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Yolo County Workforce Innovation Board

A proud partner of America's Job Center of CaliforniaSM network.

American's Job Center of California - One-Stop Career Center Locations
West Sacramento 500-A Jefferson Blvd., Building A (916) 375-6300 x4327
Woodland 25 N. Cottonwood St (530) 661-2750 x4327

> > > NOTICE OF PUBLIC MEETING < < <

Workforce Innovation Board

January 11, 2017

8:00 – 10:30 AM

America's Job Center of California / Clarksburg Room / 25 North Cottonwood St., Woodland

AGENDA

8:30 a.m. Call to Order – Pledge of Allegiance

1. **Welcome Comments, Introductions and Group Discussion**
2. **Public Comment / Announcements – Non-Agenda Items**
Workforce Innovation Board (WIB) members, staff, or the public may address the WIB on subjects relating to employment and training in Yolo County. A time limit of 3 minutes may be imposed. No action may be taken on non-agenda items.
3. **Establish Quorum**
4. **Consider Agenda Approval**
5. **Consent Agenda – *Approved with one motion unless item withdrawn for discussion***
 - a. Approve WIB minutes – November 9, 2016 (Attachment) **Page 1**
 - b. WIB Election of Officers (Chair, Vice-Chair, and Second Vice-Chair). Per the WIB Bylaws Officers shall be elected by the WIB from among its members for a one-year term, and shall serve no more than two consecutive years in each position. The Chair and Vice-Chair shall be elected from among local business representatives and the Second Vice-Chair from the Workforce/Labor representatives (Attachment) **Page 4**
 - c. Ratify the Executive Committee recommendation of December 7, 2016, to approve Matthew J. Vendryes WIB application and establish a WIB Membership Waiting List (Attachment) **Page 6**
 - d. Ratify Executive Committee recommendation of December 7, 2016, to approve HHS Youth Funds Utilization Corrective Action Plan (Attachment) **Page 9**
 - e. Ratify Executive Committee recommendation of December 7, 2016, to approve the Request for HHS to be the Adult and Dislocated Worker Career Services Provider (Attachment) **Page 11**
6. **Regular Agenda**
 - a. Receive/Review/Approve Transfer PY 2016-17 WIOA Funds from Dislocated Worker to Adult Program (Attachment) **Page 34**
 - b. Receive/Review/Approve WIOA Local Plan for 2017-2020 (Attachment) **Page 39**
 - c. Receive/Review/Approve WIB Membership Application (Handout)
7. **Guest Speaker** – Brian Bedford for Align Capital Region. The Alignment toolset was developed by Alignment Nashville to align community organizations and resources so that their coordinated support of the community's youth has a positive impact on public school success, children's health, and the success of our community as a whole. The goal is to create a unified strategy and sustainable structure that coordinates college and career readiness efforts across the entire Sacramento region. This includes securing cross-sector resource alignment and a mutual support system from academia and the private sector around a common vision that aligns college and career readiness efforts with regional workforce needs.

Board Members

All Phase Security Inc.

Buckhorn Steakhouse/
Putah Creek Café

California Dept. of
Rehabilitation

California Employment
Development
Department

City of Woodland
Economic
Development

Clark Pacific

DMG Mori

La Cooperative
Campesina

Los Rios Community
College District

Olam Tomato
Processors

Optimum Zendejas
Home Loans

PrideStaff

Sacramento Central
Labor Council (4)

Seminis Vegetable
Seeds

The Scoop Frozen
Yogurt Shop

West Sacramento
Chamber of
Commerce

Woodland Aviation

Woodland Adult
Education

Woodland Community
College

Yolo Food Bank

Yolo Employment
Services, Inc.

8. Information Items

- a. Receive Resignation of WIB Member Denise Seals (Attachment) **Page 67**
- b. Receive/Review WIOA Program – Final Monitoring Report PY 2016-17 issued by the Compliance Monitoring Section of EDD (Attachment) **Page 68**
- c. Receive WIOA Fiscal – Final Youth Monitoring Report PY 2015-16 issued by HHSA (Attachment) **Page 70**
- d. Receive Funds Utilization PY 2015-16 issued by the Financial Management Unit of EDD (Attachment) **Page 75**
- e. Receive Workforce Services Directive 16-12/Reauthorization of the WOTC Program (Attachment) **Page 78**
- f. Receive Workforce Services Information Notice (WSIN) 16-22/Revised PY 2016-17 Rapid Response Funding (Attachment) **Page 85**
- g. Receive WSIN 16-23/Amendment to WIOA Formula Allocations – PY 2016-17 (Attachment) **Page 88**

9. WIOA Update

10. Reports

- a. Gary Pelfrey, WIB Chair
- b. Elaine Lytle, Executive Director
- c. Maggie Campbell, Ad Hoc Committee Chair

11. Other Business That May Come Before the Board

12. Adjourn

Next Meeting:

March 8, 2017 – Yolo County Health and Human Services Agency
America's Job Center of California
25 North Cottonwood St., Woodland / Community Room B

Accommodation: In accordance with Section 202 of the Americans with Disabilities Act, if you require special assistance, meeting materials to be in an alternative format, auxiliary aids, or other person to assist you while attending the meeting, we will provide reasonable accommodation to allow participation. Contact Cyndi Sechler at (530) 661-2750 ex. 4327 at least 3 business days prior to the meeting to facilitate arrangement.

