



MONTEREY COUNTY ECONOMIC DEVELOPMENT

MONTEREY COUNTY WORKFORCE INVESTMENT BOARD

ERIK CUSHMAN, WIB CHAIR

Monterey County Workforce Investment Board (WIB) OVERSIGHT COMMITTEE

Shoreline Workforce Development, 249 10th Street, Marina, CA

Thursday, September 13, 2012

8:30am

Oversight Committee Members:

Mary Ann Leffel, Chair

Al Davis

Rick Deraiche

Cesar Lara

Judith Profeta

Larry Silva

Teresa Sullivan

Brian Turlington

Andrea Zeller-Nield

AGENDA

CALL TO ORDER / INTRODUCTIONS:	Mary Ann Leffel, Chair
CHANGES TO AGENDA:	
PUBLIC COMMENT:	
CONSENT CALENDAR:	Mary Ann Leffel
C-1. Action: Approve the minutes of the August 9, 2012 Oversight Committee meeting.	
BUSINESS MEETING CALENDAR:	
1. Information: Update on current and pending, local, State and Federal monitoring of Monterey County's local workforce investment system.	Joyce Aldrich
2. Action: Review and approve the final monitoring report for the Office for Employment Training's Adult, Dislocated Worker and Rapid Response Programs for Program Year 2011-12.	Marleen Esquerra
3. Action: Review and approve the final On-the-Job Training National Emergency Grant monitoring report for the Office for Employment Training for Program Years 2010-12.	Marleen Esquerra
4. Action: Consider and approve the revised WIB Policy #2005-10 – Grievance and Complaint Procedures.	Marleen Esquerra
5. Information: Receive a report on WIA Title I Adult and Dislocated Worker program providers for PY 2012-13.	Wil Moore Rosie Chavez Rod Powell
6. Information: Report out on the required Rapid Response activities to private sector employers in Monterey County, including small businesses.	Joyce Aldrich
7. Information: Update on grants.	Joyce Aldrich
8. Information: Report on the number of local WIA training placements and expenditures.	Marleen Esquerra
9. Information: Update on the Monterey County's Local Workforce Investment Area (LWIA) budget and Budget Ad-hoc Workgroup meeting held on August 21, 2012.	Joyce Aldrich
ANNOUNCEMENTS OF EVENTS:	Mary Ann Leffel
Subcommittee Meetings:	WIB Meetings:
Youth: 11/13/2012 – Shoreline, Marina	10/3/2012 – Marina Library
Oversight: 10/11/2012 – Shoreline, Marina	
Executive: 9/19/2012 – Shoreline, Marina	
ADJOURN:	Mary Ann Leffel
To request information, please contact the Monterey County Workforce Investment Board staff at (831) 796-6434 or visit our website at www.montereycountywib.org .	

Monterey County
Workforce Investment
Board (WIB)

Joyce Aldrich,
Interim Assistant Director of
Employment and Economic
Opportunity

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UNADOPTED

**MONTEREY COUNTY Workforce Investment Board
OVERSIGHT COMMITTEE**

August 9, 2012, 8:30AM

Shoreline Workforce Development Services, 249 10th Street, Marina, CA

MEMBERS PRESENT: Rick Deraiche, Cesar Lara, Mary Ann Leffel, Teresa Sullivan and Andrea Zeller-Nield

MEMBERS ABSENT: Al Davis (Excused), Larry Silva (Excused), Judith Profeta (Excused) and Brian Turlington (Excused)

STAFF PRESENT: Joyce Aldrich, Marleen Esquerria and Flor Galvan

OTHERS PRESENT: Rosie Chavez and Wil Moore

CALL TO ORDER/INTRODUCTIONS: Ms. Leffel called the meeting to order at 8:36am. She welcomed those in attendance and called for introductions. A quorum was established.

CHANGES TO AGENDA: Due to another scheduling commitment, Ms. Esquerria stated that Shoreline requested to present their information item first, following the consent calendar. The members also approved the distribution of handouts for agenda items #2 and #3 in reference to Turning Point's program update and the latest Rapid Response activities report.

PUBLIC COMMENT: None

CONSENT CALENDAR:

C-1. Action: Approve the minutes of the July 12, 2012 Oversight Committee meeting.

Motion: Mr. Lara motioned to accept the action as stated.

Second: Ms. Zeller-Nield

Motion Passed Unanimously

BUSINESS MEETING CALENDAR:

2. Information: Receive a report on WIA Title I Adult and Dislocated Worker program providers for PY 2012-13.

Shoreline: Mr. Moore stated since the contract recently began on July 1, 2012, there are no actual expenditures to report to date. He anticipates an invoice will be mailed in mid August. Shoreline is currently meeting their planned goal of 8 enrollments. They directly placed 3 participants into employment and completed 3 OJT's and 1 ITA contract. Shoreline's participant hourly rate rose to \$11.50. He stated that Shoreline was involved in a presentation that took place at Capital One with approximately 50 associates attending. Many of which stayed after to ask several questions. The first wave of layoffs will occur in October and will affect production workers who earn approximately \$15 an hour. Lee Hect Harrison is very satisfied and happy with collaborating with the Rapid Response team. Mr. Moore also briefly went over Shorelines 2012 Outcome Report.

Turning Point: Ms. Chavez stated that Turning Point enrolled and placed 5 participants in OJT's with an additional 3 directly placed in employment. They have tried to attend as many community functions to provide information about their services. Mr. Deraiche advised Ms. Chavez to speak with Yuko Duckworth with the local Employment Development Department (EDD) concerning services to Veterans. EDD just recently hired 3 new veteran reps and 4 are located at the Salinas One Stop.

OET: Ms. Aldrich stated that Mr. Powell was unable to obtain the data for July as they are currently transitioning their new MIS employee to understand how to extract information and generate reports without including the subcontractor's data.

1. Information: Update on current and pending, local, State and Federal monitoring of Monterey County's local workforce investment system. Ms. Aldrich stated that we recently received

information concerning the NEG-OJT audit that was completed in April. The State found that our contract with Shoreline was not eligible for sole source and the WIB should have amended the open contract instead. She anticipates that a response from the WIB will be sent where we acknowledge the finding and advise the State that we are moving forward with the contract process to ensure it will be changed. Also, Mr. Robinson (DSES Director) received notification from the State concerning the CalGRIP grant. He plans to forward it to Ms. Aldrich. Ms. Aldrich stated the State had recommendations for the WIB and findings. The OIG auditor for the NEG-OJT grant continues to request additional information.

3. **Information: Report on required Rapid Response activities to private sector employers in Monterey County, including small businesses.** Ms. Aldrich recently viewed Fresh Express on the news about their subsequent layoffs. Originally, she was told that the employees did not need assistance; however she plans to have WIB staff re-contact with Fresh Express employees to advise them of our services. A presentation was held on August 3, 2012 for Capital One associates. The Rapid Response team received great feedback along with many questions from the associates. Lee Hect Harrison & Associates asked us to return once the layoff notices are received. The team was notified that 500 associates were offered to relocate to other positions in other states. In addition, we have sent our information and services to River Ranch's labor representatives and we continue to work with them. Ms. Aldrich briefly discussed the labor market analysis information that Ms. Esquerra provided to the Committee.
4. **Information: Update on Monterey County's Local Workforce Investment Area (LWIA) budget.** Ms. Aldrich informed the committee that claims for reimbursement continues to filter in and at this time the budget information is up to date. Ms. Aldrich went over the handout (spreadsheet) that shows detailed figures. She stated that the WIB has begun working on this year's budget ensuring that with the 12 reassignments and vacancies not being filled, we will balance our budget and be able to move forward in this next fiscal year.
5. **Information: Update on the Budget Ad-hoc Workgroup.** Ms. Aldrich stated that she met with Ms. Zeller-Nield to setup a kick off Budget Ad-hoc workgroup meeting on August 20, 2012. Aside from discussing the budget, Ms. Aldrich would like to discuss reserves necessary for long range stability. She also stated that she created a draft budget worksheet for the committee that will detail the budget for participants and training and it will also contain added columns so we can watch the budget very closely.

Announcement of Events: SBDC will be hosting a workshop on September 6, 2012 concerning maximizing social media marketing. Ms. Leffel stated that on August 24, 2012 at 11:00 a.m. a meeting will be held at the Hyatt for the "Best Places to Work" event. The fee is \$40.00. Also, the Higher Education Research breakfast will be held on October 26, 2012 at 7:30 a.m. at the Marriott in Monterey. The Regional Economic Forum will be held on November 16, 2012.

Adjournment: Ms. Leffel adjourned the meeting at 9:53 a.m.

Motion: Mr. Lara motioned to accept the motion as stated.

Second: Mr. Deraiche

MEMORANDUM

TO: WORKFORCE INVESTMENT BOARD OVERSIGHT COMMITTEE

FROM: JOYCE ALDRICH, INTERIM ASSISTANT DIRECTOR OF
EMPLOYMENT AND ECONOMIC OPPORTUNITY

SUBJECT: UPDATE ON CURRENT AND PENDING LOCAL, STATE AND
FEDERAL MONITORING OF MONTEREY COUNTY'S LOCAL
WORKFORCE INVESTMENT SYSTEM

DATE: SEPTEMBER 13, 2012

BACKGROUND: Local, state and federal monitoring reviews occur at least once a year or as needed to ensure sub recipients are in compliance with the provisions of WIA, associated state and federal regulations and directives, local policies, and contract requirements.

INFORMATION/SUMMARY: Throughout 2012, Monterey County has been involved in a series of eleven (11) monitoring reviews on a local, state and federal level. Six reviews were conducted locally by WIB staff, two were conducted by the State's Compliance Review and Audit & Evaluation Divisions and three were completed by the Department of Labor (DOL). Since the last Oversight Committee meeting on August 9, 2012, there has been no new monitoring scheduled or conducted.

Updates on the status of all findings and/or observations are noted below:

WIB staff is awaiting several draft monitoring reports from the State and DOL. On August 27, 2012, WIB staff sent a final monitoring report to the Office for Employment Training reporting the results of their WIA Adult, Dislocated Worker and Rapid Response programs monitoring review. The final monitoring report is on the Oversight Committee agenda for today's discussion.

