his or her knowledge and belief, that:

1. No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan or cooperative agreement.
2. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
3. The signer shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of facts upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S.C. **Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.**

**C. DRUG FREE WORKPLACE.** By signing this application, the grantee certifies that it will provide a Drug Free Workplace by implementing the provisions at 29 CFR 98.630, Appendix C,

pertaining to the Drug Free Workplace. In accordance with these provisions, a list of places where performance of work is done in connection with this specific grant will take place must be maintained at your office and available for Federal inspection.

#### **D. NONDISCRIMINATION & EQUAL OPPORTUNITY ASSURANCE:**

##### **For contracts funded by the U.S. Department of Labor**

As a condition to the award of financial assistance from the Department of Labor under Title I of WIA, the grant applicant assures that it will comply fully with the nondiscrimination and equal opportunity provisions of the following laws:

- (1) Section 188 of the Workforce Investment Act of 1998 (WIA) which prohibits discrimination against all individuals in the United States on the basis of race, color, religion, sex, national origin, age disability, political affiliation, or belief, and against beneficiaries on the basis of either citizenship/status as a lawfully admitted immigrant authorized to work in the United States or participation in any WIA Title I - financially assisted program or activity;
- (2) Title VI of the Civil Rights Act of 1964, as amended which prohibits discrimination on the basis of race, color, and national origin;
- (3) Section 504 of the Rehabilitation Act of 1973, as amended, which prohibits discrimination against qualified individuals with disabilities;
- (4) The Age Discrimination Act of 1975, as amended, which prohibits discrimination on the basis of age; and
- (5) Title IX of the Education Amendments of 1972, as amended, which prohibits discrimination on the basis of sex in educational programs.

The grant applicant also assures that it will comply with 29 CFR Part 37 and all other regulations implementing the laws listed above. This assurance applies to the grant applicant's operation of the WIA Title I - financially assisted program or activity, and to all agreements the grant applicant makes to carry out the WIA Title I-financially assisted program or activity. The grant applicant understands that the United States has the right to seek judicial enforcement of this assurance. For grants serving participants in work activities funded through the Welfare-to-Work block grant programs under Section 407(a) of the Social Security Act, the grant applicant shall comply with 20 CFR 645.255.

##### **For contracts funded by the U.S. Department of Health and Human Services**

As a condition to the award of financial assistance from the Department of Labor under Title IV-A of the Social Security Act, the grant applicant assures that it will comply fully with the nondiscrimination and equal opportunity provisions of the following laws including but not limited to:

- (1) Title VI of the Civil rights Act of 1964(P.L. 88-352) and Executive Order Number 11246 as amended by E.O. 11375 relating to Equal Employment Opportunity which prohibits discrimination on the basis of race, color or national origin;

(2) Section 504 of the Rehabilitation Act of 1973, as amended, and the regulations issued pursuant thereto contained in 45 CFR Part 84 entitled "Nondiscrimination on the Basis of Handicap in Programs and Activities Reviewing or Benefiting from Federal Financial Assistance" which prohibit discrimination against qualified individuals with disabilities;

(3) The Age Discrimination Act of 1975, as amended, and the regulations at 45 CFR Part 90 entitled "Nondiscrimination on the Basis of Age in Programs and Activities Reviewing Federal Financial Assistance". which prohibits discrimination on the basis of age;

(4) Title IX of the Education Amendments of 1972, as amended, which prohibits discrimination on the basis of sex in educational programs; and

(5) The Americans with Disabilities Act (ADA) of 1990, 42 U.S.C. Section 12116, and regulations issued by the Equal Employment Opportunity Commission which implement the employment provisions of the ADA, set forth at 29 CFR Part 1630.

The grant applicant also assures that it will comply with 45 CFR Part 80 and all other regulations implementing the laws listed above. The grant applicant understands that the United States has the right to seek judicial enforcement of this assurance.

## **STATE CERTIFICATIONS**

### **E. CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY, AND OUTSTANDING DEBTS**

The undersigned, as a duly sworn representative of the contractor/vendor, hereby attests and certifies that:

- 1) No principle or executive officer of the contractor's/vendor's company, its subcontractor(s) and/or successor(s) is presently suspended or debarred; and
- 2) The contractor/vendor, its subcontractor(s) and/or its successor(s) is not ineligible to submit a bid on, or be awarded, any public work contract or sub-contract with the State, any municipal corporation or public body for reason of debarment for failure to pay the prevailing rate of wages, or to provide supplements, in accordance with Article 8 of the New York State Labor Law.
- 3) The contractor/vendor, its subcontractor(s) and/or its successor do not have any outstanding debts owed to the Department, including but not limited to, contractual obligations, fines related to Safety and Health violations, payments owed to workers for public works projects or the general provisions of the Labor Law, unemployment insurance contributions or other related assessments, penalties or charges.

### **F. CERTIFICATION REGARDING "NONDISCRIMINATION IN EMPLOYMENT IN NORTHERN IRELAND: MacBRIDE FAIR EMPLOYMENT PRINCIPLES"**

In accordance with Chapter 807 of the Laws of 1992 the bidder, by submission of this bid, certifies that it or any individual or legal entity in which the bidder holds a 10% or greater ownership interest, or any individual or legal entity that holds a 10% or greater ownership interest in the bidder, either:

(answer Yes or No to one or both of the following, as applicable.)

1. Has business operations in Northern Ireland:

\_\_\_\_\_ Yes                      \_\_\_\_\_ No

If Yes:

2. Shall take lawful steps in good faith to conduct any business operations they have in Northern Ireland in accordance with the MacBride Fair Employment Principles relating to nondiscrimination in employment and freedom of workplace opportunity regarding such operations in Northern Ireland, and shall permit independent monitoring of its compliance with such Principles.

\_\_\_\_\_ Yes                      \_\_\_\_\_ No

**G. NON-COLLUSIVE BIDDING CERTIFICATION**

By submission of this bid, each bidder and each person signing on behalf of any bidder certifies, and in the case of a joint bid each party thereto certifies as to its own organization, under penalty of perjury, that to the best of his or her knowledge and belief:

1. The prices in this bid have been arrived at independently without collusion, consultation, communication, or agreement, for the purpose of restricting competition, as to any matter relating to such prices with any other bidder or with any competitor;
2. Unless otherwise required by law, the prices which have been quoted in this bid have not been knowingly disclosed by the bidder and will not knowingly be disclosed by the bidder prior to opening, directly or indirectly, to any other bidder or to any competitor; and
3. No attempt has been made or will be made by the bidder to induce any other person, partnership or corporation to submit or not to submit to bid for the purpose of restricting competition.

I, the undersigned, attest under penalty of perjury that I am an authorized representative of the Bidder/Contractor and that the foregoing statements are true and accurate.

Signature of Authorized Representative:
Title:
Date:

# ATTACHMENT F-1

## NEW YORK CITY WORKFORCE1 CAREER CENTERS INFORMATION

### Center Names, Addresses, Types and Operating Days/Hours

Center Name	Address	Type	Operating Days & Hours
Bronx Workforce1 Career Center	358 East 149th Street, 2nd Floor Bronx, NY 10455	Full Service	Mon, Tu, Th, Fri: 8:30 AM – 5:00 PM Wed: 8:30 AM – 8:00 PM
Brooklyn Workforce1 Career Center	9 Bond Street, 5th Floor Brooklyn, NY 11201	Full Service	Mon – Fri: 9:00 AM – 5:00 PM
Queens Workforce1 Career Center	168-46 91st Avenue, 2nd Floor Jamaica, NY 11432	Full Service	Mon – Fri: 8:30 AM – 6:00 PM
Queens LaGuardia Workforce1 Career Center	29-10 Thomson Avenue, Rm C-400, 4th Floor Long Island City, NY 11101	Full-Service	Mon – Fri: 9:00 AM – 5:00 PM
Staten Island Workforce1 Career Center	60 Bay Street Staten Island, NY 10301	Full Service	Mon – Fri: 9:00 AM – 5:00 PM
Upper Manhattan Workforce1 Career Center	215 West 125th Street, 6th Floor New York, NY 10027	Full Service	Mon – Fri: 8:30 AM – 5:00 PM
NYS Department of Labor Workforce1 Career Center	75 Varick Street, 7 <sup>th</sup> Floor New York, NY 10013	Full Service	Mon – Fri: 8:30 AM – 5:00 PM
NYS Department of Labor Workforce1 Career Center	250 Schermerhorn Street Brooklyn, NY 11201	Full Service	Mon – Fri: 8:00 AM – 5:00 PM
NYS Department of Labor Workforce1 Career Center	138-60 Barclay Ave, 2 <sup>nd</sup> Floor Flushing, NY 11355	Full Service	Mon – Fri: 8:30 AM – 5:00 PM
NYS Department of Labor Workforce1 Career Center	1139-1141 Hylan Blvd Staten Island, NY 10305	Full Service	Mon – Fri: 8:30 AM – 5:00 PM

### Typical On-Site Partner Representation at All Workforce1 Career Centers

All Centers provide access to these services and other WIA mandated partner services either directly onsite or via referral

Partner	Days/Hours On-Site
New York City Department of Small Business Services	All operating days and hours
New York State Department of Labor (Div. of Employment Services)	All operating days and hours (Bronx, Queens, Manhattan)
The City University of New York	3-5 days/week
New York City Department of the Aging (including, JSPOA and AARP)	1-5 days/week
Job Corps	2-3 days/week
Vocational Education Services for Individuals with Disabilities	1-3 days/week
New York City Housing Authority	1 day/week
New York City Human Resource Administration	5 days/week
New York State Department of Education	All operating hours and days. Some evening classes.

# Attachment-1

- 1.) August 29, 2007 Resolution of the NYC Workforce Investment Board Workforce Policy Committee Approving Modifications to the NYC Business Solutions Training Grant Program
- 2.) August 29, 2007 Presentation to NYC Workforce Investment Board Workforce Policy Committee proposing modifications to the Customized Training Program

**A RESOLUTION OF THE NEW YORK CITY WORKFORCE INVESTMENT BOARD  
WORKFORCE POLICY COMMITTEE APPROVING MODIFICATIONS TO  
THE NYC BUSINESS SOLUTIONS TRAINING GRANT PROGRAM**

**BE IT RESOLVED** that the Workforce Policy Committee hereby approves the modifications to the NYC Business Solutions Training Grant Program, described in the presentation attached hereto.



New York City Department of Small Business Services  
[www.nyc.gov/training](http://www.nyc.gov/training)

Proposal for Improvements to the Customized Training Program

August 29, 2007

***DRAFT- DO NOT DISTRIBUTE***



# Agenda

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## I. NYC Business Solutions Training Overview

- **Business Rationale for Program**
- **Awards To Date**

## II. Improvements to the Customized Training Program

- **Executive Summary**
- **Eligibility**
- **Funding**
- **Outcomes and Data Collection**
- **Application**



## NYC Business Solution Training Overview

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- **Objectives**
  - Launched in 2005, the NYC Business Solutions Training Grant provides New York City employers with technical support and funding to develop the skills of their workers
  - The Grant is designed to grow the City's economy by enabling employers to increase wages, build skills, and help workers advance in their careers
- **Training Grant Funding**
  - Workforce Investment Act (WIA)
  - Commission on Economic Opportunity (CEO) – Tax Levy
- **Training Types**
  - Occupational
  - Work Readiness: adult literacy and numeracy, English as a Second Language, and workplace behavior skills



## Business Rationale for Program

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- **The program creates value for NYC businesses in a number of ways, including:**
  - General productivity gains attributable to improved soft skills and deeper occupational expertise
    - Fewer customer returns due to faulty products/orders
    - Increase in sales or revenues
    - Reduced processing time of customer orders
  - Reduced search costs for high-demand, mid-skill job openings (i.e., Licensed Practical Nurses)
  - Improved retention of key staff
  - Facilitated expansion: lowers costs required to train staff on new technologies and new skills
  - Lower insurance premiums and reduced liability for businesses whose low-skill employees receive training beyond legally mandated levels (i.e., restaurants)
  - Higher customer satisfaction driven by better service



## Awards to Date

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- **35 Grants awarded since 2005: led to \$8.5 million in training investments**
  - Program awards: \$3.4 million
  - Employer contributions: \$5.1 million
- **7 Industries Served**
  - Concentration of funding in Manufacturing/Industrial and Healthcare
- **Projected Outcomes**
  - 2,225 employees trained
  - Wage increases for 77% of all trainees, with an weighted average wage increase of 22%<sup>1</sup>
  - Transferable skills in growth occupations
  - Career advancement and promotion for over 500 trainees (22%)
- **Occupations (partial list)**
  - Surgical Technicians and Licensed Practical Nurses (LPNs)
  - IT technicians
  - Commercial drivers (CDL Class A)
  - Retail operations coordinators

<sup>1</sup> Weighted average increase calculated as the average gain for all trainees who experienced a wage increase after training  
**August 27, 2007**      [www.nyc.gov/training](http://www.nyc.gov/training)      **DRAFT – Do not distribute**      *Division of Business Development - SBS 5*



## **Agenda**

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### **I. NYC Business Solutions Training Overview**

- **Business Rationale for Program**
- **Awards To Date**

### **II. Improvements to the Customized Training Program**

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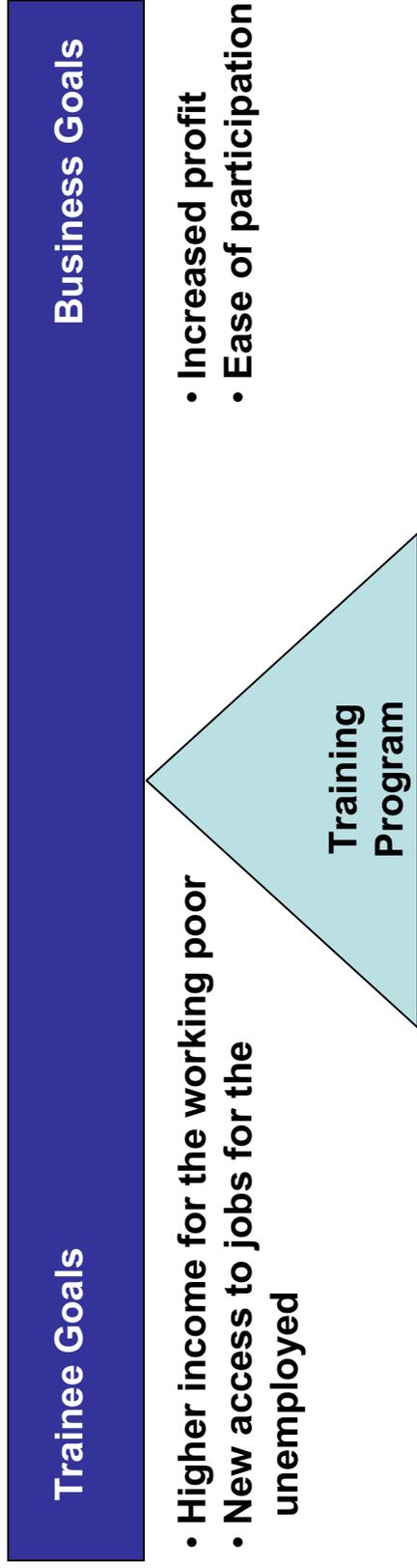
## Executive Summary

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- SBS is revising its customized training grant program
  - SBS will “blend” funding from city tax levy dollars and WIA into a single program
  - Total funds available in FY08 represent a threefold increase over previous years
  
- SBS proposes changes to the training program model that will help meet its goals of delivering value to businesses while increasing the income and mobility of trainees
  
- Significant proposals include
  - Renamed program for increased brand recognition
    - Removal of the word “grant” from all materials
    - New name of NYC Business Solutions Training Funds
  
  - Flexible trainee wage eligibility
    - Up to 10% of trainees allowed to earn over \$61,830/yr pre-training
    - Up to 25% of trainees can earn below \$10/hr post-training
  
  - More generous match for businesses
    - Normal business contribution lowered from 50% to 40% due to a new 10% administration payment
    - Businesses with fewer than 100 employees eligible for a 30% contribution
  
  - Movement toward a pay-for-performance reimbursement system
    - 40% of SBS contribution held until closeout, with distribution contingent on trainee completion rates
    - Additional incentive payments available to employers that exceed the trainee estimates in their application
  
  - Easier application process
    - Mandatory use of a brief preapplication to help provide technical assistance as companies prepare their proposals
    - Marketing of rolling applications that request less than \$50k of funds
  
  - Better outcomes tracking
    - Use of state Wage Reporting System data to track income and employment of trainees



## Balancing the Program's Priorities



**We have proposed changes to the training program's design *ONLY* when they enable us to better meet these goals for trainees and/or businesses.**



## Individuals Consulted on Program Design

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### SBS conducted interviews with

- 20 Mid- and large-sized business representatives
- 11 Small business representatives
- 10 Training intermediaries
- 10 National thought leaders (academics, researchers, etc)
- 9 Training providers
- 8 Past recipients of a SBS Training Grant
- 8 Leaders of out-of-state training programs

The full list of individuals consulted is included in the Appendix

# Four Critical Front-end Components of Program Design



- 1 Eligibility
- 2 Funding
- 3 Outcomes
- 4 Application

**SBS must also establish the necessary back-end processes to manage the expanded training program**



## ① Eligibility

### Applicant Eligibility

- The only entities eligible to apply will be:
  - Individual businesses
  - Consortia of businesses (i.e., Greater New York Hospital Association or a Chamber of Commerce)
  - Training providers ONLY if they represent at least three businesses that commit to a proposal
- Expansive sector based criteria
  - Revise “aviation” to “transportation”
  - Use NAICS designations of sectors to align with other SBS units
  - Provide examples of businesses in each sector

### Trainee Eligibility

- The income threshold for trainees has been adjusted so that:
  - The upper income threshold for all trainees increases from \$56,000 to 450% of the federal Lower Living Standard Income Level (LLSIL), currently \$61,830
  - Up to 10% of trainees can earn over 450% of LLSIL BEFORE training (to expand managerial capacity)
  - Up to 25% of trainees can earn below \$10/hr AFTER training (to create entry level positions)
- Eligible trainees will include new workers and incumbent workers, just as in the old program
  - Trainees must have a W-2 upon completion of the program
    - Interns and part-time workers remain ineligible, unless they will have full-time jobs after completing training

### Program Eligibility

- Size
  - Revised maximum grant of \$400,000 (up from \$300,000)
  - New minimum grant of \$10,000
  - New minimum of 10 employees being trained
- Format
  - Occupational skills training including contextualized ESL/numeracy/literacy training are eligible
  - Skills must be transferable
    - Pre-employment, orientation, and internships all remain ineligible



②

## Funding

### Match Level

- The normal SBS match rises from 50% of costs to 60% of training budget to account for administrative costs borne by the company
- Businesses with fewer than 100 employees receive an additional contribution of 10% of the budget, allowing them to contribute 30% of total training costs

### Reimbursement Timeline

- 20% of SBS funds will be distributed as soon as contract is signed
- 40% distributed during the training program’s operation
- 40% distributed as a “closeout payment” when the program is finished
  - Size of closeout payment dependant upon the completion rate of trainees

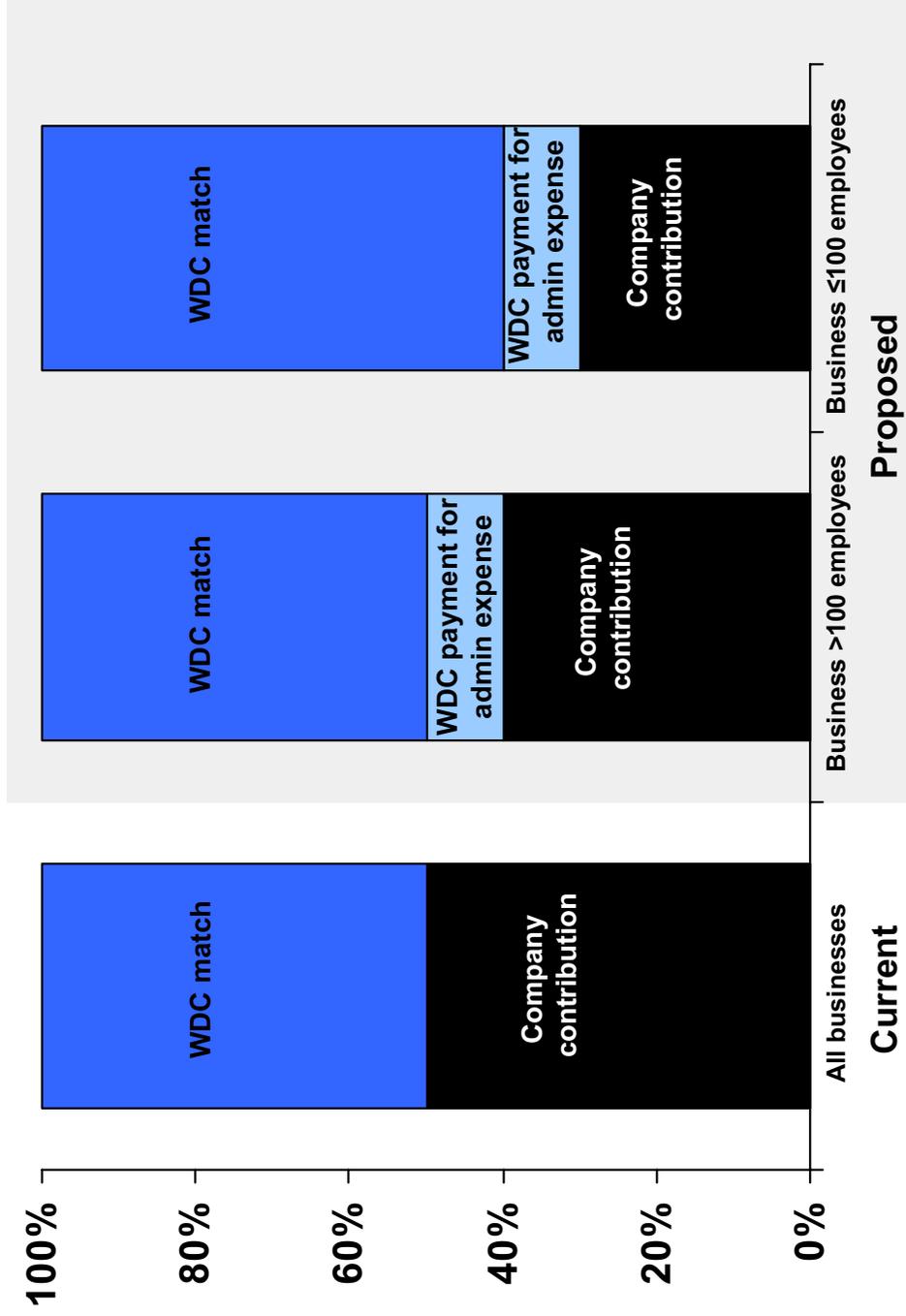
Training Completion Rate	Closeout Payment (as % of funds remaining)
>100%	Bonus of up to 10%
90-100%	100%
50-90%	Pro-rated
<50%	0

