



Workforce Investment Board

Reaching Business



System Leadership Committee
Of
OAKLAND WORKFORCE INVESTMENT BOARD

AGENDA

Tuesday, February 26, 2013
Hearing Room # 3
8:30 am - 10:30 am
1 Frank H. Ogawa Plaza, 1st Floor
Oakland, CA 94612

- | | |
|---|-------------------|
| 1) Chair Welcome and Remarks | Discussion |
| 2) Adoption of the Agenda | Discussion/Action |
| 3) Review & Adopt Meeting Minutes from November 13, 2012 | Discussion/Action |
| 4) Fiscal Report | Discussion |
| 5) Performance Report (Formula, Special Grants, Rapid Response and Dislocated Worker Services Report) | Discussion |
| 6) Status of Payments to Providers | Informational |
| 7) Status of Monitoring Findings | Informational |
| 8) Policies and Procedures | Discussion/Action |
| 9) RFP Timeline and Comments | Informational |
| 10) Board Member Agenda Items | Informational |
| 11) Open Forum | Informational |
| 12) Adjourn | Action |



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OAKLAND WORKFORCE INVESTMENT BOARD

MINUTES

Tuesday, November 13, 2012

City Hall Hearing Room #3

Call to Order: Co-Chairs Berit Eriksson and Brian Salem called the meeting to order at 8:39 a.m.

Members in Attendance: Benjamin Bowser (Arrived at 8:50), Berit Eriksson, Dollie Hamilton, Andrea Lowe (Arrived at 8:47), Fred Mackay, Brian Salem

Excused Members: Mary Bergan

Absent: Sara Bedford, John Casas, Sally Gallegos

One member short of quorum, committee cannot take action on agenda items but will discuss Fiscal and Performance reports.

Fiscal Report

The Fiscal Report continues to be a work in progress as Workforce Investment Board (WIB) staff develops a real time tracking system. According to the Finance Management Agency (FMA), 85% of Adult funds have been spent, 35% of Dislocated Worker funds have been drawn, 27% of youth funds have been disbursed and Rapid Response has been fully expended for FY 11-12.

- Andrea Lowe and Benjamin Bowser arrived to establish a quorum.
- Brian Salem requested to go back to adopt agenda and meeting minutes from August 14, 2012.

Adoption of Agenda: Moved by Andrea Lowe, seconded by Benjamin Bowser. The motion passed.

Review & Adopt Meeting Minutes from August 14, 2012: Moved by Andrea Lowe, seconded by Dollie Hamilton. The motion passed.

Expenditures for FY 12-13 contracts for providers with executed contracts are based solely on invoices submitted to the City and processed as of October 11. 14% of the Comprehensive budget has been expended to date. Affiliate contract are in place, youth contracts are in process for signature with the City. Expenditures for this group will be available the next reporting period.

- Berit Eriksson requested clarification of challenges facing Dislocated Worker obligations and status of funds. Staff stated that funds are fully obligated and can be drawn over a period of two years.

Motion to approve the Fiscal report as presented by staff

Benjamin Bowser moved; Fred McKay seconded. Motion passed.

Performance Report

A total of 1,643 individuals registered for services at the various Oakland One-Stops system were between July 1, 2012 and September 30, 2012. A total of 276 individuals have been enrolled in Adult and Dislocated Worker services during this period. 41 Workforce Investment Act (WIA) enrolled individuals accessed training services.

- Benjamin Bowser pointed out the decline in participants served though each service level and would like to see where the issues lies in order to serve more and/or account for more outcomes. Dolly Hamilton suggested accessing the based wage records through Employment Development Department (EDD) to capture job placement data. Richard de Jauergui noted that performance in the first quarter appears lower as there were several things impacted these outcomes including late contracts. However, there has been an increase in training requests and should be reflected in the next quarter. Benjamin Bowser requested a reliable performance accountability tracking tool to reflect return on investment, as this has been a recurring issue. Staff will follow up. .

Youth Services:

The performance data reported are from July 1, 2012 to September 30, 2012. The reason for the lack of enrollments this quarter is the contracts are currently in the process of obtaining signatures within the City. Per Oakland Private Industry Council (OPIC), 50 youth files are pending certification and will be reflected in the next reporting period.

Special Grants:

The New Start Program is a partnership between California Department of Corrections and Rehabilitation (CDCR), EDD, California Workforce Investment Board (CWIB) and Oakland Workforce Investment Board (OWIB) operated by the OPIC to connect parolee with local employment opportunities. To date 205 participants have been served. 88 placed into a training program, of that 72 have successfully completed training. 45 entered employment at an average wage of \$13.32 per hour.

- Berit Eriksson inquired if WIB staff has received narrative summary reports on these grants. Staff responded that the OPIC submits the required reports to the State and provides a data breakdown to WIB staff. For future reports staff will request to include a narrative summary.

The East Bay Green Jobs Program is in partnership between the City Of Oakland, Richmond Build, Solar Richmond, Laney College, Cypress Mandela, and Rising Sun. Currently there are 56 enrollments, with 41 completed training, 19 verified employment at an average wage of \$12.00 per hour.

High Concentration of Eligible Youth is operated by Youth Employment Partnership to serve out-of-school youth on probation or parole and is currently enrolled with 20 participants. The cohort is expected to complete March 2013.

The OJT NEG grant ended on September 30th with a total of 15 participants served. Due to inactivity the State and US Department of Labor took back \$526,000 leaving Oakland with \$200,000 of that \$80,849.28 was spent.

Rapid Response:

The Rapid Response report was submitted by Anne Chan, Rapid Response Manger at Oakland Private Industry Council. Four Employment Development Department WARN notices were issued by companies in the City of Oakland. Hostess Brands scheduled to layoff and liquidate the company as of July 3, 2012. Sutter East Bay Hospital DBA Alta Bates Summit Medical Center sent out two WARN notices. The second one dated July 23, 2012 listed a layoff of 55 workers on or about September 24, 2012. Of the 55 Summit employees impacted by the layoff, 19 are from the Oakland Summit Campus. Sutter’s original WARN notice issued on June 27 listed a total of 317 layoffs, of which 137 were from the Oakland Summit Campus. Cardiovascular Consultants Medical Group, Inc. scheduled for layoffs July 31, 2012. Veolia Transportation Services, Inc. DBA ShuttlePort, LLC issued a WARN notice on September 18, 2012 for layoffs on December 1, 2012.

Motion to approve the Performance report as presented by staff
Andrea Lowe moved; Benjamin Bowser seconded. Motion passed.

Status of Payments to Service Providers

All invoices with contracts in place submitted to the City are current. 12-13 contracts for affiliates are signed and executed, invoices that have been received for those contracts are being processed. Youth contracts are in process for signatures with the City.

Monitoring

The week of October 22nd EDD conducted their program formula funding monitoring review with a focus on youth programs. The majority of findings had been repeat issues and we’re working closely with the State monitoring unit to resolve these in a timely manner. The State informed WIB staff that two potential findings can be closed out—Priority of Services (policy approve September 27)

Policies and Procedures

WIB staff will be updating the monitoring policy, procedures and tools required for annual program monitoring as it is the role and responsibility of the WIB.

RFP Timeline

RFP’s were released on October 19, 2012.

Motion was requested to extend meeting by five minutes.

Benjamin Bowser moved; Dollie Hamilton seconded. Motion passed

Bidder's conference was held on October 31, 2012. RFP are due on December 6. A panel review will be headed by an independent consultant for recommendations to ad hoc committees (youth and adult services) scheduled for January 7, 2012. January 17 is scheduled for ad hoc review, and Executive is scheduled for January 29th. The Full WIB is scheduled for Feb 7 and City council approval is targeted for May 7, we're looking to start contract July 1, 2013.

Board Member Agenda Items

Benjamin Bowser requested to improve performance reports and timetable for reimbursements for contracts. WIB staff suggested we share the invoice tracking tool in our next meeting.

Open Forum

There were no Open Forum speakers.

Adjourn: Meeting adjourned at 10:36 am.



Workforce Investment Board
Reaching Business



To: Oakland WIB's System Leadership Committee
From: Honorata Lindsay, Analyst – Oakland Workforce Investment Board
Date: February 26, 2012
Re: Meeting Materials

Item 4 – Fiscal Report

The information on fiscal reporting continues to be a work in progress. As additional research takes place the results will be reported to the committee. All WIA grant recipients are required to report expenditures on an accrual basis and must submit quarterly expenditure reports. This is a federal requirement.

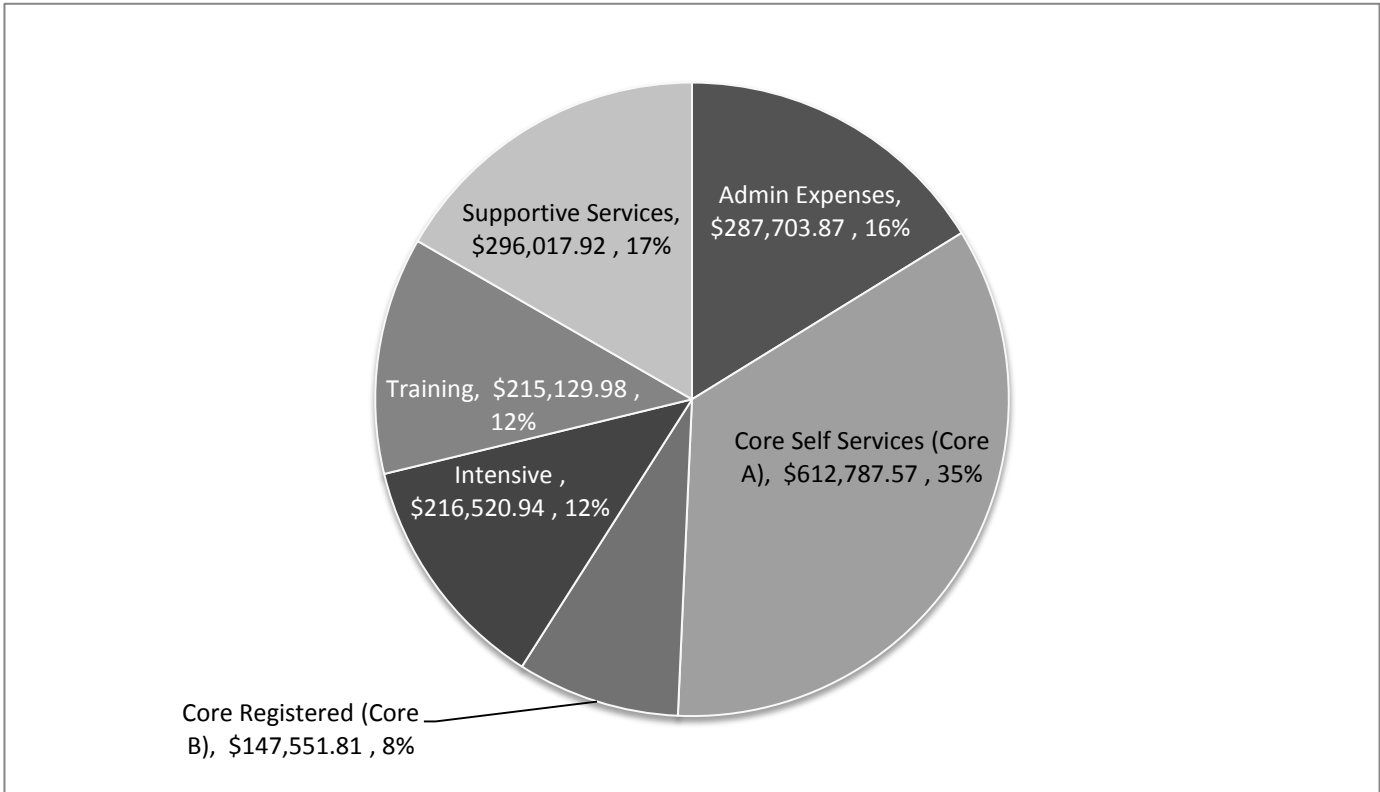
Due Dates for Quarterly Reports:

1st Quarter (July–Sept) October 20
2nd Quarter (Oct–Dec) January 20
3rd Quarter (Jan–Mar) April 20
4th Quarter (Apr–June) July 20

The expenditures reported in the tables and charts on the following pages are for FY 11-12 funds based on reports filed to the State of California's Labor and Workforce Development Agency through the Job Training Automation (JTA) System on January 28, 2013 for expenditures reported through the 2nd Quarter (Oct-Dec). The reports to the State are completed by the City of Oakland's Finance Management Agency (FMA).

Grant recipients have a two-year spending cycle on funds. FY 11-12 funds are available for expenditure through June 30, 2013. Provider contracts for FY 11-12 were not executed until February 2012; therefore, any spending on contracts began late. All funds have been contractually obligated. Based on the rate of spending, any balance remaining will be drawn by the end of the contract term.

Table 1: Adult FY 11-12 Expenditure					
Funding Source	Contract Term	Total FY 11-12 Allocation	Total Amount Expended	Total Amount Remaining	% of Contract Spent
WIA-Adult	7/1/2011-6/30/2013	\$ 1,776,624.00	\$ 1,775,712.09	\$ 911.91	99.9%



Adult Cost Categories:

Administration: General administrative costs are that portion of necessary and allowable costs incurred for the overall management and administration of the WIA program and which are not directly related to the provision of services to participants.

Core Self Services (Core A): WIA excludes individuals who participate in only core self-services (Core A). Individuals who are primarily seeking information and do not receive direct one-on-one staff assistance and do not require enrollment into WIA programs. These activities include, access to the resource room, browsing the Internet and collecting information.

Core Registered (Core B): When there is significant involvement of resources and time, individuals are considered to be core registered (Core B) and, therefore, required to be registered for the WIA Adult and Dislocated Worker program. The activities include, career readiness workshops, job development and job placement assistance.

Intensive: Intensive services are available to unemployed individuals who have completed at least one core service and have not been able to obtain employment, or employed individuals needing

additional services to obtain or keep employment that will lead to self-sufficiency. Services include, one-on-one Career Counseling, objective assessment, pre-vocational training, job development, supportive services and follow-up services.