The following is a list of all current and pending local, state and federal monitoring activities of Monterey County's local workforce investment system:

Local Monterey County Workforce Investment Board – Annual Monitoring:

Program	Dates of Monitoring	Status	Draft/Final Reports
1. Turning Point – WIA Adult	2/21–22, 2012	No findings.	Draft – 5/1/2012 Final – 6/8/2012
2. Shoreline – WIA Adult	2/27–28, 2012	No findings.	Draft – 5/1/2012 Final – 6/8/2012
3. Shoreline – National Emergency Grant (NEG) – On-the-Job Training (OJT)	3/22–23, 2012	No findings.	Draft – 5/18/2012 Final – 6/8/2012
4. Office for Employment Training (OET)– National Emergency Grant (NEG) – On-the-Job Training (OJT)	3/22–23, 2012	No findings.	Draft – 5/18/2012 Final – 6/8/2012
5. OET - WIA Adult, Dislocated Worker and Rapid Response	4/9–13, 2012	Two findings related to participant case files missing the signed acknowledgement receipt for the nondiscriminatory practices & grievance procedures and the Selective Service registration.	Draft – 7/27/2012 Final – 8/27/2012
6. OET – NEG Multi-Sector	6/4/2012	Informal review done by WIB staff.	6/4 - Initial case file review provided to OET.

State of CA Employment Dev. Dept. Compliance Review Division (CRD) – Annual Monitoring:

Program	Dates of Monitoring	Status	Draft/Final Reports
1. WIA 85% Fiscal & Procurement (All Programs)	March 5–9, 2012	Two findings related to the recruitment of the Economic/WIB Executive Dir. and the dollars that were allocated out of WIA.	Draft report received 4/11/2012. WIB responded 5/14/2012. Pending final report.
2. WIA 85% Program (Adult and Dislocated Worker Programs) – TO BE CONDUCTED	Sep–Oct, 2012	TBD	TBD

State of CA Employment Dev. Dept. Audit & Evaluation Division (A&ED) – Special Grants:

Program	Dates of Monitoring	Status	Draft/Final Reports
1. Governor's Gang Reduction, Intervention and Prevention (CalGRIP), Layoff Aversion and Conflict of Interest	March 26–30, 2012	Audit was done due to two incident reports involving participant WIA eligibility, contract procurement, and possible conflicts of interest involving a MCWIB member.	Draft report received. DSES & WIB are working on a response.

US Department of Labor (DOL) – Special Grants:

Program	Dates of Monitoring	Status	Draft/Final Reports
1. DOL National Emergency Grant – On-the-Job Training (OJT)	April 20, 2012	No report was received to date, however verbal observation at the exit interview indicated a change was needed to the local WIB OJT Policy that includes general language for the purpose of National Emergency OJT Grants.	Draft report received. DSES & WIB are working on a response.
2. DOL National Emergency Grant – Multi-Sector	June 6-7, 2012	No report was received to date, however verbal observation at the exit interview indicated changes needed to be made to the WIB Complaint & Grievance policy and the WIB Adult Program policy. Staff is working on compiling additional fiscal information requested by the monitor for further examination.	60-90 Days
3. NEG-OJT OIG Audit	June 11-12, 2012	No issues to date. Monitor is currently following up with employers and program participants.	60-90 Days Pending response, because the monitor is continuing to ask for additional information.

MEMORANDUM

TO: WORKFORCE INVESTMENT BOARD OVERSIGHT COMMITTEE
FROM: MARLEEN ESQUERRA, WIB MANAGEMENT ANALYST
SUBJECT: REVIEW AND APPROVE THE FINAL MONITORING REPORT FOR THE OFFICE FOR EMPLOYMENT TRAINING'S ADULT, DISLOCATED WORKER AND RAPID RESPONSE PROGRAMS FOR PY 2011-12
DATE: SEPTEMBER 13, 2012

RECOMMENDATION:

It's recommended that the Oversight Committee approve the final monitoring report of the Office for Employment Training's Adult, Dislocated Worker and Rapid Response Programs for PY 2011-12.

BACKGROUND:

In April 2012, WIB staff monitored OET's WIA Adult, Dislocated Worker and Rapid Response programs to evaluate their compliance with the provisions of WIA, associated regulations and directives, local policies, and the provisions of the Monterey County Local Plan for PY 2011-12.

An exit interview was conducted on April 13, 2012. During the exit interview, OET staff was advised of several observations and potential findings and given an opportunity to respond prior to the development of the draft monitoring report. OET also requested additional time to investigate the stated observations, prior to the submission of the draft report, due in large part to the exorbitant amount of local, state and federal monitoring activities impacting OET's programs at the same time. This request was granted by WIB staff.

On July 12, 2012, WIB staff received documents in question to several issues observed during the monitoring review. Because OET adequately addressed most of the observations prior to the draft report being issued, no further action is required and the issues were considered resolved.

A draft monitoring report was sent to OET on July 27, 2012, addressing two observations concerning participant case files missing the signed acknowledgement receipt for the nondiscriminatory practices & grievance procedures and proof of Selective Service registration. On August 23, 2012, WIB staff received OET's response to the draft monitoring report. Because OET adequately addressed a portion of the findings, the observations will remain open until WIB staff can verify, during a future on-site visit, that OET successfully implemented its stated corrective action plan.

In addition, your committee asked for the resolution of outstanding issues concerning local monitoring activities that have yet to be closed. During the recent monitoring, WIB staff concluded that OET successfully made efforts to resolve all outstanding issues identified in the final WIB Rapid Response monitoring report for the previous PY 2010-11.

Attached is a copy of the final WIB monitoring report submitted to OET on August 27, 2012.

ATTACHMENT: OET – FINAL Workforce Investment Act (WIA) Title I Adult, Dislocated Worker, and Rapid Response Programs Monitoring Report, Program Year 2011-12

WORKFORCE INVESTMENT BOARD

MONTEREY COUNTY ECONOMIC DEVELOPMENT

ERIK CUSHMAN, WIB CHAIR



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August 27, 2012

Barbara Verba, Deputy Director
Employment Services - Office for Employment Training (OET) &
CalWORKs Employment Services (CWES)
730 La Guardia Street
Salinas, CA 93905

RE: FINAL Monitoring Report of the Office for Employment Training's (OET) Workforce Investment Act (WIA) Title I Adult, Dislocated Worker and Rapid Response Programs for Program Year (PY) 2011-12

This is to report the results of the compliance monitoring review of the WIA Title I Adult, Dislocated Worker and Rapid Response programs and activities performed by OET for program year 2011-12. The monitoring review covered the period of July 1, 2011 through March 31, 2012. WIB staff Marleen Esquerra conducted the monitoring review.

The purpose of this review was to evaluate OET's compliance with the provisions of WIA, associated regulations and directives, local policies, and the provisions of the Monterey County Local Plan for PY 2011-12. Information collected for this report was provided through interviews with OET staff, WIA participants and employers as well as the results of a participant case file review.

A draft monitoring report was sent to OET on July 27, 2012. On August 23, 2012, we received OET's response to the draft monitoring report and reviewed the comments and documentation before finalizing this report.

The following summarizes the monitoring review:

Background: The Monterey County WIB receives an annual allocation of Workforce Investment Area (WIA) Title I funds to administer a comprehensive workforce investment system by way of streamlining services through the One-Stop Career Center delivery system. OET is a division of the Monterey County Department of Social and Employment Services. OET is the primary WIA Adult, Dislocated Worker and Rapid Response program provider in Monterey County and provides employment services through the One-Stop Career Center delivery system in partnership with CalWORKs Employment Services (CWES) and the Employment Development Department (EDD). For PY 2011-12, OET received \$962,189 to serve 553 Adult participants; \$1,751,683 to serve 750 Dislocated Worker participants and \$357,034 to provide Rapid Response services. This does not include cost pooled administrative salaries and operating costs that are shared throughout the One-Stop Career Center delivery system.

I. DESK REVIEW:

Table 1: For the quarter period ending March 31, 2012, OET reported the following WIA total expenditures: \$1,044,272 (109%) for Adult participants; \$1,185,129 (68%) for Dislocated Worker participants and \$64,080 (18%) for Rapid Response services.

i. Expenditures – Table 1:

LOCAL WORKFORCE INVESTMENT AREA BUDGET			
PY 2011-12 (3rd Quarter)	Planned Budget	Actual Expenditures	% of Total Expended
OET Adult			
Program Salaries & Benefits	\$466,194	\$798,526	171%
Services & Supplies	\$192,827	\$181,813	94%
Participant Costs	\$303,168	\$63,933	21%
Total	\$962,189	\$1,044,272	109%
OET Dislocated Worker			
Program Salaries & Benefits	\$1,195,145	\$923,863	77%
Services & Supplies	\$232,354	\$248,735	107%
Participant Costs	\$324,184	\$12,532	4%
Total	\$1,751,683	\$1,185,129	68%
OET Rapid Response			
Program Salaries & Benefits	\$314,658	\$49,011	16%
Services & Supplies	\$42,376	\$15,069	36%
Participant Costs	n/a	n/a	n/a
Total	\$357,034	\$64,080	18%

Table 2: For the quarter period ending March 31, 2012, OET reported the following WIA total enrollments: 240 of 553 (43%) Adult participants and 235 of 750 (31%) Dislocated Worker participants.

ii. Enrollments – Table 2:

PY 2011-12 (3rd Quarter)	Adult			Dislocated Worker		
	Plan	Actual	%	Plan	Actual	%
Enrollments						
Carry-Ins	250	99	40%	300	126	42%
New Enrollments	303	141	47%	450	109	24%
Total	553	240	43%	750	235	31%
Activities						
	Plan	Actual	%	Plan	Actual	%
Core Self Services	553	241	44%	750	233	31%
Core Registered Services	553	241	44%	750	233	31%
Intensive	503	243	48%	675	233	35%
Training		28			16	

II. FIELD REVIEW:

A file sampling review of 10% (31) Adult and (30) Dislocated Worker participant case files were conducted. The case files were reviewed to ensure compliance with the provisions of WIA, associated regulations and directives, and local policies. A summary of the Adult and Dislocated Worker case file review with any issues was provided to OET’s program manager on April 13, 2012.

i. Tour of Facility and Staff Interviews

On April 11, 2012, WIB staff toured the One-Stop Career Center facility in Salinas. Staff also reviewed OET's organizational chart and walked through each of the activities and services provided by OET within their areas of responsibility. (i.e. Employment Center, Learning Center, Business Center, etc.) On April 13, 2012, WIB staff met and interviewed OET staff that provides support services in the Employment and Learning Centers as well as the Business Services Unit that provides Rapid Response services. All program staff are very professional, knowledgeable and focused on the needs of participants and employers.

ii. Financial Accounting Internal Controls

A fiscal review was conducted. A sample of expenditures was reviewed to assess accurate application of cost allocations and adequate documentation of supportive services, timesheets, timely posting and adherence to established fiscal procedures and WIB policies. On April 16, 2012, WIB staff received documents in question to two fiscal issues observed during the monitoring review. Because OET adequately addressed the observations prior to the final report being issued, no further action is required and the issues are considered resolved.