**The next two pages provide illustrations of these new funding policies**



# Changes to Employer Match Policy

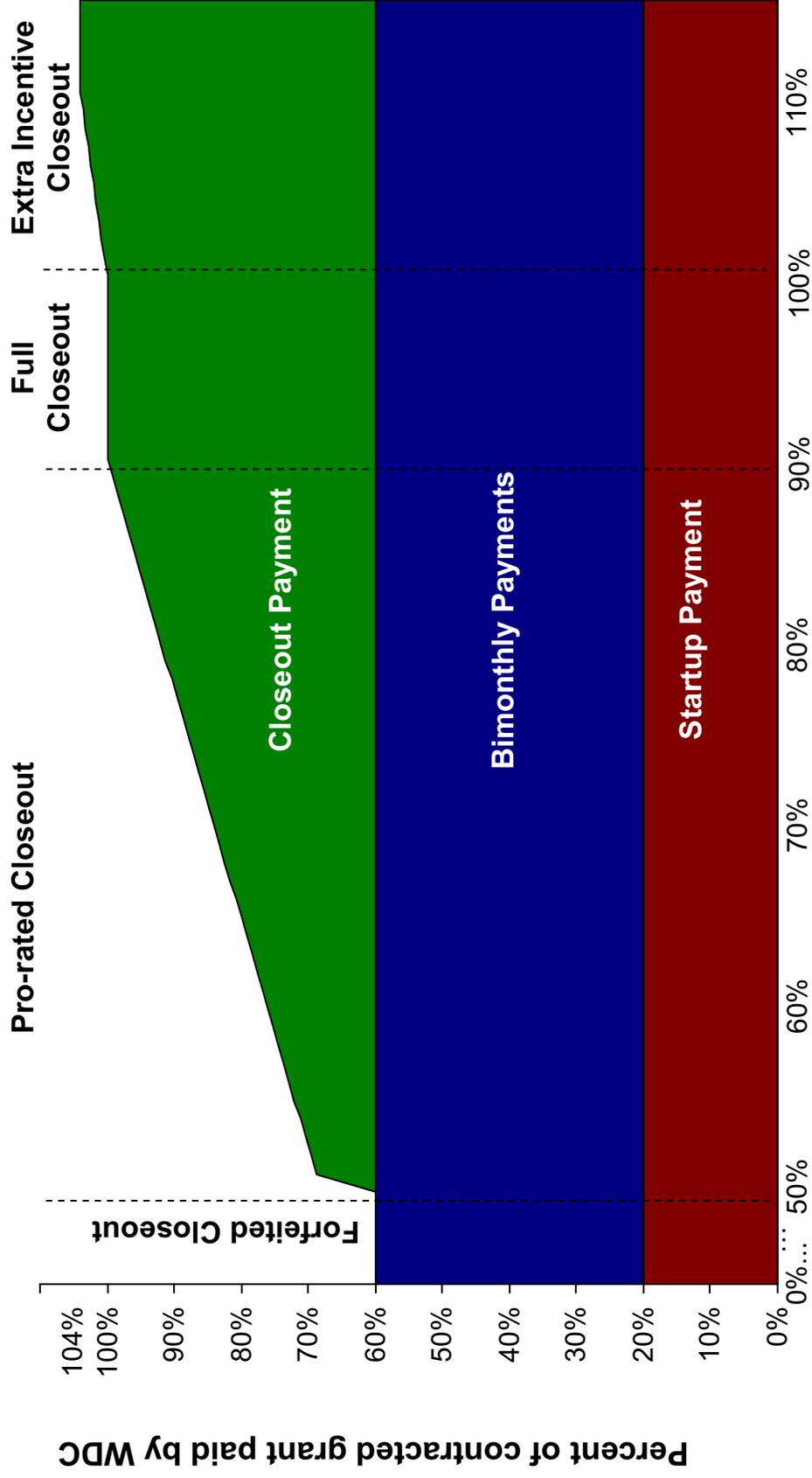
## Share of Training Budget Paid by WDC and Employer





# Changes to WDC Reimbursement Plan

## Impact of Training Completion Rates on Closeout Payment Plan



## Share of Projected # of Trainees Completing Program



### 3 Outcomes and Data Collection

#### Outcomes information captured will include:

- For trainees:
  - Income increase post-training
  - Skills gain
  - Training completion rate
  - Placement rate for new hires
  - Retention rate (within sector)
- For employers:
  - Employer satisfaction
  - Employer retention rate
  - Types of productivity gains experienced

#### We will not track:

- Promotions
- Employers say they can be “invented” and are meaningless
- Split between work readiness and occupational training
  - Employers tell us that categorizing is artificial and arbitrary
- “Quality of job” indices like changes in working hours or improvement in health benefits
  - No reliable way of collecting information without excessively burdening employers

#### Outcomes will be verified using New York State Wage Reporting System (WRS)

- WRS is based on quarterly employment insurance information filed by employers
  - We are still working with New York Department of Labor and the NYC WIB to confirm WRS data availability
- Pro’s of WRS data:
  - Reliable
  - Can be tracked via Social Security number
- Con’s
  - Limited information available
  - 6-8 month lag receiving it from New York Department of Labor
  - Cannot capture information for trainees who leave New York State



### 3 Outcomes and Data Collection, continued

#### WDC/SBS touch points with employers



	Program application	Program launch	Bi-monthly check-ins	Program closeout	6 month review	12 and 24 month analyses
<b>Data Collection method</b>	Employer application	Registration forms	Bimonthly Activity and Financial Reports (BAR's and BFR's)	Employer survey, interview	Employer survey, interview	NYS Wage Reporting System data
<b>Purpose</b>	Evaluation	Tracking, Monitoring	Monitoring	Tracking, Monitoring, Outcomes	Tracking, Outcomes	Tracking, Outcomes
<b>Data used to track:</b>						
Income growth	✓				✓	✓
Training completion rate (skills gain)		✓	✓	✓		
Placement rate for new hires		✓		✓		
Retention rate (sector)		✓				✓
Retention rate (employer)		✓		✓	✓	✓
Productivity gains	✓			✓	✓	
Employer satisfaction				✓	✓	

## Application

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### **Mandatory preapplication**

- All businesses interested in applying must submit a 10-minute preapplication
- Allows SBS to minimize number of applications submitted that are ineligible, incomplete, or otherwise unlikely to be funded

### **Streamlined application process**

- Companies requiring VENDEX approval will be encouraged to submit VENDEX questionnaires as soon as soon as they submit a preapplication that is favorably reviewed
- Companies needing emergency training encouraged to submit applications for under \$50k that can be reviewed on a rolling basis
  - Preapplication still required

### **Revised application**

- Language will be simplified
  - I.e., all references to “incumbent workers” will be changed to “workers you now employ”
- No budget split between occupational and work readiness training
- The words “productivity” and “profit” will be more prominent



# Summary of Proposed Programmatic Changes

	Current	Proposed
<b>Eligibility</b>		
Training providers allowed to apply on behalf of applicants	No	Yes, if they represent three or more businesses
Upper limit for trainee annual salaries (pre-training)	\$56,000	\$61,830
% of trainees allowed to earn more than the maximum prior to training	0	10
% of trainees allowed to earn <\$10/hr (post-training)	0	25
Maximum grant size	\$300,000	\$400,000
Minimum grant size	None	\$10,000
Minimum number of employees trained	None	10
<b>Funding</b>		
Baseline SBS match	50%	50%
SBS contribution for admin expenses	0	10%
SBS additional contribution available to businesses <100 employees	0	10%
% of funds eligible for distribution :		
At program launch	20%	20%
During training	60%	40%
At program closeout	20%	40%
% of projected trainees completing training program necessary to collect 100% of final distribution	80%	90%
Penalty if minimum number of trainees does not complete program	Lose all closeout payment	Pro-rate closeout payment
Incentive payment available to companies exceeding expected number of trainees	No	Yes, up to 10% of closeout payment
<b>Outcomes and Data Collection</b>		
Frequency of reports generated during program	Monthly	Bimonthly
Use of WRS data	No	Yes
Tracking		
Income increase	Yes	Yes
Training completion rate	Yes	Yes
Placement rate for new hires	Yes	Yes
Retention rate for sector	No	Yes
Employer satisfaction	Yes	Yes
Employer retention rate	Rarely	Yes
Types of productivity gains experienced	No	Yes
Promotions	Yes	No
Quality job of indices	Rarely	No
Occupation/Work Readiness categorization	Yes	No
<b>Application</b>		
Mandatory preapplication	No	Yes
Employers allowed to apply for VENDEX approval before grant awarded	No	Yes

# Appendix

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## Individuals Consulted on Program Design (1 of 3)

### Training Provider Panel

Virginia Cruickshank	Federation Employment and Guidance Service (F.E.G.S.)
Linda Quinones Lopez	Per Scholas
Elizabeth McGuire	The HOPE Program
Eurydice Robinson	Binding Together
Mary Sprague	Managed Work Services
Stu Schneider	The Skill Center
Sandy Roldos	Career Quest LTD.
Sonya Maxwell	American Society for Training and Development (ASTD)
Suma Kurien	LaGuardia Community College

### Non-User Employer Panels

\* *Businesses with no prior SBS training grant experience*

Small Employer Panel (34 or fewer employees) – 11 participants

Medium Employer Panel (35-149 employees) – 12 participants

Large Employer Panel (150 or more employees) – 8 participants

**In total, SBS staff spoke with more than 70 people about the program's design**



## Individuals Consulted on Program Design (2 of 3)

### User Employer Panel

*\* Existing training grant participants*

Daisy Romero	Garment Industry Development Corp.
Gaspar Marino	Tiffany & Co.
Florence Wong	1199ETJSP – Grant Corp.
Sean Maurice	Soundwriters, Inc.
Ken Cohn	Felix Storch, Inc.
Louise Holmes	Weill Cornell Medical College of Cornell University
Janett Hunter	Montefiore Medical Center
John Torgersen	McAllister Towing & Transportation Co.

### Intermediary Panel

*\* Industry associations, economic development organizations, etc.*

Rick Surpin	Independence Care Systems
Chuck Hunt	New York City Restaurant Association
Michelle Valdez	New York City Sales and Service Training Partnership
Pam Bradley	Industrial Technology Assistance Corporation
Jay Kairam	New York Industrial Retention Network
Ana Perez	Garment Industry Development Corp.
Rachael Dubin	Southwest Brooklyn Industrial Development Corp.
Francine Thompkins	New York City Sales and Service Training Partnership
Jeanette Nigro	Brooklyn Chamber of Commerce
Richard Werber	Greater Jamaica Development Corporation



## Individuals Consulted on Program Design (3 of 3)

### **National Programs**

Bluegrass State Skills Corporation, Workplace Essentials Skills Program – *Robert Curry, Director*  
California Employment Training Panel – *Michael Rice, Manager, Planning & Research Unit*  
Chicago TIFWorks program/Customized Training Program, Mayor’s Office of Workforce Development – *Will Edwards, Director*  
Minnesota Job Training Partnership – *Jodie Greising, Program Coordinator*  
New Jersey Workforce Development Partnership Program – *Jessica Richardson, Dir. of Literacy/Basic Skills*  
Pennsylvania State Workforce Investment Board – *Teresa Kaufman, Deputy Director*  
Commonwealth Corporation (MA) – *Mishy Lesser, Former Director of Program and Resource Development*  
Chicago WIB – *Linda Kaiser, Director*

### **Academia**

Paul Osterman, MIT Sloan School of Business  
Rob Hollister, Swarthmore College  
Heidi Williams, Harvard University Department of Economics  
City University of New York – School of Professional Development (Focus Group)

### **National Supporting Institutions**

Annie E. Casey Foundation – *Bob Giloth, Jobs Initiative Manager*  
Jobs for the Future – *Richard Kais, Senior Vice President*  
CAEL – *Pam Tate, President and CEO*  
SeedCo – *Neil Kleiman, VP for Policy, Research, and Communications*  
Public/Private Ventures – *Sheila Maguire, Vice President for Labor Market Initiatives*  
WIB – *Mark Elliot, Consultant, Board Member*

# **Attachment - 2**

- 1.) July 20, 2006 Resolution of the NYC Workforce Investment Board Workforce Policy Committee Approving New Occupational Training Certificate Standard

**A RESOLUTION OF THE NEW YORK CITY  
WORKFORCE INVESTMENT BOARD WORKFORCE POLICY COMMITTEE  
APPROVING NEW OCCUPATIONAL TRAINING CERTIFICATE STANDARD**

**WHEREAS**, the United States Department of Labor issued Training and Employment Guidance Letter 17-05 which among other things has a more stringent definition of certificate;

**WHEREAS**, the New York State Department of Labor issued Technical Advisory 06-4 requiring the local areas to modify its program design to achieve the more stringent certificate outcomes for participants who receive training services;

**WHEREAS**, the New York City Local Workforce Investment Board Workforce Policy Committee has decided to modify local area policy to be in compliance with the new occupational training certificate standard; and

**NOW, THEREFORE, BE IT RESOLVED** by the Workforce Policy Committee as follows:

WIA funded training must lead to the awarding of a certificate of attainment of technical or occupational skills by schools that are licensed by the New York State Education Department of Proprietary Schools or are institutions of higher education described in Section 102 of the Higher Education Act or schools that use a professional, industry or recognized curriculum that has a valid and reliable assessment of an individual's knowledge, skills and abilities in the occupation for which technical or occupational training is provided. Such schools are considered by the New York City Workforce Investment Board to be qualified to issue certificates of attainment of technical or occupational skills necessary to gain employment or advance within an occupation.

In accordance with New York State Technical Advisory 06-4, the successful completion of an on-the-job training and customized training program will be excluded from the Adult and Dislocated Worker credential performance measure.

This policy shall take effect July 1, 2006.

# Attachment - 3

- 1.) May 4, 2006 Resolution of the NYC Workforce Investment Board Workforce Policy Committee Approving Modifications to Training Provider Performance Criteria

**A RESOLUTION OF THE NEW YORK CITY  
WORKFORCE INVESTMENT BOARD POLICY COMMITTEE  
APPROVING MODIFICATIONS TO  
TRAINING PROVIDER PERFORMANCE CRITERIA**

**WHEREAS**, the current Training Provider Performance Criteria for Individual Training Account vouchers (ITA's) was approved by the New York City Local Workforce Investment Area on October 18, 2005;

**WHEREAS**, the current definition of placement under performance criteria for ITA's is any job received after training completion;

**WHEREAS**, the New York City Local Workforce Investment Board has decided to modify the definition of placement in order to comply with local workforce policy; and

**NOW, THEREFORE, BE IT RESOLVED** by the Policy Committee as follows:

The Training Provider Performance Criteria for ITA vouchers issued under the auspices of the New York City Local Workforce Investment Area shall be modified as follows:

- 1) The term "Placement" shall be defined as a placement as employment related to the occupation and skills taught in training.
- 2) This definition shall take effect on May 1, 2006 for all training enrollees under WIA and all completers who are still within the three-month evaluation period.

# **Attachment - 4**

- 1.) June 22, 2006 Resolution of the NYC Workforce Investment Board Workforce Executive Committee Authorizing a Renewal Period for Nine Adult Special Population Program Agreements and Budget Allocations for the Renewal Period.

**A RESOLUTION OF THE NEW YORK CITY WORKFORCE INVESTMENT BOARD  
EXECUTIVE COMMITTEE AUTHORIZING A RENEWAL PERIOD FOR NINE (9)  
ADULT SPECIAL POPULATION PROGRAM AGREEMENTS AND BUDGET  
ALLOCATIONS FOR THE RENEWAL PERIOD**

**June 22, 2006**

**WHEREAS**, in 2001 the New York City Department of Human Resources (“HRA”) entered into contracts (the “ASP Contracts”) with employment service providers for the delivery of Workforce Investment Act (“WIA”) funded services to adult special populations (“ASP”); and

**WHEREAS**, the City of New York transferred the ASP contracts to the New York City Department of Employment (“DOE”) in 2002; and

**WHEREAS**, the City of New York eliminated DOE in 2003 and transferred responsibility for the administration of WIA-funded adult and dislocated worker programs to the New York City Department of Small Business Services (“DSBS”) in 2003; and

**WHEREAS**, Article I (b) (2) of Part I of the Agreement permits the Department the option to renew this Agreement for up to one (1) year on the same terms and conditions contained in the Agreements by giving written notice to the Contractor whose Agreements will be renewed; and

**WHEREAS**, each of the nine ASP Contracts that DSBS seeks to renew has a five (5) year term that will expire at various times between September 30, 2006 and November 30, 2006; and

**WHEREAS**, DSBS has determined that it is prudent to renew the nine ASP Contracts until June 30, 2007 (the “Renewal Period”) where the Contractors received excellent, very good or satisfactory performance ratings on their most recent performance evaluations; and

**WHEREAS**, the funding allocations and the performance goals for the Renewal Period of each Contract to be renewed will be done on a pro rata basis, based upon the funding allocations and performance goals of the fifth year of each contract.

**NOW, THEREFORE, BE IT RESOLVED** by the Executive Committee of the New York City Workforce Investment Board, as follows:

1. ASP Contract Renewal.

- (i) DSBS is hereby authorized to renew the term of each of the following ASP Contracts for a period of nine months from October 1, 2006 to June 30, 2007: DB Grant; Opportunities for a Better Tomorrow; Project Care, Inc.; Church Avenue Merchants Block Association; New York State Association for Retarded Children and East Harlem Council for Community Improvement; and

(ii) DSBS is hereby authorized to renew the term of the Non-Profit Assistance Corporation and East Harlem Employment Services-STRIVE for a period of eight months from November 1, 2006 to June 30, 2007; and

(iii) DSBS is hereby authorized to renew the term of the New York Work Alliance for a period of seven months from December 1, 2006 to June 30, 2007.

2. Budget Allocations. The budget for the Renewal Period of each ASP Contract that is being renewed shall be computed on a pro rata basis using as the base the budget allocation for the fifth year of that particular contract.
3. Performance Goals. The performance goals for the Renewal Period of each ASP contract that is being renewed shall also be computed on a pro-rata basis using as the base the performance goals for the fifth year of that particular contract.
4. City Approvals. It is hereby acknowledged that all ASP Contract extensions and budget modifications shall be contingent upon all necessary City approvals.

## EXHIBIT 1

### Contracts Recommended for Renewal to 6/30/07

Contractor	Performance Rating as of 3/31/06	Year 6 Proposed Budget	Target Population
DB Grant Associates	Excellent	\$ 588,200	Ex-offenders
Opportunities for a Better Tomorrow	Excellent	111,487	Individuals with low basic skills
Project Care, Inc.	Excellent	165,903	Individuals with language or cultural barrier
Church Avenue Merchants Block Association	Very Good	381,869	Individuals with language barrier
Non Profit Assistance Corporation	Very Good	930,581	Individuals with language barrier or low basic skills
NYS Association for Retarded Children	Very Good	227,915	Individuals with developmental disabilities
East Harlem Council for Community Improvement	Satisfactory	633,761	Individuals with language barrier or low basic skills
East Harlem Employment Services - STRIVE	Satisfactory	127,749	Ex-offenders
New York Work Alliance, Inc.	Satisfactory	495,548	Individuals with language or cultural barrier
<b>Grand Totals</b>		<b>\$ 3,663,013</b>	

### Contracts Not Recommended for Renewal

Contractor	Performance Rating as of 3/31/06	Current Year 5 Budget	Target Population
Friends of Island Academy	Needs Improvement	\$ 66,241	Ex-offenders ages 18 -21
National Puerto Rican Forum	Needs Improvement	401,883	Individuals with language barrier or low basic skills

# **Attachment - 5**

1. July 2007 Staff Procedural Manual for Functional Alignment



# **STAFF PROCEDURAL MANUAL FOR FUNCTIONAL ALIGNMENT**

**REVISED DRAFT**

**JULY 2007**

**STAFF PROCEDURAL MANUAL FOR FUNCTIONAL ALIGNMENT**

- 1. Introduction.....
- 2. Overview of Functional Alignment .....
- 3. Role of the Operator Consortium (OC) .....
- 4. Center Operations Organizational Structure .....
- 5. Front-End Engagement .....
- 6. Staff-Assisted Services .....
- 7. Recruitment & Placement .....
- 8. Business Services .....
- 9. Staff Training .....
- 10. Managing Performance Measures .....

# 1. Introduction

The Operator Consortium is pleased to provide the staff of the Workforce Career Center system with a procedural manual for serving a common customer pool within the context of functional alignment.

This document is to be utilized by staff as a guide for the organization and implementation of the tasks and activities required to meet the intent of functional alignment, which is to strategically align staff and services around employment and training functions, rather than providing services through siloed program funding streams. The goal of functional alignment is to align the services and staff of WIA Title IB and Wagner –Peyster to improve customer access and services through the creation of a seamless system of workforce services rather than to operate parallel programs.

The Operator Consortium understands and acknowledges that to be successful in meeting local workforce needs there must be effective, non-duplicative, real-time strategies for serving customers and to achieve performance measures. Moreover, to meet the challenges of economic competitiveness, the City's Workforce Investment System must increasingly align its resources with the transformational imperatives needed for creating a comprehensive system that is both flexible and responsive to the needs of businesses and workers.

The procedural manual is a tool for providing guidance on standardized processes that support both the goals for the delivery of more effective and efficient services; and the processes for reducing duplication of operational protocols under the WIA and Wagner – Peyster programs.

## 2. Overview of Functional Alignment

### Goals of Functional Alignment

Jobseeker Services	Business Services
<ol style="list-style-type: none"> <li>1. Implement a common customer flow for all customers.</li> <li>2. Deliver prompt, uniform, high-quality services to all customers by professional, well-trained, informative staff.</li> <li>3. Organize staff by functional service delivery teams, thereby putting customer needs ahead of funding stream objectives.</li> <li>4. Make decisions based on fact and objective data where possible.</li> <li>5. Effectively support customer workforce needs by building the skills of Workforce1 Career Center staff .</li> <li>6. Effectively channel resources to support these principles.</li> </ol>	<ol style="list-style-type: none"> <li>1. Effectively fill job orders.</li> <li>2. Provide prompt responses to business requests for customized training for workers.</li> <li>3. Provide all jobseekers in a common customer pool with access to all employer opportunities.</li> <li>4. Create opportunities for businesses to have input in designing training programs to meet demand for new skills.</li> <li>5. Supply timely and accurate information about programs and resources to benefit businesses.</li> <li>6. Cross-train staff to understand the importance of shared business objectives and strategies.</li> <li>7. Provide standardized and coordinated processes so that all Centers work as one system.</li> </ol>

WIA *requires* coordination among all U.S. Department of Labor funded programs as well as other workforce investment programs administered by the U.S. Departments of Education, Health and Human Services and Housing and Urban Development. WIA requires States and communities to integrate multiple workforce development programs and resources to simplify and expand access to services for jobseekers and employers. Therefore functional alignment is not new; it is the cornerstone of the One-Stop system.