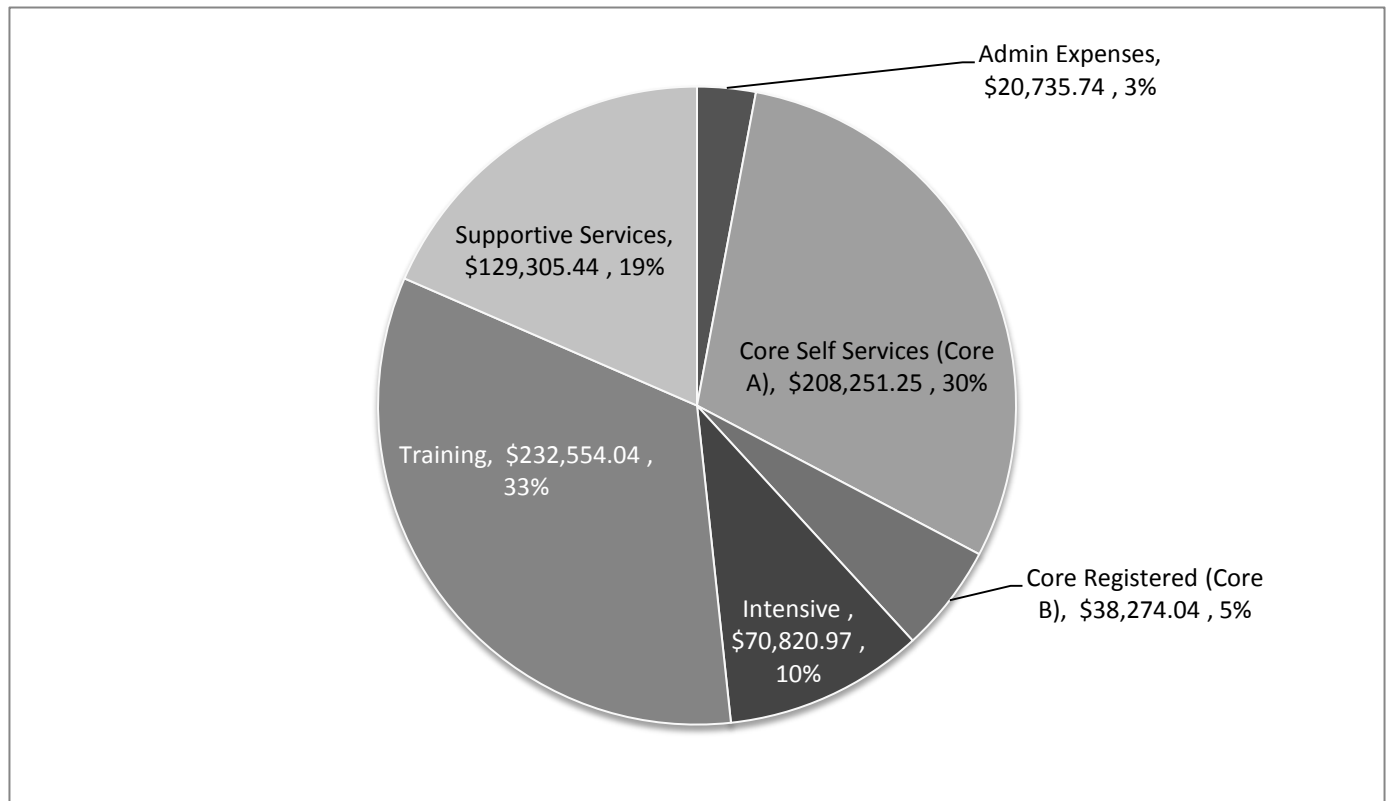
Training: Training services are available to eligible individuals who have met the requirements for intensive services and have not been able to obtain or keep employment. Individual Training Accounts (ITA) and On-the-Job Training (OJT) are established to finance training based upon the individual's choice of selected training programs.

Support Services: Support services are provided to WIA enrolled individuals who are unable to obtain support services through other programs. No service provider may provide support services funded by a WIA program until other local programs (that generally provide the support service needed by the client) have been contacted.

The expenditures reported for Adult funds by categories in the table on page 7 are based on reports filed to the State by the City of Oakland's Finance Management Agency. The majority of the Adult formula funds for FY 11-12 were spent in providing Core A services. The least amount of expenditures was spent in Core B services.

*Note: The cost category breakdown may not be reflective of actual service delivery as funds by categories have been previously developed by FMA. Affiliates are now including these breakdowns when submitting payment requests. We are still working with the Comprehensive One-Stop to include these cost categories with their payment requests.

Funding Source	Contract Term	Total FY 11-12 Allocation	Total Amount Expended	Total Amount Remaining	% of Contract Spent
WIA-Dislocated	7/1/2011-6/30/2013	\$ 1,424,412.00	\$ 699, 941.48	\$ 724,470.60	49.13%



Dislocated Worker Cost Categories:

Core Self Services (Core A): WIA excludes individuals who participate in only core self-services (Core A). Individuals who are primarily seeking information and do not receive direct one-on-one staff assistance and do not require enrollment into WIA programs. These activities include, access to the resource room, browsing the Internet and collecting information.

Core Registered (Core B): When there is significant involvement of resources and time, individuals are considered to be core registered (Core B) and, therefore, required to be registered for the WIA Adult and Dislocated Worker program. The activities include, career readiness workshops, job development and job placement assistance.

Intensive: Intensive services are available to unemployed individuals who have completed at least one core service and have not been able to obtain employment, or employed individuals needing additional services to obtain or keep employment that will lead to self-sufficiency. Services include, one-on-one Career Counseling, objective assessment, pre-vocational training, job development, supportive services and follow-up services.

Training: Training services are available to eligible individuals who have met the requirements for intensive services and have not been able to obtain or keep employment. Individual Training Accounts (ITA) and On-the-Job Training (OJT) are established to finance training based upon the individual's choice of selected training programs.

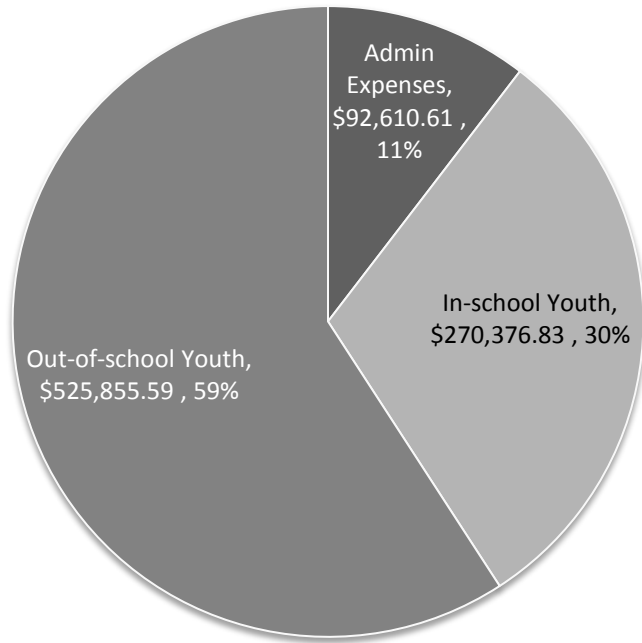
Support Services: Support services are provided to WIA enrolled individuals who are unable to obtain support services through other programs. No service provider may provide support services funded by a WIA program until other local programs (that generally provide the support service needed by the client) have been contacted.

The expenditures reported for Dislocated Worker funds by categories in the table on page 9 are based on reports filed to the State by the City of Oakland's Finance Management Agency. The majority of the Dislocated Worker formula funds for FY 11-12 were spent in providing Training Services. The least amount of expenditures was spent in Admin expenses.

*Note: The cost category breakdown may not be reflective of actual service delivery as funds by categories have been previously developed by FMA. Affiliates are now including these breakdowns when submitting payment requests. We are still working with the Comprehensive One-Stop to include these cost categories with their payment requests.

Table 3: Youth Services FY 11-12 Expenditure

Funding Source	Contract Term	Total FY 11-12 Allocation	Total Amount Expended	Total Amount Remaining	% of Contract Spent
WIA-Youth	7/1/2011-6/30/2013	\$ 1,763,131.00	\$ 888,843.03	\$ 874,287.97	50.41%



Provider	Contract Term	Total FY 11-12 Allocation	Total Amount Expended	Total Amount Remaining	% Spent	Total FY 12-13 Allocation
Spanish Speaking	7/1/2011-6/30/2012	\$97,367	\$65,806	\$31,561	67%	\$110,000
Lao Family	7/1/2011-6/30/2012	\$215,033	\$162,021	\$53,012	75%	\$242,131
Pivotal Point	7/1/2011-6/30/2012	\$331,480	\$89,083	\$242,397	27%	\$372,000
YEP In School	7/1/2011-6/30/2012	\$124,537	\$75,043	\$49,494	60%	\$147,000
YEP Out of School	7/1/2011-6/30/2012	\$229,296	\$85,038	\$144,258	37%	\$262,000
Youth Uprising	7/1/2011-6/30/2012	\$139,182	\$99,914	\$39,268	71.7%	\$157,000

Youth Services Cost Categories:

Administration: General administrative costs are that portion of necessary and allowable costs incurred for the overall management and administration of the WIA program and which are not directly related to the provision of services to participants.

Out-of-School Youth: An individual may be served as an out-of-school youth, if such an individual meets the definition of eligible youth and is a school dropout or has received a secondary diploma or its equivalent but is basic skills deficient, unemployed or underemployed.

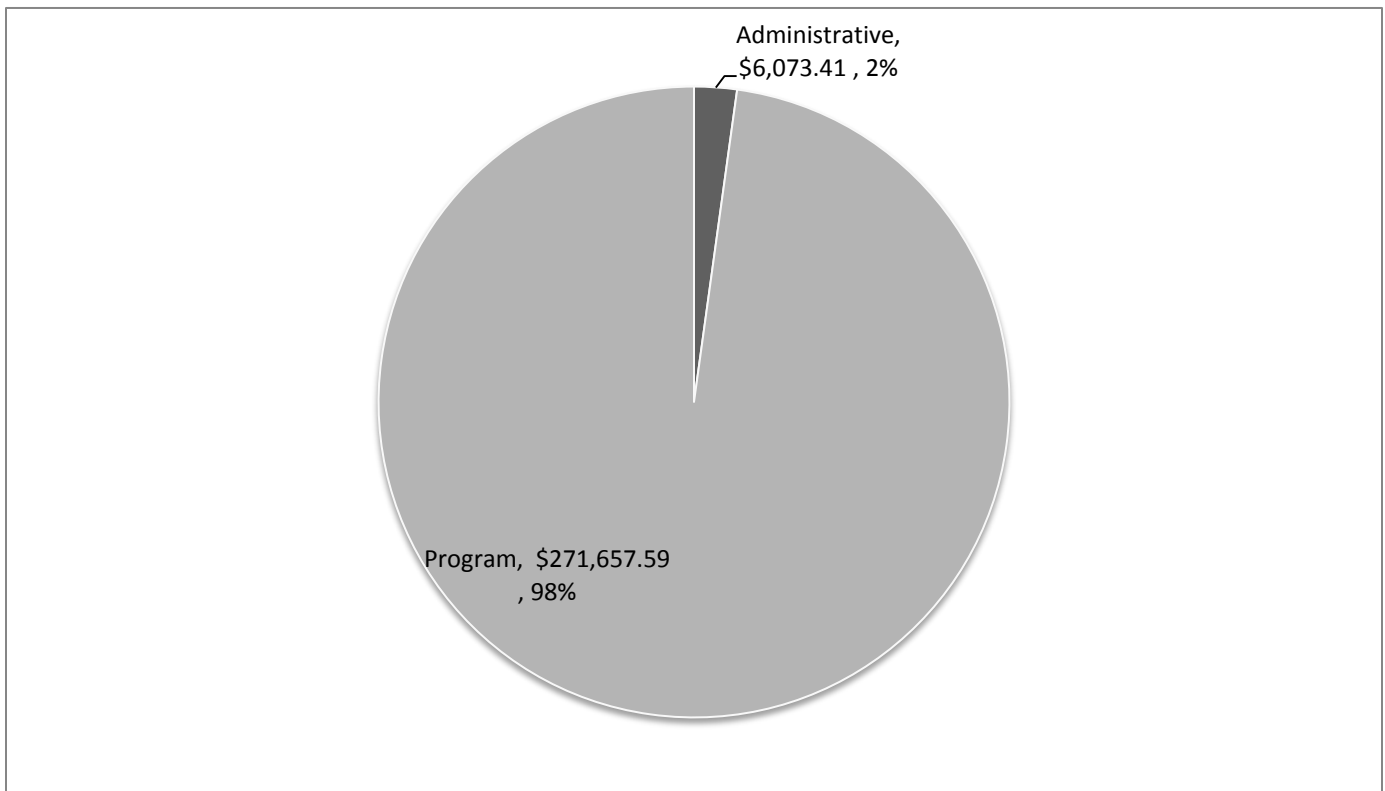
In-school Youth: An individual who meets the definition of eligible youth and requires additional assistance to complete an educational program, or to secure and hold employment.

The expenditures reported for Youth Services funds by categories in the table above are based on reports filed to the State by the City of Oakland's Finance Management Agency. The majority of the Youth Services formula funds for FY 11-12 were spent in providing services to Out-of-School Youth. The least amount of expenditures was spent in Admin expenses.

Enrollment has begun for Program Year 12-13. Most of the organizations have met their enrollment goals for the PY 11-12 and report very sound progress with their youth participants. The OWIB staff has scheduled onsite meetings with the Service Providers to provide technical assistance to the staff. Upcoming trainings will include VOS enrollment and VOS case management. The Youth Providers will hold a system meeting 3/4/2013 at Lao Family Community Development to discuss best practices, challenges and system wide initiatives. The contract amendments governing advances and contract extensions were ready for signature 2/20/13. The FY 11-12 funding expires 6/30/2013.

Table 4: Rapid Response FY 11-12 Expenditure

Funding Source	Contract Term	Total FY 11-12 Allocation	Total Amount Expended	Total Amount Remaining	% Spent
WIA-Rapid Response	7/1/2011-6/30/2013	\$ 277,231.00	\$ 277,231.00	\$ 0.00	100%



Rapid Response Cost Categories:

Administration: General administrative costs are that portion of necessary and allowable costs incurred for the overall management and administration of the WIA program and which are not directly related to the provision of services to participants.

Program: Program costs are the total costs incurred to operate program.

The expenditures reported for Rapid Response funds by categories in the table above are based on reports filed to the State by the City of Oakland’s Finance Management Agency. FY 11-12 funds for Rapid Response have been fully expended. The majority of the Rapid Response formula funds were spent program costs. The least amount of expenditures was spent in Admin expenses.

Expenditures for FY 12-13 are based solely on invoices submitted by grant recipients to the City of Oakland and processed by FMA as of February 7, 2013. Grant recipients have a two-year spending cycle on funds. FY 12-13 funds are available for expenditure through June 30, 2014. Provider contracts for FY 12-13 were not executed until the 2nd Quarter (Oct-Dec).

Financial information on special grants will be included in the discussion on those grants.

Table 5: FY 12-13 Budget and Expenditures

Grant Recipient	Contract Services	Contract Term	Total FY 12-13 Allocation	Total Amount Expended	Total Amount Remaining	% Spent
The English Center	Adult/DW	7/1/2012-6/30/2013	\$ 218,000.00	\$ 82,971.38	\$ 135,028.62	38%
Lao Family (Adult)	Adult/DW	7/1/2012-6/30/2013	\$ 262,000.00	\$ 60,474.18	\$ 201,525.82	23%
Lao Family (Youth)	Youth	7/1/2012-6/30/2013	\$ 242,131.00	\$ 0.00	\$ 242,131.00	0%
Oakland PIC (Operator)	System wide	7/1/2012-6/30/2013	\$ 491,542.00	\$ 309,655.76	\$ 181,886.24	63%
Oakland PIC (Comprehensive)	Adult/DW	7/1/2012-6/30/2013	\$ 1,627,330.00	\$ 709,249.26	\$ 918,080.80	44%
Oakland PIC (EastBay Works)	Adult/DW	7/1/2012-6/30/2013	\$ 97,925.00	\$ 0.00	\$ 97,925.00	0%
Pivotal Point	Youth	7/1/2012-6/30/2013	\$ 372,000.00	\$ 0.00	\$ 372,000.00	0%
Spanish Speaking Citizens Foundation	Youth	7/1/2012-6/30/2013	\$ 75,000.00	\$ 0.00	\$ 75,000.00	0%
Unity Council	Adult/DW	7/1/2012-6/30/2013	\$ 362,533.00	\$ 47,754.56	\$ 314,778.44	13%
YEP (ISY)	In-school Youth	7/1/2012-6/30/2013	\$ 147,000.00	\$ 0.00	\$147,000.00	0%
YEP (OSY)	Out-of-school Youth	7/1/2012-6/30/2013	\$ 262,000.00	\$ 0.00	\$262,000.00	0%
Youth Uprising	Out-of-school Youth	7/1/2012-6/30/2013	\$ 157,000.00	\$ 0.00	\$157,000.00	0%

Item 5-Performance Reports

FY 2012-13 Performance Report for Q2 period ending December 31, 2012

This report was prepared by the Oakland Private Industry Council on behalf of the City of Oakland based on information gathered from the Virtual One-Stop system and other reported data submitted on January 30, 2013.