III. CONCLUSION:

The results of the performance, file and fiscal reviews and interviews with OET staff indicate that OET is operating in compliance with the provisions of the Workforce Investment Act, associated regulations, directives and the Local Plan with the exception of two instances of noncompliance concerning the areas of nondiscriminatory practices and grievance procedures and the Selective Service registration requirement. An exit interview was conducted on Friday, April 13, 2012 with OET staff Barbara Verba, Rod Powell, Suzy Reddy and Bertha Gonzalez. At this exit interview, OET staff was advised of several observations and potential findings and given an opportunity to respond prior to development of the draft monitoring report.

The following summarizes OET's response to our review of their Adult, Dislocated Worker and Rapid Response programs and the status of findings identified and proposed recommendations for resolution:

Finding 1:

- Requirement:** 20 CFR Section 667.275 states, in part, that recipients must comply with nondiscrimination and equal opportunity provisions.
- WSD10-1 - Nondiscrimination and Equal Opportunity Procedures states, in part, that initial and continuing notice of nondiscriminatory practices and the right to file a complaint must be made available to each participant, and a copy of an acknowledgement of receipt must be signed by the participant and included in each participant's case file.
- WIB Observation:** Of the 31 Adult and 30 Dislocated Worker program case files reviewed, it was observed that 20 were missing a signed Equal Employment Opportunity (EEO) and Program Complaint & Grievance Procedure form acknowledging that the participant was made aware of the nondiscriminatory practices and the right to file a complaint.
- Recommendation:** It is recommended that OET develop a system that ensures the EEO and Program Complaint & Grievance Procedure form is made available to all participants and a signed copy is maintained in the participant case file.
- OET Response:** OET has directed all staff to include a checklist in each participant file to ensure documentation consistency is maintained. This checklist will

remind staff to document what forms were provided to participants and will hopefully assist monitors when they review files.

OET staff has made calls and sent letters and emails to the 20 participants, attempting to get signed copies for the files. As of August 16, 2012, six EEO forms have been received by OET. Staff continues to work on obtaining the remaining 14 forms.

WIB Conclusion: The OET stated corrective action should be sufficient to resolve a portion of the finding related to 6 of the 20 participant case files noted above. However, we cannot close this issue until we verify during a future on-site visit that OET successfully implemented its stated corrective action. Until then, this issue remains open.

Finding 2:

Requirement: WIA Section 189 (h) requires that a determination of Selective Service registration status be made prior to enrollment in WIA-funded activities and services. Only those male job seekers in compliance with the registration requirements of the Military Selective Service Act, are eligible to participate in WIA-funded activities and services.

Every male citizen between 18 and 26 years of age, and every other male of like age legally residing in the United States, is required to register with the Selective Service System (SSS).

WSD11-8 - Selective Service Registration states, in part, that only those males who are subject to, and have complied with, the registration requirements of the Military Selective Service Act are eligible for participation in WIA funded programs and services.

Observation: Of the 31 Adult and 30 Dislocated Worker program case files reviewed, it was observed that 3 participants had no record of being registered for Selective Service or included documentation in the file that the participants were exited from the program.

Recommendation: It is recommended that OET develop a system that ensures that all male participants who are at least 18 years of age and born after December 31, 1959, and who are not in the armed services on active duty, must be registered for Selective Service and proof of registration is maintained in the participant case file.

OET Response: OET has directed all staff to include a checklist in each participant file to ensure documentation consistency is maintained. This checklist will remind staff to document what forms were provided to participants and will hopefully assist monitors when they review files.

OET staff researched the three cases and found out that one participant was exempt from Selective Service registration due to his year of birth. He was born before 1960. The second participant did enroll and OET staff found the form on-line and placed it in the file. OET is awaiting proof of registration from the third participant.

WIB Conclusion: The OET stated corrective action should be sufficient to resolve a portion of the finding related to 2 of the 3 participant case files noted above. However, we cannot close this issue until we verify during a future on-site visit that OET successfully implemented its stated corrective action. Until then, this issue remains open.

The following summarizes our review of OET's Rapid Response program, which included a review of OET's efforts to resolve any outstanding issues identified in the final WIB Rapid Response monitoring report for the previous PY 2010-11.

- It was observed that OET is adequately documenting allowable Rapid Response activities on the required EDD 121 Rapid Response forms required by the State. *No further action is required. This item is considered closed.*
- It was observed that source documents and time sheets accurately reflect staff time charged against the Rapid Response grant. *No further action is required. This item is considered closed.*
- It was observed that Rapid Response program information is currently updated for the purpose of providing accurate program information to customers. *No further action is required. This item is considered closed.*
- It was observed that a system for tracking Worker Adjustment and Retraining Notification (WARN) and employer layoff notices has been established for the purpose of providing immediate Rapid Response services. This information is tracked on the EDD 121 Rapid Response form and is frequently updated by Rapid Response staff on a regular basis. *No further action is required. This item is considered closed.*

Because the methodology for the WIB staff monitoring review included sample testing, this report is not a comprehensive assessment of all the areas included as part of OET's Adult, Dislocated Worker and Rapid Response programs and fiscal operations. It is OET's responsibility to ensure that their systems, program, and related activities comply with the WIA related regulations and applicable State directives. Therefore, any deficiencies identified in subsequent reviews, such as an audit, would remain OET's responsibility.

Please extend our appreciation to your staff for their cooperation and assistance during our review. If you have any questions regarding this report or the review that was conducted, please contact me at (831) 759-6644.

Sincerely,



Joyce Aldrich
Interim Assistant Director of Employment and Economic Development

cc: Marleen Esquerra, WIB Analyst

MEMORANDUM

TO: WORKFORCE INVESTMENT BOARD OVERSIGHT COMMITTEE
FROM: STEPHANIE SHONLEY, WIB MANAGEMENT ANALYST
SUBJECT: REVIEW AND APPROVE THE FINAL NEG-OJT MONITORING REPORTS FOR THE OFFICE FOR EMPLOYMENT TRAINING AND SHORELINE WORKFORCE DEVELOPMENT FOR PROGRAM YEARS 2010-12
DATE: SEPTEMBER 13, 2012

RECOMMENDATION:

It is recommended that the Oversight Committee approve the final National Emergency Grant, On-the-Job Training (NEG-OJT) monitoring reports for the Office for Employment Training (OET) and Shoreline Workforce Development Services (Shoreline) for Program Years 2010-12.

BACKGROUND:

The purpose of National Emergency Grant was to provide employment-related services for dislocated workers with a priority of service to individuals not covered by Unemployment Insurance (UI) and unemployed for 99 weeks or longer.

The grant period was September 1, 2010 through June 30, 2012. The total grant amount was \$369,988. OET's portion of the grant was \$100,553 (staff salaries & benefits, operations, OJT contracts and supportive services) with an OJT enrollment commitment of 6 (originally proposed to enroll 13). Shoreline's portion of the grant was \$269,435 with an OJT enrollment commitment of 37 (originally proposed to enroll 30).

In March 2012, WIB staff conducted a local monitoring of OET and Shoreline's programs to evaluate their compliance with the provisions of the (State of CA) Employment Development Department's (EDD) Directive on NEG-OJT requirements and the provisions of the contract.

OET:

At the time of monitoring, OET had enrolled 83% (5 of 6) of their project plan. All five participants successfully completed their OJT and all entered unsubsidized employment with the same employer and many received a raise in pay.

OET had zero findings and two observations, both concerning their budget.

Shoreline:

At the time of monitoring, Shoreline had enrolled 100% (37) of their project enrollment plan, while 86% (32 of 37) of the participants had completed their OJT. All participants successfully completed their OJT and all entered unsubsidized employment with the same employer and many received a raise in pay.

Of the case files reviewed, 26 of Shoreline's participants successfully entered unsubsidized employment in positions consisting of clerical, green construction laborer, vocational rehabilitation counselor and business manager. The average hourly wage rate was \$11.68 while the highest rate was \$21.00 per hour [Voc rehab specialist].

Shoreline had zero findings and two observations that were corrected before the final monitoring report.

Conclusion:

Draft monitoring reports were sent to both OET and Shoreline on May 18, 2012, addressing the observations. OET did not respond to the draft monitoring report, therefore; their draft became final.

Shoreline responded to the draft report by correcting the two observations, with one being an overpayment to a participant for hours not worked. Shoreline immediately reimbursed the County for the hours not worked.

Subsequent to the local WIB staff monitoring, the NEG-OJT grant project was monitored by the State of CA, Employment Development Department and the U.S. Department of Labor.

Attached are copies of the final, local NEG-OJT monitoring reports.

ATTACHMENT:

2a- OET – NEG-OJT FINAL Monitoring Report, Program Year 2010-12

2b- Shoreline – NEG-OJT FINAL Monitoring Report, Program Year 2010-12

MONTEREY COUNTY ECONOMIC DEVELOPMENT DEPARTMENT

Monterey County Workforce Investment Board

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June 8, 2012

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730 La Guardia Street
Salinas, CA 93905

RE: FINAL National Emergency Grant Review Monitoring Report for service provider, County of Monterey, Office for Employment Training (OET), for Program Years 2010-12

The purpose of this local monitoring is to evaluate compliance with the provisions of the (State of CA) Employment Development Department's (EDD) Directive on NEG-OJT requirements and the provisions of the contract.

Monitoring Dates: Thursday, March 22, 2012 at the One-Stop Career Center, 730 La Guardia Street, Salinas

Background: Total grant amount is \$369,988. The Office for Employment Training (OET) plans to enroll six (6) long-term, unemployed adults into On-the-Job Training (OJT) contracts. Monterey County was one of 20 local areas in the State of CA to receive NEG funding. The purpose of National Emergency Grant was to provide employment-related services for dislocated workers with a priority of serving individuals not covered by Unemployment Insurance (UI) and unemployed for 99 weeks or longer (after Jan. 1, 2008). The second priority of the grant was to serve individuals who had been unemployed and/or receiving UI for 21.5 weeks or longer. Veterans were to receive the highest priority of service.