One of the primary goals of the functional alignment effort is to minimize duplication of service by the WIA IB and W/P staff, thereby freeing up resources and staffing to make available all services that the local workforce system deems necessary and critical to their local constituency. It is not an attempt by any partner to “take over” the local workforce systems.

Accordingly, WIA and Wagner Peysner, the two federally-funded programs that largely support local WIA activities, were tasked with re-thinking and re-shaping the manner in which services are to be provided within their local workforce investment areas.

In New York City, this process entailed making major changes to operations including:

- a. Expanding the local Workforce1 Career Center System to include four SDOL Department of Employment Services (DoES) offices, thereby increasing the number of centers from seven to eleven locations
- b. Reengineering approaches for service delivery
- c. Shifting staff assignments
- d. Coordinating /expanding technology systems to provide access to additional functionally aligned staff
- e. Changing the model for the delivery of workforce services

An integral component of the City’s functional alignment plan is the approach for the joint supervision of an integrated staff that will perform the daily service delivery activities for serving a common customer pool at

the Workforce1 Career Centers. The expectation is that functional alignment of staff will ensure the delivery of more effective and efficient services to eliminate unnecessary duplication which will result in cost savings to both WIA Title IB and Wagner Peyser programs.

The focus of the current alignment efforts is to bring together the Wagner Peyser and WIA Title 1B programs and not the other ‘partner programs’ at this point. However, discussions regarding their contributions to the matrix of services will be integral in the ongoing planning of longer-term functional alignment across the City’s Workforce Investment System.

### **Changes to Service Delivery**

Effective July 1, 2006, any customer who reports to a Workforce1 Career Center and receives any service (including self help or information only) will be considered as being served, in whole or in part, by both WIA and Wagner Peyser (WP). At minimum, adult customers accessing *self-service or informational activities only must* be co-enrolled as participants in both WP and the WIA Title 1-B Adult program. Upon receipt of services beyond self-help or information only, additional eligibility data is required. At that point, individuals are also to be enrolled as participants, as determined in either or both programs.

All participants of a Workforce1 Career Center for whom a Social Security Number (SSN) is voluntarily provided /collected are included in Wagner Peyser performance measures. Furthermore, all participants of a Workforce1 Career Center for whom a SSN is voluntarily provided /collected, and who receive a service having a “significant” level of staff involvement (i.e. staff-assisted service) are included in the WIA performance measures. That is, participants who receive self-service and/or informational activities only are excluded from WIA performance measure calculations.

- a. If the participant receives services from multiple programs (defined as WIA, WP, TAA, and VETS for this advisory), then the earliest date of service will be used as the “date of participation” for reporting in each program.
- b. Similarly, the exit of a participant is based upon the fact that the participant has not received any services funded by the program or a partner program for 90 consecutive days, has no gap in service and is not scheduled for future services. Therefore, if the participant receives services from multiple programs, the last or most recent date of service will be used as the common “date of exit” reported in each program. In other words, a participant cannot be exited from any program until there has been a period of 90 days without services from any of the programs – WIA, WP, TAA or VETS. The receipt of service under any one program will extend the participants’ period of service across all associated program(s).

Staff-assisted service is based on the **level** of the service provided, not when or how. Any assistance provided by staff that goes beyond the provision of readily available information is considered a staff-assisted service. Note that the recording of any activity as staff-assisted presumes that the individual receiving the service has already been determined to be any eligible program participant.

As a service strategy, determining eligibility for a specific WIA funding source as early in the process as possible will minimize the need to transfer large numbers of participants enrolled in Adult to Dislocated Worker at a later date.

## **Serving Youth**

While 16 and 17 year old youth who possesses a high school diploma can be served via Wagner Peyser, this is not a target population for the Centers. Youth in this age range should receive an assessment of services to determine whether referrals to a youth program may be appropriate to access needed services.

## **Changes to Exits/Follow-up**

Under common measures, the exit date is the date the last service across all programs is provided. The exit of a participant is based upon the fact that the participant has not received any services funded by WIA or Wagner Peyser or a partner program for 90 consecutive days, has no gap in service and is not scheduled for future services.

If a participant receives services from multiple programs, the last or most recent date of service will be used as the common “date of exit” reported in each program. In other words, a participant cannot be exited from any program until there has been a period of 90 days without services from any of the programs – WIA, WP, TAA or VETS. The receipt of service under any one program will extend the participants’ period of service across all functional program(s).

OSOS is ready to automatically exit a participant who has not received a service from any program in 90 days.

## **Changes to Grievance /Complaint Procedures (EO)**

There is no state or federal requirement that a physical signature must be kept on file acknowledging a customer’s receipt of the EO policy. However, it is the responsibility of the state and local area to assure that there is valid documentation that the customer was provided the EO information. It is expected that City’s Workforce System will move away from signature files toward the use of electronic case notes. Therefore, through the timely and accurate use of customer case notes in Worksource1 / OSOS, it is sufficient for the Workforce1 Career Center staff to verify and denote in the case notes screen that the EO policy was provided to the customer.

The Operator Consortium will provide guidance to the Workforce1 Career Center Joint Leadership team on the appointment of a staffer to carry out the required functions of a local EO officer.

## **Department of Employment Services (DoES) Offices without WIA Staff**

Pursuant to the NYC Functional Alignment Plan, all SDOL’s Department of Employment Service (DoES) offices will become part of the Workforce1 Career Center system, thereby increasing the number of Workforce1 Career Centers from eight to eleven sites.

Accordingly, individuals 18 years of age or older who report to stand-alone Workforce1 Career Center, will be registered in OSOS and if they receive any service including self-service or informational activities, they will be counted as participants in the Wagner Peyser and WIA adult programs (this will be administratively tracked through OSOS). If individuals receive only self-service or informational activities, then there are no eligibility criteria to track. Upon receipt of a staff-assisted service in a stand-alone Workforce1 Career Center, data collection and verification processes necessary for WIA Title IB programs will be initiated by the staff.

## **Electronic Recordkeeping System**

As indicated in [NYS Technical Advisory 6-19](#) “all documentation will be maintained electronically in OSOS thereby replacing the need to keep paper records (copies) of source documentation.” The electronic record

keeping system eliminates the use of customer document folders and ensures that Worksource1 is the information repository of record for vendor related interaction with Workforce1 customers. This eliminates the need to keep any physical documentation for data element validation requirements *effective April 1, 2007*.

The New York City programmatic objectives have been updated to support the electronic record keeping system:

- Eligible to Work (I-9) documentation is **NOT REQUIRED** as an eligibility requirement to access Center services. Please see the Eligible to Work policy for further guidance.
- Authorization to Release Information is **VOLUNTARY** and no longer a separate form since it has been incorporated into the streamlined Customer Information Form. A field in Worksource1 has been added to indicate customer authorization, removing the need to keep physical copies.
- Assessments will be recorded electronically.
- All services will be recorded through a case note or swipe card activity, removing the need to keep physical copies of activities.

Staff will conduct verification of validation requirements through the following steps:

- Assess the data items using appropriate source documents
- Accurately record data and verification source in Worksource1
- Ensure data entry matches the actual data element and source documentation
- **Discontinue photocopying of any documents for eligibility purposes**

**\*Note:** Working customer document folders will still be **REQUIRED** for customers seeking an **Individual Training Grant**. The following documents must be **maintained in a working customer document folder**:

- Training Grant Rating
- Training Provider Research

As a result of the new Data Element Validation (DEV) requirements, program monitoring of WIA vendors will also change. The current monitoring instruments are based on the review of individual customer hard copy folders and electronic records. Accordingly, beginning April 1, 2007, hard copy customer folders will NOT be requested or reviewed for the purposes of WIA program monitoring.

Monitoring will be based on the review of contractors' management, supervision and staff training practices related to DEV reporting and validation as well as direct observation of DEV processes in operation. Where necessary, action will be required by contractors to implement corrective actions to ensure the integrity of DEV practices

### **Eligible to Work**

The New York State Department of Labor (NYSDOL) establishes US Citizenship and/or Eligible to Work<sup>1</sup> are not program eligibility requirements for Wagner-Peyser or WIA<sup>2</sup>. As such, these programs should be available to all jobseeker customers regardless of their Eligible to Work status.

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<sup>1</sup> WIA defines **Citizenship and/or Eligible to Work** as citizens and nationals of the United States, lawfully admitted permanent resident aliens, lawfully admitted refugees and parolees, and other individuals authorized by the Attorney General to work in the United States (applies to all programs under Title I). [Act 188(a)(5)].

<sup>2</sup>NYS Workforce Development System Technical Advisory #06-4 (USDOL/ETA, "Reflection" document, USDOL sponsored Common Measure Training, Philadelphia, PA, March 1, 2006)

Effective April 1, 2007, all customers, regardless of their Eligible to Work status, can access Workforce1 Career Center services.

However, Business Solutions Hiring and Training reserves the option to offer Eligible to Work/I-9 verification as part of a customized recruitment for specific employers that consider this process critical to their hiring need.

### **Procedural Guidance**

1. Clear communication needs to be provided that Eligible to Work is no longer a regular business service that Workforce1 Career Centers provide. As most employers have an implicit assumption that if a jobseeker is referred from the City, he/she is legal.
2. Workforce1 Career Centers need to indicate to jobseekers that employers will only hire customers who can provide Eligible to Work documentation. The Operator Consortium recommends Workforce1 Career Centers provide the following communication to jobseeker customers:  
*All employers are required to conduct and authorize I-9 verification when a customer is offered a job. If you [the customer] cannot provide documentation to show you are lawfully permitted to work in the United States, then you will **NOT** be hired by any employers we can refer you to, even if the employer makes an initial offer.*
3. Workforce1 Career Centers can indicate to employers in face-to-face meetings the policy for not verifying Eligible to Work status, unless requested under a specific customized recruitment. The population of non-Eligible to Work is a negligible percentage of the customer base. Additional guidance will be developed to communicate Eligible to Work policy to employers for business development purposes.

### **Common Intake Form**

The DOL has agreed to use the Customer Information Form (CIF) in the Centers, which serves as a common intake tool for the City's workforce system.

## Summary of Changes to Service Delivery Processes

- All customers, regardless of their **eligibility** status, can access Workforce1 Career Center services.
- **All customers** fill out a Customer Information Form (CIF).
- All **CIF data entry** occurs while customers are in Orientation.
- All **eligibility records are maintained electronically**. Staff no longer needs to photocopy documents or create document folders.
- Eligibility and **next steps** from Initial Assessment are recorded directly into Worksource1 while the customer meets with the Membership Team.
- **Selective Service** waivers are no longer required.
- **Authorization to Release Information** is incorporated into the CIF.
- Hard copy document folders **are no longer requested** or reviewed for the purposes of WIA program monitoring.
- **Audits** are based on process observation rather than review of hard copy document folders

### **3. Role of the Operator Consortium (OC)**

The City's Workforce Investment Board (WIB) designated the Operator Consortium (OC) as the management and oversight entity to ensure compliance with the applicable rules, regulations and requirements under the Workforce Investment Act (WIA), as well as to ensure meeting performance measures for the City's Workforce Investment System.

The OC provides management and policy advisement for the Workforce system and reports to the Policy Committee of the Workforce Investment Board. In this capacity, the OC is responsible for ensuring the implementation of the City's Functional Alignment plan that was submitted to the NYS Department of Labor on October 31, 2006.

The OC developed a work plan and structure for the implementation of the Functional Alignment Plan. Included in the plan are Joint Leadership Teams reporting to OC, and convening work groups to prepare recommendations on policies and procedures to standardized processes for serving a common customer pool. Initially, three workgroups will be convened to prepare recommended policies and procedures for initial assessment; workshops; and data validation and intake.

#### **How to use the OC as a resource:**

The Operator Consortium should be engaged by the Joint Leadership Teams to:

- Provide assistance or guidance on standardized processes or policies that affect delivering services to a common customer pool
- Make recommendations for changes to standardized processes or policies that effect service delivery to a common customer pool
- Mediate issues that cannot be resolved at the center level and could impede functional alignment implementation

## 4. Center Operations Organizational Structure

The following organizational structure will be used to implement and manage functional alignment in the Workforce1 Career Center system.

### **Joint Leadership Team:**

- Joint Leadership Team comprised of DOL and Vendor staff will co-manage Service Teams and the Functional Alignment goals/objectives in co-located Centers
- Joint Leadership Team structure will operate for an interim period
- Joint Leadership Team structure will be revisited and any needed changes implemented

### **Service Team Leaders:**

- Joint Leadership Team appoints Team Leaders
- Team Leaders will be either Vendor or DOeS Supervisor, and will manage the day to day operations of a service team
- Team Leaders will also have functional duties to perform within their team operations
- Team Leaders will report to the Joint Leadership Team

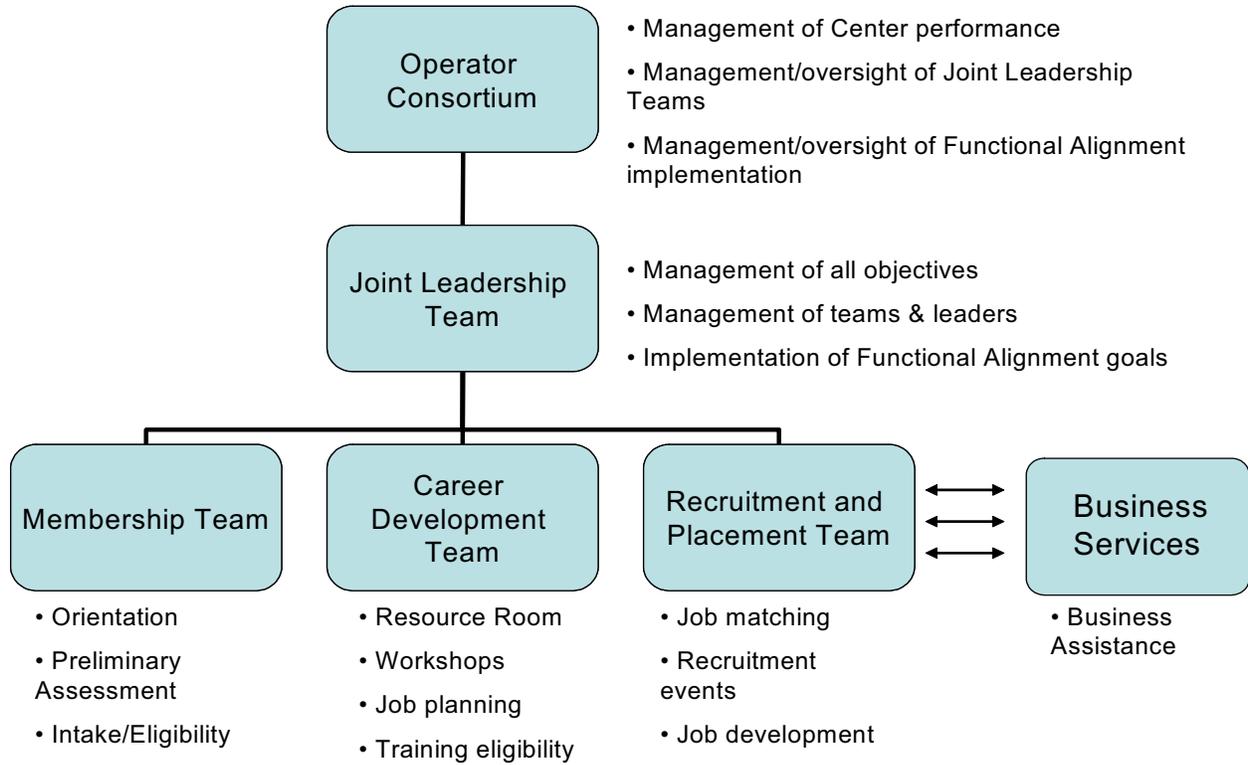
### **Service Teams:**

- Three teams: Membership, Career Development, and Recruitment and Placement Team
- Staff from Vendor and DOeS will be assigned by Joint Leadership Team to work on at least one of the three teams delivering services to a common customer pool

### **Overview of Joint Leadership Team Responsibilities:**

- Manage operational processes and change management needed to achieve center performance rather than program performance:
  - Appoint “Team Leaders” for each of the service teams
  - Appoint staff to each of the service teams, with input from the Team Leaders
  - Disseminate new policies and procedures for service delivery and functions to staff
  - Coordinate service teams for seamless delivery of job seeker and business services
  - Oversee attainment of common measure performance outcomes
  - Manage Team Leaders to obtain successful outcomes through understanding that each level of service builds on the previous level
  - Hold regular center staff meetings
  - Ensure that each team uses technology effectively (e.g. OSOS, Worksource1)
- Manage for customer satisfaction (Businesses, Jobseekers, Staff) for the center as a whole:
  - Foster an environment that is perceived to put customer needs as the primary goal for center services and supportive of successful customer outcomes
  - Effectively use customer feedback for continuous quality improvement
- Determine customer and service niches that the center is best positioned to support:
  - Build knowledge about industries that are key in the community
  - Strategically determine employers to target services
  - Support a paradigm shift from a case management service approach to a talent development approach

# Career Center Organizational Structure



## **ROLES AND RESPONSIBILITIES FOR TEAM LEADERS**

Functional alignment requires Workforce Investment Act (WIA), DOL and other partner staff to work collaboratively in the delivery of services available under multiple programs. Consequently, many staff will be receiving direction and assignment on a day to day basis by a Team Leader/supervisor who may not be from his/her hiring organization. The purpose of this policy guideline is to clarify the roles and responsibilities of Team Leaders and to ensure that any contractual obligations mandated by State or Vendors organizations or union contracts thereof will be met.

In the Workforce1 Career Center System, collaboration between Vendor and State DOL supervisors is a priority. This is particularly critical for those supervisors who have been assigned as a Team Leader for any of the functionally aligned service teams. It is recognized that a Team Leader will have the major responsibility for certain tasks and activities within a functional team, including but not limited to:

- Setting daily work assignments and work flow.
- Making temporary changes in meal/break periods to assure proper coverage.
- Setting office coverage during vacations/ unscheduled/ emergency absences.

However, the Team Leader cannot operate without the collaboration and communication with the supervisors of individual team members. It is also recognized that the collaboration between the Team Leader and the supervisors may preclude the sharing of information deemed confidential by policy or union contract of either entity. Accordingly, there needs to be consistent communication between Team Leaders and supervisors of team members to:

- Avoid potential difficulties in staff management.
- Ensure efficiency in service delivery processes.
- Provide quality services to customers.

The following is a general overview of the collaboration process between Team Leaders and supervisor(s) of functionally aligned service team members.

### **Team Leaders And Supervisors Are Responsible For Ensuring:**

- Staffing plans provide adequate office coverage at all times, including vacation periods, holidays, and attending staff development/ training opportunities.
- All staff receives training on the policies and procedures for serving shared customers.
- All staff understands and adheres to internal security policies and procedures – both Vendor/SBS and NYSDOL.
- All staff presents a positive image of the Workforce1 Career Center System to customers.
- Regular meetings are held with service team members.
- Opportunities for staff to communicate feedback and ideas for serving customers.
- Process for providing input in performance evaluations of staff who are assigned to service teams.

## TEAM LEADER TOOL

### Creating an Effective Service Team

As a Service Team Leader at a Workforce1 Career Center, you and your team members aim to work productively together to serve shared customers and deliver seamless services in a functionally aligned environment. Each team member represents an important role in the service delivery process and brings their individual perspectives to the team. The following guidelines can help you to build team relationships based on mutual trust and respect which will support achieving performance outcomes and the highest standard of customer satisfaction.

#### 1. Team Communications

- Service Team Leaders will share information about service delivery processes, disseminate new policies and procedures and communicate performance expectations with service team members
- Service Team Leaders will convene regular meetings for service team members to provide feedback on service delivery processes, and if needed, make recommendations for modification of Center-specific service delivery procedures. Agendas and minutes for meetings will be disseminated within five business days.
- All communication will be open and courteous.
- Service Team Leaders will encourage all team members to keep each other informed.

#### 2. Decision Making

- Team members will strive for consensus. Consensus means that everyone can live with the decision. It does not mean that everyone has to agree 100%.
- Teams will discuss how they will make collective decisions. Members may not abstain from voting. The sidebar below provides one example that may work for your team.
- If consensus cannot be reached, the team will identify outstanding questions and issues requiring resolution. The team leader will discuss the issue(s) with the Center Leadership to obtain their recommendation for resolution and communicate suggestion to the team.
- Meeting notes will document decisions made. If there are any questions after reviewing the minutes, the Service Team Leader will determine the course of action, such as whether to bring questions back to the team for additional discussion and resolution.
- Recommendations for modification of service delivery processes will be prepared by Service Team Leaders and submitted to Center Leadership for review and approval within five business days.

#### 3. Meetings

- Service Team Leaders will report service performance status at each team meeting.
- Service Team members will meet on a regularly determined schedule.
- Issues, process flow changes and action items will be reviewed and updated at each meeting.

- Service Team Leaders will be responsible for facilitating and keeping meetings on track. Team members will accept the Service Team Leader's decision to table or "park" a discussion topic.
- Meetings will aim to start and end on time.
- It is the responsibility of each team member to stay current on the service team's activities, even when he or she has missed a meeting.

**! Using flipchart paper, establish a "parking lot" to record topics and questions that require discussion and resolution at a later date. Items "parked" should not be central to any decisions that need to be resolved in the current meeting. Don't forget to make a plan for how these issues will be addressed later on.**

## NEW SERVICE TEAM MEMBER CHECKLIST

### EMPLOYEE INFORMATION

Name:	Start date:
Position:	Team Leader:

### FIRST DAY

- Provide employee with access to policies and procedures on functionally aligned service delivery processes.
- Assign "buddy" employee(s) to answer general questions.