One-Stop centers use varied strategies in providing the appropriate services to meet the needs of their customers. These services include:

Core Self Services (Core A): WIA excludes individuals who participate in only core self-services (Core A). Individuals who are primarily seeking information and do not receive direct one-on-one staff assistance and do not require enrollment into WIA programs. These activities include, access to the resource room, browsing the Internet and collecting information.

Core Registered (Core B): When there is significant involvement of resources and time, individuals are considered to be core registered (Core B) and, therefore, required to be registered for the WIA Adult and Dislocated Worker program. The activities include, career readiness workshops, job development and job placement assistance.

Intensive: Intensive services are available to unemployed individuals who have completed at least one core service and have not been able to obtain employment, or employed individuals needing additional services to obtain or keep employment that will lead to self-sufficiency. Services include, one-on-one Career Counseling, objective assessment, pre-vocational training, job development, supportive services and follow-up services.

Training: Training services are available to eligible individuals who have met the requirements for intensive services and have not been able to obtain or keep employment. Individual Training Accounts (ITA) and On-the-Job Training (OJT) are established to finance training based upon the individual's choice of selected training programs.

Support Services: Support services are provided to WIA enrolled individuals who are unable to obtain support services through other programs. No service provider may provide support services funded by a WIA program until other local programs (that generally provide the support service needed by the client) have been contacted.

As can be seen in table 6 on page 15, the great majority of individual users of the Oakland One-Stop system are at the Core Services level. From July 1, 2012 to December 31, 2012, a total of 21,466 individuals accessed services at the various One-Stops. Many of these individuals find employment with the self-services offered, but if they do not, the option of enrolling in intensive services is open. 662 individuals were enrolled in those intensive services. Exits and placements are tracked only for those participants who are WIA enrolled. A total of 198 participants have been confirmed employed at an average wage of \$13.70.

**Table 6: Visits, Registrations, Enrollments, Exits-Oakland One Stop System
7/1/12-12/31/12**

*includes information not yet entered in VOS

TOTAL			
Core Services			
Visits to One Stops: 56,392		Individual Visitors: 9,704	
New Core Registrants: 3,992			
Adult Services		Dislocated Worker Services	
WIA Enrollment: 490		WIA Enrollment: 172	
*Exited: 175	*Employment: 154	*Exited: 48	*Employment: 44
ENGLISH CENTER			
Core Services			
Visits to One Stop: 6,219		Individual Visitors: 452	
New Core Registrants: 372			
Adult Services		Dislocated Worker Services	
WIA Enrollment: 33		WIA Enrollment: 1	
*Exited: 14	*Employment: 14	*Exited: 9	*Employment: 9
LAO FAMILY			
Core Services			
Visits to One Stops: 10,801		Individual Visitors: 1,091	
New Core Registrants: 462			
Adult Services		Dislocated Worker Services	
WIA Enrollment: 21		WIA Enrollment: 5	
*Exited: 26	*Employment: 24	*Exited: 5	*Employment: 5
OAKLAND PIC includes (Downtown, Eastmont SSA & North Oakland SSA)			
Core Services			
Visits to One Stops: 36,573		Individual Visitors: 7,151	
New Core Registrants: 2,360			
Adult Services		Dislocated Worker Services	
WIA Enrollment: 382		WIA Enrollment: 160	
*Exited: 110	*Employment: 98	*Exited: 28	*Employment: 25
UNITY COUNCIL			
Core Services			
Visits to One Stop: 2,122		Individual Visitors: 917	
New Core Registrants: 760			
Adult Services		Dislocated Worker Services	
WIA Enrollment: 25		WIA Enrollment: 6	
*Exited: 16	*Employment: 14	*Exited: 6	*Employment: 5
ASSETS			
Core Services			
Visits to One Stop: 677		Individual Visitors: 93	
New Core Registrants: 38			
Adult Services			
WIA Enrollment: 29			
*Exited: 9		*Employment: 4	

The performance results as related to enrollment goals for the service providers contracted to offer services to Adults and Dislocated Workers through the One-Stop System is reflected in the table below. As can be seen in the chart below, the majority of providers of services to Adult and Dislocated Workers (including special populations such as older adult and reentry individuals) are on track to meeting the contracted goals in each category.

Table 7: Performance Goals vs Actual 7/1/12 – 12/31/12						
Provider	New Core Registrant Goals	New Core Registrants Actual	% Attained	WIA Enrollment Goals	WIA Enrollment Actual	% Attained
Oakland PIC	6,500	2,360	36%	1,000	542	54%
English Center	300	372	124%	80	34	43%
Lao Family	300	462	144%	46	26	57%
Unity Council	400	760	190%	60	31	52%
ASSETS	300	38	13%	30	29	97%
TOTALS:	7,500	3,992	53%	1,216	662	54%

The table below takes a look at individuals who have access training services between July 1, 2012 and December 31, 2012. 114 Adult and Dislocated Workers have enrolled into ITA or OJT during this period. Of these, 26 have completed training and 14 were exited with a placement. Included in the chart below is a breakdown of employment by industry.

Table 8: Individual Enrolled into Training 7/1/2012-12/31/2012								
ITA	Total Placed in Training	# Completed Training	Incomplete	In Progress	ITA Cost	Total Exited	Employed	Average Wage
	85	20	0	65	\$213,522	12	11	\$20.30
	Industry Breakdown of ITA Placements			Individuals Employed by Industry		% of Employment		
	Management			2		18%		
	Legal			1		9%		
	Protective Service			2		18%		
	Building and Grounds Cleaning Maintenance			1		9%		
	Personal Care and Service			1		9%		
	Construction and Extraction			1		9%		
	Production			1		9%		
Transportation and Material Moving			2		18%			
OJT	Total Placed in Training	# Completed Training	Incomplete	In Progress	OJT Cost	Total Exited	Employed	Average Wage
	29	6	1	22	\$117,540	3	3	\$18.08
	Industry Breakdown of OJT Placements			Individuals Employed by Industry		% of Employment		
	Management			1		33%		
	Life, Physical, and Social Science			1		33%		
Building and Grounds Cleaning Maintenance			1		33%			

Program summaries for Adult/Dislocated Worker service providers have been included to better understand the agencies activities, goals, challenges and needs. The summaries on the following pages were submitted by each provider and are included here as presented. The report covers the 2nd quarter of PY12-13 (Oct-Dec).

Lead Agency: Oakland Private Industry Council

Program Title: Comprehensive One Stop Career Center

Reporting Period: 7/1/12 to 12/31/12

1) Provide a brief summary of program activities for the reporting period (not to exceed five sentences).

PIC has continued the operation of the Comprehensive One Stop Career Center at 1212 Broadway in the new fiscal year which began July 1, 2012. Activities at the COSCC have included Core A (drop in) services, Core B (staff assisted workshops, etc) services, and Intensive (one-on-one job coaching, etc) services. PIC has also continued to assist the EDD in its Reemployment Eligibility Assessment project. PIC also conducted more than six on site recruitments at its downtown facility and/or its Eastmont Town Center satellite facility, attracting dozens of job seekers. PIC also continued its Rapid Response Activities which included the Hostess layoffs.

2) Describe accomplishment towards program goals and objectives achieved during the reporting period (not to exceed five sentences).

PIC is on track to complete or exceed all contract goals and program objectives. As for contracted goals: PIC is on target for enrollment of Adult Service clients into intensive services, well ahead of contract requirements for enrollment of dislocated workers, slightly under contracted goals for registrations into WIA (36% out of 50%), and slightly under contracted goals for job placements (25% out of 50%). PIC is well ahead of state measures concerning placements to exits (we are placing 89% of our Adult Services and our Dislocated clients who exit in jobs versus state measures of 68% and 72%, respectively). Average earnings are also well above state measures.

3) Describe program challenges or problems encountered during the reporting period (not to exceed five sentences).

The biggest challenge encountered during the reporting period was the continued economic cutbacks being suffered by the EDD in the face of the unfunded REA project, causing PIC to lose hundreds of registrations due to the EDD's inability to support this aspect of the Career Center operation. PIC hired two new staff and reassigned others to support EDD in its REA activities and, as a result, registrations more than doubled from the prior quarter. By year's end the contractual goal of 6,500 registrations into WIA will be met. Job placements were under the contracted levels but that is normal at the half year mark, and by year's end the placement goal of 500 is expected to be met.

4) Describe successes and highlights (not to exceed five sentences).

There have been several successes during the reporting period. Included in this are enrollments of dislocated workers, which not only exceeded contracted levels but are on a pace to more than double previous levels of dislocated worker enrollments. Also included are the successes of the on-site-recruitments. A recent OSR yielded 7 persons hired on the spot by employers, out of 10 clients who attended. PIC also implemented two reentry programs which augment the reentry services of the WIA Comprehensive One Stop - the Dept of Labor's Female Ex Offender (FExO) Program known as the Job Opportunities / Building Solutions (JOBS) and the Measure Y (Oakland Unite) Young Adult Reentry Program.

5) Please list any major fiscal or administrative changes (not to exceed five sentences).

The most major fiscal change for PIC has been the hiring of two additional staff and the reassignment of another staff member to support the Career Center operation during the EDD's fiscal difficulties. This additional expense to operate the Career Center has strained PIC's Comprehensive Career Center budget, which was already underfunded. PIC has begun addressing this issue with PIC staff pursuant to the Oakland WIB's prior commitment to review the budget at the mid-year mark.

Lead Agency: City of Oakland, Department of Human Services

Program Title: ASSETS Senior Employment Opportunities Program

Reporting Period: October 1, 2012 through December 31, 2012

1) Provide a brief summary of program activities for the reporting period (not to exceed five sentences).

The ASSETS program provides job search techniques, resume assistance, interviewing help and assistance with the online job application process. We also meet one-on-one with participants to assist them in their job search.

2) Describe accomplishment towards program goals and objectives achieved during the reporting period (not to exceed five sentences).

The program provides help job search, we also provide referrals to other community resources such as Legal Assistance for Seniors, various food programs, job listings and interviewing techniques.

3) Describe program challenges or problems encountered during the reporting period (not to exceed five sentences).

Challenges are lack of computer skills, many of our participants are lacking the education required for many positions. Many of our participants are experiencing age discrimination and competing with younger and more experienced individuals. This is why training is very important to our program.

4) Describe successes and highlights (not to exceed five sentences).

Jobs are opening up but there are a lot of competition looking for these jobs

5) Please list any major fiscal or administrative changes (not to exceed five sentences).

Due to budget cuts, there are staffing changes, which puts a heavier workload on the remaining staff.

Lead Agency: The Unity Council

Program Title: Workforce Investment Act (WIA)

Reporting Period: October 1, 2012 to December 31, 2012

1) Provide a brief summary of program activities for the reporting period (not to exceed five sentences).

Resume workshops continue to be provided to all one stops clients on a monthly basis. Clients continue to participate in a Basic Computer skills workshop, where they learn an array of computer usage skills, including internet job search techniques. Unity Council staff developed a Job Readiness Training to be offered at the One-Stop. Participants learn different employment seeking skills, including: effective networking, interviewing tips, and professionalism in the workplace.

2) Describe accomplishment towards program goals and objectives achieved during the reporting period (not to exceed five sentences).

None to report.

3) Describe program challenges or problems encountered during the reporting period (not to exceed five sentences).

None to report.

4) Describe successes and highlights (not to exceed five sentences).

None to report.

5) Please list any major fiscal or administrative changes (not to exceed five sentences).

November: Rocio Perez transitioned into the Workforce Development Manager position, and Gabriela Pingarron transitioned into the Workforce Development Coordinator position.

Lead Agency: English Center

Program Title: English Center One-Stop Career Center

Reporting Period: October 1, 2012 through December 31, 2012

1) Provide a brief summary of program activities for the reporting period (not to exceed five sentences).

The English Center provided employment services to 121 clients and 19 new WIA clients including supportive services, career preparation and job search assistance. The job seekers received career preparation and employment readiness through career classes as part of the standard career curriculum in the English Center's Career Readiness Program, which also includes intensive English Language and Technology training. Career Portfolios (The resume and cover letter) were completed by the job seekers with the help of career teachers while the job developer and career counselors provided one-on-one employment referrals to companies with job openings. At least 29 universal and WIA enrolled clients have been placed between 07/01/2012-12/31/2012 and the current WIA caseload is 126 clients.

2) Describe accomplishment towards program goals and objectives achieved during the reporting period (not to exceed five sentences).

In the last quarter, we implemented key-train workshops to all universal and WIA enrolled clients. Improvements include new system for preparing job-seekers for employers with career portfolios in the career classes consisting of the resume and cover-letter. The English Center hired a new Career Coordinator who interfaces with career teachers and 1-stop employment support staff in order to better serve the job-seekers. We have an improved system for tracking employment of clients because the career coordinator implemented 1-stop presentations in four career classes.

3) Describe program challenges or problems encountered during the reporting period (not to exceed five sentences).

The English Center is seeking to implement new strategies that would allow us to serve homeless and people with disabilities.

4) Describe successes and highlights (not to exceed five sentences).

We are seeing an increase in exits because there are more entry-level job openings in the job market. We hired a new career coordinator, which has improved center wide performance in job readiness and career preparation. In general, new systems have helped the successful integration of 1-stop clients in a wide-ranging job classifications.

5) Please list any major fiscal or administrative changes (not to exceed five sentences).

The 1-stop prepared for a three month maternity leave, which consisted of hiring one interim 1-stop assistant, and a new job developer.

Lead Agency: LAO FAMILY COMMUNITY DEVELOPMENT, INC

Program Title: WIA ADULT/DISLOCATED WORKER

Reporting Period: July 2012 - December 2012

1) Provide a brief summary of program activities for the reporting period (not to exceed five sentences).

"Stay Connected" event in September had 58 participants. Most of them are employed and some are still in job searching. Employed clients shared their story for those who are still in job hunting about challenging and how to keep their employment, and event how to get hired by employers. This event has a turn into a very interesting conversation for those who look for employment and now is time for them to networking, and build their relationship. We are now hosting this event quarterly, sponsor by One pacific Coast Foundation.

2) Describe accomplishment towards program goals and objectives achieved during the reporting period (not to exceed five sentences).

Adult: total of 26 participants enrolled, and with those – 20 of them employed, 15 exited as employment.
Dislocated worker: total of 5 participants enrolled – 4 of them gained employment, and 3 exited as employment.

3) Describe program challenges or problems encountered during the reporting period (not to exceed five sentences).

There are many universal clients with limited computer skills that need assistant for online job application and resume attachment. We are fortunate to have our volunteers to help out, especially on early dates of the week.

4) Describe successes and highlights (not to exceed five sentences).

On site job interviewing clinic conducted by our employers on a volunteers basic had impact our job placement rate. Often time, employers do not have job openings, but just by interviewing our participants, they hired this candidate because of their skills and knowing that this can make a different. Some employers took our participants resume with them for future hiring.