OET was written in the original grant proposal to enroll 13 individuals into OJT training while Shoreline Workforce Development Services would complete 30 OJTs by October 31, 2011. The Shoreline contract with the County was amended in November 2011 to reflect an increase of seven, making Shoreline's total commitment 37 OJTs, therefore, reducing OET's OJT enrollment commitment from 13 to 6. The amendment also reflected a change in the service date, extending it from October 31, 2011 to reflect the end of the contract period, June 30, 2012.

Current Findings and Related Recommendations: None

Desk Review: Although the total grant amount is \$369,988, OET's portion of the grant is in the amount of \$100,553 (staff salaries & benefits, operations, OJT contracts and supportive services). The remaining \$269,435 was for Shoreline staff salaries & benefits, OJT contracts, supportive services.

OET's total actual expenditures are \$62,110 (62%) of their grant budget. Staff salaries and benefits expenditures are over budget at \$33,723.06 (124%) of \$27,302.00 while training is under spent \$19,381.50 (37%) of \$52,000 as well as supportive services under spent \$218.71 (2%) of \$13,000.00

OET's portion of grant budget

OET's NEG Budget	Total Budget	Staff Salaries & Benefits	Services & Supplies	Supportive Services	Training
Total Plan	\$100,553	\$27,302.00	\$8,251.00	\$13,000.00	\$52,000
Feb 2012 Actual	\$62,110.07	\$33,723.06	\$8,786.80	\$218.71	\$19,381.50
Percent of Plan	62%	124%	107%	2%	37%

OET's Enrollments

Grant Period Sept 30, 2010- June 30, 2012	Enrolled in Training	Completed OJT	Entered Unsubsidized Employment	# of Veterans Enrolled
Enrollment Plan	6	6	6	-
Period Actual	5	5	5	0
% of Plan Enrolled	83%	83%	83%	-

Field Review: A file sampling review of 100% adult (5 of 5) participant case files were conducted. The adult case files were reviewed to ensure compliance with the (State of CA) Employment Development Department's NEG-OJT requirements, as stated in Directive WSD10-12. The review included eligibility, assessment, OJT contract compliance, documentation to support the length of training necessary to be skilled in each occupation, average hourly and annual salaries for each occupation [to support wage rates], supportive services, timesheets and evaluations. The files were organized with checklists and all necessary info for eligibility and Right to Work documentation was included. The files also included very thorough case notes which told a clear "story" of each participant enrolled in this grant.

All five participants successfully completed their OJT and all entered unsubsidized employment with the same employer, many receiving a raise in pay.

Conclusion: Based on what WIB staff saw during the file review, results indicate that OET is complying with specific requirements of the grant. A draft monitoring report was sent to OET on May 18, 2012, addressing the observations with the WIB recommendations stated below. WIB staff did not receive a response from OET to the draft monitoring report; therefore the draft report is considered final.

Observations:

1. OET's budget aligned with their originally planned, 13 enrollments, however, it does not align with the adjusted planned enrollments of 6.
2. OET is over-spent in staff salary and benefits, yet under-spent in training and supportive services.

Recommendations: WIB staff recommends that OET continue spending the allocated monies on enrolled participants' training and supportive services.

The WIB extends our appreciation to the OET staff for their cooperation and assistance during our review. If you have any questions, please contact Stephanie Shonley at (831) 796-6410.

Sincerely,



Stephanie Shonley, WIB Analyst

cc: Joyce Aldrich, WIB Consultant

MONTEREY COUNTY ECONOMIC DEVELOPMENT DEPARTMENT

Monterey County Workforce Investment Board

ERIK CUSHMAN, CHAIR

Jim Cook, Economic Development Director



168 West Alisal Street, 3rd Floor
Salinas, CA 93901
Phone (831) 759-6644
Fax (831) 755-5398

June 8, 2012

Wil Moore, Employment Services Manager
Shoreline Workforce Development Services
1252 North Main Street
Salinas, CA 93906

RE: FINAL National Emergency Grant Review Monitoring Report for service provider, Shoreline Workforce Development Services, for Program Years 2010-12

The purpose of this local monitoring is to evaluate compliance with the provisions of the (State of CA) Employment Development Department's (EDD) Directive on NEG-OJT requirements and the provisions of the contract.

Monitoring Dates: Thursday, March 22 and Friday, March 23, 2012 at Shoreline, 1252 North Main Street, Salinas

Background: Grant period is September 1, 2010 through June 30, 2012. Total grant amount is \$369,988 Shoreline plan to enroll forty-three (37) long-term, unemployed adults into On-the-Job Training (OJT) contracts. Monterey County was one of 20 local areas in the State of CA to receive NEG funding. The purpose of National Emergency Grant was to provide employment-related services for dislocated workers with a priority of serving individuals not covered by Unemployment Insurance (UI) and unemployed for 99 weeks or longer (after Jan. 1, 2008). The second priority of the grant was to serve individuals who had been unemployed and/or receiving UI for 21.5 weeks or longer. Veterans were to receive the highest priority of service.

The original contract stated Shoreline would complete 30 OJTs, while the Office for Employment Training (OET) would complete 13 by October 31, 2011. The contract was amended in November 2011 to reflect a reduction in OET's OJT contract enrollments to 6 and an increase to 37 for Shoreline. The amendment also reflected a change in the service date, extending it from October 31, 2011 to reflect the end of the contract period, June 30, 2012

Current Findings and Related Recommendations: None

Desk Review: Although the total grant amount is \$369,988, Shoreline's contract with the County of Monterey is in the amount of \$149,435 (operational, staff salaries/benefits and supportive services), while \$120,000 was set-aside for OJT contracts. The remaining \$100,553 was for OET staff salaries and benefits, OJT contracts, supportive services and administrative costs.

Shoreline's total actual expenditures are \$247,715 (92%) of their grant budget. Staff salaries, training and supportive services expenditures all align with their planned budget.

Shoreline's portion of grant budget

Shoreline's NEG Budget	Total Budget	Staff Salaries & Benefits	Services & Supplies	Supportive Services	Training
Total Plan	\$269,435	\$91,760	\$27,625	\$30,000.00	\$120,000
Feb 2012 Actual	\$247,715	\$85,948	\$18,241	\$28,920	\$114,161
Percent of Plan	92%	94%	66%	96%	95%

Shoreline's Enrollments

Grant Period Sept 30, 2010- June 30, 2012	Enrolled in Training	Completed OJT	Entered Unsubsidized Employment	# of Veterans Enrolled
Enrollment Plan	37	37	36	-
Period Actual	37	32	*26	4
% of Plan Enrolled	100%	86%	72%	-

*5 individuals haven not completed OJT at time of monitoring

Field Review: A file sampling review of 43% adult (16 of 37) participant case files were conducted. The adult case files were reviewed to ensure compliance with the (State of CA) Employment Development Department's NEG-OJT requirements, as stated in Directive WSD10-12. The review included eligibility, assessment, OJT contract compliance, documentation to support the length of training necessary to be skilled in each occupation, average hourly and annual salaries for each occupation [to support wage rates], supportive services, timesheets and evaluations. The files were organized with checklists and all necessary info for eligibility and Right to Work documentation was included. The files also included very thorough case notes which told a very clear "story" of each participant enrolled in this grant.

Of the case files reviewed, 26 of Shoreline's participants successfully entered unsubsidized employment in positions consisting of clerical, green construction laborer, vocational rehabilitation counselor and business manager. The average hourly wage rate was \$11.68 while the highest rate was \$21.00 per hour [Voc rehab specialist].

Conclusion: The results of the program review indicate that Shoreline is complying with specific requirements of the grant and most important, thus far, 72% of participants enrolled in this grant have entered into unsubsidized employment. . A draft monitoring report was sent to Shoreline on May 18, 2012. There were two observations noted in the draft monitoring report, both were immediately corrected, therefore, not noted in this report.

The WIB extends our appreciation to the Shoreline staff for their cooperation and assistance during the review. If you have any questions, please contact Stephanie Shonley at (831) 796-6410.

Sincerely,



Stephanie Shonley
 Management Analyst
 Monterey County Workforce Investment Board

cc: Joyce Aldrich, WIB Consultant

MEMORANDUM

TO: WORKFORCE INVESTMENT BOARD OVERSIGHT COMMITTEE
FROM: MARLEEN ESQUERRA, WIB ANALYST
SUBJECT: CONSIDER AND APPROVE THE REVISED WIB POLICY #2005-10 –
GRIEVANCE AND COMPLAINT PROCEDURES
DATE: SEPTEMBER 13, 2012

RECOMMENDATION:

It is recommended that the Oversight Committee consider and approve revised WIB Policy #2005-10 – Grievance and Complaint Procedures.

INFORMATION/SUMMARY:

The purpose of this policy is to provide guidance and procedures to be used by local recipients of WIA funds in the development of local level grievance and hearing procedures when participants and other interested parties affected by the local workforce investment system file a complaint or grievance.

Proposed changes include:

- The contact information to file a written complaint has been updated to reflect the WIB Director, new WIB address and all references to the Office for Employment Training have been removed.
- At the recommendation of a Department of Labor monitor during a recent monitoring review of our local policies, it was suggested that we update the policy attachment and remove the following text: “your right to participation in the program”. In accordance with WIA Section 195, this section states, in part, that nothing in this title shall be construed to provide an individual with an entitlement to a service.

ATTACHMENT: Revised WIB Policy #2005-10



Effective Date: November 21, 2005
 Proposed Revision Date: October 3, 2012
 Full WIB Adopted: October 3, 2012 WIB Meeting - Pending

TO: All County of Monterey Providers of Workforce Investment Act (WIA) Title I Services

SUBJECT: Grievance and Complaint Procedures

PURPOSE: The purpose of this policy is to provide guidance and procedures to be used by local recipients of WIA funds in the development of local level grievance and hearing procedures when participants and other interested parties affected by the local workforce investment system file a complaint or grievance.

REFERENCES: WIA Section 181(c), Title 20 CFR Part 667.600, and Title 29 CFR Part 37.35.

POLICY: It is the policy of the Monterey County Workforce Investment Board (WIB) that:

- The principles and procedures set forth in this policy shall be used by all local recipients of WIA funds in the development of local-level grievance and hearing procedures; and
- The principles and procedures set forth in this policy shall govern the treatment, handling and resolution of all non-criminal grievances or complaints in connection with all WIA Title I grant programs and activities conducted in the County of Monterey, or pursuant to subcontracts from the County of Monterey. The procedures herein set forth are to be utilized by the LWIA administrative entity and contracted providers of services in processing such complaints.