### POLICIES

Review key policies.	<ul style="list-style-type: none"> <li>• Service delivery process</li> <li>• Data entry</li> <li>• Customer Care standards</li> <li>• Meeting Attendance</li> <li>• Time and leave reporting</li> <li>• Performance review process</li> <li>• Appropriate attire</li> </ul>	<ul style="list-style-type: none"> <li>• Code of conduct</li> <li>• Security</li> <li>• Safety</li> <li>• Emergency procedures</li> <li>• Visitors</li> <li>• E-mail and Internet use</li> </ul>
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### ADMINISTRATIVE PROCEDURES

Review general administrative procedures.	<ul style="list-style-type: none"> <li>• Office/desk/work station</li> <li>• Keys</li> <li>• Mail (incoming and outgoing)</li> <li>• Ordering Business cards</li> </ul>	<ul style="list-style-type: none"> <li>• Telephones</li> <li>• Building access cards</li> <li>• Conference rooms</li> <li>• Picture ID badges</li> <li>• Office supplies</li> </ul>
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### INTRODUCTIONS AND TOURS

Introduce to center staff and key personnel during tour.			
Tour of facility:	<ul style="list-style-type: none"> <li>• Restrooms</li> <li>• Fax machines</li> <li>• Copy Machines</li> </ul>	<ul style="list-style-type: none"> <li>• Bulletin board</li> <li>• Printers</li> <li>• Office supplies</li> </ul>	<ul style="list-style-type: none"> <li>• Cafeteria /staff lounge</li> <li>• Emergency exits</li> <li>• Parking</li> </ul>

### POSITION INFORMATION

- Introductions to service team members.
- Review initial team assignments and performance expectations.
- Review staff training plans.
- Review work schedule and hours.

### COMPUTERS

Hardware and software reviews:	<ul style="list-style-type: none"> <li>• E-mail</li> <li>• Intranet</li> </ul>	<ul style="list-style-type: none"> <li>• Internet</li> <li>• Databases</li> </ul>	<ul style="list-style-type: none"> <li>• Data Management Systems</li> </ul>
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The following is an overview of the roles and activities of functional aligned service teams. Also listed are both the functionally-aligned team titles and funding source job titles.

**1. MEMBERSHIP TEAM**

**GREETERS**

<b>Staff</b>	<b>Assignment</b>	<b>Activities</b>	<b>Referral Points</b>
<b>Functional Team Title:</b> Customer Service Representatives  <u>W/P Job Title:</u> Agency Services Representative  <u>WIA Job Title:</u> Greeter	Customer Services  Data Entry  Swipe Card Issuance  UI Benefits Information	<ul style="list-style-type: none"> <li>• Greet Customers</li> <li>• Guide to appointment destinations</li> <li>• General Information on center services</li> <li>• Make appointments for workshops &amp; other center services/ events</li> <li>• Distribute information packets</li> <li>• Distribute swipe cards</li> </ul>	<ul style="list-style-type: none"> <li>• Orientation</li> <li>• Resource Room</li> <li>• Workshops</li> <li>• Partner Services</li> <li>• Special Events</li> <li>• Targeted Recruitments</li> <li>• Veterans Services</li> <li>• TAA Services</li> <li>• Literacy Services</li> </ul>

**ORIENTATION**

<b>Staff</b>	<b>Assignment</b>	<b>Activities</b>	<b>Referral Points</b>
<b>Functional Team Title:</b> Member Services Coordinators  <u>W/P Job Title:</u> Agency Services Representative  <u>WIA Job Title:</u> Orientation Leader	Orientation Presentation  Initial Assessment  Data Entry	<ul style="list-style-type: none"> <li>• Orientation on Center Services</li> <li>• Hot Jobs Overview</li> <li>• Initial Assessment</li> <li>• Training Information</li> <li>• Unemployment Insurance Information</li> </ul>	<ul style="list-style-type: none"> <li>• Job Referrals</li> <li>• Registration</li> <li>• Workshops</li> <li>• Resource Room</li> <li>• Career Advisor Appointment</li> <li>• Recruitment &amp; Placement</li> <li>• Partner Services</li> <li>• Veterans Services</li> </ul>

## 2. CAREER DEVELOPMENT TEAM

### WORKSHOPS

Staff	Assignment	Activities	Referral Points
<b>Functional Team Title:</b> Workshop Facilitators  <u>W/P Job Title:</u> Labor Services Representative  <u>WIA Job Title:</u> Instructor	Workshop Facilitation	<ul style="list-style-type: none"> <li>• Resume Writing</li> <li>• Interviewing</li> <li>• Job Club</li> <li>• Basic Computer Skills</li> <li>• Computer Skills</li> <li>• Profiling</li> </ul>	<ul style="list-style-type: none"> <li>• Job Referral/Fast Track Jobs</li> <li>• Career Advisor/ IEP referral</li> <li>• Partner Services</li> <li>• Business Solution</li> <li>• ITA/ Training Services</li> </ul>

### RESOURCE ROOM

Staff	Assignment	Activities	Referral Points
<b>Functional Team Title:</b> Resource Room Specialists  <u>W/P Job Titles:</u> Labor Services Representative; Agency Services Representative  <u>WIA Job Title:</u> Career Advisor	Customer Service  Resource Room Services	<ul style="list-style-type: none"> <li>• Assist w/ Internet Job Search</li> <li>• Library/Research</li> <li>• Update Job Postings</li> <li>• Job Matching</li> <li>• Resume Assistance</li> <li>• Needs Assessment</li> <li>• Faxing</li> <li>• Copy Service</li> <li>• Calls to Employer</li> </ul>	<ul style="list-style-type: none"> <li>• Recruitment &amp; Placement</li> <li>• Workshops</li> <li>• Partner Services</li> <li>• Career Advisement</li> <li>• Veterans Services</li> <li>• Business Services</li> </ul>

### CAREER ADVISEMENT

Staff	Assignment	Activities	Referral Points
<b>Functional Team Title:</b> Labor Service Specialists  <u>W/P Job Titles:</u> Labor Services Representative; Employment Service Counselor  <u>WIA Job Title:</u> Career Advisor	Career Advisement  Data Entry  Trade Readjustment Act Services  Veterans Services	<ul style="list-style-type: none"> <li>• Assessment</li> <li>• IEP Development</li> <li>• Case Management</li> <li>• Referrals</li> <li>• Career Counseling</li> <li>• Training Assessment</li> <li>• Training Referral</li> <li>• Eligibility Determination (TAA)</li> </ul>	<ul style="list-style-type: none"> <li>• CBO Referrals</li> <li>• Partner Services</li> <li>• Support Services</li> <li>• Job Placement</li> <li>• Veterans Services</li> <li>• Training Services</li> <li>• Literacy Services</li> <li>• Workshops</li> <li>• Recruitment &amp; Placement</li> <li>• Business Services</li> </ul>

### 3. RECRUITMENT AND PLACEMENT

#### JOB FULFILLMENT

Staff	Assignment	Activities	Referral Points
<b>Functional Team Title:</b> Job Fulfillment Specialists  <u>W/P Job Titles:</u> Labor Services Representative; Employment Service Counselor  <u>WIA Job Title:</u> Account Executive	Account Management  Recruitment  Job Matching  Job Placement	<ul style="list-style-type: none"> <li>● Job Screening</li> <li>● Job Matching</li> <li>● Employer Interview Referrals</li> <li>● Account Management participation and lead</li> <li>● Job Development</li> </ul>	<ul style="list-style-type: none"> <li>● Workshops</li> <li>● Career Advisor Appointment</li> <li>● Partner Services</li> <li>● Business Services</li> </ul>

### 4. BUSINESS SERVICES TEAM

#### BUSINESS DEVELOPMENT

Staff	Assignment	Activities	Referral Points
<b>Functional Team Title:</b> Business Development Officers  <u>W/P Job Title:</u> Employment Service Representative  <u>WIA Job Title:</u> Account Executive	Business Services  Business Relationship Management	<ul style="list-style-type: none"> <li>● Information &amp; Referral</li> <li>● Start-ups</li> <li>● Business Workshops</li> <li>● Incentive Programs</li> <li>● Business Planning</li> <li>● Job Development</li> </ul>	<ul style="list-style-type: none"> <li>● Economic Development entities</li> <li>● Workforce Development Partners</li> <li>● Loan Programs</li> </ul>

#### EMPLOYER SERVICES

Staff	Assignment	Activities	Referral Points
<b>Functional Team Title:</b> Senior Account Managers (Centralized Coordination)  <u>W/P Job Titles:</u> Employment Service Representative; Labor Services Representative  <u>WIA Job Title:</u> Account Executive	Hiring & Recruitment (Large Accounts)  Business Relationship Management	<ul style="list-style-type: none"> <li>● Workforce Planning</li> <li>● Customized Recruitments</li> <li>● Layoff Aversion/ Rapid Response</li> <li>● HR Consultation</li> </ul>	<ul style="list-style-type: none"> <li>● Business Development Team</li> <li>● Workforce Development Partners</li> <li>● Business Workshops</li> <li>● Incentive Programs</li> </ul>

## 5. Front-End Engagement

### a. Orientation

- Joint Leadership Team will implement a common orientation for all Center customers
- Common Orientation will be offered with appropriate frequency in English and Spanish (at a minimum)
  - [Refer to Service Flow Chart - Attachment I](#)

### b. Initial Assessment

- Implement initial assessment (immediately following orientation) to roadmap next steps for all customers
  - [Refer to Initial Assessment Tools - Attachments III, IV, and V](#)

### c. Intake

- Implement established processes to determine program eligibility for all customers
- Utilize Common Intake Form (CIF) for all unregistered customers
  - [Refer to CIF - Attachment II](#)

### d. Language Access

- Provide Language Access services to Limited English Proficient (LEP) individuals.
- Compliance with Revised Policy Guidance for Providing Language Access
  - [Refer to Revised Policy Guidance for Providing Language Access](#)

### Attachments: Front- End Engagement Activities

- Attachment I - Service Flow Chart
- Attachment II - Customer Information Form
- Attachment III - Guide Card
- Attachment IV - Orientation Notes & Next Steps
- Attachment V - Customer Service Referral Chart

## **COMMON INTAKE PROCESS**

Customers who come into a Workforce1 Career Center should not automatically be routed to self-service or informational services. Customers should receive initial assessment to determine if staff-assisted services are desired and/or needed. Based on the outcome of the initial assessment process customers are to be directed to the next service step needed to achieve their employment goals.

### **PROCEDURAL GUIDANCE**

- 1. Customer enters a Workforce1 Career Center**
- 2. Membership Team welcomes the customer**
- 3. Customers are asked to complete a Customer Information Form (CIF)**
  - a. This includes customers who may already have a DOL letter or are asking about DOL services. Having all customers complete the shortened CIF allows us to capture updated information for existing OSOS records.
- 4. Customer fills out the CIF**
- 5. Customer returns CIF to Membership Team for data entry into Worksource1**
- 6. Membership Team data enters CIF and produces swipe cards**
  - a. Membership Team performs OSOS lookup via Worksource1 so that all customer records can be captured and displayed in both Worksource1 and OSOS.
  - b. All data entry of CIF must be entered into Worksource1. Completion of a Worksource1 record automatically creates an OSOS record.
  - c. Each Center's Joint Leadership Team will make a determination as to which DOL staff on the Membership Team will participate in data entry of CIF, eligibility determination, and initial assessment. These Membership Team staff will require Worksource1 usernames/passwords and training.
- 7. Customer attends Orientation**
  - a. All customers will attend the same Orientation session regardless of their origin.
  - b. This undifferentiated audience includes UI recipients who may or may not have a DOL letter in hand when they enter the Center.
- 8. Membership Team delivers common orientation**
- 9. Customer meets with Membership Team for post-orientation**
  - a. Customers are equally divided among designated Membership Team.
  - b. Customers meet individually with Membership Team staff, which gives them a greater opportunity to be directed to services most appropriate for them.
  - c. Customer's information will be retrieved via Worksource1. Information provided on the CIF will be used to help guide Eligibility Determination and Initial Assessment.
- 10. Membership Team conducts Eligibility Determination**
  - a. Customers will only be asked to verify Eligibility information that is not already known via OSOS or other records (e.g. Active UI Claimants will not be asked to verify their Date of Birth).

### **11. Membership Team conducts Initial Assessment**

- a. Staff uses Guide Card and information provided on CIF as tools to begin discussion of most appropriate services for customers.
- b. Based on the outcome of the initial assessment process customers are directed to the next service step needed to achieve their employment goals (as opposed to being routed by program/organizational affiliation).
  - i. Direct job ready customers to Recruitment and Placement Team
  - ii. Direct customers in need of job readiness assistance to Employment Skills Services
  - iii. Direct customers in need of career advisement assistance to Career Development Team
  - iv. Direct customers with self-identified barriers to employment to appropriate Partner services
- c. Staff records next step in Worksource1
- d. Staff fills out bottom half of Welcome form that indicates next service step

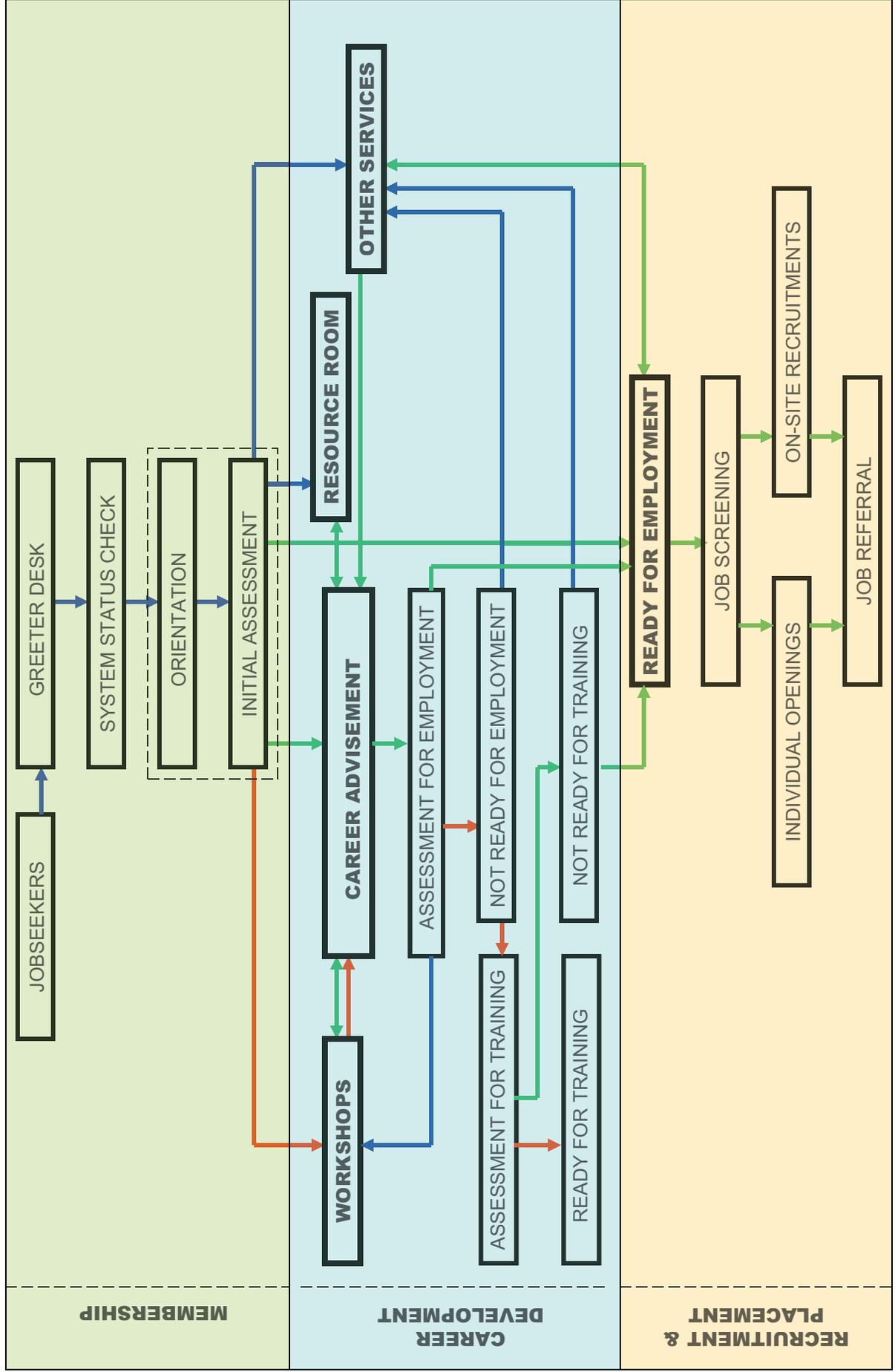
### **12. Customer receives swipe card and next steps to achieve employment goals**

### **13. Joint Leadership Teams implements corrective actions to ensure the integrity of DEV practices.**

[NYSWDS Technical Advisory 06-19](#) is the official record of the State's Program Eligibility and Data Element Validation Policy.

# SERVICE FLOW CHART

[\* Retention Services TBD]





# Customer Information Form

## SECTION A: BASIC INFORMATION

### 1. Individual Contact Information

Last Name

First Name

Middle Name

Social Security Number

Gender:

 Female Male

Date of Birth

 \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_  
 Month Day Year

Primary Street Address

Apt/Suite

DO NOT FILL OUT - For Office Use Only: Verification of Birth Date

 Driver's License Passport Federal, State or Local Government ID Card Birth Certificate Baptismal Record Hospital Record of Birth School Records / Identification Card Work Permit Public Assistance / Social Services Records Tribal Record DD-214: U.S. Military Report of Transfer or Discharge

City

State

Zip Code

Primary Phone #

( \_\_\_\_\_ ) \_\_\_\_\_ - \_\_\_\_\_

Alternate Phone #

( \_\_\_\_\_ ) \_\_\_\_\_ - \_\_\_\_\_

E-mail

Preferred Method of Contact:

 Primary Phone # Alternate Phone # E-mail Mail

## SECTION B: DEMOGRAPHIC INFORMATION

### 2. Education

2A. What is the highest level of education that you have completed?

 Less than High School

(No Diploma Received)

\_\_\_\_\_ Highest Grade Level Completed

 High School Diploma GED Some College/Vocational School

(No Degree completed)

\_\_\_\_\_ Years Completed

 Vocational Associate's Bachelor's Master's Doctoral

2B. Are you currently enrolled in school?

 Yes  No

If Yes, what level?

 High School/GED College/Vocational/Professional Degree

### 3. Voluntary Information: Please check all that apply:

Disability: Are you a person with a disability?

 Yes No

(Additional funding and/or services may be available)

Ethnicity:

 Hispanic / Latino-Latina Not Hispanic / Latino-Latina

Race:

 White Black or African American American Indian or Alaskan Native Asian Native Hawaiian or Pacific Islander

Responses are voluntary and will be kept confidential. Information is intended for use solely in connection with recordkeeping and equal opportunity purposes. You will not be penalized for refusal to answer.

### 4. Military Service

Are you a Service Veteran?

 Yes No

If Yes, please answer A through C:

 A. Dates of Active Service from \_\_\_\_\_ / \_\_\_\_\_ to \_\_\_\_\_ / \_\_\_\_\_  
 Month Year Month Year

B. Are you a Disabled Veteran?

 Yes No

C. Do you have Special Disabled Veteran status?

 Yes No

## SECTION C: EMPLOYMENT STATUS

5A. Employment Status – What is your current employment status?  Unemployed  Employed

 Employed, but received notice of termination / layoff (including military separation)

5B. Migrant Farm Worker – Are you a migrant / seasonal farm worker?

 Yes No

### 5C. Employment Circumstances

1. Have you been laid off or terminated and unable to find a job in the same industry or occupation?

 Yes No

2. Did you lose your job because the company or location closed?

 Yes No

3. Did the last company you owned or operated go out of business?

 Yes No

4. Are you looking for a job because a family member or former family member is no longer supporting you?

 Yes No

## SECTION D: WORK HISTORY

## 5D. Work History

Job Title / Occupation		Name of Employer		
Address		City	State	Zip Code
Job Start Date ____ / ____ / ____ Month Day Year		Job End Date ____ / ____ / ____ Month Day Year		
Wage / Salary \$ _____ per <input type="checkbox"/> Hour <input type="checkbox"/> Month <input type="checkbox"/> Week <input type="checkbox"/> Year		Hours Worked _____ per Week	Reason for Leaving <input type="checkbox"/> Resigned <input type="checkbox"/> Terminated <input type="checkbox"/> Laid-off <input type="checkbox"/> Seasonal <input type="checkbox"/> Temporary <input type="checkbox"/> Other	
Supervisor's Name		Telephone # ( _____ ) _____ - _____		
Job Duties				

## Additional Work History

Job Title / Occupation		Name of Employer		
Address		City	State	Zip Code
Job Start Date ____ / ____ / ____ Month Day Year		Job End Date ____ / ____ / ____ Month Day Year		
Wage / Salary \$ _____ per <input type="checkbox"/> Hour <input type="checkbox"/> Month <input type="checkbox"/> Week <input type="checkbox"/> Year		Hours Worked _____ per Week	Reason for Leaving <input type="checkbox"/> Resigned <input type="checkbox"/> Terminated <input type="checkbox"/> Laid-off <input type="checkbox"/> Seasonal <input type="checkbox"/> Temporary <input type="checkbox"/> Other	
Supervisor's Name		Telephone # ( _____ ) _____ - _____		
Job Duties				

## SECTION E: VERIFICATION OF INFORMATION

I certify that the information I have provided in this application is accurate and complete to the best of my knowledge. I understand that this information is subject to verification, and that false or deliberately incomplete answers may result in my disqualification from NYC Workforce1 Career Center and/or One-Stop Center services.

I also certify that I have received the Workforce Investment Act Notice of Rights and a Voter Registration form. I understand that registering to vote is voluntary and that I am not required to do so in order to obtain NYC Workforce1 Career Center and/or One-Stop Center services.

Customer's Signature \_\_\_\_\_ / \_\_\_\_ / \_\_\_\_  
Month Day Year

Please check box below to indicate your authorization to release your information.

Authorization to Release Information

I am currently enrolled in an employment and training program at a Workforce1 Career Center and/or One-Stop Center funded by the United States Department of Labor. I hereby authorize my employer to release to the New York City Department of Small Business Services and the New York State Department of Labor information and documentation concerning the position for which I am hired. Such information/documentation may include, but is not limited to: job title, hourly/weekly wages, job start date, job end date, and number of hours worked.

I understand that this information may be shared with other governmental agencies in the Workforce system for purposes of program management/administration. I also understand that this authorization is voluntary and no way affects the services or level of services I will receive.

All information on this form will be used only in accordance with the law and will be kept confidential according to the law. NYC Workforce1 Career Centers and/or One-Stop Centers are Equal Opportunity Employers / Programs. Auxiliary aids and services are available upon request to individuals with disabilities.