5) Please list any major fiscal or administrative changes (not to exceed five sentences).

N/A

Youth Programs Performance

The following tables are an update on the performance of youth service providers from July 1, 2012 to December 31, 2012. This report was prepared by the Oakland Private Industry Council on behalf of the City of Oakland based on information gathered from the Virtual One-Stop system and other reported data submitted on January 30, 2013. FY 12-13 contracts for youth providers were executed late November/early December.

Table 9	In-School Youth Participants			Out-of-School Youth Participants		
	Service Provider	Enrolled	Enrlmt Goal	% of Enrlmnt Goal	Enrolled	Enrlmt Goal
Pivotal Point	3	30	10.0%	7	48	0.0%
Lao Family	0	27	0.0%	0	24	14.6%
Spanish Speaking Citizens Foundation	0	18	0.0%	0	20	0.0%
Youth Employment Partnership	9	43	20.9%	11	44	25.0%
Youth Uprising	n/a			17	21	81.0%
TOTALS:	12	118	10.2%	35	157	22.3%

The tables below shows the results in the area of Enter Employment or Postsecondary Education as well as Degree/Diploma attainment for youth exited between July 1, 2012 and December 31, 2012.

Table 10: In-School Youth Participants									
*includes additional entries to be entered in the system									
Service Provider	Total Exited since 7/1/12	Emplmt or PostSec	% of emplmt/post -sec to Exits	Emplmt or PostSec State Goals	Succe ss Rate	# Diploma or Degree	% Degree /Diplom a	Degree or Dipl. State Goal	Dipl oma Succ ess Rate
AlCo Health C	0	0	0%	65%	0%	0	0%	61%	0%
Pivotal Point	0	0	0%	65%	0%	0	0%	61%	0%
Lao Family*	20	20	100.0%	65%	154%	18	90.0%	61%	148 %
Scotlan Center *	10	1	10.0%	65%	15%	8	80.0%	61%	131 %
Spanish Speaking *	2	1	50.0%	65%	77%	2	100.0%	61%	164 %
Youth Employment Partnership*	6	5	83.3%	65%	128%	6	100.0%	61%	164 %
TOTALS:	38	27	71.1%	65%	109%	34	89.5%	61%	147 %

Table 11: Out-Of-School Youth Participants

Service Provider	Total Exited since 7/1/12	Emplmt or PostSec	% of emplmt/post-sec to Exits	Emplmt or PostSec State Goals	Success Rate	# Diploma or Degree	% Degree /Diploma	Degree or Dipl. State Goal	Diploma Success Rate	# Lit/ Num Gain
Lao Family *	13	10	76.9%	65%	118%	0	0%	61%	0%	5
Pivotal Point*	8	1	12.5%	65%	19%	0	0%	61%	0%	0
Scotlan Center	7	0	0.0%	65%	0%	1	14.3%	61%	23%	0
Spanish Speaking	8	7	87.5%	65%	135%	8	100.0%	61%	164%	0
Youth Uprising *	3	0	0.0%	65%	0%	0	0%	61%	0%	0
YEP *	20	15	75.0%	65%	115%	9	45.5%	61%	74%	1
TOTALS:	59	33	55.9%	65%	86%	18	30.5%	61%	50%	6

The results are mixed in the area of Enter Employment or Postsecondary Education, but the results on the Attainment of Degree or Diploma are lower for most than the expected goals imposed by the State.

Program summaries for Youth service providers have been included to better understand the agencies activities, goals, challenges and needs. The summaries on the following pages were submitted by each provider and are included here as presented. The report covers the 2nd quarter of PY12-13 (Oct-Dec).

Lead Agency: The Youth Employment Partnership, Inc.

Program Title: Future Work Force

Reporting Period: December 5-December 31, 2012

1) Provide a brief summary of program activities for the reporting period (not to exceed five sentences).

Future Workforce is an after-school employment and training program serving 43 High School seniors. YEP's young adult program begin with a 10 hour Job Readiness Training (JRT) which includes employability soft skills, assessment, setting boundaries and financial literacy. At the completion of JRT, Teens enter the second phase of our training and start working at their subsidized work experience placements and participating in weekly soft skill –employability classes. All YEP programs include comprehensive case management. Placement into unsubsidized employment happens when the young adults have made significant progress in their employability.

2) Describe accomplishment towards program goals and objectives achieved during the reporting period (not to exceed five sentences).

YEP conducted outreach, recruitment, enrollment and two weeks of after school Job Readiness Training (JRT) for 22 in-school youth. The 22 High Schools Seniors have enter the second phase of our training obtained work permits and started working at their subsidized work experience placements, and participating in weekly soft skill –employability classes. We completed the outreach for the second cluster of trainees and they will begin JRT in the first week of February.

3) Describe program challenges or problems encountered during the reporting period (not to exceed five sentences).

WIB staff promised that our contracts were in process and we would be receiving them any day for over five months when they were not even started in the lengthy internal approval process required by the city. We kept delaying the start of the program and stringing trainees along which is damaging to YEP reputation with our applicants and certainly has an adverse impact on our ability to obtaining timely outcomes. The WIB authorized the funding of YEP contracts in May and WIB staff did not get the city manager authorization on our contracts until December 5, 2012.

4) Describe successes and highlights (not to exceed five sentences).

In Less than a three week period, YEP completed pre training and placed in work experience opportunities more than 50% of the contracted enrollment for the Future Workforce contract.

5) Please list any major fiscal or administrative changes (not to exceed five sentences).

None

Lead Agency: The Youth Employment Partnership, Inc.

Program Title: Transitional Jobs

Reporting Period: December 31, 2012

1) Provide a brief summary of program activities for the reporting period (not to exceed five sentences).

Transitional Jobs is a comprehensive employment and training program serving 44 young adults. YEP's young adult program begin with a 120 hrs. Job Readiness Training (JRT) which includes employability soft skills, assessment, classes on managing their PO, setting boundaries, cleaning up their driver's license mess and financial literacy. At the completion of JRT, Young Adults enter the second phase of our training and start working at their subsidized work experience placements, attending daily GED classes and participating in weekly soft skill –employability classes. All YEP programs include comprehensive case management. Placement into unsubsidized employment happens when the young adults have made significant progress in their employability.

2) Describe accomplishment towards program goals and objectives achieved during the reporting period (not to exceed five sentences).

YEP conducted outreach, recruitment, enrollment and Job Readiness Training (JRT) for 22 young adults, (out-of school youth). The 22 Young Adults have enter the second phase of our training and started working at their subsidized work experience placements, attending daily GED classes and participating in weekly soft skill –employability classes. We completed the outreach for the second cluster of trainees and they will begin JRT in the first week of February.

3) Describe program challenges or problems encountered during the reporting period (not to exceed five sentences).

WIB staff promised that our contracts were in process and we would be receiving them any day for over five months when they were not even started in the lengthy internal approval process required by the city. We kept delaying the start of the program and stringing trainees along which is damaging to YEP reputation with our applicants and certainly has an adverse impact on our ability to obtaining timely outcomes. The WIB authorized the funding of YEP contracts in May and WIB staff did not get the city manager authorization on our contracts until December 5, 2012.

4) Describe successes and highlights (not to exceed five sentences).

Just started but have 3 literacy gains

5) Please list any major fiscal or administrative changes (not to exceed five sentences).

None

Lead Agency: Lao Family Community Development, Inc.

Program Title: Youth Employment Program

Reporting Period: October 1, 2012 to December 31, 2012

1) Provide a brief summary of program activities for the reporting period (not to exceed five sentences).

All of the in-school youth who graduated from high school, entered post-secondary education were successfully exited. 16 out of 21 out-of-school youth also successfully exited. There are 5 out-of-school youth who remain in the program to complete the training, attain GED, job assisting and placements. Also, we are starting to recruit for new clients to be served.

2) Describe accomplishment towards program goals and objectives achieved during the reporting period (not to exceed five sentences).

82% enrolled youth completed the soft skills training in basic math/reading skills, career planning, job search skills, labor market knowledge, leadership development and team work skills. 100% in-school youth received high school diploma and entered post-secondary education.

3) Describe program challenges or problems encountered during the reporting period (not to exceed five sentences).

Out-of-school youth populations were harder to serve. Only 50% entered employment and entered post-secondary education. And none attained GED degree.

4) Describe successes and highlights (not to exceed five sentences).

20 in-school youth previous enrolled were successfully graduated from high school and received a high school diploma and 19 were entered post-secondary education either to a four year college or community college and one 1 enter employment.

5) Please list any major fiscal or administrative changes (not to exceed five sentences).

Ky Sundara, Youth Program Coordinator, is no longer with Lao Family Community Development, Inc. since November 2012. In December 2012, Lao Family hired Somneng Chan as the new Youth Program Coordinator. Somneng will oversee the Youth Program Services Department.

Lead Agency: Spanish Speaking Citizens' Foundation

Program Title: Futuro Verde

Reporting Period: 7/1/2011-12/30-2013

1) Provide a brief summary of program activities for the reporting period (not to exceed five sentences).

OUT of School-In August, 18 of 19 participants completed our 10 week SEE Green Careers vocational/educational bridging program. Currently our participants are attending college, working, studying for HS Diploma or GED or in some cases all three. IN-School- High school participants completed training and most have completed their community service hours.

2) Describe accomplishment towards program goals and objectives achieved during the reporting period (not to exceed five sentences).

Of the 18 participants who graduated from our SGC program, 15 have found employment with average wages of \$10/hr, 7 are enrolled in Higher Education and 6 are working on either their HS Diploma or GED. In-School youth- 100% complete training and 90% percent completed their community services hours, at this time they are attending high school and looking forward for graduation in June 2013.

3) Describe program challenges or problems encountered during the reporting period (not to exceed five sentences).

For In-School and out- of -school participants. Cash flow is a big problem as it is limits our capacity to better serve our participants and to provide above and beyond services they need. Introducing in house mental health services to youth and young adults has been a challenge. We continue to work on engaging our students to use these services to assist them with their own life challenges and struggles.

4) Describe successes and highlights (not to exceed five sentences).

Tyeisha has achieved all three WIA outcomes of a job, enrollment in Higher Education and GED and Warren Avilis will be right behind her come this May!!! Gabino and Jose landed \$13.50/hour jobs with their internship site!!! In-School youth- 2 of the participants graduated from High school and successfully attending post-secondary all others are staying focus to complete high school this year.

5) Please list any major fiscal or administrative changes (not to exceed five sentences).

Cash flow is a big problem as it is limits our capacity to better serve our participants and to provide above and beyond services they need.

Lead Agency: Youth UpRising

Program Title: WIA 2012-2014

Reporting Period: October to December

1) Provide a brief summary of program activities for the reporting period (not to exceed five sentences).

We currently have 15 young adults certified and enrolled programming. Staff has recruited the remaining participants to meet full enrollment in January 2013. Youth have been placed in the academic programming that support their educational needs identified in the Educational Plans and are making progress toward numeracy and literacy gains by the end of the program. In addition to weekly education support, youth attend both life skill and career building trainings to prepare them for work experience placements which are scheduled to begin in January 2013.

2) Describe accomplishment towards program goals and objectives achieved during the reporting period (not to exceed five sentences).

We currently have 15 young adults certified and enrolled programming. We have additional young people engaged in programming and awaiting completion of file certification. We are confident that we will meet our enrollment benchmark of 21 young adult in the next reporting period.

3) Describe program challenges or problems encountered during the reporting period (not to exceed five sentences).

The WIA certification process is very lengthy and cumbersome which often translates to delays and complications experienced by applicants. As such, we had the unfortunate experience of several young people engaging in programming and earning compensation, who were then unable to be paid via WIA funding due to unforeseen ineligibility determinations. Additionally, there were some participants whose compensation was delayed due to certifications still being in process. The certification process, which impacted participants' ability to be paid, hampered program engagement and buy-in. Some participants were discouraged when they became aware that other, already certified peers, were being compensated for program activities.

4) Describe successes and highlights (not to exceed five sentences).

Despite participant dissatisfaction with the program enrollment process, we did not experience any complete disengagement of participants due to lack of payment. We are on track to reach enrollment benchmarks and youth are actively engaging in programming.

5) Please list any major fiscal or administrative changes (not to exceed five sentences).

Again the WIA certification process is very lengthy and cumbersome which often translates to delays and complications experienced by applicants. Providing documentation for youth who have unstable housing and do not reside in transitional housing is difficult to document but necessary to the certification process. Staff will continue to work with youth and OPIC staff to gather and review these documents but would like city staff to be aware of how these youth in particular are impacted in delays due to their "homeless" status.

Lead Agency: Pivotal Point Youth Services

Program Title: Program Director

Reporting Period: OCT-DEC2012 (2011/2012 YR Program)

1) Provide a brief summary of program activities for the reporting period (not to exceed five sentences).

PPYS: Held a Career Exploration Forum. Shared with youth about how to access info on various careers including education requirements and job descriptions.

2) Describe accomplishment towards program goals and objectives achieved during the reporting period (not to exceed five sentences).

PPYS: Enrolled 2 In-School youth and 2 Out-of-school youth.

3) Describe program challenges or problems encountered during the reporting period (not to exceed five sentences).

PPYS: Cost reimbursement for youth wages is an issue. Sixteen (16) youth from Laney College have been waiting to get the word to work and feel they are being ignored.

4) Describe successes and highlights (not to exceed five sentences).

PPYS: Worked with youth around leadership development and accessing college information.

5) Please list any major fiscal or administrative changes (not to exceed five sentences).

Special Grants

New Start Final Report

Prepared by Oakland Private Industry Council

The California New Start Program, administered by the California Department of Corrections and Rehabilitation, and funded into the Oakland WIB's Comprehensive One Stop Career Center, ended on September 30, 2012. The current iteration of the New Start Program began in July 2010 and was contracted out by the City in January 2012. However, PIC's Breaking through Barriers staff nevertheless ran the program and reported statistics to the CDCR and EDD for the entire period of the grant.

Program Design and Goal

The program was designed to outreach, recruit, and enroll 140 persons reentering Oakland on parole (not probation), and to provide those enrollees with intensive, case managed, employment training services, vocational training, and job placement. There were three main goals of the program:

1. Enroll 140 parolees, and co-enroll them in WIA Adult and Dislocated Worker Services;
2. Have 51% (71) of those enrollees enter into training and 52% (73) of those enrollees complete vocational training; (the higher number for completions has to do with enrollees taking more than one training);
3. Place 44% (61) of the enrollees in employment.

Program Activities

As described above, the activities of the program were to outreach and enroll 140 parolees from various referral sources, including the CDCR's local parole agents and thereafter provide intensive case managed employment training services. All enrollees were co-enrolled in WIA Adult and Dislocated Worker services in order to provide them with support services (transportation, uniforms, tools, tuition, etc), as well as basic pre-employment training (4-day job search workshops, resume development, interview skills), computer classes to learn Virtual One Stop on line services, Key Train career and educational assessment testing, and access to vocational training dollars. Enrollees worked with their assigned case manager to develop an Individual Employment Plan (IEP) which reviewed the Key Train testing results, incorporated career and educational plans, mapped out strategies to deal with employment barriers and provided a timetable for completion. Enrollees also attended weekly orientations and focus groups to keep them engaged in the employment training process.

After completion of pre-employment training and/or vocational training activities (the latter where desired or indicated by Key Train testing), enrollees worked with their respective case managers to perform job search activities and follow up with placement opportunities. Case managers assisted the process by providing information to employers and processing of on-the-job trainings to assist the clients in securing employment.