DEFINITIONS:

- *Days* means consecutive calendar days, including weekends and holidays.
- *Complainant* means any client or other personally affected party alleging a non-criminal violation of the requirements of WIA.
- *Grievance or complaint* means a written expression by a client, subcontractor, or other interested person, or their duly appointed representative, alleging a violation of WIA, applicable statutes and regulations promulgated under the WIA, and grant and/or contract conditions or provisions or other rules or policies. All complaints, amendments, and withdrawals shall be in writing. These procedures are intended to resolve matters, which concern actions arising in connection with the WIA Title I grant program.
- *Hearing Officer* means an impartial party who shall preside at a hearing on a grievance or complaint.
- *Client* means an individual who has been determined eligible to participate in and who is receiving services under a program authorized by WIA as defined in WIA Section 101(34). Also known as "participant" or "customer".

PROCEDURES:

I. GENERAL PRINCIPLES AND REQUIREMENTS

Title 20 Code of Federal Regulations (CFR) Section 667.600 requires the Monterey County WIB under Title I of WIA to establish and maintain a procedure for receiving and acting upon complaints from clients or other interested parties affected by the local workforce investment system, including One-Stop partners and providers of services.

This policy applies to programmatic grievances and complaints pursuant to WIA Section 181(c) and does not address the procedures for processing complaints alleging discrimination under WIA Section 188 and/or Title 29 CFR Part 37 although the attached complaint and grievance form (Attachment A) does include a general statement regarding the EEO/AA procedure administered by the **Monterey County Department of Social and Employment Services**. Information and complaints involving allegations of fraud, abuse or



other criminal activity must be reported directly to Department of Labor's (DOL) Office of Inspector General and Employment Development Department's (EDD) Compliance Review Division (CRD) through the WIB procedures for reporting incidents.

An individual alleging a labor standards violation may submit the grievance to a binding arbitration procedure, if a collective bargaining agreement covering the parties so provides.

All recipients of WIA Title I grant funds must make reasonable efforts to assure that these procedures are understandable to affected clients and individuals – including youth, and those individuals who have limited English-speaking capabilities.

Grievances or complaints must be filed within **one year** of the alleged violation. All grievances or complaints, amendments and withdrawals must be in writing. This time period is not extended for complaints that are re-filed with amendments. The official date of the complaint will be the date it is actually received.

In keeping with these general principles, the following procedure shall apply:

II. LOCAL GRIEVANCE PROCEDURES

Pursuant to Section 122 and 181 of the Workforce Investment Act (WIA 188; 29 CFR part 37; 20 CFR 667.275(f) and 667.600 and WIA directive WIAD03-12) the Monterey County Local Workforce Investment Area (LWIA) shall adhere to an established grievance procedure.

The following grievance procedure shall be implemented for grievances arising in the Workforce Investment Area:

1. Applicants, participants, One Stop partners, service providers, bidders, WIA funded staff or others alleging violations of the Acts, regulations, sub grants, or other contracts under WIA (other than discrimination complaints) shall utilize this Grievance Procedure in filing a complaint. In all cases above, the complaining party has the right to ask for and receive help in filing the complaint or grievance. Unsuccessful bidders may also file grievances based upon violations of local procurement requirements or procedures. These grievances should be filed with the County of Monterey **Contracts/Purchasing** Department. Individuals shall be informed of this right by either WIB **or OET** staff or the subcontractor as appropriate.
2. Except for complaints regarding discrimination, grievances arising at the WIB, Administrative entity **(County of Monterey Office for Employment Training)** and/or its service providers must first exhaust available remedies and procedures at that level prior to their being brought for State review.
3. Complaints, unless otherwise specified, (except for those alleging fraud or criminal activity or discrimination) shall be filed within one year of the alleged occurrence.
4. Delegation Progress:
 - a. Complaints arising at the employer level in the On-the-Job Training (OJT) contracts regarding terms and conditions of participant's employment shall first be handled through the employer's grievance procedure. However, in the event the grievance cannot be resolved following the employer's procedures, the complainant shall be advised that they may follow this WIA grievance procedure. Grievances pertaining to OJT contract terms should be handled by following the process described in this policy.
 - b. Complaints of any WIA funded personnel involving the terms and conditions of employment should follow the employing agency's procedures. The procedures must be exhausted before submitting a complaint according to WIA procedures.
 - c. Labor Standards Violations: Whenever participants have complaints alleging a labor standards violation, they may use the established local and State Grievance Procedures or choose to submit the grievance to a binding arbitration procedure, if a collective bargaining agreement covering the parties to the grievance so provides.

All other grievances of applicants, participants, One Stop partners, service providers, WIA



funded staff, and other interested persons not applicable to the above categories shall follow the procedures listed below:

1. Complaints must be made within one year of the alleged occurrence and must be in writing, signed by the complainant and include the following information:
 - a. The full name, telephone number (if any) and address of the person making the complaint.
 - b. The full name and address of the respondent against whom the complaint is made.
 - c. A clear and concise statement of the facts, including pertinent dates, constituting the alleged violation.
 - d. The type of relief requested.

A request will be considered to have been filed when the reviewing authority receives from the complainant a written statement, including information specified above which contains sufficient facts and arguments to evaluate the complaint.

2. Complaints should be sent to:

Attn: Monterey County Workforce Investment Board (WIB)
c/o WIB Director
168 West Alisal Street, 3rd Floor
Salinas, CA 93901

The WIB shall investigate the complaints and attempt to resolve the matter informally during the 30 day period between filing and hearing of a grievance and prior to rendering of a decision.

3. Informal Resolution: The LWIA shall notify the complainant and the respondent of the opportunity for an informal resolution. Respondents must make good faith efforts to resolve all grievances or complaints prior to the scheduled hearing. Failure on the part of either party in the grievance or complaint to exert good faith efforts shall not constitute a basis for dismissing a grievance or complaint, nor shall this be considered to be a part of the facts to be judged in the resolution process. Where a complaint alleges a violation of WIA Title I, grant or any agreements under WIA, the LWIA must assure that every grievance or complaint not resolved informally, or not withdrawn is given a hearing, regardless of the grievance or complaint's apparent merit or lack of merit.

When the complaint has been resolved through the informal resolution process, the LWIA shall attempt to contact the complainant and have him or her provide a written withdrawal of the complaint within 10 days of the receipt of the notice of resolution or impasse where a complainant decides not to proceed to an administrative hearing. The LWIA shall maintain copies of correspondence in the complainant's file.

4. Notice of Hearing

Hearings on any grievance or complaint shall be conducted within 30 days of filing of a grievance or complaint. The complainant and the respondent must be notified in writing of the hearing 10 days prior to the date of the hearing. The 10-day notice may be shortened with the written consent of both parties. The hearing notice shall be in writing and contain the following information:

- The date of the notice, name of the complainant, and the name of the party against whom the grievance or complaint is filed.
- The date, time, and place of the hearing before an impartial hearing officer.
- A statement of the alleged violations. These statements must accurately reflect the content of the grievance or complaint as submitted by the complainant. However, clarifying notes may be added to assure that the grievance or complaint is addressed accurately.
- The name, address, and telephone number of the contact person issuing the notice.

5. Conduct of Hearing

An impartial hearing officer shall conduct the hearing. The State suggests that LWIAs seek impartial hearing officers from among the staff of legal offices or personnel

Monterey County
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departments of municipalities or counties that will not be directly affected by, or will not implement the final resolution of, a specific grievance or complaint.

The hearing will be conducted in an informal manner with strict rules of evidence not being applicable and according to the procedures established by the LWIAs. Both parties will have the right to present written and/or oral testimony and arguments; the right to call and question witnesses in support of their position; the right to examine records and documents relevant to the issues; and the right to be represented. The hearing will be recorded electronically or by a court reporter.

6. Decision

Not later than 60 days after the filing of the grievance or complaint, the hearing officer shall mail a written decision to both parties by first class mail. The hearing officer's decision shall contain the following information:

- The names of the parties involved;
- A statement of the alleged violation(s) and issues related to the alleged violation;
- A statement of the facts;
- The hearing officer's decision and the reasons for the decision;
- A statement of corrective action or remedies for violations, if any, to be taken; and
- Notice of the right of either party to request a review of the decision by the State Review Panel within 10 days of the receipt of the decision.

7. Appeal

If a complainant does not receive a decision at the LWIA level within 60 days of the filing of the grievance or complaint, or receives an adverse decision, the complainant then has the right to file an appeal with the State.

The complainant may request a State hearing by submitting a written notice of appeal to:

Chief, Compliance Review Division, MIC 22-M
Employment Development Department
P.O. Box 826880
Sacramento, CA 94280-0001

III. STATE-LEVEL GRIEVANCE AND COMPLAINT PROCEDURES

Title 20 CFR Section 667.600(d) requires the State to provide a process for dealing with grievances and complaints from participants or interested parties affected by the statewide workforce investment programs, resolving appeals of decisions issued at the LWIA level, remanding grievances and complaints related to the local WIA Title I programs to the LWIA grievance process, and affording an opportunity for an informal resolution and a hearing to be completed within 60 days of the filing of the grievance or complaint.

1. State-Level Informal Resolution and Hearing Procedures

All complaints of non-criminal violations of the requirements of WIA by the State, or complaints by individuals or interested parties affected by the statewide workforce investment program shall be filed in writing with the Chief of CRD. All requests for State hearings shall include the same basic elements necessary for local-level hearings. These are:

- Full name, telephone number, and mailing address of the complainant;
- Full name, telephone number, and mailing address of the respondent;
- A clear and concise statement of the facts and dates describing the alleged violation;
- The provisions of the WIA, the WIA regulations, grant, or other agreements under the WIA, believed to have been violated;
- Grievances or complaints against individuals, including staff or participants, shall indicate how those individuals did not comply with the WIA law, regulation, or contract; and
- The remedy sought by the complainant.