# Guide Card for Conducting Initial Assessment

## Instructions

Prior to meeting with a customer, review the hard copy of the CIF or pull up their profile in Worksource1 to review the following information:

### Employment Status

Check to see if the customer is currently employed and get a quick sense of their occupation and work history (length of employment, type of employment, etc.)

### Disability and/or Veteran Status

Check to see if the customer should be informed of additional resources available to assist them

While meeting with a customer, use the following questions to guide the Initial Assessment:

1. Customer Goal
  - a. How can I help you?
  - b. What kind of job or career are you looking for?
2. Resume
  - a. Do you have a resume?
  - b. Do you have it with you?
3. Skills
  - a. Please tell me briefly about your employment skills
4. Resource Room & Computer Classes
  - a. Do you understand how to access these resources?
5. Questions
  - a. Do you have any further questions about using the Center?

At end of the Initial Assessment, provide the customer with a paper copy of their Next Steps and record them in Worksource1



# Orientation Next Steps

You can use this section to take notes from the Orientation.

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**DO NOT FILL OUT: Staff Use ONLY**

Employment Skills

Appointment Date / Time:

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Contact Person / #:

---



---

Career Development

Appointment Date / Time:

---



---

Contact Person / #:

---



---

Recruitment Placement

Appointment Date / Time:

---



---

Contact Person / #:

---



---

Other Services

Appointment Date / Time:

---



---

Contact Person / #:

---



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Resource Room

Contact Person / #:

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Customer Name: \_\_\_\_\_

Completed By: \_\_\_\_\_ Date: \_\_\_\_\_

**CUSTOMER SERVICE REFERRAL CHART  
INITIAL ASSESSMENT**

<b>CRITERIA</b>	<b>REFER TO JOB READINESS SERVICES</b>	<b>REFER TO CAREER ADVISEMENT</b>	<b>REFER TO RECRUITMENT &amp; PLACEMENT</b>	<b>REFER TO SELF DIRECTED SERVICES</b>	<b>REFER TO OTHER SERVICES</b>
Employment Goal	Customer is clearly in need of internal job readiness services in order to meet or develop their employment goal	Customer lacks clear employment goal but does not appear to need basic employment skills services	Customer has clear employment goal and the relevant qualifications to fulfill that goal	Customer is not interested in staff assistance to fulfill his/her employment goal	Customer needs external services in order to meet or his/her employment goal
Work History	Customer is not currently working and has not been steadily employed within the past 6 months	Customer is currently working but looking to make a transition to a new field OR Customer is not currently working but has a consistent record of previous employment	Customer is currently working or has been steadily employed within the past six months OR Customer lacks work history but their employment goal does not require it and they are otherwise job ready	N/A	N/A
Resume	Customer lacks an up-to-date and well-prepared résumé	Customer's résumé could use some improvement	Customer has an up-to-date and well-prepared résumé	N/A	N/A
Availability & Preparedness	Customer is not ready to interview for jobs or start work immediately	Customer is ready to interview but not start work immediately	Customer is ready to interview for jobs and start work immediately	N/A	N/A
Customer Request	Customer expresses interest in job readiness Services	Customer requests to meet with a Career Advisor before utilizing other services	Customer is job ready and request immediate assistance from a Job Developer	Customer requests resource room services only	Customer requests referral to partner services

# Revised Policy Guidance for Language Access

## **BACKGROUND:**

Pursuant to Title VI (“Title VI”) of the Civil Rights Act of 1964 and Section 188 (“Section 188”) of the Workforce Investment Act, Workforce1 Career Centers must provide Limited English Proficient (LEP) customers with meaningful access to Career Center services. Meaningful access entails LEP individuals being made aware of all services and opportunities; and being able to utilize the ones that are appropriate to their needs.

LEP customers are persons who do not speak English as their primary language or who have a limited ability to read, write, speak, or understand English. According to the 2000 census, approximately 2,884,878 (47%) of New York City residents age 18 and older speak a language other than English at home. Of this group, 54% speak English “less than very well,” constituting 25% of New York City’s total population above the age of 18. For these LEP individuals, language can be a serious barrier to accessing important government services and obtaining vital information.

Federally assisted programs, such as those offered in Workforce1 Career Centers, are required to take reasonable steps to ensure meaningful access to their programs and activities by individuals who are limited English proficient (LEP). Failure to ensure that LEP individuals can effectively participate in these services may violate the prohibition under Title VI of the Civil Rights Act of 1964 and Section 188 of the Workforce Investment Act against discrimination on the basis of national origin, as well as applicable local laws governing access to local government services.

In May 2005, the Operator Consortium engaged the Leadership of the Workforce1 Career Centers in the first planning process to provide Language Access services to Limited English Proficient (LEP) individuals. The purpose of the planning process was to determine the reasonable accommodations needed to ensure meaningful access for LEP individuals.

In order to determine the reasonable accommodations that the Centers needed to implement, as well as to ensure compliance with Title VI of the Civil Rights Act and Section 188 of the Workforce Investment Act, the following four factors were considered and balanced to create the Language Access Plans:

- 1. The number or proportion** of LEP individuals served or encountered in the eligible service population, including groups that are currently underrepresented in Center use.
- 2. The frequency** LEP individuals use available services and the frequency with which Centers have contact with particular language groups.
- 3. The nature and importance** of the program, activity or service provided by Centers.
- 4. The resources available and cost** of providing language access accommodations.

With the implementation of functional alignment, the policy guidance has been revised to align with reengineered service delivery processes and staff structure. Effective July 1, 2007, the Center Leadership will be responsible to ensure the implementation of the guidelines for providing Language Access services at their respective Center location. This document reiterates the requirement that LEP individuals continue to have access to workforce services delivered through the City’s Workforce1 Career Center system and is based on USDOL policy guidance<sup>1</sup>.

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<sup>1</sup> USDOL offers compliance guidelines in its Policy Guidance to Federal Financial Assistance Recipients Regarding the Title VI Prohibition Against National Origin Discrimination Affecting Limited English Proficient Persons. The purpose of the USDOL guidance is to assist recipients of federal funding in fulfilling their responsibilities to LEP individuals under existing laws.

The Center Leadership will designate an appropriate staffer to be the Language Access Coordinator for the Center. The Language Access Coordinator will be responsible for:

- Ensuring that LEP individuals are able to access available Center services.
- Collaborating with the Vendor Partner Coordinator and Outreach Teams on the identification of community resources for additional language access services; and to establish partner relationships with community based organizations that serve LEP individuals.
- Overseeing the compilation and dissemination of a Directory of Multilingual Staff, which includes the languages spoken by the staffer, his/her job title, and contact information. As well as ensure that the Directory is regularly updated.
- Providing electronic copies of the Center's Directory of Multilingual Staff and updates to the Operator Consortium to include in the Staff Procedural Manual that is posted on the WFNY system; as well as to post the Center's Directory of Multilingual Staff and updates on Worksource1.
- Coordinating implementation of required staff training with Center Leadership and the Operator Consortium.
- Collecting and reviewing weekly Language Access Log reports.
- Preparing monthly reports Language Access Service Reports for Center Leadership.
- Preparing Quarterly reports on: 1) language access services that are most requested and/or needed by LEP customers; and 2) aggregate demographic data on LEP customers (both served at the center and referred out for services) which includes: number of LEP customers served and referred, languages spoken, ages, gender, ethnicity (if known), education, occupational skills level: entry, mid-level, professional or unskilled, and occupational titles. These Quarterly reports will be submitted to the Operator Consortium.

### **SERVING LEP INDIVIDUALS AT WORKFORCE1 CAREER CENTERS**

Two primary methods of providing language access are oral interpretation of services and written translation of documents. Oral interpretation can range from having onsite multilingual staff at various points of contact for commonly spoken languages to utilizing telephone interpretation services to cover more rare languages. ESOL courses also serve as an important adjunct to language access.

Because literacy levels may vary, some LEP individuals may still need oral interpretation of translated written materials on accessing and utilizing Center services.

### **LANGUAGES TO BE COVERED BY EACH CENTER**

The following table reflects the largest LEP groups and the languages that they speak (in descending order) in each borough.<sup>2</sup> Interpretation and translation services should target these languages. The most commonly spoken language will require the most language access services; the second-most commonly spoken language will require fewer services, etc. However, provisions must also be made to serve customers that speak less frequently encountered languages, which can include utilizing telephone interpretation services and volunteer interpreters from community-based organizations.

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<sup>2</sup> Based on tabulation of borough residents age 18 and over who speak a language other than English at home and speak English "less than very well," LEP languages groups that constitute 20,000 persons or 3% (whichever is less) of all borough residents 18 and over. 2000 Census 5% public use micro data file, created by NYC Department of City Planning, Population Division.

**Most Commonly Spoken Languages Other than English**

<b>1 Bronx</b>	<b>2 Brooklyn</b>	<b>3 Manhattan</b>	<b>4 Queens</b>	<b>5 Staten Island</b>
1.Spanish	1. Spanish 2. Russian 3. Chinese 4. French, Haitian Creole	1. Spanish 2. Chinese	1.Spanish 2.Chinese 3. Korean 4. Russian	1. Spanish

**ORAL INTERPRETATION SERVICES**

Regardless of the manner in which oral interpretation services are provided, they must be provided in a timely manner so that it does not cause the denial or undue delay of time sensitive services to LEP individuals such as TAA and reemployment services.

Multilingual staff provides the foundation and the range of assistance for language access. Therefore, Centers should make concerted efforts to hire multilingual staff according to the languages that they need to cover.

Multilingual staff should be more concentrated at the Center’s initial points of contact covering the functions of greeters, orientation leaders, and workshop facilitators; as well as for more intensive services provided by career advisers and account managers.

Telephone interpreter services can be used to supplement language assistance services onsite, particularly in providing assistance to LEP individuals who speak less commonly encountered languages.

Centers should make formal arrangements with volunteers and community-based organizations to provide interpretation services, which may be especially useful to communicate with LEP individuals who speak languages that are less frequently encountered.

**STAFF TRAINING**

Considering the frequent contact that staff has with LEP individuals and the large numbers of LEP populations in New York City, the need for in-depth staff training on language access is particularly relevant and important. Training will help ensure that staff systematically meets the language needs of LEP individuals. The Operator Consortium will coordinate with the Center Leadership Team the scheduling of the following training topics or other related topics.

- Legal Requirement to Provide Language Access;
- Proper Service Procedures (e.g. how to use “I Speak” cards and telephone interpretation services); and
- Cultural Sensitivity Training.

**CUSTOMER FLOW**

**1. Number of LEP Customers and the Languages that They Speak**

- Accurately tracking LEP individuals will help Centers to determine whether or not they are successfully reaching eligible LEP populations. The results of such tracking will identify which groups Centers may need to target for outreach efforts.

- Centers should maintain a simple daily tracking log that uses “stroke count” (in addition to customer records) to record the primary language spoken by each LEP individual seeking services; and use “I Speak” cards to identify languages for which they are not familiar. The daily tracking log will be maintained by greeter staff, and submitted weekly to the Language Access Coordinator. (*See attached template for maintaining a daily stroke count of languages spoken.*)

## **2. Outreach to LEP Customers/Providing Notice of Language Access Services**

- If the demographics of Center customers are not reflective of the general local population, outreach to LEP individuals should be considered to ensure that they are provided with equal access to services. Outreach efforts should be more targeted at the most commonly spoken language groups or underrepresented groups.
- Outreach materials should be translated into appropriate languages and describe the available language access services. Be sure to communicate the need for translation of materials to the Operator Consortium.
- Language Access Coordinators in conjunction with the Vendor Partner Coordinators and Outreach Teams will work with community-based organizations and other stakeholders to inform LEP individuals of Center services, including the availability of language assistance as appropriate.
- Signs (provided through the Operator Consortium) should be posted in reception and waiting areas (in appropriate languages) that inform customers about language assistance services and instruct them how to access the services. This will encourage LEP individuals to identify themselves earlier in the service delivery process.

## **3. Manner in which Language Needs are Identified**

Identifying LEP individuals is necessary to ensure that they are linked to available language assistance and given information about how to participate in general Center activities. Due to the sensitive nature of language barriers, many LEP individuals may be hesitant to request assistance. Therefore, Centers should utilize the following methods to identify LEP individuals and encourage them to self identify.

- “I Speak” cards present a list of languages that individuals can choose from to identify their native languages. These cards should be used at the reception desk and possibly posted in the reception/waiting area. Greeters can use this tool to identify languages that they are not familiar with and contact appropriate staff for assistance.
- Centers should advertise multilingual activities (e.g. Spanish orientations) at the greeter’s desk. This would encourage LEP individuals to identify themselves and request language assistance services.
- Primary languages of LEP individuals should be recorded in their customer records (case notes) so that they can be consistently identified to receive language assistance.

## **4. Center Orientation**

- Orientation sessions should be offered in languages other than English if possible.
- Standard Power Point presentations should be presented in relevant languages.
- Orientation sessions should include information about the Center’s language assistance services, including the range of services and how to access them.

## **5. Intake / Registration**

- At least one member of the Membership Team or intake staff should be bilingual if possible.

## **6. Workshops**

- Centers should offer workshops in multiple languages to the extent that it is possible.

## **7. ESOL Classes**

- Many LEP individuals struggle with language barriers and want to improve their English. Centers should provide information on the availability of ESOL classes offered by other providers and refer LEP individuals to these community providers as appropriate.
- Centers should also advertise the existence of their ESOL classes during orientation and the criteria for enrolling in WF1/ CUNY Literacy Programs.

## **COMMUNITY REFERRAL SERVICES**

- Centers should partner with community-based organizations for referring LEP individuals to employment-related workshops that are presented in other languages and to leverage additional staffing resources and input in curriculum development for workshop services.
- Centers should identify community training providers who offer job training in languages other than English.
- Refer LEP individuals to CBOs to access training services as appropriate.
- Centers should maintain a list of employers who employ LEP individuals.

## ***Program Eligibility and Data Element Validation***

Effective April 1, 2007, in order to make local Workforce Development policies consistent and compliant with state and federal policies, changes were made to the processes in which Program Eligibility and Data Element Validation (DEV) are determined and recorded.

These changes also present an excellent opportunity to improve customer service and reduce administrative burden on Workforce1 Career Center staff. All changes will be supported through enhanced functionality of the Worksource1 system.

For purposes of clarity and ease of use, guidance on determining eligibility and capturing data element validation is divided into three sections: (1) Date of Birth; (2) Selective Service Registration; (3) Dislocated Worker Status:

### **1. Date of Birth (DOB)\***

Customers who are not automatically certified as being UI claimants by the completion of the Customer Information Form may be asked to verify their DOB. Additionally, customers who are not UI claimants AND are unable to verify their DOB at the point of Eligibility Determination will NOT be turned away or refused any level of service. They will simply be asked to show an appropriate ID the next time they come to a Center and their DOB Verification source will be marked “Self Identification” until the ID is presented.

We recognize that a small number of customers will never bring back their ID, but this will only have a minor impact on Data Element Validation efforts. The focus will be on making a significant effort to capture this information without causing any barriers to accessing service for customers.

Acceptable verification sources for DOB include:

- |  |  |
|--|--|
| (1) Driver’s License                       | (7) School Records/ID                                      |
| (2) Passport                               | (8) Work Permit  |
| (3) Federal, State, or Local Government ID | (9) Public Assistance/Social Service Records               |
| (4) Birth Certificate                      | (10) Tribal Record   |
| (5) Baptismal Record                       | (11) DD-214; U.S. Military Report of Transfer or Discharge |
| (6) Hospital Record of Birth               |  |

There are two process options for verifying customer’s DOB:

1. As customers hand their completed CIF, staff responsible for data entry can indicate whatever document is shown.
2. Staff responsible for Eligibility Determination can ask for DOB verification as needed.

**\*Note** – If “Verify DOB” does not appear in Eligibility Profile in Worksource1, this means that DOB has already been captured either in OSOS or Worksource1 and there is no need to ask the customer for documentation.

## **2. Selective Service Registration**

Selective Service Registration will be checked automatically when the *Jobseeker Lookup* function is performed. If the customer is already registered or not required to register, Selective Service Information will not be displayed, thusly there is no need for verification.

For Males age 18-25, Selective Service Registration must be captured in order for them to be eligible under WIA. If the customer is not registered or cannot prove registration, they must be referred to Selective Service for registration. However, no official documentation of this referral is required. The customer will be served under Wagner-Peyser until proof of Selective Service registration is provided.

For Males age 26 and older and born after December 31, 1959, Selective Service Registration does NOT need to be captured in order to make them WIA eligible. However, unregistered customers who cannot provide proof of registration must be referred to Selective Service for registration and must attest that their failure to register was neither willful nor deliberate. For these customers, staff will simply click an attestation checkbox within the Selective Service area of Eligibility Section in Worksource1 and the system will automatically create a case note referencing the referral and the attestation.

In summary, the staff person conducting Eligibility Determination will either see (1) no message regarding Selective Service, or (2) “Verify Selective Service Status”, or (3) Verify Selective Service Status or Attestation.”

## **3. Dislocated Worker (DW) Status**

The new policy and process for identifying and verifying Dislocated Workers is in the required level of verification. For some customers it will be based on their UI status. For customers who are not New York State UI claimants, in the new version of the Customer Information Form, four questions have been added to help identify whether they qualify as DW’s.

During Eligibility Determination the answers to these questions in combination with results from the *Jobseeker Lookup* will instruct staff on what to verify or check with each customer. Customers who are Active UI Claimants or UI Exhaustees will have some or all fields pre-populated whereas non UI claimants will need to verify all criteria displayed.

The “Re-Employment Opportunity Assessment Form” has been eliminated. Instead, staff will verbally verify unlikelihood to return to previous industry or occupation only with customers who as a result of *Jobseeker Lookup* and CIF input appear likely to be Category 1 Dislocated Worker.

For each criterion that needs to be verified, the verification source drop down menu has been significantly streamlined. In most cases, staff will simply select “Documentation from Employer” or “Customer Attestation,” and a case note will be recorded automatically.

However, if the staff member conducting Eligibility Determination has reason to believe that the system has failed to correctly profile a customer as a likely DW, there is the option of displaying all DW Eligibility categories in Worksource1 and completing the appropriate section.

## **Procedural Guidance**

1. Centers need to adjust their processes so that the new CIF is entered prior to customer interaction with staff responsible for conducting Eligibility Determination.

2. Centers need to ensure that appropriate technology is in place for Eligibility Determination to be conducted via Worksource1 in real time.
3. Joint Leadership Teams should implement corrective actions to ensure the integrity of DEV practices.

[NYSDOL Technical Advisory 06-19](#) is the official record of the State's Program Eligibility and Data Element Validation Policy.

## 6. Staff-Assisted Services

- a. Resource Room
  - Train resource room staff to conduct “roaming assessment” to ensure customers are job searching effectively
  - Roaming assessment will redirect customers who required more intensive staff counseling and engagement
- b. Workshops
  - Implement standardize workshop guidelines for resume, interview and job search workshops
  - Curricula will be available for content of workshops
  - Share best practices
- c. Job Search Planning
  - Career Development appointments will be scheduled to minimize wait time
  - All Staff will be trained in case conference model for training grants

## 7. Recruitment & Placement

- a. Recruitment and Screening
  - Coordination of recruitment event calendar
  - Planning and coordinating recruitment events (job fairs, on site recruitments)
  - Share best practices on screening tools and assessment processes
- b. Account Management
  - Participate in Account Management Team (AMT) structure for relevant employers
  - Participate in Center planning efforts for job fulfillment
- c. Job Placement
  - Collaborate on activities for placement of all customers
  - Coordinate recruitment and matching for job order fulfillments

### **LARGE SCALE RECRUITMENT**

The following guidelines pertain only to large scale recruitment events held on-site at a Center. The goal is to register as many event participants as possible into WIA and/or Wagner-Peyser programs without restricting access to services or impeding customer flow.

### **PROCEDURAL GUIDANCE**

For all current Center customers (either WIA or Wagner-Peyser) who wish to participate in the recruitment event:

1. Customer name must be listed on a Referral List to be submitted to the appropriate staff member coordinating the event.
2. Customer will receive a Referral Ticket to gain entry into the event.
3. Any customer who has not been through the WIA intake process will be asked to provide ONLY their Name, SSN, Signature, and Authorization to Release Information on the Joint Recruitment Customer Information Form.

For all customers who have not previously accessed any Center services (WIA or Wagner-Peyser) prior to the event:

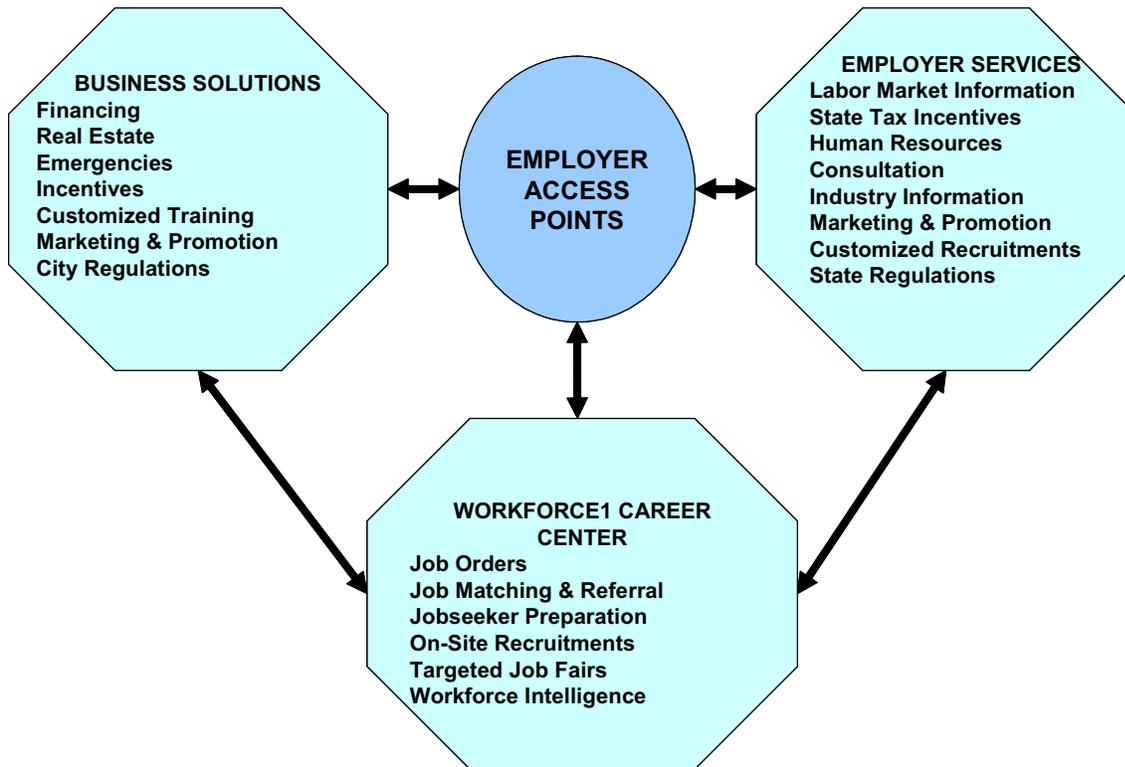
1. Customer will be asked to fill out the Joint Recruitment Customer Information Form.
2. Customer will be asked to show verification of their DOB upon submission of their CIF to the appropriate staff member (who will notate the DOB verification source on the form)
3. Customer information will be entered into Worksource1 after entry to the event.