Performance Outcomes and Accomplishments of Established Goals and Objectives

From the standpoint of outcomes and completion of objectives, the program was very successful. More than 220 parolees were enrolled (157% of program goal). More than 92 were placed in vocational training (71 were required). 90 out of 92 completed training (73

completions were required). The only program goal that has not yet been met is job placements. The program was to place 61 parolees but thus far has placed 47. However, there are still 60 more parolees to be exited so that it is likely that this goal will be met as well before the program closes down its exit activities.

Program Achievements

In looking at the above outcomes, the program has been an excellent one for Oakland. The most significant achievement was the number of enrollees who entered into and completed vocational training (90 out of 92). This is a remarkable achievement and shows the level of case management that was given to these enrollees. Moreover, most of the non-exited participants are persons who were completing training in the late fall of 2012 and are now seeking employment. Therefore, at some point, the program will be able to draw and strong correlation between vocational training completion and job placement.

Unanticipated Events that Created Obstacles to Project Success

The biggest obstacle encountered by our staff was the lack of a contract or any funding whatsoever for the program until February 2012, which compelled the staff to overburden their WIA resources and staff to support the program during this contractual and fiscal hiatus. This is why a number of enrollees have not yet been exited. They simply got started too late in completing their training.

Lessons Learned

The lessons learned from this program have been generally positive. One important thing that has been learned is that pre-employment training and vocational training, supported by OJTs are valuable tools in placing parolees into the workplace. A parolee who completes training is far more likely to secure permanent employment and to hold it than one who does not. The employment placement numbers may not look all that large, but are actually very significant given the barriers that these enrollees faced when placed on parole. We will have to await the exit of the last of the enrollees before we will know the full extent of the correlation between completion of training and job placement/retention. However, we believe it to be significant.

Fiscal Reporting

OPIC has \$7,362.90 remaining in program dollars and should be invoicing next billing cycle. The total grant amount received was \$178,874, of which the City of Oakland retained \$18,673 for administration costs.

The expenditures reported on the table below are for FY 11-12 funds based on reports filed to the State of California's Labor and Workforce Development Agency through the Job Training Automation (JTA) System on January 28, 2013 for expenditures reported through the 2nd Quarter (Oct-Dec). The reports to the State are completed by the City of Oakland's Finance Management Agency.

Funding Source	Contract Term	Total FY 11-12 Allocation	Total Amount Expended	Total Amount Remaining	% Spent
New Start	4/01/2010-9/30/2012	\$ 178,874.00	\$ 132,294.00	\$ 46,580.00	73.99%

Oakland Green Jobs Initiative

The Oakland Green Jobs Initiative was an Earmark Grant that the City of Oakland received in 2011. The grant was awarded to Oakland specifically to assist the reentry community by training the participants in “Green” occupations. Participants were case managed, trained, mentored and limited job development was provided. The grant was started late, and the period of performance was only one year. Because of this late start, one of the project partners was unable to perform on the contract. This grant has been closed. There are still outstanding payments with this contract.

Oakland Green Jobs Project

The Oakland Green Jobs Project was also an Earmark Grant awarded to the City. This grant was awarded to train the “hard to employ” which included long term dislocated workers, youth and reentry clients in Oakland, Richmond and Berkeley. This grant is presently in progress and we anticipate being awarded a 9 month no cost extension until December 2013. This extension will allow us to exceed our performance goals and fully expend the grant funds.

Contractor	Contract Term	Total FY 11-12 Allocation	Total Amount Expended	Total Amount Remaining	% Spent
Oakland Green Jobs Initiative	1/01/2011-3/31/2012	\$285,000	\$156,828.60	\$128,171.40	55.5%
Oakland Green Jobs Project	7/19/2011-3/31/2013	\$600,000	\$367,905.69	\$232,094.31	61.3%

High Concentration of Eligible Youth

High Concentration of Eligible Youth is a grant awarded by the Employment Development Department’s Workforce Services Division and operated by Youth Employment Partnership to serve Out-of-School WIA-eligible youth who are currently court involved and on parole or probation.

Contracts for this grant were not signed and executed until December 2012. YEP informed Program Analyst that they will be submitting invoices for the period through December 2012 for the amount of \$64,000.00 and drawn down the remaining balance at the close of the grant period. The program has served 21 youth who are currently in the second phase of training and working at their subsidized work experience placements. Within 8 weeks of working, two trainees were hired and have obtained their GED.

The expenditures reported on the table below are for FY 11-12 funds based on reports filed to the State of California’s Labor and Workforce Development Agency through the Job Training Automation (JTA) System on January 28, 2013 for expenditures reported through the 2nd Quarter (Oct-Dec). The reports to the State are completed by the City of Oakland’s Finance Management Agency.

Funding Source	Contract Term	Total FY 11-12 Allocation	Total Amount Expended	Total Amount Remaining	% Spent
High Concentration	6/30/2011-3/31/2013	\$ 100,000.00	\$ 10,000.00	\$ 90,000.00	10%

DISTRIBUTION DATE: 2/15/13



MEMORANDUM

TO: HONORABLE MAYOR &
CITY COUNCIL

FROM: John Bailey

SUBJECT: Workplan to Obtain On-the-Job
Training Funds

DATE: February 15, 2013

City Administrator

Date

Approval

/s/ **Deanna J. Santana**

2/15/13

INFORMATION

The purpose of this Information Memo is to provide details about workplan and timeline being implemented by Oakland's Workforce Development staff to secure \$900,000 of on-the-job training funds to support up to 180 dislocated workers in Oakland. These funds would help mitigate the recent loss of federal workforce dollars as a result of administrative flaws from a previous administration (see Background section for more details).

Given Oakland's unemployment rate—which, though declining, is still higher than the state average—the City and Workforce Development (WFD) staff recognize the critical need for workforce funds to ensure that Oakland's residents receive the employment training necessary for sustained employment.

At the invitation of the State of California's Employment Development Department (EDD), City WFD staff is working diligently with EDD to design an on-the-job training program application for up to \$900,000, which will be submitted in early March. EDD strongly supports the City's workplan and approach in this effort, as California and states throughout the country are under pressure to mitigate the profound problem of long-term unemployment through federal Workforce Investment Act (WIA) discretionary funds.

Timeline

At the invitation of EDD, WFD staff plans to submit its Discretionary Grant application to EDD in **early March**. Staff has recommended to EDD that we engage the expertise and services of the

WIB's Employer Services Provider, which it is scheduled to approve by the **end of May**. Once the WIB budget and contracts are approved by the Oakland City Council prior to going on summer recess in August, the WFD staff plans to have the new contracts developed and executed by **September 2013**.

Background

In spring 2010, staff in then-Mayor Dellums' office submitted a grant application to the U.S. Department of Labor for a National Emergency On-the-Job Training Grant, which was funded by the American Recovery and Reinvestment Act (ARRA) to provide one-time, on-the-job training opportunities for dislocated workers. An allocation of \$725,462 was awarded in July 2010. The designated direct service providers were Youth Employment Partnership and Volunteers of America Bay Area. The Oakland Private Industry Council was responsible for verifying client eligibility and enrolling the dislocated workers.

However, the grant funds were restricted to a different purpose (on-the-job training) than how the City's program was structured (work experience/re-entry). In addition, selection of the service providers did not follow an RFP process, as required in the grant. These issues were not disclosed until October 2011, more than halfway through the funding period.

When this new Administration discovered these problems, staff worked with the California Employment Development Department, making every effort to correct the contract errors and obtain a three-month extension to the original grant to allow us to expend as much of the grant as possible. When the grant funding period ended in September 2012, for the two reasons cited above, \$600,000 was de-obligated in two separate amounts.

In January 2011, the role of System Administrator of workforce funds transitioned to the City of Oakland. Since that time, the City has staffed the workforce team with qualified professionals, and Mayor Quan has been personally involved in the selection and appointment of members to the Workforce Investment Board to ensure that the Board includes high-caliber, actively engaged members. Through the transition period, workforce staff has enhanced the efficiency and professionalism of the operation; for example, they have streamlined the procedures to contract for services and monitored invoice payments to those agencies providing client services.

EDD Support

EDD and the Department of Labor are very supportive of the direction the Mayor, WIB and City Council have taken over the past two years. The City should be the System Administrator of WIA funds and must have ample capacity to support the work of its service providers to ensure that the funds are managed effectively and produce optimal results.

At the Deputy Chief level, EDD has expressed support for a City-administered on-the-job training program that has a combination of flexibility and quality control to produce optimal results. As long as the WFD office is able to maintain its current level of capacity, which EDD acknowledges in a most positive manner, then Oakland can move beyond the current controversy and focus on doing the work that is needed for its unemployed residents.

Oakland Proposing a Strong Program Design

WFD staff is engaging the expertise of an Employer Services Provider (ESP), which the WIB is in the process of selecting through its competitive Request for Proposal process. The ESP will be responsible for providing technical assistance to the Workforce Investment Board's adult service providers responsible for developing on-the-job training opportunities for dislocated workers, with an emphasis on people who are long-term unemployed (six months and longer).

The strength of this model is that the ESP has no conflict of interest in assisting the City in administering these on-the-job training funds, but rather will serve in a technical assistance and quality control capacity for those providers which will be developing the on-the-job training opportunities for their WIA-enrolled dislocated workers. The ESP will also identify and cultivate employers who are interested in and able to create on-the-job training positions, with the requirement that they will retain these clients beyond the term of the on-the-job training contract, which will be \$4,000.

In most instances, these employers will be in a position to claim State Enterprise Zone hiring Tax Credits, which over a period of five years can total more than \$37,000 in State income tax payments.

EDD has expressed strong interest in working with the Oakland WIB and WFD staff in developing this program model to ensure it has the flexible features and controls built in to succeed. From staff's point of view, this is an extraordinary vote of confidence from EDD in the City's and Oakland WIB's heightened capacity to support such a program, procure third-party services appropriately, remove all perception of conflict of interest, and meet the goals of enabling as many as 180 dislocated workers to obtain gainful employment.

Procurement of Services and Oversight

The adult service providers, including the Comprehensive One-Stop Career Center and Neighborhood Career Center operators, will be selected on the same timeline as the ESP. The process for allocating the on-the-job training funds among these adult service providers has not yet been developed. Agencies with the greatest capacity to generate quality on-the-job training opportunities will receive a high level of consideration. The WIB Employer Strategies Committee and System Leadership Committee will play integral roles in helping to shape, support and monitor this new on-the-job training program.

Lessons Learned and Staying the Course

At the Deputy Chief level, EDD is supportive of Oakland because it understands the problems the City faced during the transition of becoming the WIA System Administrator, and believes the City and the Oakland WIB are moving in a positive and functional direction. Lessons learned from the NEG/OJT experience include the following:

- Clearly understand the goals and parameters of the funding;
- Competitively procure the services of qualified providers;
- Provide strong program and technical support and guidance for the providers;

- Ensure adequate cash flow through timely contract execution, cash advances, and quick reimbursement processes; and,
- Develop and maintain strong, real-time oversight and quality control measures to ensure optimal success.

With the City of Oakland and the Oakland WIB support, this on-the-job training program and other WIA-funded programs will receive the support and guidance they need to meet the employment needs of Oakland residents. The transition of System Administration to the City is nearly accomplished. The fact that EDD is so supportive of Oakland’s on-the-job training Discretionary Fund application is an encouraging indication that the City is moving forward on the work at hand—enabling Oakland residents to obtain gainful employment.

Respectfully submitted,

/s/

JOHN BAILEY
Executive Director
Workforce Investment Board

For questions, please contact John Bailey, Executive Director, Workforce Investment Board, at (510) 238-6440.

OAKLAND PRIVATE INDUSTRY COUNCIL
RAPID RESPONSE REPORT
2ND QUARTER
OCTOBER, NOVEMBER, DECEMBER 2012

January 4, 2013

Prepared by:
Anne Chan
Rapid Response Manager
Oakland Private Industry Council

Fourth Quarter Rapid Response companies include:

Key Curriculum	12 employees	Layoff date:	11/2/12
ShuttlePort-Veolia	82 employees	Layoff date:	11/30/12
Ampco System Parking	56 employees	Layoff date:	12/1/12
Hostess Brands	151 employees	Layoff date:	11/16/12
Total	301		

WARN notices were issued for all of the companies except for Key Curriculum.

Key Curriculum is a book publisher and printer. The company started in 1971 and created math books written by classroom teachers for the two decades. McGraw-Hill Education joined with Key in August 2012. McGraw-Hill's strong presence in the Science, Technology, Engineering and Math (STEM) disciplines and developed a strong relationship in the K-12 Education arena.

Although, Key Curriculum is located in Emeryville, we have provided Rapid Response services to them in earlier layoffs. They contacted me and wanted us to provide the orientations, materials and services for this current layoff.

McGraw-Hill is looking at opening a site in Oakland in the near future.

ShuttlePort-Veolia operates the Parking and AirBART Shuttle Bus services and Curbside Management services at the Oakland Airport. When I spoke with the Manager in October and met with her in November, she said that the new contractor is Ampco System Parking and they would be keeping most, if not all, of the ShuttlePort employees. The employees were required to reapply for their jobs as a process for their transition from one company to another.

Ampco Systems Parking is a division of ABM Industries. We received a WARN notice on November 5, 2012 regarding the termination of their contract as the Parking Operator at the

(Continued)

Oakland Airport. The new contractor taking over Ampco's duties is LAZ Parking. The manager at Ampco said that the LAZ parking would be hiring all of the Ampco employees when the new contract begins on December 1, 2012.

Hostess Brands closed down all of their facilities on November 16, 2012 and laid off 16,000 workers nationwide. The company, even though it was an institution in its longevity, failed in its efforts to be successful through a series of new investors, who bought Hostess Brands and its extremely popular products, such as HoHo's, Dolly Madison, Twinkies, etc.

The company will sell its brand names and company to a number of interested suitors. Unfortunately, they will be unable to recoup the cost of operating under two bankruptcy filings. Employees, many who had worked for over 25 years with the company, lost much of their pension, vacation time and other benefits. Management of the company has been criticized for their excessive salaries and cutbacks for employees.

Two Rapid Response Orientations were held for the workers in the Bay Area. The first one was on December 3, held in conjunction with the Bakers Union, California Labor Federation and United Way Union representatives. Forty-five employees attended the Orientation which was held at the Baker's Union Hall on Doolittle Drive in San Leandro. The second Orientation, held on December 17, was held at the Teamsters Union Hall on Merced St., San Leandro and 50 workers attend this event.

The December 17 Rapid Response session was a regional one including Oakland, Alameda County, Contra Costa County, Marin, San Mateo, San Jose, Santa Clara and other Workforce Investment Areas which had workers who were impacted and living in these areas.

Item 6 – Status of Payments to Providers

The table below is the Invoice Tracking Log developed in October 2012. The purpose of this log is to view/track all invoices that enter the system by date. Processing days are calculated by working days and do not include holidays or business closures. Invoices recorded into the Invoice Tracking Log have an average 17.7 day turn around.