2. Appeals of LWIA Decisions or Requests for EDD Review

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- a. A complainant may file a request for review with EDD if no decision has been issued at the LWIA level within the 60-day time limit or if there has been an incident of restraint, coercion or reprisal as the result of filing a grievance or complaint. A complainant may file an appeal if the LWIA has issued an adverse decision. The request for an EDD review or appeal shall be filed or postmarked (if mailed) within 10 days from the date on which the complainant received an adverse decision from LWIA or 15 days from:
 - b. All requests for review or appeals shall include the following:
 - The full name, telephone number, and mailing address of the complainant;
 - The full name, telephone number, and mailing address of the LWIA;
 - A statement of the basis of the request or appeal; and
 - Copies of relevant documents, such as the complaint filed at the LWIA and the local decision, if any.
 - c. If an evidentiary hearing was held at the LWIA level, the EDD shall request the record of the hearing from the LWIA and shall review the record without scheduling an additional hearing. If an evidentiary hearing was not held at the LWIA level, the EDD shall instruct the LWIA to hold a hearing within 30 days of receipt of the appeal or request for hearing, schedule an evidentiary hearing before a hearing officer. The Chief of CRD shall notify the concerned parties and the LWIA by first class mail, certified with a return receipt, of the following information at least 10 days before a scheduled hearing:
 - The date of the notice, name of the complainant, and the name of the party against whom the complaint is filed.
 - The date, time, and place of the hearing before a hearing officer.
 - A statement of the alleged violations. This statement shall accurately reflect the content of the complaint as submitted by the complainant.
 - The name, address, and telephone number of the contact person issuing the notice.
3. Hearing
- a. The EDD hearing shall be conducted in an informal manner with strict rules of evidence not being applicable. Both parties shall have the right to present written and/or oral testimony under oath and arguments; the right to call and question witnesses; the right to request and examine records and documents relevant to the issues, and the right to be represented. The hearing shall be recorded electronically or by a court reporter.
 - b. The EDD hearing officer shall follow the procedures set forth in Title 22, California Code of Regulations Section 5050(a) and (b), 5053, 5054, 5055, 5056(a), (c), and (d), 5057, 5058, 5059, 5061, 5062, 5063, 5064, and 5070, except that references to the “administrative law judge” or “ALJ” shall mean “hearing officer.”
4. EDD State Review Panel
- a. Following completion of the EDD hearing, the EDD hearing officer shall make a written recommendation to the State Review Panel. The hearing officer’s recommendation shall contain the following information:
 - The names of the parties involved;
 - A statement of the alleged violation(s) and issues related to the alleged violation;
 - A statement of the facts;
 - The EDD hearing officer’s decision and the reasons for the decision; and
 - A statement of the corrective action, if any, to be taken.
 - b. The State Review Panel shall not conduct a new evidentiary hearing, but shall review the record established by either the LWIA hearing or the EDD hearing. The State Review Panel shall issue a decision on the basis of the information contained in the record. The State Review Panel may accept, reject, or modify the EDD hearing officer’s recommendation or the decision of the LWIA, and shall issue a written



decision to the concerned parties within 60 days of receipt by the EDD of the request for hearing or review.

- c. The State Review Panel shall mail a written decision to both the complainant and the respondent by certified mail. The decision shall contain the following information:
- The names of the parties involved;
 - A statement of the alleged violation(s) and issues related to the alleged violation;
 - A statement of the facts;
 - The State Review Panel's decision and the reasons for the decision;
 - A statement of the corrective action, if any, to be taken; and
 - A notice of the right of either party to file an appeal to the Secretary of Labor.

5. Referral of Local Grievances or Complaints

Grievances or complaints filed directly with the State related to the local WIA programs will be remanded to the local area grievance process in accordance with LWIA Grievance and Complaint Procedures.

6. Remedies

- a. Remedies that may be imposed for a violation of any requirement under WIA Title I shall be limited to:
- Suspension or termination of payments under WIA Title I;
 - Prohibition of placement of a participant with an employer that has violated any requirement under WIA Title I;
 - Reinstatement, where applicable, of an employee, payment of lost wages and benefits, and reestablishment of other relevant terms, conditions, and privileges of employment; and
 - Where appropriate, to other equitable relief.
- b. Nothing in paragraph 1 shall be construed to prohibit a complainant from pursuing a remedy authorized under another federal, State, or local law for a violation of WIA Title I.

7. Federal-Level Appeal Process

Under Title 20 CFR Section 667.610(a)(1), if the State has not issued a decision within the required 60-day time limit, the complainant can file an appeal to the Secretary of Labor. The appeal must be filed with the Secretary of Labor no later than 120 days of the filing of the grievance or complaint with the State, or the filing of an appeal of a local grievance or complaint with the State.

In cases where a decision must be submitted by certified mail, return receipt to:

Attention: ASET
Secretary
U.S. Department of Labor
200 Constitution Avenue, NW
Washington, D.C. 20210

A copy of the appeal must be simultaneously provided to the opposing party, and:

The ETA Regional Administrator-Region 6
U.S. Department of Labor
Office of Regional Administrator
P.O. Box 193767,
San Francisco, CA 94119-3767

INQUIRIES: For questions or assistance related to this policy, please contact the Monterey County Workforce Investment Board (MCWIB) staff at (831) 796-6434.

This policy will be posted to the MCWIB website located at: www.montereycountywib.org/policies/

Monterey County
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168 West Alisal Street,
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DRAFT - ATTACHMENT A

**MONTEREY COUNTY
Workforce Investment Board (WIB)**

EQUAL EMPLOYMENT OPPORTUNITY/AFFIRMATIVE ACTION (EEO/AA) POLICY STATEMENT

It is the policy of the Monterey County WIB, under the Workforce Investment Act (WIA) to ensure that no person shall, on the grounds of race, citizenship, color, religion, sex, national origin, age, handicap or political affiliation or belief, be discriminated against or denied employment as a participant, administrator, or staff in connection with any program under the WIA. In addition, acts of sexual harassment are against the law and are grounds of filing a discrimination complaint.

The Monterey County WIB commits itself to the non-discrimination law cited in Section 188 of the Workforce Investment Act of 1998.

The **EEO/AA Complaints Officer of the Monterey County Department of Social and Employment Services** is responsible for coordinating efforts in the above areas. Violations of this policy may be processed through complaint procedures that are available to you through the **Department of Social and Employment Services** and at the front desk of all One-Stop Career Centers.

I certify that I understand the information contained above.

(Signature of Customer)

(Date)

COMPLAINT PROCEDURES

As a customer, you have the right to appeal any issue arising from your participation in the WIA program. This may include such things as **your right to participation in the** program eligibility, receipt of services and/or support that may be provided. The complaints may be addressed with the program providing your WIA services. Complaints are presented for resolution in the following sequence moving to the next higher level of authority if the problem is not satisfactorily resolved:

1. Program Case Management
2. Program Supervisor
3. Program Manager

If there is no resolution during the above process a formal complaint may be filed in accordance with the WIB Complaint Procedures that are available at your local provider of WIA services or at the front desk of all One Stop Career Centers. You have the right to ask for and receive help in filing the formal complaint. It must be filed in writing with **Director of the Office for Employment Training, P.O. Box 2265, Salinas, California 93902** Director of the Workforce Investment Board, 168 West Alisal Street, 3rd Floor, Salinas, CA 93901.

I understand my rights as a WIA customer to file a complaint.

(Signature of Customer)

(Date)

MEMORANDUM

TO: WORKFORCE INVESTMENT BOARD OVERSIGHT COMMITTEE
FROM: MARLEEN ESQUERRA, WIB ANALYST
SUBJECT: RECEIVE A REPORT ON WIA TITLE I ADULT AND DISLOCATED
WORKER PROGRAM PROVIDERS FOR PY 2012-13
DATE: SEPTEMBER 13, 2012

INFORMATION/SUMMARY:

This report provides actual to plan performance and expenditure outcomes for all Monterey County WIA Title I Adult and Dislocated Worker program operators.

At the meeting, a representative from each agency will be given an opportunity to answer questions posed by the Oversight Committee regarding their program and performance.

Shoreline:

For the month period ending August 31st, Shoreline's total number of new enrollments is currently at 83% (15 of 18) of plan with training enrollments exceeding their planned goal at 114% (8 of 7). All 8 completed the WorkKeys readiness indicator assessment upon placement into training. An additional 7 participants received direct placement services into employment. The average hourly wage increased by 8% since last month with participants earning an average of \$12.47/hr, compared to \$11.50/hr. Reference the attached list of Shoreline's job placements.

ATTACHMENT: *Shoreline's monthly report and list of job placements (2 pages).*

Turning Point:

For the month period ending August 31st, Turning Point's total number of new enrollments surpassed their goal at 150% (12 of 8) of plan with training enrollments exceeding their planned goal at 220% (11 of 5). All 11 successfully completed the WorkKeys assessments (Applied Math, Reading for Information and Locating Information) upon placement into training. In addition, 1 participant received direct placement services into employment. Reference the attached list of Turning Point's job placements.

ATTACHMENT: *Turning Point's monthly report and list of job placements (2 pages).*

Office for Employment Training (OET):

Information on OET's Adult and Dislocated Worker programs were not made available to WIB staff prior to the deadline for submitting this report.

WIB staff is hopeful a representative from OET will be present at the September 13, 2012 Oversight Committee meeting to update the members on their performance and outcomes.

INFORMATION #5



**Monterey County Workforce Investment Board
Workforce Investment Act (WIA) Title I – Adult Subcontract Monthly Report**

Subcontractor: Shoreline Workforce Development Services

Program Design: to provide core, intensive, training and supportive services to **69** WIA eligible adults (>=18 years) who face multiple barriers to employment, are low-income, and are included in one or more of the following categories: veterans and their eligible spouses, disabled individuals, homeless, offenders, and high school drop outs. **36** will participate in On-the-Job Training (OJT) or Individual Training Accounts (ITA). **33** participants will receive direct placement services. Shoreline’s service model includes 4 Anchor partnerships to provide collaboration, points of contact and a full range of services. 5 Feeder partnerships will outreach, target and refer participants to the Anchor locations from one of five neighborhood career centers located in Salinas, Marina, Watsonville, San Luis Obispo & King City.