## 8. Business Services

Business Services can be accessed by employers at various points of entry including:

- Business Solutions Centers for business assistance services.
- Workforce1 Career Centers for hiring and training services
- Employer Services offered centrally through DOL and SBS staff

### Business Services Overview



## **9. Staff Training**

Technical assistance is available to Joint Leadership Teams and line staff through the Workforce Professionals Training Institute (WPTI). WPTI will provide assistance in a variety of topics ranging from team building, change management and issues related to enhancing work quality.

The Operator Consortium will also provide training on all new reengineered processes for serving customers in a functionally aligned system. For more information, please contact the Operator Consortium.

## **10. Managing Performance Measures**

All customers of Workforce1 Career Center system are in one performance pool.

Performance measures established for City, State and Federally funded programs will be met and managed in accordance with applicable policies and procedures promulgated by oversight entities and agencies. Performance measures include:

- a. Strategic Objectives
- b. Program Outcomes
- c. Common Measures

## Common Measures Specifics

### 1. Performance Measures for PY 2005 and PY 2006

The following table provides an overview of the performance measures for the W-P, WIA, TAA and VETS programs for PY 2005 and PY 2006.

#### Overview of Performance Measures for W-P, WIA, TAA & VETS

<b>Performance Measures</b>	<b>Program</b>
<b>Adult and Dislocated Worker Measures</b>	
Entered Employment	Common Measure W-P / WIA / TAA & VETS
Employment Retention	Common Measure W-P / WIA / TAA & VETS
Earnings	Common Measure W-P / WIA / TAA & VETS
Employment & Credential	WIA Core Measure WIA Only

## **2. Earnings Measures – Adult and Dislocated Worker**

Effective PY 2006 (beginning July 1, 2006), the methodology for calculating the Adult and Dislocated Worker (DW) Earnings measure is changed to an average earnings achieved over the two quarters (6-months period) following program participation. (Note that the Older Youth Earnings Change measure is unchanged.)

### **Implementation Guidelines**

USDOL/ETA has informed states that a TEGl will be issued regarding negotiating performance standards for the new average earnings measure for the WIA Adult and DW programs for PY 2006. Guidance and instructions to Local Boards on local area negotiations will be issued once the State has concluded negotiating average earnings standards with USDOL. The State will also investigate the feasibility of pursuing regional negotiations which may permit program design flexibility at the sub-regional level, as well as better account for differences in regional economies.

## **3. Credential Performance Measures to be based on definition of Certificate – Adult, Dislocated Worker and Older Youth.**

TEGL No. 17-05 redefines acceptable credentials under the WIA Adult, DW & Older Youth measures to align with the more stringent definition of certificate. The new “certificate” outcome is applicable to WIA Adult, DW and Older Youth participants who begin receiving training services on or after July 1, 2006 (TEGL No. 17-05, Attachment D, p.12 and p.18). Adult, DW and Older Youth participants who received training services prior to July 1, 2006 are covered under the current PY’05 “credential” definition.

Local area policy must modify program design to achieve the new, more stringent certificate outcomes for participants who receive training services. State policy will exclude successful completion of an OJT and customized training from the Adult and DW credential performance measure.

### **Implementation Guidelines**

1. Local Boards should identify the “demand certificates” desired by businesses in the local area, and identify the training providers who offer qualifying training to acquire the certificates.
2. Local Boards should align service delivery with attainment of demand certificates.
3. Per TEGl No. 17-05, work readiness certificates/credentials; credentials awarded by Local Boards; a driver’s license; and CPR training are no longer considered positive outcomes under the WIA credential/certificate measure. USDOL/ETA’s intent in excluding work readiness certificates/credentials is to focus on attainment of measurable technical or occupational skills to gain employment or advance within an occupation, rather than on attainment of work readiness skills (TEGL No. 17-05, p.12; and Attachment B: Definitions of Key Terms, p.1). USDOL/ETA recognizes that work readiness skills are a valued skill set that will lead to successful employment and retention, and thus encourages programs to continue to provide work readiness skills services.

Adult Common Measures	PY 2 - 5	PY 2 (per TEGL 1 - 5)
Entered Employment	WP / VETS- Yes - No Standard WIA/TAA - Yes - / Standard	WP / VETS - Yes - / Standard WIA/TAA - Yes - / Standard
Positive Outcome	Employed in 1st qtr. after exit	No Change
Participants Included in the Measure	Adult -- Unemployed at registration	No Change
	DW -- All Dislocated Workers	
Employment Retention	WP / VETS- Yes - No Standard WIA/TAA - Yes - / Standard	WP / VETS - Yes - / Standard WIA/TAA - Yes - / Standard
Positive Outcome	Number employed in both the 2nd and 3rd qtrs. after exit.	No Change
Participants Included in the Measure	Employed in 1st qtr. after exit	No Change
Earnings	Earnings Gain	Average Earnings
	WP / VETS- Yes - No Standard WIA - Yes - / Standard	WP / VETS - Yes - / Standard WIA - Yes - / Standard
Positive Outcome	Earnings in 2nd & 3rd qtrs. after exit <u>MINUS</u> Earnings in 2nd and 3rd qtrs. prior to registration.	Earnings in 2nd and 3rd qtrs. after exit.
Participants Included in the Measure	Number employed in 1st qtr. after exit.	Number employed in the 1st, 2nd and 3rd qtrs. after exit.
WIA Adult Core Measure	PY 2 - 5	PY 2 (per TEGL 1 - 5)
Employment Credential	WP / VETS - No - Std N/A WIA - Yes - / Standard	WP / VETS - No - Std N/A WIA - Yes - / Standard
Positive Outcome	Received "Credential" by end of 3rd qtr. after exit AND employed in 1st qtr. after exit.	For those receiving training services after 7/1/06 -- Received "Certificate" (per 17-05) by end of 3rd qtr. after exit AND employed in 1st qtr. after exit.
Participants Included in the Measure	Received training.	No Change
VETS Measures -- The VETS program also has additional program specific measures focusing on the specific services provided by staff (DVOPs / LVERs) to particular subsets of the veteran populations that they serve		

# **Attachment - 6**

- 1.) June 2007 Workforce1 Career Centers Monitoring Guide



New York City Department of Small Business Services  
[www.nyc.gov/sbs](http://www.nyc.gov/sbs)

# Workforce1 Career Centers Monitoring Guide



Issued June 2007

## **Workforce1 Career Centers Program Monitoring Guide**

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# Workforce1 Career Centers Program Monitoring Guide

## I. Monitoring Procedures

### **General Monitoring Procedures:**

Review items are presented in two primary formats: items with check boxes requiring a "yes," "no," or N/A (not applicable) response; and items requiring the entry of a numerical or narrative response. Each review section has a space provided for comments. **The Program Manager must provide an explanatory comment for any yes/no item answered with a "no."** Other comments are left to the Program Manager's discretion except staff vacancies that are not filled within 30 days. A corrective action plan is required in such cases. If the Program Manager determines a review item is not applicable; the N/A box must be checked.

### **Site Monitoring Preparation Prior to Visit:**

1. Review the Workforce1 Career Center policies and procedures in the Worksource1 Library. These policies are accessed in Worksource1 as follows: From the main page, click the Library tab, then Policy and Procedure for WF1CC, then Common Intake Process, then Common Intake Process - Policy.
2. Centers are notified of site visit dates and scope of the monitoring review through the quarterly calendar in Worksource1. To schedule a monitoring visit, notify the SBS Executive Director of the date, time, scope of review, etc. The SBS Executive Director transmits the scheduled appointment to Worksource1, for entry on the quarterly calendar. No further notification, such as telephone or letter, is indicated.
3. The sample of customers for the site observation, desk audit and individual training grant (ITG) folder reviews is selected prior to the visit by the Worksource1 support staff, at the request of the Executive Director.

### **Monitoring Frequency:**

Monitoring Instrument	Frequency
Entrance/Exit Conference	Every Quarter
WF1CC Review of Common Intake, Program Eligibility, Initial Assessment, Data Entry and Data Element Validation (DEV)	Every Quarter
Staffing Review	Every Quarter
Site Observation of Intake, Program Eligibility Determination, Data Entry and Data Validation Processes	Every Quarter
Desk Audit of Services, Assessment and Data Entry	Every Quarter
Folder Review of Training (until documents added to Worksource1)	Every Quarter
Narrative Report on Common Intake, Program Eligibility, Initial Assessment, Data Entry and Data Element Validation (DEV)	Every Quarter
Updated Narrative Report on Any Review where Corrective Action is Mandated	After Corrective Action is Completed and Verified

### **Organization of Quarterly Monitoring:**

Before monitoring occurs, the sample size must be computed for the intake site observation (Part 2), and actual customers selected for the desk audit (Part 3) and ITG folder review (Part 4). The sample size, or number of customers to be reviewed, is the same for both the site observation and the desk audit, as follows:

- ❖ Part 2, site observation of customers registered on the day of the visit.
- ❖ Part 3, desk audit of customers registered in the quarter preceding the review quarter.

The number of customers to be reviewed is the same for both reviews, but the actual customers reviewed are not the same. The customers in the site observation are whoever happens to attend orientation and be registered on that date. The sample for the desk audit consists of customers who have had services for at least one quarter, so their names are selected randomly from the roster of customers registered in the quarter preceding the review.

When the customers in the named sample (Part 3) are identified, but before the site visit, the monitor must identify all individual training grant customers in the sample, because training services require additional questions on the desk audit checklist plus folder review onsite. The desk audit checklist may be completed before or after site visits, but the ITG customers must be known and it is helpful to have reviewed some or all of the Center's records as preparation for onsite observation of the Center's procedures.

At the site, the Program Manager interviews staff for the first part of the review and observes actual intake for the number of new customers in the sample. Also at the site, the Program Manager reviews the folders of the ITG customers in the desk audit sample to assure that the documentation is in order. The desk audit (Part 3) and narrative report preparation are done at the Department of Small Business Services.

### **Entrance and Exit Conferences:**

The monitoring package has several parts that may necessitate multiple visits and access to different Center staff, services and ITG customers, so these requirements must be explained clearly throughout the process. Formal entrance and exit conferences are held at the beginning and end of the quarterly monitoring process, not necessarily every time the Center is visited. Program Manager may meet informally with Center supervisory staff at the beginning and end of each visit as needed. The formal entrance conference, held before the quarterly monitoring begins, establishes the scope of the review and addresses questions and issues voiced by Center staff. The formal exit conference takes place after all parts of the review are finished and the report has been written. The formal exit conference shares the findings and recommendations of all parts of the quarterly review, addresses the questions and concerns of the Center staff, and identifies needed corrective actions, time frames and next steps of implementation.

### **Narrative Summary Report:**

As the monitoring is completed, notify the Center Manager of the monitoring findings, especially any findings that require corrective action. The narrative report is the summary of the findings for all five parts. The report has a structured template or form, included in the monitoring instrument package. Following the template, the narrative report should concisely yet clearly describe the monitoring findings and recommendations, as well as corrective action requirements and corrective action plan due date. Next, review the plan submitted by the Center and approve or provide feedback as necessary to develop an effective plan. When corrective action is complete, update the narrative report to show the outcome of the action taken.

## **II. Program Monitoring of Workforce1 Career Centers**

### ***Review of Common Intake, Program Eligibility, Initial Assessment, Data Entry and Data Element Validation***

**Frequency of Review:**                      **Every Quarter**

**Objectives:**

To ensure that:

- ❖ Management, supervision, staffing and staff training practices are consistent with established policies and procedures;
- ❖ The Center's intake, eligibility and data validation practices are consistent with established policies and procedures;
- ❖ Worksource1 participant data are accurately recorded in Worksource1.

**Pre-Site Visit Review Materials:**

- ❖ Workforce1 Policies for common intake, electronic recordkeeping, program eligibility and data element validation, and other background material as needed, are available in the Worksource1 Library. These policies are accessed from the main page in Worksource1 as follows: Library tab, then Policy and Procedure for WF1CC, then Common Intake Process, then Common Intake Process - Policy.
- ❖ Prior monitoring reports and work papers for Workforce1 Center reviews,
- ❖ Review the staff interview items (Parts 1 and 5 of the monitoring package), the site observation and folder review checklist items (Parts 2 and 4) and the desk audit checklist items (Part 3).

**Site Visit General Procedures:**

1. Prior to the desk audit or site visit, obtain a sample of customers to review for the quarter.
2. Before the site visit (or between visits), complete a separate "Part 3, Desk Audit of Services and Data Entry" for each customer in the sample selected.
3. At the site visit, conduct an entrance conference, and note subjects discussed on the Entrance/ Exit Conference form.
4. Interview Center staff as indicated to complete Part 1 of the monitoring instrument "Review of Common Intake, Program Eligibility, Initial Assessment, Data Entry and Data Element Validation" and Part 5, "Onsite Review of Center Staffing."
5. For each new customer in the site-observation sample, complete a line on the "Part 2, Site Observation of Intake, Program Eligibility Determination, Initial Assessment, Data Entry and Data Validation Processes." It may be necessary to make multiple visits to observe intake and complete the checklist for the required sample number of new customers.
6. At the conclusion of the site visit, advise the Center Manager of any issues that require corrective action/concerns that need immediate attention. Note the issues/dates of these discussions on the Entrance/ Exit Conference form.
7. When all monitoring is complete, conduct a formal exit conference with the Center management Team.
8. Prepare the narrative report that summarizes the monitoring findings on the narrative template in the monitoring instrument package. Detail all strengths and weaknesses found. Note what corrective action needs to be taken by the Center along with the timetable for corrective action to be developed and implemented.
9. Follow up on any weaknesses within 90 days of the issuance of the report.

- Document the results of follow up and the status of the Center’s corrective action, using the narrative template in the monitoring instrument package.

**Part 1. Management, Staff Training and Key Implementation Elements**

**Instructions for Completing Instrument:**

The first part of the common intake monitoring instrument is in interview, or question-and-answer format. The Program Manager identifies the appropriate person to answer the questions in each section, asks that person (or persons), and records the answer. The following table shows the questions on the monitoring instrument, the source the Program Manager needs to identify and consult, and other instructions needed to obtain the information requested.

Item on Monitoring Form		Data/Process Needed to Complete
<b>A. Management</b>		
1	Have Center’s management and supervision changed since last review?	Interview with senior management representative: Yes or No question. (Not applicable for initial review). Titles to verify are: Vendor Center Manager, Deputy Manager, and Strategic Operations Coordinator.
2	Does the new senior management have copies of the Operator Consortium (OC) Policies for Common Intake, Electronic Record Keeping, Program Eligibility and Data Element Validation?	The senior management representative must show copies to the SBS Program Manager. The policy documents are available in Worksource1. Follow the Library tab through the table of contents, Policy and Procedure for WF1CC, then Common Intake Process, then Common Intake Process – Policy.
3	What actions has senior management taken (or not taken) to ensure the ongoing quality and timeliness of common intake, eligibility determination, data entry and data validation?	Ask the senior management representative to describe actions taken to put in place the staffing, technology, worksite, process and recordkeeping for the new common intake procedures. Then after reviewing the Center’s implementation of these systems, note if the actions described are fully in place.
4	Have all Membership Team staff completed OSOS confidentiality agreements?	Ask supervisor how OSOS confidentiality agreements are executed and maintained; check that agreements are in place for all users.
<b>B. Staff Training</b>		
5	Are any new staff assigned to the Membership team since the last review? Identify all staff assigned to the Membership team.	Interview a senior management representative for this section. Q4 is Yes or No question; also, obtain names of Membership team members - <b>all staff who perform the intake, eligibility determination, initial assessment, data entry &amp; data validation functions.</b> (The staff to be trained in these procedures, plus information needed to monitor Section C, Implementation, below). Indicate name(s) and title(s) of person(s) interviewed.
6	How does senior management ensure that Membership team staff members are qualified and have the capacity to perform the intake, eligibility determination, initial assessment, data entry & data validation functions?	Ask the senior management representative to describe hiring procedures, qualifications of staff, staff training and staff development practices, plus the standard of evaluation used and the method(s) of evaluating staff performance.
7	Who trains the Membership team staff in eligibility determination and data element validation?	Obtain name(s) and title(s) of person(s) responsible for training staff in eligibility determination.
8	How often is this training conducted?	Obtain training schedule, agendas and attendance rosters.

<b>Item on Monitoring Form</b>		<b>Data/Process Needed to Complete</b>
<b>B. Staff Training, continued</b>		
9	Who trains the Membership team staff to conduct appropriate initial assessments?	Obtain name(s) and title(s) of person(s) responsible for training staff in intake and assessment.
10	How often is this training conducted?	Obtain training schedule, agendas and attendance rosters.
11	Who trains staff in data entry and data validation standards and procedures?	Indicate name(s) and title(s) for person(s) responsible for training data entry and data validation staff.
12	How often is this training conducted?	Obtain training schedule, agendas and attendance rosters.
13	What was the form and subject of the Center's most recent training session?	Obtain training outline, agenda, and/or attendance roster if available. Indicate date of training session reported by staff if dated document is not available.
14	Date of most recent staff training session	
<b>C. Supervision/Implementation</b>		
15	Has senior management changed the supervisory staffing or procedures in intake, eligibility determination, assessment, data entry or DEV since the last review?	Ask senior management representative this question. Yes or No question. Not applicable for first review.
16	Who supervises the Center's Membership team intake, assessment, eligibility determination, data entry and data quality control processes?	Before beginning this section, obtain names and titles of supervisor(s) of intake, assessment, eligibility determination and data entry from senior management representative. Ask for introduction, and complete this section by interviewing the unit supervisor(s).
17	How does/do the supervisor(s) monitor the quality of the data entered into Worksource1?	Ask the supervisor to describe this process, indicate how data is sampled, how much data is validated – for DEV items and non-DEV items.
18	How does/do the supervisor(s) monitor the timeliness of data entry, eligibility determination, assessment and data element validation?	Ask the supervisor how customer flow is recorded/ measured, by, for example, logs, sign-in sheets. Examine these documents to see if the information is sufficient to determine accurate timeframes. If there is no accurate tracking system, ask supervisor how they determine if timeframes are adequate.
19	Is the Membership team staffing able to enter all Customer Information Forms (CIF's) into Worksource1 during the orientation session?	Observe CIF data flow on the day of the visit, to see if data entry staffing is adequate. Additionally, ask supervisor how data entry staffing is deployed on typical days, and on high-demand days.
20	Are back-up staff members designated to cover absences on the Membership team?	Observe the customer intake flow on the day of the visit, from CIF through orientation, eligibility determination, to see if staffing is adequate for that day's intake. Additionally, ask supervisor how intake staffing is deployed on typical days, and on high-demand days.
<b>WORKSOURCE1/OSOS/SWIPE CARD</b>		
21	Are workstations with Worksource1 available in the areas where eligibility determination and initial assessment are conducted?	Observe number of workstations in the area where eligibility is done, and note if data entry resources are adequate for the service flow. Note also if data entry is done at other location(s), or if other stopgap measures are used.
22	Do all data entry staff have the appropriate logins?	Check if logins are sufficient and appropriate. If not, note shortage or other deficiency.
23	Are all new customers issued swipe cards promptly?	Ask supervisor how and when swipe cards are issued; ask new customers onsite to show cards.

Item on Monitoring Form		Data/Process Needed to Complete
<b>C. Supervision/Implementation, continued</b>		
<b>WORKSPACE</b>		
24	Is the data entry workspace clearly designated, secure, shredder-equipped?	Observe data-entry workspace while data is being entered (during orientation). Check that it is secure and clearly designated. Note availability of shredders, and check that operators destroy CIF's after data entry is completed.
25	Is the space for eligibility determination and initial assessment clearly-designated, secure, and private enough for the customer to be comfortable and receive undivided attention?	Observe workspace while eligibility determination and initial assessment are underway (individual customer interviews). Check that it is secure and clearly designated, with enough privacy that customer can be comfortable and receive undivided attention.
<b>PROCESS FLOW</b>		
26	Is process of distributing and collecting CIF's prior to orientation orderly and efficient?	Observe distribution and collection of CIF's before orientation, and note if the process is or is not orderly and efficient.
27	Are individual customer interviews for eligibility determination and initial assessment conducted in an orderly, effective manner?	Observe how customers are selected for eligibility determination and ask the supervisor what method is used for selection. Determine if the process is fair, and if the supervisor's description is consistently practiced on the day of the visit.
<b>DATA ENTRY/DATA VALIDATION</b>		
28	Are the Customer Information Forms (CIF's) shredded upon entry of data into Worksource1?	Observe how CIF's are handled after data entry, and look around the workspace for stacks or bundles of completed CIF's. If the center does not shred them, inquire as to the reason and note it.
29	Are the next steps resulting from the initial assessment entered in Worksource1 with clear, consistent and useful notations in the Individual Employment Plan (IEP)?	<b>BEFORE VISIT</b> , review some Worksource1 service entries for customers active in the quarter before the visit. Determine if the entries are clear, consistent and useful, and note the reasons for your judgment. <b>ONSITE</b> , observe data entered at intake, and share findings from both reviews with Center management representative(s). Ask how Workforce1 procedures for entering services after registration are communicated to staff.

**Instructions for Completing Narrative Report:**

When all parts of the monitoring instrument are completed, prepare the narrative summary report, using the narrative report template included in the monitoring instrument package. This report covers all five parts of the monitoring instrument package; it is not necessary to write a narrative report for each.

If corrective action is indicated, state the requirements for corrective action and give the Center a timeframe to submit a corrective action plan. Then record the corrective action and approve/disapprove the plan. If disapproved, provide feedback to the Center and establish a deadline for submission of an improved plan. If the corrective action has not been taken or is insufficient, the same procedure is to be followed, of notifying the Center of the findings, giving a timeframe for implementation and verification of corrective action, until the corrective action is successfully implemented.