Invoice Date	Date Invoice Received by WIB Staff	Prgm Year	Invoice No.	Invoice Amount	Description	Date Submitted FMA	Date Payment Posted	No. of Processing Days	Note
10/1/2012	9/7/2012	FY 11-12	SSCF2,SSCFWIAWA 2	\$ 7,090.88	MSJP, Futuro Verde		10/30/2012	36	
9/6/2012	9/11/2012	FY 11-12		\$ 4,713.63	One Stop Comprehensive Career Center-Rapid Response (7/1/12-7/31/12)	9/24/2012	9/28/2012	13	
9/6/2012	9/11/2012	FY 11-12		\$ 7,160.15	One Stop Operator-Dislocated Worker (7/1/12-7/31/12)	9/24/2012	9/28/2012	13	
9/6/2012	9/11/2012	FY 11-12		\$ 9,073.84	One Stop Comprehensive Career Center-Adult (7/1/12-7/31/12)	9/24/2012	9/28/2012	13	
9/6/2012	9/11/2012	FY 11-12		\$ 7,720.66	One Stop Comprehensive Career Center-Dislocated Worker (7/1/12-7/31/12)	9/24/2012	10/2/2012	15	
9/6/2012	9/11/2012	FY 11-12		\$ 16,586.17	One Stop Operator-Adult (7/1/12-7/31/12)	9/24/2012	10/2/2012	15	
9/11/2012	9/11/2012	FY 12-13		\$ 15,067.94	One Stop Operator-Youth (7/1/12-7/31/12)	10/3/2012	10/5/2012	18	
9/11/2012	9/11/2012	FY 12-13		\$ 32,984.79	One Stop Comprehensive Career Center-Adult (7/1/12-7/31/12)	10/3/2012	10/5/2012	18	
9/11/2012	9/11/2012	FY 12-13		\$ 10,286.06	One Stop Comprehensive Career Center-Rapid Response (7/1/12-7/31/12)	10/3/2012	10/11/2012	21	
9/11/2012	9/11/2012	FY 12-13		\$ 10,996.36	One Stop Operator-Dislocated Worker (7/1/12-7/31/12)	10/3/2012	10/11/2012	21	
9/11/2012	9/11/2012	FY 12-13		\$ 33,115.65	One Stop Comprehensive Career Center-Dislocated Worker (7/1/12-7/31/12)	10/10/2012	10/11/2012	21	
9/6/2012	9/14/2012	FY 11-12		\$ 11,068.32	One Stop Comprehensive Career Center-Adult-New Start (7/1/12-7/31/12)	10/3/2012	10/5/2012	15	
9/20/2012	9/21/2012	FY 11-12		\$ 2,354.95	One Stop Operator-Dislocated Worker (8/1/12-8/31/12)	10/3/2012	10/5/2012	10	
9/20/2012	9/21/2012	FY 11-12		\$ 3,490.54	One Stop Comprehensive Career Center-Rapid Response (8/1/12-8/31/12)	10/3/2012	10/5/2012	10	

Invoice Date	Date Invoice Received by WIB Staff	Prgm Year	Invoice No.	Invoice Amount	Description	Date Submitted FMA	Date Payment Posted	No. of Processing Days	Note
9/20/2012	9/21/2012	FY 11-12		\$ 8,337.39	One Stop Comprehensive Career Center-Dislocated Worker (8/1/12-8/31/12)	10/3/2012	10/5/2012	10	
9/20/2012	9/21/2012	FY 11-12		\$ 10,194.73	One Stop Comprehensive Career Center-Adult-New Start (8/1/12-8/31/12)	10/3/2012	10/5/2012	10	
9/20/2012	9/21/2012	FY 11-12		\$ 13,345.70	One Stop Comprehensive Career Center-Adult (8/1/12-8/31/12)	10/3/2012	10/5/2012	10	
9/20/2012	9/21/2012	FY 11-12		\$ 42,444.53	One Stop Operator-Adult (8/1/12-8/31/12)	10/3/2012	10/5/2012	10	
9/20/2012	9/21/2012	FY 12-13		\$ 13,664.49	One Stop Operator-Adult (7/1/12-7/31/12)	10/3/2012	10/11/2012	13	
9/20/2012	9/21/2012	FY 12-13		\$ 17,375.59	One Stop Comprehensive Career Center-Rapid Response (8/1/12-8/31/12)	10/3/2012	10/11/2012	13	
9/20/2012	9/21/2012	FY 12-13		\$ 17,668.92	One Stop Operator-Adult (8/1/12-8/31/12)	10/3/2012	10/11/2012	13	
9/20/2012	9/21/2012	FY 12-13		\$ 18,220.89	One Stop Operator-Dislocated Worker (8/1/12-8/31/12)	10/3/2012	10/11/2012	13	
9/20/2012	9/21/2012	FY 12-13		\$ 21,056.95	One Stop Operator-Youth (8/1/12-8/31/12)	10/3/2012	10/11/2012	13	
9/20/2012	9/21/2012	FY 12-13		\$ 41,066.05	One Stop Comprehensive Career Center-Dislocated Worker (8/1/12-8/31/12)	10/10/2012	10/11/2012	13	
9/20/2012	9/21/2012	FY 12-13		\$ 43,452.50	One Stop Comprehensive Career Center-Adult (8/1/12-8/31/12)	10/10/2012	10/11/2012	13	
9/20/2012	9/21/2012	FY 12-13		\$ 27,745.47	One Stop Operator-OJT NEG (7/1/12-8/31/12)	10/15/2012	10/16/2012	16	
9/24/2012	9/24/2012	FY 11-12	EBGJI	\$ 7,705.02	OAK WIB East Bay Green Jobs Project Cypress Mandela Inc.		12/4/2012	49	
9/26/2012	9/26/2012	FY 11-12	Youth Uprising	\$ 36,508.82	Benchmark, Supportive Services payments		10/23/2012	18	
10/12/2012	10/15/2012	FY 12-13		\$ 29,119.93	One Stop Operator-OJT NEG (9/1/12-9/30/12)	10/16/2012	10/16/2012	1	
10/12/2012	10/15/2012	FY 11-12	OPIC-OS-12-008DW	\$ 180.00	One Stop Operator-Dislocated Worker (9/1/12-9/30/12)	10/25/2012	11/6/2012	16	
10/12/2012	10/15/2012	FY 11-12	OPIC-CCC-12-009RR	\$ 1,474.32	One Stop Comprehensive Career Center-Rapid Response (9/1/12-9/30/12)	10/25/2012	11/6/2012	16	

Invoice Date	Date Invoice Received by WIB Staff	Prgm Year	Invoice No.	Invoice Amount	Description	Date Submitted FMA	Date Payment Posted	No. of Processing Days	Note
10/12/2012	10/15/2012	FY 11-12	OPIC-OS-12-009A	\$ 12,201.95	One Stop Operator-Adult (9/1/12-9/30/12)	10/25/2012	11/6/2012	16	
10/12/2012	10/15/2012	FY 11-12	OPIC-CCC-12-009DW	\$ 3,999.92	One Stop Comprehensive Career Center-Dislocated Worker (9/1/12-9/30/12)	10/25/2012	11/6/2012	16	
10/12/2012	10/15/2012	FY 11-12	OPIC-CCC-12-009NS	\$ 10,250.80	One Stop Comprehensive Career Center-Adult-New Start (9/1/12-9/31/12)	10/25/2012	11/6/2012	16	
10/12/2012	10/15/2012	FY 11-12	OPIC-CCC-12-009A	\$ 12,036.83	One Stop Comprehensive Career Center-Adult (9/1/12-9/30/12)	10/25/2012	11/6/2012	16	
10/12/2012	10/15/2012	FY 12-13	OPIC-CCC-13-003RR	\$ 18,806.71	One Stop Comprehensive Career Center-Rapid Response (9/1/12-9/30/12)	10/25/2012	11/6/2012	16	
10/12/2012	10/15/2012	FY 12-13	OPIC-CCC-13-003DW	\$ 38,381.06	One Stop Comprehensive Career Center-Dislocated Worker (9/1/12-9/30/12)	10/25/2012	11/6/2012	16	
10/12/2012	10/15/2012	FY 12-13	OPIC-CCC-13-003A	\$ 45,951.22	One Stop Comprehensive Career Center-Adult (9/1/12-9/30/12)	10/25/2012	11/6/2012	16	
10/12/2012	10/15/2012	FY 10-11	EBWS-2012-13-001	\$ 17,664.96	EastBay Works Cost Share (7/1/12-9/30/12)	12/17/2012	12/20/2012	45	Requires further review, invoice indicates funds requested from FY 10-11
10/12/2012	10/15/2012	FY 12-13	EBWS-2012-13-001	\$ 3,937.94	EastBay Works Cost Share (7/1/12-9/30/12)	10/25/2012		#NUM!	Provider took invoice from FMA without informing PA, resubmitted 1/31
10/12/2012	10/17/2012	FY 12-13	OPIC-OS-13-003Y	\$ 17,317.77	One Stop Operator-Youth (9/1/12-9/30/12)	11/6/2012	11/13/2012	18	
10/12/2012	10/17/2012	FY 12-13	OPIC-OS-13-003DW	\$ 17,368.61	One Stop Operator-Dislocated Worker (9/1/12-9/30/12)	11/6/2012	11/13/2012	18	
6/29/2012	10/17/2012	FY 12-13	190040	\$ 64.33	WIA Year Round, Youth LeaderSHIFT youth participant wages	11/7/2012	11/15/2012	20	

Invoice Date	Date Invoice Received by WIB Staff	Prgm Year	Invoice No.	Invoice Amount	Description	Date Submitted FMA	Date Payment Posted	No. of Processing Days	Note
6/29/2012	10/17/2012	FY 11-12	190041	\$ 38,887.92	WIA Year Round, Youth LeaderSHIFT invoice period 01/01/12to06/30/12	11/7/2012	11/15/2012	20	
10/12/2012	10/19/2012	FY 12-13	OPIC-OS-13-003A	\$ 31,886.83	One Stop Operator-Adult (9/1/12-9/30/12)	11/6/2012	11/13/2012	16	
10/12/2012	10/24/2012	FY 12-13	OPIC-NEG-12-002	\$ 23,983.88	One Stop Operator-OJT NEG (9/1/12-9/30/12)	10/25/2012	10/30/2012	4	
10/25/2012	11/1/2012	FY 11-12	Number 7	\$ 10,607.64	Cypress Mandela Training Center, Inc.	12/6/2012	12/11/2012	27	
10/23/2012	11/8/2012	FY 12-13	Unity Council 2013-002	\$ 457.00	Unity Council Supportive Services Adult (August 1-August 30, 2012)	11/26/2012	11/30/2012	13	
10/23/2012	11/8/2012	FY 12-13	Unity Council 2013-001	\$ 2,255.89	Unity Council One-Stop Dislocated Worker (July 1-July 31, 2012)	11/26/2012	11/30/2012	13	
10/23/2012	11/8/2012	FY 12-13	Unity Council 2013-002	\$ 2,473.86	Unity Council One-Stop Dislocated Worker (August 1-August 30, 2012)	11/26/2012	11/30/2012	13	
10/23/2012	11/8/2012	FY 12-13	Unity Council 2013-001	\$ 20,302.95	Unity Council One-Stop Adult (July 1-July 31, 2012)	11/26/2012	11/30/2012	13	
10/23/2012	11/8/2012	FY 12-13	Unity Council 2013-002	\$ 22,264.86	Unity Council One-Stop Adult (August 1-August 30, 2012)	11/26/2012	11/30/2012	13	
11/6/2012	11/13/2012	FY 12-13	Lao Family 2013-001	\$ 789.73	Lao Family One Stop Supportive Services Adult (July 1-July 31, 2012)	11/26/2012	12/4/2012	14	
11/6/2012	11/13/2012	FY 12-13	Lao Family 2013-001	\$ 4,230.30	Lao Family One Stop Dislocated Workers (July 1-July 31, 2012)	11/26/2012	12/4/2012	14	
11/6/2012	11/13/2012	FY 12-13	Lao Family 2013-001	\$ 10,352.55	Lao Family One Stop Adult (July 1-July 31, 2012)	11/26/2012	12/4/2012	14	
11/13/2012	11/13/2012	FY 11-12	YEPTWOS_4	\$ 24,417.62	Transitional Workforce Dev.-Out of School Youth	12/12/2012	12/20/2012	25	
11/13/2012	11/14/2012	FY 11-12	MSJP PRC6000	\$ 6,000	YEP Cost Reimbursement : WIA Youth Svs	12/17/2012	12/20/2012	24	
11/13/2012	11/14/2012	FY 11-12	YEPFWIS_4	\$ 16,463.57	FutureWorkforce-ISY (1/1/12-10/31/12)	12/17/2012	12/20/2012	24	
11/14/2012	11/14/2012	FY 11-12	PPYSEEVE_7	\$ 1,803.15	Mayors Summer Job Program	1/14/2013	1/18/2013	40	

Invoice Date	Date Invoice Received by WIB Staff	Prgm Year	Invoice No.	Invoice Amount	Description	Date Submitted FMA	Date Payment Posted	No. of Processing Days	Note
11/30/2012	11/30/2012	FY 11-12	OPIC-OS-12-0010DW	\$ 2,580.00	One Stop Operator-Dislocated Worker (10/1/12-10/31/12)	12/17/2012	12/20/2012	14	
11/30/2012	11/30/2012	FY 11-12	OPIC-CCC-12-0010RR	\$ 474.43	One Stop Comprehensive Career Center-Rapid Response (10/1/12-10/31/12)	12/17/2012	12/20/2012	14	
11/30/2012	11/30/2012	FY 11-12	OPIC-CCC-12-0010NS	\$ 5,036.48	One Stop Comprehensive Career Center-Adult-New Start (10/1/12-10/31/12)	12/17/2012	12/20/2012	14	
11/30/2012	11/30/2012	FY 11-12	OPIC-CCC-12-0010DW	\$ 6,561.22	One Stop Comprehensive Career Center-Dislocated Worker (10/1/12-10/31/12)	12/17/2012	12/20/2012	14	
11/30/2012	11/30/2012	FY 11-12	OPIC-CCC-12-0010A	\$ 11,996.26	One Stop Comprehensive Career Center-Adult (10/1/12-10/31/12)	12/17/2012	12/20/2012	14	
11/30/2012	11/30/2012	FY 12-13	OPIC-OS-13-004DW	\$ 11,711.60	One Stop Operator-Dislocated Worker (10/1/12-10/31/12)	12/17/2012	12/21/2012	15	
11/30/2012	11/30/2012	FY 12-13	OPIC-CCC-13-004RR	\$18,762.88	One Stop Comprehensive Career Center-Rapid Response (10/1/12-10/31/12)	12/17/2012	12/21/2012	15	
11/30/2012	11/30/2012	FY 12-13	OPIC-CCC-13-004DW	\$ 50,447.07	One Stop Comprehensive Career Center-Dislocated Worker (10/1/12-10/31/12)	12/17/2012	12/21/2012	15	
11/30/2012	11/30/2012	FY 12-13	OPIC-CCC-13-004A	\$ 74,054.77	One Stop Comprehensive Career Center-Adult (10/1/12-10/31/12)	12/17/2012	12/21/2012	15	
11/30/2012	11/30/2012	FY 12-13	OPIC-OS-13-004A	\$14,752.18	One Stop Operator-Adult (10/1/12-10/31/12)	12/17/2012	12/21/2012	15	
11/30/2012	11/30/2012	FY 12-13	OPIC-OS-13-004Y	\$,572.51	One Stop Operator-Youth (10/1/12-10/31/12)	12/17/2012	12/21/2012	15	
12/7/2012	12/1/2012	FY 11-12	SSCFFWIAWages#2	\$ 2,132.68	Furturo Verde WIA Wages # 2	1/3/2012		#NUM!	Contract delay
11/30/2012	12/5/2012	FY 12-13	Lao Family 2013-002	\$ 12,980.06	Lao Family One Stop Adult and Dislocated Worker (8/1/12-8/31/12)	1/9/2013	1/10/2013	21	
12/7/2012	12/7/2012	FY 11-12	SSCFFWIAWages#1	\$ 750.00	Furturo Verde WIA Wages #1	1/3/2012		#NUM!	
12/7/2012	12/7/2012	FY 12-13	SSCFFV_Y2_3	\$ 11,567.00	Furturo Verde WIA Wages SSCR	1/3/2012		#NUM!	