For the period ending: August 31, 2012 – New Program Year 2012-13

BUDGET				
Quarterly Plan	9/31/12	12/31/12	3/31/13	6/30/13
Planned	\$73,710	\$147,420	\$221,130	\$294,840
Actual	\$20,583			

ENROLLMENT GOALS				
Monthly Participant Plan Summary	TARGET GOAL	Monthly Plan	Monthly Actual	Monthly %
1. Total # of new enrollments (Core & Intensive Services)	69	18	15	83.33%
2. Total # of On-the-Job Training or Individual Training Accounts (OJT/ITA)	36	7	8	114.28%
3. Total # of Direct Placements	33	n/a	7	n/a
4. Total # of WorkKeys Readiness Indicator			8	
▪ Applied Mathematics				
▪ Reading for Information				
▪ Locating Information				

INDUSTRY CLUSTERS – PLACEMENTS			
Monthly Placements	OJT/ITA /DP Total #	% of Total	
1. Total # and percentage of OJT/ITA /DP placements, based on the following industry clusters:			
▪ Agriculture			
▪ Building/Design	2	13%	
▪ Healthcare	3	20%	
▪ Education			
▪ Hospitality/Tourism	2	13%	
▪ Creative/Technology			
▪ Other (<i>Finance, Retail, Sales, etc.</i>)	8	54%	

GEOGRAPHIC AREAS SERVED				
Quarter ending <u>Sept. 2012</u>	TARGET GOAL	MINIMUM GOAL	Actual (OJT/ITA)	% of Actual
Central (Salinas)	35%	10%	9	60%
North	25%	10%	2	13%
South	20%	10%		
West	20%	10%	4	27%

TARGET POPULATIONS SERVED				
Quarter ending <u>Sept. 2012</u>	TARGET GOAL	MINIMUM GOAL	Actual (OJT/ITA)	% of Actual
Veterans & Eligible Spouses	19%	10%		
High School Dropout	39%	20%	1	6.66%
Disabled	19%	16%	5	33.33%
Ex Offender (<i>Contracted target goal</i>)	13%	20%	3	20.00%
Homeless	19%	5%	7	46.66%

PERFORMANCE GOALS		
Quarter ending <u>Sept. 2012</u>	Plan	Actual
1. Total number of exits	70	0
2. Entered Employment Rate – <i>entry into unsubsidized employment</i>	67.0%	
3. Retention Rate – <i>6 months after entry into unsubsidized employment</i>	75.0%	
4. Average Earnings – <i>increased earnings in unsubsidized employment</i>	\$10,500	
5. Average hourly wage		\$12.47

ACTIVITIES	
Conducted JS Workshop with Salinas Library system	Attended Hartnell/Vice-Chancellor WIA Meeting
Attended Rapid Response Meeting	
Attended Meeting of the Minds	

2012-2013 (August 2012) Shoreline WDS OJT/Direct Placements by Occupational Title

- Medical Assistant
- Periodontal Assistant
- Solar Installer
- Massage Therapist
- Maintenance Worker
- Cashier
- Product Technician
- Class A Driver
- Customer Service Representative
- Delivery Driver
- Security Guard
- Laborer
- Truck Driver

INFORMATION #5



Monterey County Workforce Investment Board Workforce Investment Act (WIA) Title I – Adult Subcontract Monthly Report

Subcontractor: Turning Point of Central California

Program Design: to provide core, intensive, training and supportive services to **63** WIA eligible adults (>=18 years) who face multiple barriers to employment, are low-income, and are included in one or more of the following categories: veterans and their eligible spouses, disabled individuals, homeless, offenders, and high school drop outs, with a focus on serving those on parole and probation. **38** will participate in On-the-Job Training (OJT) or Individual Training Accounts (ITA). **25** participants will receive direct placement services. Turning Point is the lead agency of an integrated service model comprised of ten collaborative partners throughout Monterey County.

For the period ending: August 31, 2012 – New Program Year 2012-13

BUDGET				
Quarterly Plan	9/31/12	12/31/12	3/31/13	6/30/13
Planned	\$68,040	\$136,080	\$204,120	\$272,160
Estimate	\$34,527			

ENROLLMENT GOALS				
Monthly Participant Plan Summary	TARGET GOAL	Monthly Plan	Monthly Actual	Monthly %
1. Total # of new enrollments (Core & Intensive Services)	63	8	12	150%
2. Total # of On-the-Job Training or Individual Training Accounts (OJT/ITA)	38	5	11	220%
3. Total # of Direct Placements	25	n/a	1	n/a
4. Total # of WorkKeys assessments completed	38	5	12	240%
▪ Applied Mathematics	38	5	11	220%
▪ Reading for Information	38	5	12	240%
▪ Locating Information	38	5	11	220%

INDUSTRY CLUSTERS – PLACEMENTS			
Monthly Placements	OJT/ITA /DP Total #	% of Total	
1. Total # and percentage of OJT/ITA /DP placements, based on the following industry clusters:	12	100%	
▪ Agriculture	1	8%	
▪ Building/Design	3	25%	
▪ Healthcare	1	8%	
▪ Education	0	0%	
▪ Hospitality/Tourism	2	17%	
▪ Creative/Technology	0	0%	
▪ Other (<i>Finance, Retail, Sales, etc.</i>)	5	42%	

GEOGRAPHIC AREAS SERVED				
Quarter ending <u>September 2012</u>	TARGET GOAL	MINIMUM GOAL	Actual (OJT/ITA)	% of Actual
Central (Salinas)	55%	10%	5	46%
North	11%	10%	3	27%
South	18%	10%	0	0%
West	16%	10%	3	27%

TARGET POPULATIONS SERVED				
Quarter ending <u>September 2012</u>	TARGET GOAL*	MINIMUM GOAL	Actual (OJT/ITA)	% of Actual
Veterans & Eligible Spouses	5%	10%	0	0%
High School Dropout	15%	20%	5	46%
Disabled	15%	16%	7	64%
Ex Offender	50%	20%	11	100%
Homeless	15%	5%	0	0%

*Turning Point is contracted to meet the Target Goals.

PERFORMANCE GOALS		
Quarter ending <u>September 2012</u>	Plan	Actual
1. Total number of exits	0	0
2. Entered Employment Rate – <i>entry into unsubsidized employment</i>	67.0%	0%
3. Retention Rate – <i>6 months after entry into unsubsidized employment</i>	75.0%	0%
4. Average Earnings – <i>increased earnings in unsubsidized employment</i>	\$10,500	0
5. Average hourly wage		0

- ACTIVITIES**
- Collaborating with One Stop Career Center Local Veteran Employment Representative.
 - Collaborating with Heald College to service recent and upcoming graduates with job search and placement.
 - Collaborating with MPC Job Placement Specialists to service those in Workability program.

- Collaborating with CET Industrial Relations Specialist to place recent certificated graduates.
- Collaborating with VA Clinic, Voc. Rehab., Veteran's Transition Center and Veteran's Service Officer of Monterey County to increase services provided to veterans.
- Collaborating with Vocational Rehabilitation Specialists in Marina, to enhance services in the West.
- Developed working relationship with a large, local health care company to increase placements in the Healthcare industry.
- Conducting client and employer recruitment in South area cities of Greenfield and King City.
- Conducting program presentations and client recruitment in County Drug Court and Monterey County Jail.
- Receiving referrals from TP new AB109 Housing Incentive Program.
- Effective partnership activities continue to increase eligible job seekers and grow the employer data base.
- Continued attendance at monthly PACT Meetings.
- Continuing to work with Monterey County Probation/ Parole.

Turning Point – Placements: 12

Total # and percentage of OJT/ITA placements, based on the following industry clusters:

Agriculture: 1

Harvester

Building/Design: 3

Restoration Technician, Electrician, Metal Fabricator

Healthcare: 1

Mental Health Counselor,

Education:

Hospitality/Tourism: 2

Convenient Store Clerk

Creative/Technology:

Other: 5

Driver, Loan Processor, Administrative Asst., House Cleaner, Auto Mechanic

MEMORANDUM

TO: WORKFORCE INVESTMENT BOARD OVERSIGHT COMMITTEE

FROM: JOYCE ALDRICH, INTERIM ASSISTANT DIRECTOR OF
EMPLOYMENT AND ECONOMIC OPPORTUNITY

SUBJECT: REPORT ON REQUIRED RAPID RESPONSE ACTIVITIES TO
PRIVATE SECTOR EMPLOYERS IN MONTEREY COUNTY,
INCLUDING SMALL BUSINESSES

DATE: SEPTEMBER 13, 2012

INFORMATION/SUMMARY:

At the Oversight Committee meeting scheduled on September 13, 2012, WIB staff will present an update on the most recent Rapid Response activities provided to private sector employers in Monterey County, including small businesses.

ATTACHMENT: Reference Rapid Response Activity Report handout at meeting.

MEMORANDUM

TO: WORKFORCE INVESTMENT BOARD OVERSIGHT COMMITTEE

FROM: JOYCE ALDRICH, INTERIM ASSISTANT DIRECTOR OF
EMPLOYMENT AND ECONOMIC OPPORTUNITY

SUBJECT: UPDATE ON GRANTS

DATE: SEPTEMBER 13, 2012

INFORMATION: Provided below is an update on Monterey County WIB's grant proposals:

PROPOSALS IN PREPARATION

Source	Amount	Title	Term	Purpose	Partner/Role	Notes
U.S. Department of Labor, Employment & Training Administration	Original request was \$1,072,000 to serve 185 customers. <i>Amended amount is \$577,920 to serve 77 customers.</i>	National Emergency Grant – Multi- Sector Employment Funds – Phase II	TBD	To provide core, intensive, training and support services to 77 displaced workers, recently affected by layoff and/or plant closures in the past few months, particularly from Capital One and River Ranch.	This is a phase II grant, with South Bay WIB in Hawthorne, CA as the lead, and other LWIBS throughout CA, providing core, intensive, training and support services to dislocated workers. The aim for the MCWIB is to serve.	