## **Part 2. *Site Observation of Intake, Program Eligibility Determination, Initial Assessment, Data Entry and Data Validation Processes:***

**Frequency of Review:                      Every Quarter**

### **Objectives:**

- ❖ To assure that common intake procedures and eligibility determination in Workforce1 Centers are consistent with Workforce1 policies;
- ❖ To assure that eligibility documentation and other required data elements are completely and accurately recorded in Worksource1.

### **Pre-Review Preparation:**

- ❖ Review the common intake procedures and eligibility determination in Workforce1 Centers, accessed in Worksource1 as follows: Library tab, then Policy and Procedure for WF1CC, then Common Intake Process, then Common Intake Process - Policy.
- ❖ Review the Customer Information Form (CIF), accessed in Worksource1 as follows: Library tab, then Policy and Procedure for WF1CC, then Common Intake Process, then Common Intake Process – Forms (3d page). The CIF is also Attachment A of this Guide.

### **Instructions for Completing Site Observation Checklist:**

During and after the Center’s group orientation of new customers, the Center’s Membership Team staff conduct individual intake interviews with customers. This observation checklist, Part 2 of the monitoring instrument package, is the instrument used to monitor the active intake process. To complete the observation checklist, the Program Manager observes the registration of customers on that date, whoever they are.

During the initial interview with the Center’s Membership Team, the Program Manager requests introductions to the staff who conduct the intake interviews, and explains that the purpose of the visit is to observe the intake process in action, and to check the documentation provided to establish eligibility. Each staffer working on the day of the visit should be observed for at least one intake/registration.

On the following table, the right-hand column identifies the Worksource1 screen of the Customer Information Form (CIF) where the membership team staff is to enter the item, and/or gives instructions for observing the eligibility determination and data entry processes.

The checklist is designed to record as many as 20 intake and DEV observations on one sheet. Enter the names of the customers observed in the Customer name column, then check off the eligibility determination information in the checkboxes across the same line. For each item, check the first box (#1) if the item is reviewed and/or documented by the intake worker; check the second box if the item is entered into Worksource1; and check the third box if the item is not applicable. Note that Age/Birth Date and Employment status are applicable for all customers. There is no “Not Applicable” choice for those items.

For each set of three boxes, either the first two should be checked, or the third (not applicable) should be checked. If no box is checked, that is a finding that the item is applicable, but has not been properly reviewed and entered into Worksource1. If any applicable item is not entered into Worksource1, or if the documentation is not adequate, or if the procedures followed are inconsistent with Workforce1 policy, leave the checkbox blank, describe the finding/omission in the comment space and detail it on the narrative report.

<b>Item on Checklist</b>	<b>Data/Process Needed to Complete</b>
SBS Observation By Title: Observation Date Customer Name	Enter name of the SBS Program Manager, and Title of the SBS Program Manager. Enter date of the site observation. Record name of customer as entered in Worksource1.
<b>ADULT ELIGIBILITY</b>	
Age/Date of Birth*	Date of Birth is on the Basic Information screen of the CIF.
Selective Service (Required for males ages 18-25)	Selective Service status is on the Demographics screen of the CIF.
<b>DISLOCATED WORKER ELIGIBILITY</b>	
Category 1 DW – Laid Off: unlikely to return to previous occupation	The employment status screen of the CIF gives the questions and answers to be posed for each category of Dislocated Worker eligibility. If a new customer qualifies under any of the four categories, and provides either documentation or self-attestation, the customer is an eligible Dislocated Worker.
Category 2 DW – Plant closure	
Category 3 DW – Self Employed	
Category 4 DW – Displaced Homemaker*	
Date of Qualifying Dislocation*	Date of Dislocation is not on the CIF. Use the latest date of employment on the Work History as the date of dislocation.
<b>VETERAN*, OR OTHER ELIGIBLE</b>	
Veteran*, or Other Eligibility Category	Veteran status is indicated on the CIF's Military Status section.
<b>DEV REQUIREMENTS – OTHER DEMOGRAPHIC INFORMATION DATA ELEMENTS</b>	
Employment Status at Participation	Employment status is first item in the employment status section of the CIF.
<b>COMMENTS</b>	
Comments	Indicate anything observed which seems contrary to Workforce1 policies and procedures, either questions not asked properly by the staff or insufficient answers by the customer.

\*Item also a DEV requirement.

### **Part 3. Desk Audit of Services and Data Entry**

**Frequency of Review:**                      **Every Quarter**

**Objectives:**

- ❖ To assure that service delivery and documentation in Workforce1 Centers are consistent with Workforce1 Operator Consortium (OC) policies;
- ❖ Services and required data elements are completely and accurately recorded in Worksource1.

**Pre- Review Preparation:**

Obtain and identify the sample of customers to be reviewed. Samples are obtained by the SBS Executive Director from the Worksource1 technical support staff.

**Instructions for Completing Checklist:**

Part 3, desk audit of Worksource1 data, can be completed either before or after the interview and site observation portions of the review. Locate the checklist items on the appropriate Worksource1 screen, determine if the item is applicable, and if it is applicable, verify that the data is entered in Worksource1. If any applicable item is not entered into Worksource1, leave the checkboxes blank, note the finding in the comment space and detail it on the narrative report.

- a. **CHECKLIST Navigation.** First, enter the customer’s social security number on the main page. This will open up the customer’s Individual Jobseeker Profile, with the individual screens listed on the left-hand column of the screen. The desk audit checklist items are located on Worksource1 screens as follows:

Data Element	Screen Navigation
Age/Date of Birth*	Date of Birth is on the Main Page (Individual Jobseeker Profile) of the jobseeker tab, also on the Basic Information screen of the CIF, data entry tab.
Selective Service (Required for males ages 18-25)	Selective Service status is on the Demographics screen of the CIF.
<b>DEV REQUIREMENTS – SERVICE DATA ELEMENTS</b>	
Participation Date.	<b>INDIVIDUAL JOBSEEKER PROFILE</b> tab, <b>SERVICES UTILIZED</b> screen, earliest entry. Also <b>DATA ENTRY</b> tab, <b>Customer Information Form, VERIFICATION</b> screen for intake date.
DATE OF 1 <sup>ST</sup> STAFF-ASSISTED SERVICE.	<b>SAME</b> tab, <b>SERVICES UTILIZED</b> screen. If the customer is registered, there must be at least one staff-assisted service.
DATE OF 1 <sup>ST</sup> INTENSIVE SERVICE.	<b>SAME</b> tab, <b>SERVICES UTILIZED</b> screen. If the customer receives training services, there must be at least one intensive service.
DATE ENTERED TRAINING.	<b>SAME</b> tab, <b>TRAINING GRANT APPLICATION</b> screen. (access from queue)
DATE COMPLETED/WITHDREW FROM TRAINING.	<b>SAME</b> tab, <b>TRAINING GRANT APPLICATION</b> screen. (access from Training Grant Application Queue, on main page.
TYPE OF TRAINING.	<b>SAME</b> tab, <b>TRAINING GRANTS</b> screen, also <b>TRAINING GRANT APPLICATION</b> screen.
<b>DEV REQUIREMENTS – OUTCOME DATA ELEMENT</b>	
TYPE OF RECOGNIZED CREDENTIAL.	<b>SAME</b> tab, <b>EDUCATION</b> screen. <b>Note the date</b> , to distinguish between a credential earned before registration and a credential earned as the OUTCOME of a WIA Individual Training Grant (ITG).
<b>INITIAL ASSESSMENT</b>	
EMPLOYMENT SKILLS.	<b>INDIVIDUAL JOBSEEKER PROFILE</b> tab, <b>ASSESSMENT</b> screen, <b>INDIVIDUAL EMPLOYMENT PLAN</b> subscreen, also <b>CASE NOTES</b> screen.
CAREER DEVELOPMENT.	<b>SAME</b> tab, <b>ASSESSMENT</b> screen, <b>INDIVIDUAL EMPLOYMENT PLAN</b> subscreen, also <b>CASE NOTES</b> screen.
RECRUITMENT AND PLACEMENT.	<b>SAME</b> tab, <b>ASSESSMENT</b> screen, <b>INDIVIDUAL EMPLOYMENT PLAN</b> subscreen, also <b>CASE NOTES</b> screen.
OTHER SERVICES.	<b>SAME</b> tab, <b>ASSESSMENT</b> screen, <b>INDIVIDUAL EMPLOYMENT PLAN</b> subscreen, also <b>CASE NOTES</b> screen.

The remaining items on the checklist, below, are to be completed for  
**ITG training grant customers only.**

Data Element	Screen Navigation
<b>INDIVIDUAL TRAINING GRANT REVIEW (TRAINING GRANT CUSTOMERS ONLY)</b>	
INDIVIDUAL EMPLOYMENT PLAN IS COMPLETED.	<b>INDIVIDUAL JOBSSEEKER PROFILE</b> tab, <b>ASSESSMENT</b> screen, <b>INDIVIDUAL EMPLOYMENT PLAN</b> subscreen, also <b>CASE NOTES</b> screen. The <b>INDIVIDUAL EMPLOYMENT PLAN</b> is required for customers who apply for training grants, but Worksource1 had no IEP functionality for customers assessed before June 1, 2007. As of June 1, 2007, the <b>INDIVIDUAL EMPLOYMENT PLAN</b> screen has tabs to the <b>ASSESSMENT FOR TRAINING</b> and <b>ASSESSMENT FOR EMPLOYMENT</b> forms. A combination of these screens provides the information for the four sub-questions.
a. Training Grant matches customer choice from assessment.	
b. Training is directly linked to employment in growth occupations or priority market sectors.	
c. Assessment for Training form is completed.	
d. Assessment for Employment form is completed.	
CASE CONFERENCE IS DOCUMENTED IN CASE NOTES AND HAS CENTER MANAGER APPROVAL.	<b>SAME</b> tab, <b>CASE NOTES</b> screen, also <b>TRAINING GRANT APPLICATION</b> screen, for Career Advisor and Center Manager signoffs.
OCCUPATIONAL TRAINING SERVICES ARE SHOWN.	<b>SAME</b> tab, <b>SERVICES UTILIZED</b> screen, also <b>TRAINING GRANT APPLICATION</b> and <b>TRAINING GRANTS</b> screens.
APPLICATION IS CONSISTENT AND ENTERED IN WORKSOURCE1.	<b>SAME</b> tab, , <b>ASSESSMENT</b> screen, also <b>CASE NOTES</b> and <b>TRAINING GRANT APPLICATION</b> and <b>TRAINING GRANTS</b> screens, also <b>DATA ENTRY</b> tab, for all CIF entries.
VOUCHER ENTERED IN WORKSOURCE1.	<b>SAME</b> tab, <b>TRAINING GRANT APPLICATION</b> screen.
VOUCHER SERVICE START/END DATES ARE ENTERED.	<b>SAME</b> tab, <b>TRAINING GRANTS</b> screen.
PROGRESS IN TRAINING IS DOCUMENTED (MILESTONE 1).	<b>SAME</b> tab, <b>TRAINING GRANTS</b> screen.
CREDENTIAL ACHIEVEMENT, IF EARNED, IS INDICATED (MILESTONE 2)	<b>SAME</b> tab, <b>TRAINING GRANTS</b> screen.

b. Worksource1 SCREENS to be REFERENCED.

**INDIVIDUAL JOBSSEEKER PROFILE** tab, **ELIGIBILITY CERTIFICATION** screen

The screenshot displays the 'Eligibility Certification' screen in the Workforce1 system. The left sidebar lists various profile sections, with 'Eligibility Certification' highlighted. The main content area is divided into 'Lookup Results' and 'Actions Required' sections. Under 'Verify Date of Birth', the 'Date of Birth (mm/dd/yyyy)' is 07/09/1949, and the 'DOB Verification Source' is 'Public Assistance or Social Service Records'. A green arrow points to this section with the label 'Birth Documentation'. Under 'Verify Selective Service Registration', the 'Selective Service Status' is 'Not Registered', and the 'Date of Referral (mm/dd/yyyy)' is 06/04/2007. A green arrow points to this section with the label 'Selective Service Data'. The page also includes a 'Logout' button in the top right and a 'Jobseeker' tab in the top left navigation bar.

The Eligibility Certification screen (previous page) displays only unresolved issues. If it is blank, the customer has been found eligible (the bottom line shows the customer’s eligible category, adult, dislocated worker or participant); to open the screen, click the “Display All” button on the right side. Opened up, the screen shows the documentation of Date of Birth and Selective Service Registration (and other eligibility categories). In the example above, the customer was not registered, but upon attesting that his failure to register was not willful or deliberate, he was referred to Selective Service on the date shown and qualified as eligible.

**INDIVIDUAL JOBSEEKER PROFILE** tab, **SERVICES UTILIZED** screen

The screenshot shows the 'Individual Jobseeker Profile' page with the 'Services Utilized' tab selected. A table lists services with columns for Date Utilized, Service Category, Service Name, Center, and Vendor. A green arrow points to the date '05/03/2007' in the first column, labeled 'Earliest Date'.

Date Utilized	Service Category	Service Name	Center	Vendor
05/21/2007	Activities Associated with ITA Training	ITA Application Preparation	Queens	Grant Associates
05/15/2007	Job Readiness Services	Work Readiness Services	Queens	Grant Associates
05/15/2007	Career Advise ment	Individual Counseling Session	Queens	Grant Associates
05/13/2007	Jobsearch Activities	Job Club	Queens	Grant Associates
05/08/2007	Job Readiness Services	Job Readiness Preparation, General	Queens	Grant Associates
05/07/2007	Job Readiness Services	Job Readiness Preparation, General	Queens	Grant Associates
05/03/2007	Job Readiness Services	Job Readiness Preparation, General	Queens	Grant Associates

The earliest date on the Services Utilized screen can be used as the participation date (1<sup>st</sup> item on checklist), or, alternatively, the Verification screen on the Customer Information Form shows the date of intake and customer signoff. The Services Utilized screen is also the place to check for date of 1<sup>st</sup> staff-assisted service, and date of 1<sup>st</sup> intensive service. Training services are documented more fully in the Individual Jobseeker Profile, as shown in the screens following:

**INDIVIDUAL JOBSEEKER PROFILE** tab, **TRAINING GRANTS** screen

The screenshot shows the 'Individual Jobseeker Profile' page with the 'Training Grants' tab selected. A table lists training grants with columns for Training Provider, Training Program, Application Status, Program Cost, Enrollment Milestone Date 1, Milestone 1 Payment, Completion Milestone Date 2, Milestone 2 Payment, and Voucher. Three green arrows point to the 'Training Program' (a), 'Enrollment Milestone Date 1' (b), and 'Completion Milestone Date 2' (c) columns.

Training Provider	Training Program	Application Status	Program Cost	Enrollment Milestone Date 1	Milestone 1 Payment	Completion Milestone Date 2	Milestone 2 Payment	Voucher
DB Grant Associates Inc.	Call Center/Customer Service Certification	Submitted	\$2,500.00					

This screen indicates a) training program title, b) completion of milestone 1, and c) completion of milestone 2.

**INDIVIDUAL JOBSEEKER PROFILE** tab, **TRAINING GRANT APPLICATION** screen

(Access from Main Page, click on the link to Training Grant Application Queue, then click on customer's name)

This screen, Training Grant Application (next page), shows the type of training (ITA, now ITG), the training start and end dates, the training occupation (name of the course), and the signoffs by the Customer, Career Advisor and Center Manager. Note that the occupation/name of the course is to be compared with the customer's employment goal on the IEP, and written as a finding if they are not consistent.

**Individual Jobseeker Profile:** [Redacted]

**h Training Grant Application**

Individual Training Account (ITA) Application  Trade Act Award (TAA) Application

**A. General Information**

Application Date	Jan-22-2007	Voucher Category	WIA Dislocated
Issuer	Bronx Workforce1 Career Center		
Issuer Address	358 East 148th Street 2nd Floor Bronx NY 10455		

**B. Customer Information**

ID #	83690	First Name	Rose
Last Name	Cunningham	Apt No.	
Street Address	3145 TIEMANN AVE #2	State	NY
City	Bronx	E-Mail	
Zip	10469		
Phone	718-6716085		

**C. Training Provider Information**

Training Provider Name*	Career Quest Ltd.		
Address1	19 West 34th St.		
City	New York City	State	NY
Zip	10001	Phone	

**D. Training Program Information**

Course Title*	A Medical Office Administration Course		
Growth Occupation/Priority Sector*	Accountants And Auditors		
Training Dates*	From: Feb-12-2007 To: Mar-09-2007		
Total Number of Weeks	4	Total Number of Class Hours	90
Program Total Cost	\$ 2,500.00		
a. Other Financial Aid Award	\$ 0.00	Type of Award	--Select--
b. Customer Co-Payment	\$ 0.00		
TA Assistance Requested*	\$ 2,500.00		
TA Assistance Requested cannot be more than \$2500			

**E. Applicant Certification**

I ACKNOWLEDGE THAT SUBMISSION OF THIS APPLICATION DOES NOT GUARANTEE THE ISSUANCE OF A TRAINING GRANT AWARD. I further certify that after considering alternative providers, I have chosen to enroll in the above named course. I intend to complete this course, attain a credential, seek employment, and keep in contact with the Career Center regarding my job status.

Date	Jan-24-2007	Customer Signature*	<input checked="" type="checkbox"/>
Customer Signature: X_____			

**F. Review (For Official Use Only)**

I have reviewed the application package and certify to my best of my knowledge that the information provided is accurate and true.

**Career Advisor Review**

First Name	Agnieszka	Last Name	Gospodarczyk
Phone		Signature	<input checked="" type="radio"/> Signature <input type="radio"/> No Signature
Submission Date	Jan-24-2007		

**Center Manager Review**

First Name	Warren	Last Name	Marchany
Phone		Signature	<input checked="" type="radio"/> Signature <input type="radio"/> No Signature
Approval Date	Jan-24-2007		

\* required field ▲ Back to Top

**INDIVIDUAL JOBSEEKER PROFILE** tab, **EDUCATION** screen

This screen (previous page) captures one checklist item, the Type of Recognized Credential. The screen is also used to record any credentials the customer may have earned before Workforce1 registration, so it is important to distinguish the credential received as an OUTCOME of WIA training from other credentials. Examine the date of issue and the training program to be sure that the credential is a WIA outcome.

**INDIVIDUAL JOBSEEKER PROFILE** tab, **ASSESSMENT** screen, **INDIVIDUAL EMPLOYMENT PLAN** sub-screen

Information equivalent to an Individual Employment Plan is not accessible in records of customers assessed prior to June 1, 2007. Customers assessed after June 1, 2007 will have a tab on the assessment screen to the Individual Employment Plan (IEP) sub-screen, but an IEP is not required for all registered customers. It is completed primarily for training customers, who must have an IEP. If a customer has no IEP but has applied for an Individual Training Grant (ITG), the IEP item should be noted on the checklist as NO and entered as a finding.

On the training portion of the DEV checklist (Part III, continued), the IEP screen displays the employment goal (which is to be compared with the occupation on the training grant application) plus the four assessment areas, and tabs at the top of the screen that access the Assessment for Employment and Assessment for Training forms.

**INDIVIDUAL JOBSEEKER PROFILE** tab, CASE NOTES screen

The case notes screen often has relevant information not shown in other screens, especially regarding assessment and training, as shown in the illustration below. Also, this screen may show the first date of participation. This screen should be checked for service information before marking the checklist that a required service is missing, especially if the customer was assessed prior to June 1, 2007.

Date	Category	Case Notes	Submitted By
06/13/2007	Training	Mr. Spigner decided to attend UDI Career Training Institute, which was one of his three choices of trainings on his occupational research worksheet. He will be taking the MCSE course, start date is 07/02/07 to 09/21/07.	jtoledo
06/06/2007	Others	Customer voucher was sent in for cancellation, due to lack of enrollment. Customer will follow up with her Career Advisor to find a new school.	fcrockett
06/05/2007	Training	Mr. Spigner came 05/31/07 bringin back his original voucher for a cancellation. He was to attend Infoserve Technologies Institute for MCSE course. Due to the instructor of that class no longer teaching the MCSE course, it has been canceled till they hire a replacement. Mr. Spigner has decided to attend one of the other two school choices that he added on his training research worksheet. A copy of his voucher was given to senior career advisor Francisca Crockett for cancellation.	jtoledo
05/10/2007	Services	Mr. Spigner will be attending Infoserve Technologies Institute for MCSE program. Classes will begin on 06/25/07 to 10/05/07.	jtoledo
05/10/2007	Services	Mr. Spigner came today to pick up his approved voucher, authorization# 501364. Met with customer on 05/09/07. Client has seven years of Desktop Support experience, but needs to upgrade his skills by taking a MCSE training. He has worked as a consultant for a couple of years and would like a steady job. Taking this course will make him marketable and increase his chances of getting a full-time steady job. He demonstrated the commitment to follow through with training. He keeps appointments, is on time, completed the Training Program Research Guide. Customer has the necessary skills and qualifications to successfully participate in the MCSE training program at Infoserve Technologies. The O'Net code is 35-1043.00. The course lasts 15 weeks, 120 hours. The total cost is \$2,500.00. The application will be submitted for case conference with center management if approved will be sent to SPS for approval.	jtoledo
05/04/2007	Services	Mr. Spigner came back today bringing me his completed occupational research worksheet. His employment plan Assessment for employment and training were reviewed and customer was determined eligible for training. He will be given Training program research guide to complete and return on follow up appointment. Mr. Spigner will call to schedule an appt. to bring back his Training research worksheet.	jtoledo
01/18/2007	Services	Mr. Spigner came today to find out if he would qualify or not for a grant for training. He was given an occupational research work sheet that has to be completed to help determine his eligibility for a grant. Client will call for an appt. to bring in his worksheet. He was given an appt. for employment services at CEC on 01/30/07 at 11am.	jtoledo
12/29/2006	Services	Customer attended registration. He will call to get appointment for Pathways to Employment.	gkincaid
12/29/2006	Others	Customer is unlikely to return to previous occupation/industry because customer is no longer able to perform the tasks associated with his previous job due to him having a lack of certifications.	gkincaid

**Part 4. Folder Review (for Individual Training Grant Customers Only)**

**Instructions for Completing Checklist:** Part 4, folder review, is to be completed only for the customers in the desk audit sample (Part 3) who receive individual training grants. Since the customers sampled are the same as those in the desk audit, but the folders are at the Workforce1 Career Center, the folder review will logically take place after the desk audit sample (Part 3) is selected, but may be combined with the site interviews and observation of intake and data validation (Parts 1, 2 and 5). The folder review covers one document, the Individual Training Grant rating sheet, which has not yet been added to Worksource1; when it is part of Worksource1, this review will be combined with Part 3 and discontinued as a paper review. List the customers in the left-hand column, and answer Yes or No to the two questions.