Invoice Date	Date Invoice Received by WIB Staff	Prgm Year	Invoice No.	Invoice Amount	Description	Date Submitted FMA	Date Payment Posted	No. of Processing Days	Note
12/6/2012	12/11/2012	FY 12-13	8	\$ 10,607.64	OAK WIB East Bay Green Jobs Project Cypress Mandela Inc.	12/12/2012	12/12/2012	1	
12/12/2012	12/12/2012	FY 11-12	PPYSEEVE_8A	\$ 16,376.57	Project EEVE Pivotal Point	1/14/2013	1/18/2013	22	
12/12/2012	12/14/2012	FY 12-13	Lao Family 2013-003	\$ 14,146.58	Lao Family One Stop Affiliate Adult and Dislocated Worker (September 2012)		1/10/2013	14	
12/12/2012	12/14/2012	FY 12-13	Lao Family 2013-004	\$ 17,974.96	Lao Family One Stop Affiliate Adult and Dislocated (October 2012)		1/10/2013	14	
12/6/2012	12/18/2012	FY 12-13	English Center 2013-001	\$ 21,774.96	English Center Adult and Dislocated Worker July 2012		1/10/2013	12	
12/6/2012	12/18/2012	FY 12-13	English Center 2013-002	\$ 19,941.10	English Center Adult and Dislocated Worker August 2012		1/10/2013	12	
12/20/2012	12/21/2012	FY 11-12	OPIC-OS-12-0011A	\$ 1,620.03	One Stop Operator-Adult (11/1/12-11/30/12)	1/31/2013	1/5/2013	5	
12/18/2012	12/21/2012	FY 12-13	English Center 2013-003	\$ 20,741.42	English Center Adult and Dislocated Worker Sept 2012		1/10/2013	9	
12/18/2012	12/21/2012	FY 12-13	English Center 2013-004	\$ 20,513.90	English Center Adult and Dislocated Worker October 2012		1/10/2013	9	
12/20/2012	12/21/2012	FY 12-13	OPIC-CCC-13-005RR	\$ 25,235.53	One Stop Comprehensive Career Center-Rapid Response (11/1/12-11/30/12)	1/23/2013	1/29/2013	21	
12/20/2012	12/21/2012	FY 12-13	OPIC-CCC-13-005A	\$103,666.76	One Stop Comprehensive Career Center-Adult (11/1/12-11/30/12)	1/23/2013	1/29/2013	21	
12/20/2012	12/21/2012	FY 12-13	OPIC-OS-13-005A	\$ 20,498.26	One Stop Operator-Adult (11/1/12-11/30/12)	1/23/2013	1/29/2013	21	
12/20/2012	12/21/2012	FY 12-13	OPIC-OS-13-005DW	\$ 15,967.04	One Stop Operator-Dislocated Worker (11/1/12-11/30/12)	1/23/2013	1/29/2013	21	
12/20/2012	12/21/2012	FY 12-13	OPIC-OS-13-005Y	\$ 24,962.65	One Stop Operator-Youth (11/1/12-11/30/12)	1/23/2013	1/29/2013	21	
12/20/2012	12/21/2012	FY 12-13	OPIC-CCC-13-005DW	\$ 85,926.02	One Stop Comprehensive Career Center-Dislocated Worker (11/1/12-11/30/12)	1/23/2013	1/29/2013	21	

Invoice Date	Date Invoice Received by WIB Staff	Prgm Year	Invoice No.	Invoice Amount	Description	Date Submitted FMA	Date Payment Posted	No. of Processing Days	Note
12/20/2012	12/21/2012	FY 11-12	OPIC-CCC-12-0011A	\$ 1,539.60	One Stop Comprehensive Career Center-Adult (11/1/12-11/30/12)	1/23/2013	1/31/2013	23	
12/20/2012	12/21/2012	FY 11-12	OPIC-CCC-12-0011DW	\$ 1,224.88	One Stop Comprehensive Career Center-Dislocated Worker (11/1/12-11/30/12)	1/23/2013	1/31/2013	23	
12/20/2012	12/21/2012	FY 11-12	OPIC-CCC-12-0011RR	\$ 1,374.69	One Stop Comprehensive Career Center-Rapid Response (11/1/12-11/30/12)	1/23/2013	1/31/2013	23	
12/20/2012	12/21/2012	FY 11-12	OPIC-CCC-12-0011NS	\$ 3,071.19	One Stop Comprehensive Career Center-New Start (11/1/12-11/30/12)	1/23/2013	1/31/2013	23	
1/8/2013	1/4/2013	FY 11-12		8 \$ 8,245.73	East Bay/Oakland Green Jobs	1/30/2013		#NUM!	
1/8/2013	1/8/2013	FY 11-12		9 \$ 11,022.34	East Bay/Oakland Green Jobs			#NUM!	
1/4/2013	1/8/2013	FY 12-13		8 \$ 8,245.73	Cypress Mandela Training Center, Inc. EBGJP#8				
1/10/2013	1/10/2013	FY 11-12	OPIC-CCC-12-0012A	\$ 1,219.28	One Stop Comprehensive Career Center-Adult (12/1/12-12/31/12)	1/31/2013	2/7/2013	19	
1/10/2013	1/10/2013	FY 11-12	OPIC-CCC-12-0012DW	\$ 3,858.29	One Stop Comprehensive Career Center-Dislocated Worker (12/1/12-12/31/12)	1/31/2013	2/7/2013	19	
1/10/2013	1/10/2013	FY 11-12	OPIC-CCC-12-0012RR	\$ 3,201.02	One Stop Comprehensive Career Center-Rapid Response (12/1/12-12/31/12)	1/31/2013	2/7/2013	19	
1/10/2013	1/10/2013	FY 11-12	OPIC-CCC-12-00012NS	\$ 1,721.68	One Stop Comprehensive Career Center-Adult-New Start (12/1/12-12/31/12)	1/31/2013	2/7/2013	19	
1/10/2013	1/10/2013	FY 11-12	OPIC-OS-12-0012A	\$ 2,245.53	One Stop Operator-Adult (12/1/12-12/31/12)	1/31/2013	2/7/2013	19	
1/10/2013	1/10/2013	FY 11-12	OPIC-OS-12-0012DW	\$ 3,600.00	One Stop Operator-Dislocated Worker (12/1/12-12/31/12)	1/31/2013	2/7/2013	19	
1/10/2013	1/10/2013	FY 12-13	OPIC-OS-13-006A	\$ 13,494.12	One Stop Operator-Adult (12/1/12-12/31/12)	1/31/2013	2/7/2013	19	
1/10/2013	1/10/2013	FY 12-13	OPIC-OS-13-006DW	\$ 10,719.88	One Stop Operator-Dislocated Worker (12/1/12-12/31/12)	1/31/2013	2/7/2013	19	

Invoice Date	Date Invoice Received by WIB Staff	Prgm Year	Invoice No.	Invoice Amount	Description	Date Submitted FMA	Date Payment Posted	No. of Processing Days	Note
1/10/2013	1/10/2013	FY 12-13	OPIC-CCC-13-006A	\$ 75,821.17	One Stop Comprehensive Career Center-Adult (12/1/12-12/31/12)	1/31/2013	2/7/2013	19	
1/10/2013	1/10/2013	FY 12-13	OPIC-OS-13-006Y	\$ 15,728.76	One Stop Operator-Youth (12/1/12-12/31/12)	1/31/2013	2/7/2013	19	
1/10/2013	1/10/2013	FY 12-13	OPIC-CCC-13-006DW	\$ 53,508.89	One Stop Comprehensive Career Center-Dislocated Worker (12/1/12-12/31/12)	1/31/2013	2/7/2013	19	
1/10/2013	1/10/2013	FY 12-13	OPIC-CCC-13-006RR	\$ 14,461.31	One Stop Comprehensive Career Center-Rapid Response (12/1/12-12/31/12)	1/31/2012	2/7/2013	20	
1/10/2013	1/10/2013	FY 10-11	EBWS-2012-13-002	\$ 13,233.91	EastBay Works Cost Share (10/1/12-12/31/12) Carryover FY10-11	2/5/2013		#NUM!	
1/10/2013	1/10/2013	FY 12-13	EBWS-2012-13-002	\$ 7,807.04	EastBay Works Cost Share (10/1/12-12/31/12)			#NUM!	
1/11/2013	1/11/2013	FY 12-13	Lao Family 2013-005	\$ 17,058.54	Lao Family November 2012	1/31/2013		#NUM!	
12/21/2012	1/14/2013	FY 11-12	LAOYEP year 11/12#3	\$ 48,283.28	Lao Family Community LAOYEP Year 11/12 #3	2/5/2013		#NUM!	
1/29/2013	1/31/2013	FY12-13	UC 2013-003	\$ 34,764.65	Unity Council One-Stop Adult/DW (September 2012)			#NUM!	
1/29/2013	1/31/2013	FY12-13	UC 2013-004	\$ 27,273.84	Unity Council One-Stop Adult/DW (October 2012)			#NUM!	
1/1/2013	1/31/2013	FY11-12	LAOMSJP2012#5	\$ 9,888	Lao MSJP 2012 8/17/13-9/30/12			#NUM!	Insufficient follow up material submitted. Vendor alerted 2/1/13
2/4/2013	2/6/2013	FY 11-12	(YEP/OS/11-12)-2	\$ 41,305.28	YEP Transitional Workforce Development-OSY			#NUM!	Insufficient backup documentation submitted. Vendor alerted 2/13/13

Invoice Date	Date Invoice Received by WIB Staff	Prgm Year	Invoice No.	Invoice Amount	Description	Date Submitted FMA	Date Payment Posted	No. of Processing Days	Note
2/4/2013	2/6/2013	FY 11-12	(YEP/IS/11-12)-2	\$ 25,293.92	YEP Future Workforce-ISY			#NUM!	Insufficient backup documentation submitted. Vendor alerted 2/13/13
2/4/2013	2/6/2013	FY 11-12	(YEP/HC/12-13)-01	\$ 56,043.32	WIA 15% High Concentration of Youth Grant			#NUM!	Insufficient backup documentation submitted. Vendor alerted 2/13/13

Item 7 – Status of Monitoring Findings

Attached are four pages of monitoring findings sent by the State Monitoring unit. The Tables below lists all open findings in the Corrective Action Tracking System (CATS) from prior Program and Fiscal & Procurement monitoring reviews. The first page contain findings as far back as Program Year 2003-04 that may have been solved but no official response from the City.

Staff is working closely with the State Monitoring unit to resolve past findings.

CATS #	Brief Summary of Issue as it was last identified	Program Year Identified	Date of Last Report	Status Update
40023(P)	Document in JTA system youth supportive services and case management services.	2003-04	02/27/04	
40194(PR)	Verify implementation of Corrective Action Plan (CAP) to provide adequate documentation and justification for using sole source procurement method.	2003-04	11/15/04	
50189(F)	Ensure subrecipient monitoring includes systematic follow up of corrective action.	2004-05	11/16/05	
11260(F)	Provide Corrective Action Plan (CAP) to conduct fiscal and program reviews for subrecipients and copies of reports.	2010-11	2/24/12	
50190(F)	Ensure audit resolution process followed for WIA related findings of single audits of subrecipients.	2004-05	11/16/05	
50191(PR)	Provide documentation to support procurement for \$2,260 and a Corrective Action Plan (CAP) for future.	2004-05	11/16/05	
90190(F)	Provide documentation to support procurement.	2008-09	02/03/10	
70203(P)	Ensure youth contractor registers participants required for Selective Service.	2006-07	04/16/07	

70264(F) 90188(F)	Obtain RSAs for OUSDAE and Job Corps.	2006-07 2008-09	07/09/07 2/3/10	
80060(P)	Provide MOU with all required One-Stop partners.	2007-08	04/10/08	
10247(F)	Need MOU with OUSDAE and Job Corps. Need RSA with on-site partners.	2009-10	11/09/10	
70265(PR) 80142(PR) 90191(PR) 10025(S) 10249(PR)	Ensure that a cost/price analysis is conducted for procurement transactions.	2006-07, 2007-08, 2008-09, 2009-10, 2009-10	07/09/07, 08/22/08, 02/03/10, 02/02/10, 11/09/10	
80061(P) 90209(P), 10077(P), 10252(F) 12112(P)	Obtain a business majority for the Oakland WIB.	2007-08, 2008-09, 2009-10, 2009-10, 2011-12	04/10/08 10/27/09 10/19/10 12/14/11 6/1/12	WIB now has a business majority. Pending closure.
80139(F)	Ensure WIB meetings occur and minutes are publicly available. WIB not carrying out their requirements.	2007-08	08/22/08	
80141(F)	Reallocate costs based on relative benefits received and provide documentation to CRO.	2007-08	08/22/08	
80143(PR) 90193(PR) 10076(P) 10251(PR)	Provide contracts including provisions between City of Oakland and OPIC for One-Stop Operator and System Administrator.	2007-08 2008-09 2008-09 2009-10	08/22/08 02/03/10 10/19/10 11/09/10	
90210(P) 10078(P) 10253(F) 12113(P)	Obtain representative who is parent of eligible youth and representative who is former participant for Youth Council.	2008-09 2009-10 2009-10 2011-12	10/27/09 10/19/10 11/09/10 6/1/12	
90211(P)	Ensure objective assessment and service strategy is used for PPYS.	2008-09	10/27/09	

11232(P)	Provide CAP to ensure that SYFC provides objective assessment and service strategy and that YEP documents service strategy and includes signatures in files.	2010-11	12/13/11	
10026(S)	Provide copies of four work permits for SYP participants and a CAP.	2009-10	02/02/10	
10027(S)	Provide verification of eligibility for two SYP participants.	2009-10	02/02/10	
10028(S)	Provide a CAP to ensure all eligible participants receive a meal period.	2009-10	02/02/10	
10075(P)	Provide documentation City of Oakland is expeditiously and effectively carrying out provisions of ARRA.	2009-10	10/19/10	
10246(F)	Allocate charges to correct funding source. Reverse various WIA charges and charge to non-WIA funding stream.	2009-10	11/09/10	
10248(F)	Report accruals quarterly. Include review of accruals in subrecipient monitoring.	2009-10	11/09/10	
80140(F) 90189(F)	Redistribute staff time charges to reflect after-the-fact distribution of actual activity.	2007-08 2008-09	8/22/08 2/3/10	
11259(F)	Provide hours and salary documentation for 5 staff reviewed and cost allocation plan for WIA/ARRA charges and CAP.	2010-11	2/24/12	
10250(PR)	Provide a CAP to ensure rating forms and evaluation criteria are maintained in file.	2009-10	12/14/11	
11230(P)	Provide CAP to ensure contracts are completed timely to allow activities during PY.	2010-11	12/13/11	
11231(P) 12118(P)	Provide documentation that participants reviewed received services within 90 day rule or exit from program and CAP.	2010-11 2011-12	12/13/11 6/1/12	

11233(P)	Review literacy and numeracy scores for PY 2009-10 and 2010-11, back-out pre and post-test scores based on appraisal testing. Provide CAP	2010-11	12/13/11	
11234(P)	Provide eligibility documentation for 2 participants or reverse any WIA/ARRA charges and provide CAP.	2010-11	12/13/11	
11235(P)	Locate lost records or provide documentation supporting stipend payments to participants and provide written notification to participants and CAP.	2010-11	12/13/11	
11236(P)	Provide local nondiscrimination information and grievance procedures, provide CAP to ensure signed copy maintained in file.	2010-11	12/13/11	
12114(P)	Update EO nondiscrimination information and provide it to active participants, ensure posted in public locations.	2011-12	6/1/12	
12115(P)	Update grievance information and poster and provide copies.	2010-11	6/1/12	
12116(P)	Provide CAP to select impartial hearing office.	2010-11	6/1/12	
12117(P)	Provide CAP for priority of service P & P for intensive/training services.	2010-11	6/1/12	Priority of Service Policy has been developed and approved September 27, 2012. Pending closure.
12119(P)	Provide documentation participant was eligible for UIB or had exhausted benefits.	2011-12	6/1/12	
12121(P)	Review invoices for allowable payment of all invoices submitted by OPIC and CAP.	2011-12	6/1/12	

LEGEND: (P) = Program Issue, (F) = Fiscal Issue, (PR) = Procurement issue, (S) = ARRA SYP

Item 8 – Policies and Procedures

STAFF RECOMMENDATION: That the System Leadership Committee adopts a motion to implement the policy on monitoring and oversight responsibilities regarding the Workforce Investment Act (WIA) and related procedures to standardized guidelines concerning oversight, evaluation and monitoring.