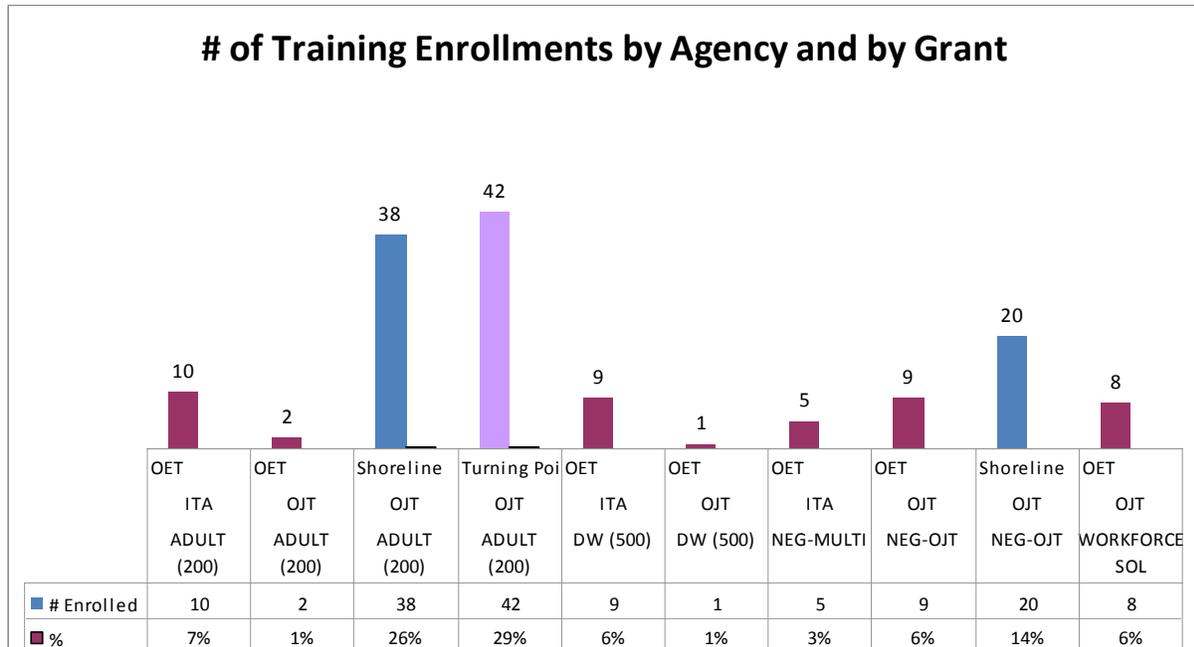
MEMORANDUM

TO: WORKFORCE INVESTMENT BOARD OVERSIGHT COMMITTEE
FROM: MARLEEN ESQUERRA, WIB MANAGEMENT ANALYST
SUBJECT: REPORT ON THE NUMBER OF LOCAL WIA TRAINING PLACEMENTS AND EXPENDITURES
DATE: SEPTEMBER 13, 2012

INFORMATION/SUMMARY:

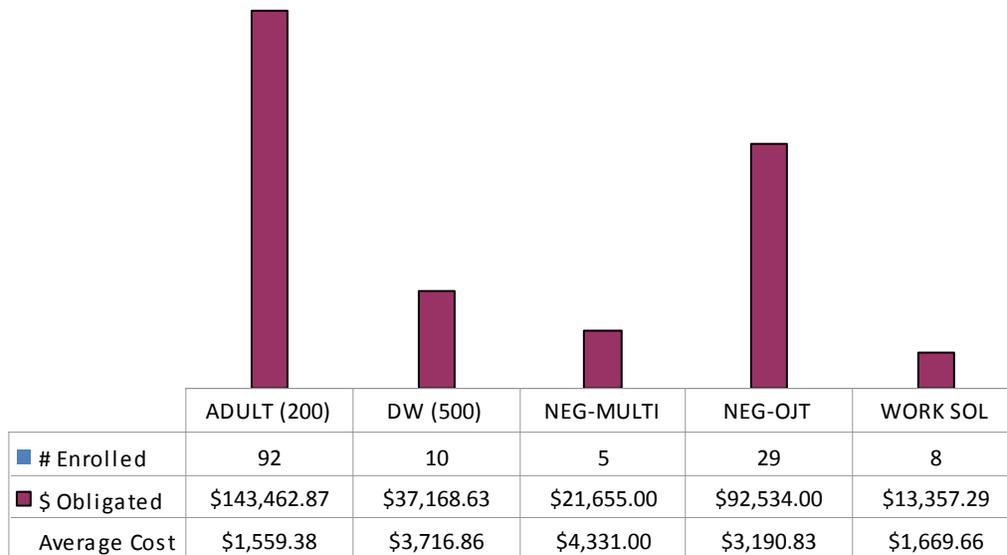
For Program Year 2011-12, a total of 144 adult and/or dislocated worker participants received training services provided by our WIA program operators to include the Office for Employment Training (OET) who served 44 (31%), Shoreline who served 58 (40%) and Turning Point who served 42 (29%) enrollments. The majority of enrollments (120 or 83%) participated in the local labor force through the utilization of on-the-job training (OJT) opportunities, which means they received training by an employer while engaged in productive work on the job. The remaining enrollments (24 or 17%) were referred to training vendors on the Eligible Training Provider List (ETPL) to receive tuition reimbursement through the use of individual training accounts (ITA).

The chart below indicates the number of participants enrolled in OJTs or ITAs by agency and by grant:



The chart below indicates the number of participants enrolled in training by grant to include Adult (200), Dislocated Worker (DW 500), National Emergency Grant Multi Sector (NEG-MULTI), National Emergency Grant On-the-Job Training (NEG-OJT) and Workforce Solutions (WORKSOL) and the total obligated and average training costs associated for each.

of Training Enrollments by Grant and Training Average Costs



The # of ITA enrollments referred to ETPL vendors to receive training are as follows:

ETPL Vendor	# of Enrollments
Airline Career Training LLC	2
Central Coast College	2
Coastal Trucking Institute	2
Monterey Adult School (MPUSD)	1
Monterey Peninsula Surgery Center	1
Office Star Computer Training	14
Shoreline Educational Svcs (Goodwill)	2
Total	24

The # of enrollments referred to receive on-the-job training (OJT) opportunities are as follows:

OJT Placement	# of Enrollments
Tax Service & Insurance	5
Sales & Leasing	4
Healthcare	10
Agriculture	4
Ameri-Kleen Svcs	4
Audio & Music Production	2
Bankers Casino	3
Landscape	3
Restoration	6
Trucking	2

Management	1
Art & Signs	7
Hospitality	5
Training	1
Misc	7
Automotive & Autobody	12
Cleaning Svc	7
Estate Pools	4
Capentry	2
Quality Air	2
Builder & Gen Contractor	6
Vineyard	1
Chamber	1
Bakery	1
Tools & Things	1
Home & Day Care	3
Communication	1
Partners for Peace	1
Financial	4
Dental	1
Teen Challenge	2
Law Office	1
Fitness	2
Vocational Rehab	3
YMCA	1
Total	120

MEMORANDUM

TO: WORKFORCE INVESTMENT BOARD OVERSIGHT COMMITTEE
FROM: JOYCE ALDRICH, INTERIM ASSISTANT DIRECTOR OF
EMPLOYMENT AND ECONOMIC OPPORTUNITY
SUBJECT: DISCUSS THE BUDGET AD-HOC WORKGROUP
DATE: SEPTEMBER 13, 2012

INFORMATION/SUMMARY:

As indicated in the WIB's Strategic Plan 2012 that was approved by the full WIB on June 6, 2012, the WIB's #1 priority initiative is "System Effectiveness & Efficiency". This includes implementing performance measure strategies to measure the return on investment, system effectiveness and efficiencies. The action step for this particular initiative was to develop a Budget Ad-hoc Workgroup served by members from the local WIB during the 1st quarter of the Program Year 2012-13 period. This was accomplished. Below is an update on the action steps and timeframe:

- The first Budget Ad-hoc Workgroup meeting was held on August 21, 2012.
- The Budget Ad Hoc Workgroup is chaired by Andrea Zeller-Nield. The workgroup members include Ms. Andrea Zeller-Nield, Ms. Mary Ann Leffel, Ms. Teresa Sullivan, Mr. Larry Silva, and Mr. Hunter Harvath.
- Attached are the meeting notes of the workgroup discussion.

At the Oversight Committee meeting on September 13, 2012, WIB staff plan to present an update on the Local Workforce Investment Board's budget.

ATTACHMENTS: Reference budget handout at meeting.

**Monterey County Workforce Investment Board
Budget Ad-Hoc Committee Notes**

Government Center
168 W. Alisal Street, Salinas, CA
August 21, 2012; 3:00pm

Members Present: Larry Silva, Mary Ann Leffel, Andrea Zeller-Nield

Members Absent: Hunter Harvath and Teresa Sullivan

Staff Present: Joyce Aldrich, Marleen Esquerra and Flor Galvan

1. **Budget Ad-Hoc Workgroup Charter:** Ms. Aldrich stated the budget Ad-Hoc Workgroup was created by the WIB Chair to consider proposed items including the impacts of the local workforce investment area (LWIA) budget for 2012-13 on staff, services and participants; while ensuring that the WIB, operators and staff are informed of the effects on the new budget. She also discussed meeting on a quarterly basis or as needed so that members have an opportunity to discuss and understand the LWIA budget to include revenue projections, cost allocations, resources, expenditures, grants, the LWIA local plan, leveraging and carry-over reserves.
2. **Proposed Budget Projections for FY 2012-13:** Ms. Aldrich stated that she asked the Department of Social and Employment Service's (DSES) Finance Manager, Ms. Wendy Russell to review the proposed budget projections for 2012-13. The data provided to the members is what Ms. Aldrich is aware of at this time which includes the Adult Program, Dislocated Worker, Youth, Additional Assistance Dislocated Worker and Rapid Response program budgets. She stated our Rapid Response allocation was increased due to the increase in the number of mass layoffs and discussions she's had with the State. Ms. Aldrich provided an overview of the LWIA budget. She stated that she placed the EDD rent reimbursement into the WIB budget for the office space utilized by EDD at the Comprehensive One-Stop Career Center. The budget spreadsheet also includes non-WIA funds. Based on the request of the Oversight Committee, DSES Finance has added columns to the budget to include the number and % of staff time allocated to each funding stream, the breakdown of staff and their salaries and benefits, subtotals of the funds allocated towards contracts and training, and the funds allocated towards admin and operations.
3. **SB 734 and leveraging other funds:** Ms. Aldrich stated that WIB staff sought to make certain that our adult subcontracts allocate at least 25% of their funding towards participant training in consideration of Senate Bill (SB) 734. This bill requires local boards to spend a certain percentage of available federal funds for adults and dislocated workers on workforce training programs. The spreadsheet shows the amount of full-time staff that OET needs to provide services to participants and implement Rapid Response, National Emergency Grants, Additional Assistance Dislocated Worker, Adult, Dislocated Worker and Youth related programs. The committee asked that an additional column be added to the spreadsheet stating "Staff Allocations".
4. **Carry-over funds:** Ms. Aldrich stated that Ms. Russell believes we will have a small increment of carry-over funds from the WIA youth program for PY 2012-13. She would like to work with the committee to discuss the reserve as the WIB moves forward. She explained that under the law, we can carry over a maximum of 20% in WIA funds for each funding stream to the following fiscal year to allow a funding bridge to continue operations until the next allocation arrives.