When the desk audit sample is drawn, identify any customers in the sample who have received individual training grants and, in addition to recording the Worksource1 data on services and outcomes for those customers, request folders for those customers from the Center staff and examine the document in each folder. List the customers in the checklist's left-hand column, and answer Yes or No to the two questions.

Item on Checklist	Data/Process Needed to Complete
Individual Training Grant Rating Sheet	Check that the rating sheet is in the file and that the rating score is 75 or more.

If the rating sheet is not in the customer folder, or if the rating score is less than 75, note the finding in the comment space and detail it on the narrative report.

## ***Review of Workforce1 Center Staffing***

**Frequency of Review:                      Every Quarter**

**Objectives:**

- ❖ Staffing practices in Workforce1 Centers are consistent with Workforce1 policies;
- ❖ Staff openings are filled promptly with qualified candidates.

**Pre-Site Visit Review Materials:**

- ❖ Workforce1 Policies and Procedures regarding staffing (Worksource1 Library);
- ❖ Organization chart from most recent Strategic Operating Plan (SOP) that clearly indicates which staff are compensated under the Workforce Investment Act Title 1-B contract, plus job descriptions for staff included on the chart and resumes for all on-board staff.
- ❖ Most recent staff roster.

**Site Visit General Procedures:**

At the site visit, conduct an informal entrance conference, and note subjects discussed on the Entrance/Exit Conference form.

Interview Center management representative regarding staffing procedures, especially any outstanding staff vacancies.

At the visit’s conclusion, conduct an informal exit conference, and note subjects discussed on the Entrance/Exit Conference form.

**Instructions for Completing Staffing Review Instrument:**

<b>Item on Monitoring Form</b>	<b>Data/Process Needed to Complete</b>
Once each year, attach: Organization chart from most recent SOP that clearly indicates which staff are paid for by the Workforce Investment Act Title 1-B contract; All job descriptions for staff included in the chart; all hired staff resumes.	Interview senior management representative: Vendor Center Manager, Deputy Manager, and Strategic Operations Coordinator. If organization chart, job descriptions and resumes are not available for pre-review at SBS, request these documents and review them at the site. Quarterly, attach any updated or additional job descriptions and resumes.
Are all staff positions filled with qualified employees?	Yes-No question. To determine qualification of staff, randomly select 10% of employee resumes and review them to ensure qualifications match the job descriptions. List any employees whose qualifications do not reasonably match job descriptions as a comment and in the narrative report.
Number of current staff.	Compare the Center’s actual staffing to the organization chart submitted in the most recent SOP. Explain any discrepancy in numbers as a comment and in the narrative report.
Are there any staff vacancies? <b>If yes,</b> complete the following chart.	For any staff vacancy, note the position as shown on the Strategic Operating Plan and the date of the vacancy. If any positions have remained vacant for more than 30 days, a corrective action plan is required of the Center to ensure complete staffing of all positions as soon as possible.

**Attachment A**  
**Customer Information Form (CIF)**



## Attachment B

### Table of Core and Intensive Services

The following activities from the dropdown menu in Worksource1’s Services Utilized screen are categorized as core and intensive services.

<b>Core Services</b>	<b>Intensive Services</b>
Orientations – Group Orientation	Assessments, Specific
Assessments, General – Self Assessment	Assessments, General – Staff Assessment
General Resource Room Activities	Individual Employment Plan Development
Job Search Activities, Self-directed	Career Advisement
Job Search Activities, Job Fair, Job Club	Job Search Preparation
Job Placement Services – Job Referral	Job Readiness Services
Job Placement Services – Job Orientation Session, Group	Job Placement Services – Job-specific Interview and Resume Preparation
Activities Associated with ITA – ITA Research	Job Retention/Career Advancement Services
Partner Referrals	Short-term Prevocational Training
Rapid Response Assistance	General Counseling
“Service Assessment” For Dislocated Workers	Activities Associated with ITA - Application Preparation



# **Workforce1 Career Centers**

## **Site Monitoring Instrument**

### **Review of**

### **Common Intake, Program Eligibility,**

### **Initial Assessment, Data Entry,**

### **Data Element Validation and Staffing**

Program Year:	Review Quarter Ending _____
---------------	-----------------------------

WORKFORCE1 CAREER CENTER MONITORED:	_____
NAME OF CENTER MANAGER:	_____
NAME OF PROGRAM MANAGER:	_____
MONITORING DATE(S):	_____
COMPLETION DATE:	_____
SUPERVISORY REVIEW DATE:	_____

**Part I: Onsite Review of Common Intake, Program Eligibility, Initial Assessment, Data Entry & Data Element Validation (DEV)**

Initial Review  Follow-Up Review  Date of Review: \_\_\_\_\_

**A. Management**

1. Has the Center’s senior management<sup>1</sup> changed since last review?  Yes  No

**If Yes, complete the Management section; if No, skip to Staff Training, section B.**

2. Does the new senior management have copies of the Operator Consortium (OC) Policies for Common Intake, Electronic Record Keeping, Program Eligibility and Data Element Validation?  Yes  No

3. What actions has senior management taken (or not taken) to ensure the ongoing quality and timeliness of common intake, eligibility determination, data entry and data validation?

\_\_\_\_\_  
\_\_\_\_\_

4. Have all Membership Team staff completed OSOS confidentiality agreements? If no, explain.

Yes  No \_\_\_\_\_

**B. Staff Training**

5. Identify all members of the Membership Team. Are any new staffers assigned to the Membership Team since the last review?  Yes  No

**If Yes, list them & complete Staff Training section; if No, skip to Supervision/Implementation, section C.**

\_\_\_\_\_  
\_\_\_\_\_

6. How does senior management ensure that Membership Team staff members<sup>2</sup> are qualified and have the capacity to perform the intake, eligibility determination, initial assessment, data entry & data validation functions? \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

7. Who trains the Membership Team staff in eligibility determination and data element validation?

\_\_\_\_\_

8. How often is this training conducted? \_\_\_\_\_

9. Who trains the Membership Team staff to conduct appropriate initial assessments? \_\_\_\_\_

\_\_\_\_\_

<sup>1</sup> Vendor Center Manager, Deputy Manager, Strategic Operations Coordinator

<sup>2</sup> Staff who perform the intake, eligibility determination, initial assessment, data entry & data validation functions.

WF1 Career Center: \_\_\_\_\_

Quarter ending: \_\_\_\_\_

10. How often is this training conducted? \_\_\_\_\_

11. Who trains staff in data entry and data validation standards and procedures? \_\_\_\_\_

12. How often is this training conducted? \_\_\_\_\_

13. What was the form and subject of the Center's most recent training session? \_\_\_\_\_

14. Date of most recent staff training session: \_\_\_\_\_

**C. Supervision and Implementation**

15. Has senior management changed the supervisory staffing or procedures in intake, eligibility determination, assessment, data entry or DEV since the last review?  Yes  No

**If Yes, complete this section; if No, skip to Site Observation.**

**SUPERVISION/STAFFING**

16. Who supervises the Center's Membership Team intake, assessment, eligibility determination, data entry and data quality control processes? \_\_\_\_\_

17. How does/do the supervisor(s) monitor the quality of the data entered into Worksource1? \_\_\_\_\_

18. How does/do the supervisor(s) monitor the timeliness of data entry, eligibility determination, assessment and data element validation? \_\_\_\_\_

19. Is the Membership Team staffing able to enter all Customer Information Forms (CIF's) into Worksource1 during the orientation session? If no, explain.  Yes  No

20. Are back-up staff members designated to cover absences on the Membership Team? If no, explain.  Yes  No \_\_\_\_\_

**WORKSOURCE1/OSOS/SWIPE CARD**

21. Are workstations with Worksource1 available in the areas where eligibility determination and initial assessment are conducted? If no, explain.  Yes  No

22. Do all data entry staff have the appropriate Worksource1 logins? If no, explain.  Yes  No

23. Are all new customers issued swipe cards promptly? If no, explain.  Yes  No

**WORKSPACE**

24. Is the data entry workspace clearly designated, secure, and equipped with a shredder? If no, explain.

Yes       No

---

25. Is the space for eligibility determination and initial assessment clearly designated, secure, and private enough for the customer to be comfortable and receive attention? If no, explain.

Yes       No

---

**PROCESS FLOW**

26. Is process of distributing and collecting CIF's prior to orientation orderly and efficient? If no, explain.

Yes       No

---

27. Are individual customer interviews for eligibility determination and initial assessment conducted in an orderly, effective manner? If no, explain.  Yes     No

---

**DATA ENTRY/DATA ELEMENT VALIDATION**

28. Are the Customer Information Forms (CIF's) shredded upon entry of data into Worksource1? If no, explain.  Yes     No

---

29. Are the next steps resulting from the initial assessment entered in Worksource1 with clear, consistent and useful notations in the IEP? If no, explain.  Yes     No

---

---

WF1 Career Center: \_\_\_\_\_

Quarter ending: \_\_\_\_\_

## Part II: Site Observation Checklist of Intake, Program Eligibility Documentation, Data Entry and Data Validation

SBS Observation By: \_\_\_\_\_

Name \_\_\_\_\_

Title \_\_\_\_\_

Observation Date \_\_\_\_\_

**CHECKOFF KEY:** 1 = Item Reviewed by Center Staff, 2 = Worksource1 Data Entered, Correctly; 3 = Not Applicable

Customer Name	Adult Eligibility			Dislocated Worker Eligibility									Dislocation Date*	Other Eligible (Veteran)			Employment Status at Participation		
	Age/ Birth Date	Selective Service		DW Category 1*	DW Category 2*	DW Category 3*	DW Category 4*	DW Category 1	DW Category 2	DW Category 3	DW Category 1	DW Category 2		DW Category 3	1	2	3	1	2
1	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
13	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
14	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
15	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
16	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
17	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
18	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
19	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
20	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

\* DW Category 1 = Laid off; unlikely to return to previous occupation. 2 = Plant closure. 3 = Self-employed. 4 = Displaced homemaker. Dislocation Date = Last date of employment.

**COMMENTS (REFER TO CUSTOMER #):**

**Part III: Desk Audit Checklist of Services and Data Entry**

SBS Desk Audit By: \_\_\_\_\_

Name

Title

Audit Date

**CHECKOFF KEY: 1 = WORKSOURCE1 DATA ENTERED BY CENTER STAFF, 2 = N/A (NOT APPLICABLE)**

Worksource1 Screen →	Job-seeker Profile Screen	Services Utilized Screen, also Case Notes		Assessment Screen, Individual Employment Plan Entry			Eligibility Certifica- tion Screen	Jobseeker Profile Screen, Training Grant Application Queue		Education Screen			
		Partici- pation Date	Date of 1 <sup>st</sup> Staff- Assisted Service	Date of 1 <sup>st</sup> Inten- sive Service	Employ- ment Skills	Career Devel- opment	Recruit- ment & Place- ment	Other	Selective Service	Date Entered Training*	Date Ended Train- ing*	Type of Training*	Type of Recog- nized Credentia- l
Required DEV Item →	Birth Date (Yes/ No)	1	2	1	2	1	2	1	2	1	2	1	2
<b>Customer Name</b>													
1													
2													
3													
4													
5													
6													
7													
8													
9													
10													
11													
12													
13													
14													
15													
16													
17													
18													

\* For any customers checked applicable for training, complete the following set of checklist items, next page.

**COMMENTS (REFER TO CUSTOMER #):**

WF1 Career Center: \_\_\_\_\_

Quarter ending: \_\_\_\_\_

**Part III, continued: Desk Audit Checklist of Training Services and Data Entry – for Training Customers ONLY**

SBS Desk Audit By: \_\_\_\_\_

Name

Title

Audit Date

**Worksource1  
Screen (and  
subscreen/tab) →**

**Required DEV Item →**

Services Utilized Screen, also Case Notes		Assessment Screen, Individual Employment Plan Entry						Training Grant Application, on Queue						Training Grant Screen								
		Sub-tab for Training Assess. Form		Sub-tab for Employment Assess. Form		IEP Goal PLUS Course on Tr. Grant Screen		ITG in Growth Occupation		Case Conference Notes & Center Manager Approval		Application Complete in Worksource1		Voucher Start/End Dates Shown		Voucher in Training Shown, Milestone 1 Yes/No/NA		Credential Earned, Milestone 2 Yes/No/NA				
Core & Intensive Services Shown	Training Services Shown	1	2	1	2	1	2	1	2	1	2	1	2	1	2	1	2	3	1	2	3	
<b>Customer Name</b>																						
1																						
2																						
3																						
4																						
5																						
6																						
7																						
8																						
9																						
10																						
11																						
12																						
13																						
14																						

**COMMENTS (REFER TO CUSTOMER #):**

WF1 Career Center: \_\_\_\_\_

Quarter ending: \_\_\_\_\_

**Part IV: ITG Customer Folder Review** (until document is included in Worksource1)  
**(USE ONLY FOR INDIVIDUAL TRAINING GRANT CUSTOMERS)**

Review Date: \_\_\_\_\_

SBS Review By:

\_\_\_\_\_

Name Title

Individual Training Grant Rating Sheet - Check for the following: Sheet on File and Score 75 or more.

	Customer Name	On File?		Score 75+?	
		Yes	No	Yes	No
1		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
13		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
14		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
15		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
16		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
17		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
18		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
19		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
20		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**COMMENTS (REFER TO CUSTOMER #)**

### Part V: Onsite Review of Center Staffing

SBS Review By: \_\_\_\_\_  
Name & Title Date of Review

#### Organizational Structure

Once each year, attach:

1. Organization chart from most recent Strategic Operating Plan (SOP) that clearly indicates which staff are paid for by the Workforce Investment Act Title 1-B contract;
2. Job descriptions for all staff included in the chart;
3. Resumes for all hired staff.

Quarterly, attach any updated or additional job descriptions and resumes.

Are all staff positions filled with qualified employees?  Yes  No

Randomly select 10% of employee resumes and review them to ensure qualifications match the job descriptions. List any employees whose qualifications do not reasonably match job descriptions.

**COMMENTS**

#### Staffing Levels

Number of current staff \_\_\_\_\_

(Please compare the actual staffing to the organization chart submitted in the most recent SOP. Explain any discrepancy in numbers.)

**COMMENTS**

Are there any staff vacancies?  Yes  No

**If yes,** complete the following chart:

Position per SOP	Date of Vacancy

If any positions have remained vacant for more than 30 days, a corrective action plan is required of the Center to ensure fulfillment of the position as soon as possible.

WF1 Career Center: \_\_\_\_\_

Quarter ending: \_\_\_\_\_

Were any staff vacancies filled since the beginning of the current quarter?  Yes  No

**If yes**, complete the following chart:

Position per SOP	Date of Vacancy	Date of Hire

**COMMENTS**

## Entrance Conference

**Date:** \_\_\_\_\_

<b>Attendees:</b> Name (print)	Job Title	Signature
1. _____	_____	_____
2. _____	_____	_____
3. _____	_____	_____
4. _____	_____	_____

**Subjects Discussed:**

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_
4. \_\_\_\_\_
5. \_\_\_\_\_
6. \_\_\_\_\_

## Exit Conference

**Date:** \_\_\_\_\_

<b>Attendees:</b> Name (print)	Job Title	Signature
1. _____	_____	_____
2. _____	_____	_____
3. _____	_____	_____
4. _____	_____	_____

**Subjects Discussed:**

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_
4. \_\_\_\_\_
5. \_\_\_\_\_
6. \_\_\_\_\_
7. \_\_\_\_\_
8. \_\_\_\_\_
9. \_\_\_\_\_
10. \_\_\_\_\_

### Narrative Report of

## Common Intake, Program Eligibility, Initial Assessment, Data Entry, Data Element Validation and Staffing for Workforce1 Career Centers

TO: \_\_\_\_\_ FROM: \_\_\_\_\_  
(Name of Center Manager) (SBS Program Manager)

Center Visited: \_\_\_\_\_ Date: \_\_\_\_\_

### 1. Review of Common Intake, Assessment, Program Eligibility, Data Entry, Data Validation and Staffing Processes:

- Does the senior management ensure effective implementation of Workforce1 policies/procedures for intake, assessment, and program eligibility?  Yes  No
- Are the Center's data entry and data element validation procedures consistent with the OC policies and procedures?  Yes  No
- Are intake/eligibility/assessment monitored by supervisors?  Yes  No
- Are Membership Team staff properly trained on intake, program eligibility, data entry/DEV requirements?  Yes  No
- Are the Center's facility, equipment and technology adequate?  Yes  No
- Is the Center's intake process orderly and effective?  Yes  No
- Is the Center's data entry, overall, accurate and complete?  Yes  No
- Is the timeliness of the Center's data entry satisfactory?  Yes  No
- Is eligibility documentation correctly entered in Worksource1?  Yes  No
- Are the services provided to the customers fully recorded in Worksource1?  Yes  No
- Are training candidates given a complete, well-documented assessment consistent with the Individual Training Grant process  Yes  No
- Are all staff vacancies filled within 30 days with qualified applicants?  Yes  No

### 2. Findings and Recommendations – Part I

#### a. Management of Intake, Program Eligibility, Initial Assessment and Data Processes:

#### b. Staff Training of Intake, Program Eligibility, Initial Assessment, Data Processes:

**c. Supervision/Implementation of Intake, Program Eligibility, Initial Assessment and Data Processes:**

**3. Findings and Recommendations - Part II**

**Site Observation of Intake, Program Eligibility and Data Processes:**

**4. Findings and Recommendations – Part III**

**Desk Audit of Services and Data Entry:**

**5. Findings and Recommendations – Part IV**

**ITG Customer Folder Review:**

**6. Findings and Recommendations – Part V**

**Staffing:**

WF1 Career Center: \_\_\_\_\_

Quarter ending: \_\_\_\_\_

**7. Requirement(s) for Corrective Action and Due Date for Corrective Action Plan(s):**

**8. Action Taken by SBS:**

**9. Follow Up:**

Date of Follow-up	Findings	Corrective action(s) implemented: Y or N	If No, identify additional required corrective action(s)

\_\_\_\_\_  
Program Manager Name

\_\_\_\_\_  
SBS Executive Director Name

\_\_\_\_\_  
Program Manager Signature

\_\_\_\_\_  
SBS Executive Director Signature

\_\_\_\_\_  
Date of Executive Director Review



# Workforce1 Career Centers

## Site Monitoring Instrument

### Facility Review<sup>1</sup>

**REVIEW ANNUALLY/EVERY FOURTH QUARTER**

DATE LAST  
COMPLETED: \_\_\_\_\_

WORKFORCE 1 CAREER  
CENTER MONITORED: \_\_\_\_\_

NAME OF CENTER  
MANAGER: \_\_\_\_\_

NAME OF PROGRAM  
MANAGER: \_\_\_\_\_

MONITORING DATE(S): \_\_\_\_\_

COMPLETION DATE: \_\_\_\_\_

SUPERVISORY REVIEW  
DATE: \_\_\_\_\_

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<sup>1</sup> Added to Monitoring Guide for NYC WF1 Career Center Programs

**TO BE MONITORED ANNUALLY/EVERY FOURTH QUARTER**

**1. Facility**

**1A. Facility Administration**

Who is the leaseholder of the facility?

New York State Department of Labor?

Other (identify Center vendor): \_\_\_\_\_

Identify the person responsible for communicating with building management to address issues by name and title: \_\_\_\_\_

**1.B Type of Facility**

Center is located within:

- High/Low Rise Office Building  School / Institution
- Factory / Warehouse  Storefront
- Other (specify) \_\_\_\_\_

**1C. Condition of Facility**

If any problems with the facility are observed, detail below:

- Ventilation System  Lighting  Significant Structural Damage
- Heating System  Cleanliness  Security
- Telecommunications  Other (specify) \_\_\_\_\_

Detail: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**1.C Layout / Organization of Space**

How many floors does the Workforce1 Career Center occupy at this site? \_\_\_\_\_

Which floors are occupied? \_\_\_\_\_

**1D. Equipment**

Does the equipment in the Resource Room work properly (*i.e.* fax machine, phones, computers, etc.)?  Yes  No

Does the phone system work properly (*i.e.* Can customers leave voicemail messages for staff? Can staff transfer customer calls within the Center?)  Yes  No

If any of the above equipment needs replacement, repair, or upgrading, is there a process and schedule in place? Explain. \_\_\_\_\_

**2. Safety and Health Conditions**

2.A. Does the center have a Fire Emergency Evacuation Plan?  Yes  No

2.B If required, has the Emergency Evacuation Plan been reviewed and approved by the NYC Fire Department?  Yes  No

2.C What is the name of the Fire Safety Warden / Coordinator? \_\_\_\_\_

2.D Are all fire exits clearly marked and free of obstacles that would impede an emergency escape?  Yes  No

2.E Are there smoke detectors and/or sprinkler systems installed throughout the occupied space of the facility?  Yes  No

2.F Check to confirm compliance with the following:

• Published statement notifying employees of requirements and penalties for non-adherence as specified under the Drug Free Workplace Act of 1986.  Yes  No

• An established ongoing drug-free awareness program for employees.  Yes  No

If No to questions 2.A – 2.F, explain: \_\_\_\_\_

**3. Security**

3.A What security and safety measures does the Workforce1 Career Center employ to protect customers and staff?

3.B What procedures does the Workforce1 Career Center have to prevent and report damage, loss or theft to SBS property?

Workforce1 Career Center Name: \_\_\_\_\_

(Adapted from NYSDOL Monitoring Guide,)

## Site Monitoring Instrument

# Narrative Report on Facility Review

TO: \_\_\_\_\_ FROM: \_\_\_\_\_  
(Name of Workforce1 Center Manager) (SBS Program Manager)

DATE: \_\_\_\_\_

Center Contact Person \_\_\_\_\_

Center Visited \_\_\_\_\_ Date \_\_\_\_\_

**1. Background Information:** \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**2. Overall Issues/Problem Analysis:** \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**3. Items Reviewed**

- |                       |                              |                             |
|-----------------------|------------------------------|-----------------------------|
| 3.A Facility          | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 3.B Safety and Health | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 3.C Security          | <input type="checkbox"/> Yes | <input type="checkbox"/> No |

**4. Findings/Conclusions of Review**

4.A Facility: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

4.B Safety and Health: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

4.C Security: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Workforce1 Career Center Name: \_\_\_\_\_

**5. Recommendation(s) for Corrective Action:**

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\_\_\_\_\_  
**Center Manager Signature**

\_\_\_\_\_  
**Date**

\_\_\_\_\_  
**SBS Program Manager Signature**

\_\_\_\_\_  
**Date**

\_\_\_\_\_  
**SBS Supervisor Signature**

\_\_\_\_\_  
**Date**