CITY OF OAKLAND
OFFICE OF ECONOMIC AND WORKFORCE DEVELOPMENT
OAKLAND WORKFORCE INVESTMENT BOARD

DIRECTIVE No: 12-004
TO: WIA Service Providers
EFFECTIVE: February 26, 2013
SUBJECT: Program Monitoring – Policies and Procedures

PURPOSE: This directive establishes the Oakland Workforce Investment Board (OWIB)'s policy on monitoring and oversight responsibilities regarding the Workforce Investment Act (WIA) and contains related procedures to standardized guidelines concerning oversight, evaluation and monitoring.

POLICY: It is the policy of the OWIB, as the Administrative entity, to provide monitoring and oversight of its contracted Services Providers and other programs operated by or on behalf of the WIB. Monitoring and oversight will be designed to comply with State and Federal standards. To execute this policy the OWIB has established protocols for conducting this process, to ensure program quality and fiscal integrity, which results in comprehensive reports of findings and documented follow-up for required corrective actions.

REFERENCES:

- EDD Directive WIAD00-7, Standards for Oversight and Instructions for Substate Monitoring
- WIA Sections 117(d)(4), 184(a)(2)(A), 184 (a)(3)(A), and 184(a)(5)(A)
- Title 20 Code of Federal Regulations (CFR) Sections 667.400(c)(1), 667.410(a), and 667.410(f)(6)
- Title 29 CFR Parts 95 and 97
- Office of Management and Budget (OMB) Circular A-21, Cost Principles for Educational Institutions
- OMB Circular A-87, Cost Principles for State, Local and Indian Tribal Governments
- OMB Circular A-122, Cost Principles for Non-Profit Organizations
- OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations
- WIA Directive WSD12-10, Procurement
- WIA Directive WSD10-1, Nondiscrimination and Equal Opportunity Procedures

PROCEDURE:

Required Monitoring for Service Providers (Youth and Adult)

Notifications and Scheduling of Review

The OWIB will produce the program compliance monitoring schedule and notify the service providers of the monitoring dates thirty (30) days prior to the scheduled date of the monitoring, set a specific time for the entrance conference, request arrangements for suitable workspace for the review of participant files and program documentation and arrange a private space in which to conduct confidential staff and participant interviews. If the monitor anticipates that some participants may be non-English speaking then the service provider should be asked if they can make staff available to translate. If the provider is unable to provide this support then the monitor will need to make alternate arrangements for translation services. A Notice of Intent to Monitor confirmation letter will be sent via email and/or U.S. Mail will contain the following information, requests for information and attachments:

- a. Copy of WIA Administrative Questionnaire (self-evaluation)
- b. Request for names/contact information of staff that would be most appropriate to assist the program monitor in completing all of the above questionnaires.
- c. Number of participant files that the program monitor will be reviewing (names will be provided at the entrance conference) (see section (b)(1) below for further information).
- d. Number of participant interviews to be conducted (interviewees to be a sub-set of the participant file list)
- e. Copy of the contract-specific (adult, youth, etc.) Applicable Participant Questionnaire
- f. Confirmation of the workspace arrangements for the program monitor to conduct file reviews and private space for conducting confidential staff/participant interviews
- g. Confirmation of translation support for participant interviews
- h. Duration and timeframes for the on-site monitoring process, including start and end dates and entrance conference time

The monitors shall contact the service provider once more via email one week prior to the scheduled site visits as a courtesy reminder. A return acknowledgement of receipt of email will be required from the service provider.

Frequency of Monitoring

Program monitoring of service providers will be conducted once per program year to ensure that programs are operated are in compliance with applicable federal, state and local regulations. Monitoring sessions will primarily consist of:

1. Desk Review:

Desk Review shall consist of, but not limited to:

1. Review contracts, files, documents, and related correspondence;
2. Review Federal and State regulations, as applicable;
3. Review MIS information, including current enrollment and placement info;
4. Review previous monitoring reports.

2. On-site Review:

On-site visits and reviews are conducted so that the monitor can:

1. Determine the extent of program implementation and to identify problem areas;
2. Determine what training is being provided and whether the training is in compliance with the contract/agreement;
3. Verify data reviewed during the desk review phase;
4. Determine the cause(s) of deviations from planned program performance which have been previously identified during the desk review;
5. Review program information and activities that are not quantifiable and thus not evident in the desk review of performance data;
6. Integrate hard data from document review with observations and input from participants and providers so that the entire program performance can be evaluated in context.

The On- Site Review consists of the following:

(a) Entrance Conference

1. For initial site visits

Present overview of the visit, including programs to be reviewed and information required to complete monitoring visit.

2. For compliance monitoring

Present overview of the visit, including programs to be reviewed and information required to complete monitoring visit.

3. Interviews

- With staff involved with contract activity;
- Program participants at sites;

(b) Document Review

Program and fiscal records are the primary sources of information to review during an on-site monitoring visit. The on-site review of documents and records serves to validate desk review findings and the responses on the WIA administrative and contract-specific questionnaires. It identifies problems and discrepancies that may require further investigation. Under WIA rules, program monitors have a right to see all records relating to WIA-funded contracts/agreements. Proof of performance and contractual compliance should be evident based upon certain elements of documentation:

- Program records for compliance with contract;
- Review systems for controlling program administration, including determination of participant eligibility;
- Review pay records (time cards/sheet) and attendance reports to ensure controls are established for preventing unauthorized payments;
- Review (ITA/OJT, internship, etc.) contracts/agreements between service provider and the training provider to ensure that training is being provided and payments are appropriate. Contracts shall be checked for dates, authorized signatures, amounts paid, and supporting documents to justify payment;

- Review staff levels, operating procedures, and contracts to determine training provider capability to fulfill contract obligations;
- Review corrective action plan as applicable.

A sample of the following records shall be reviewed:

Contract files:

- a) Contract;
- b) Modification(s);
- c) Contract Exhibit(s).
- d) Schedule(s)

Participant files:

- a) Client Action forms;
- b) Registration, enrollment and eligibility support documentation;
- c) Confidentiality form, signed by participant and dated;
- d) Job performance evaluation/assessment;
- e) Individual Service Strategy (ISS) or Individual Employment Plan (IEP);
- f) Placement/Termination forms;
- g) Documentation of competencies (youth or adults);
- h) Timesheets

3. Participant Case File Review (Youth and Adult Programs)

The review of participant case files is a key step in determining whether or not the service provider is following program guidelines, WIA eligibility criteria, and the contract scope of work. The review is documented by use of the state case file review forms. The Youth Case File Review Worksheet and the Adult and Dislocated Workers Case File Review Worksheet. The program monitor shall refer to RWIAD04-18, Workforce Investment Act Eligibility Technical Assistance Guide, as the resource guide for the case file reviews.

Random Sampling

Participant Files

Participant files should be reviewed from three different categories – those who have recently entered the program, those who have been in the program for some time or are nearing completion, and those who have exited the program.

NOTE: The random sample size for participant file reviews is as follows:

- Programs with 30 or less participants – 20%
- Programs with 31 to 50 participants – 25%
- Programs with 51 to 75 participants – 20%
- Programs with 76 to 100 participants – 15%
- Programs with more than 100 participants – 15%

Participant Interviews

Participant interview samples should also be from these three different training status categories and come from the same pool as the participant file review samples.

It is recommended that 50% of the participants whose files are being reviewed also be interviewed by the monitor, given the difficulty of contacting and scheduling interviews with participants who have exited the program, this group should make up no more than 20%. Participants who have exited the program may be interviewed by phone; participants who are still in the program should be interviewed face-to-face whenever possible, with telephone interviews being allowable when face-to-face interviews cannot be successfully scheduled within the timeframe allowed for the monitoring period.

In circumstances where there is significant deviation (more than 20%) between planned performance and actual performance and/or there are allegations of fraud or abuse the program monitor must consult with Program Oversight Manager or Director to determine if a larger sample size is necessary.

A. Interviews

The WIA Administrative Questionnaire forms the basis of the interviews with the administrative and program staff. Additional areas of concern identified during the Desk Review phase of the monitoring process can also be addressed through staff interviews. Utilizing the contract-specific Participant Questionnaires the monitor can gain valuable information from participants about the effectiveness of program administration and operations, as well as insights into the level of customer service being provided.

B. Observation

Observation is an important tool to help the monitor experience to some degree the actual delivery of services. Observations can lead to initial perceptions of the contractor's operations that must then be validated or negated by careful investigation and analysis. Monitors should pay particular attention to observing the following areas that are typically not reflected in MIS reports or other contract/agreement documentation:

4. Work Sites

Work Sites are reviewed to ensure that providers are aware of and in compliance with applicable health and safety standards. The following is a list of guidelines that will be used in reviewing work sites during a visit:

- Health and safety standards (OSHA assurance, certification & regulations)
- Location
 - accessibility to clients
 - handicapped accessibility
 - access to public transportation
- Working environment
- Light, temperature, space, furniture, noise, etc.
- Maintenance and care of government equipment (where applicable)

5. General Administration

- Reception – prompt, courteous, knowledgeable, accommodations for non-English speaking participants
- Proper storage of records to ensure confidentiality

6. Workshops

- Learning environment
 - light, temperature, noise, space, furniture, health and safety
- Equipment and supplies provided per contract/agreement
- Attendance compared to attendance records
- ADA-compliant restroom, facilities/classroom

7. Exit Interview

An Exit Interview will be held with appropriate administrative staff when the monitoring visit is completed. Problem areas will be discussed in general terms to provide feedback on performance of good procedures and programs. The provider should be informed that technical assistance is available from Oakland WIB staff and they are encouraged to utilize it especially if there are performance problems.

8. Monitoring Report

A monitoring report will be written as a result of the desk review, field review, participant interviews, and other related activities, including findings, recommendations, and if needed, corrective action. This report shall be submitted to the WIB Program Manager for review and action. The final report is sent to the service provider and a copy is placed in the contract file. If corrective action is required, a response from the service provider will be secured. Technical assistance will be made available to the provider. Follow-up on corrective action shall be accomplished until all issues are resolved.

If during the monitoring process the monitor suspects that he/she has discovered possible fraud/abuse, monitoring of the service provider will be terminated and findings reported immediately to the OWIB Executive Director. The OWIB Executive Director will make the necessary contact with the State and shall make a determination regarding submission of an Incident Report to the State EDD.

9. Corrective Action Plans

In the event that any findings are identified during the onsite monitoring process, the Provider will be notified within thirty (30) calendar days of the site visit. Potential findings and recommended corrective actions will be specified on the Corrective Action Plan Template. The Provider will have thirty (30) calendar days from the date of the notification to correct and respond to any findings. The implementation will be closely monitored for its effectiveness as well as to watch for unintended consequences of the plan by WIB staff.

10. Reporting Incidents of Suspected Fraud or Abuse/Waste of WIA Funds

If during the course of the monitoring process the program monitor determines that there may be possible program fraud, abuse or waste of WIA funds, he/she must then file an incident

report as outlined in Incident Reporting- WIA Directive WIAD02-3, which is available at the EDD website. This Directive contains the reporting information as well as the Incident Report form. It is important to note that the monitor is **not** making a final determination as to whether or not fraud, abuse or waste exists. The State Civil Rights Division (CRD) or the Department of Labor's Office of the Inspector General will make this determination. The filing of an Incident Report is a significant event and should be noted in the monitoring report along with the reasons the report was filed.

11. Follow up/Technical Assistance

Program Monitors will offer technical assistance to help get the service provider back on track to reaching goals. Technical Assistance includes but is not limited to:

- Reviewing WIA rules and regulations related to problem area with service provider;
- Reviewing completed paperwork;
- Workshops and one on one trainings on enrollment, exiting, and other program strategies;
- Informing service providers of any trainings or seminars available by federal or state departments that they may be able to attend.

The Program Monitor who conducted the monitoring review should do the follow up. It can be:

- Specific – if a corrective action item is critical to the proper operation and performance of the service provider's program than that particular item must be followed-up on, either by subsequent desk review or additional monitoring visits
- Ongoing – if the corrective action item is less critical to the proper operation and performance of the service provider's program, then the follow-up can occur during the course of the ongoing monitoring process and be targeted for closer scrutiny in the next annual monitoring

ACTION: The Oakland WIB and its service providers shall follow this policy. This policy will remain in effect from the date of issue until such time that a revision is required.

INQUIRIES: Inquiries should be addressed to the Oakland WIB's Executive Director.

APPROVED BY THE WIB: TBD

OAKLAND WORKFORCE INVESTMENT BOARD
PROGRAM ON-SITE MONITORING REVIEW SCHEDULE
FY 2012-2013

Program Scheduled for WIB Monitoring	Staff	Date (Week of)	Rational for Monitoring
Pivotal Point Youth Services, Inc. In/ Out School Youth	Malcolm/Ata	April 1, 2013	Annual program monitoring
Oakland Private Industry Council, Inc. One Stop Operator	Ata/Lorraine	April 8, 2013	Annual program monitoring
Youth Employment Partnership, Inc. In/ Out School Youth	Ata/Lorraine	April 15, 2013	Annual program monitoring
Spanish Speaking Unity Council of Alameda County One Stop Affiliate	Eli/Ata	April 22, 2013	Annual program monitoring
Youth Uprising In/ Out School Youth	Malcolm/Eli	April 29, 2013	Annual program monitoring
Lao Family Community Development, Inc. One Stop Affiliate/Youth	Eli/Ata/Malcolm	May 27, 2013	Annual program monitoring
The English Center One Stop Affiliate	Eli/Ata	June 3, 2013	Annual program monitoring
East Bay Spanish Speaking Citizens Foundation In/ Out School Youth	Malcolm/Ata	June 10, 2013	Annual program monitoring
Oakland Private Industry Council, Inc. Comprehensive One Stop Career Center	Ata/Lorraine	June 17, 2013	Annual program monitoring