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Yolo County Workforce Innovation Board

DRAFT Minutes

November 9, 2016

The Yolo County Workforce Innovation Board convened in the offices of Yolo County Health and Human Services Agency at 25 North Cottonwood Street, Woodland, CA, with the following persons in attendance:

- Present:** Alice Tapley, Benny Mitchell, Cornelio Gomez, Don Palm, Gary Pelfrey, John Pickerel, John Rodriguez, Ken Garrett, Kevin Sanchez, Lynn White, Maggie Campbell, Marco C. Lizarraga, Michele Fadling, Rob Carrion, Robyn David-Harris, Susan Moylan, and Wendy Ross
- Absent:** Alfred Konuwa, Brett Sanders, Denice Seals, Jennifer Pike, Paul Basi, and Randy Young
- Staff:** Elaine Lytle, Lisa Vincent, Judy Needham, and Cyndi Sechler
- Guests:** Mary Ruiz, Workforce Services Deputy Division Chief, E.D.D. Matthew Vendryes, Eclastic, LLC
Sarah Turner, WIOA Regional Advisor, E.D.D.
Dan Maguire, Economic Developer Manager, City of Winters
Eric Banuelos, Yolo County Office of Education
Moises Jauregui, Public
Shannon Pelfrey, Human Resource Manager, Woodland Aviation/Davis Flight Support

Call to Order – Pledge of Allegiance

Meeting called to order at 8:32 a.m. by WIB Chair, Gary Pelfrey with quorum present.

1. **Welcome Comments, Introductions and Group Discussion**
2. **Public Comment / Announcements – Non-Agenda Items**
WIB members, staff, or the public may address the Workforce Innovation Board Executive Committee on subjects relating to employment and training in Yolo County. A time limit may be imposed. No action may be taken on non-agenda items.

Matthew Vendryes announced a career day coming up in Davis, for high school and college students.

Rob Carrion announced a Career Fair today in Esparto.
3. **Establish Quorum**
Quorum established.
4. **Consider Agenda Approval**
Maggie Campbell moved to approve the agenda; Robyn David-Harris seconded; motion passed.
5. **Consent Agenda – Approved with on motion unless item withdrawn for discussion**
 - a. Approve WIB minutes – September 14, 2016
Don Palm moved to approve the September 14, 2016 minutes; Ken Garrett seconded; motion passed.



6. Regular Agenda

a. Receive/Review/Approve Recommended WIB Bylaws as amended by Yolo County Counsel

Don Palm moved to approve the recommended WIB Bylaws as amended by Yolo County Counsel; Marco C. Lizarraga seconded; motion passed.

b. Discuss WIB Board Elections

Gary Pelfrey discussed Executive WIB duties.

7. Guest Speaker / Trainer – Kimberly A. Lucia, Attorney at Boutin Jones Inc.

Kimberly Lucia gave a presentation and discussed employment law. She routinely provides advice and counseling to public and private employers on wage and hour issues, discipline and termination, disability accommodations, and Family and Medical Leave Act/California Family Rights Act leaves of absences.

8. Information Items

a. Receive/Review PY 2016-17 and PY 2017-18 Local Performance Goals for WIOA Title 1 programs; Adult, Dislocated Worker, and Youth

b. Receive/Review Strength Finders Team Grid

c. Update: Policy Bulletin 16-6 Funded Supportive Services and Incentives – The reference to GED on page 4 under the incentives section was updated to indicate “High School Equivalency (example GED)” instead of “GED”

d. Receive Workforce Services Directive (WSD) 16-07/Regional and Local Planning Guidance for PY 2017-2020

e. Receive WSD 16-09/WIOA Phase II Memorandums of Understanding

Information items were discussed and received by WIB members.

9. WIOA Update

No additional updates.

10. Reports

a. Gary Pelfrey, WIB Chair

Gary asked everyone to think about being Chair, Vice-Chair, or Second Vice-Chair. We will be having elections at our next WIB meeting in January.

b. Elaine Lytle, Executive Director

Elaine reported on the following:

- November 17th, Woodland will be hosting a NCCT, Clark Pacific, and construction Job Talk
- December 1st, West Sacramento will be hosting a NCCT, Clark Pacific, and construction Job Talk
- In March we will be having another Winters Job Fair, no set dates yet, it is still in the planning stages
- Just had a press release on project Slingshot, \$750,000 in grants to boost local innovation economy, and we are part of this as part of the Capitol Region. There are four WIBs that are involved with this, and the RFP went out Friday, and will be reviewed at the vendors conference December 10, 2016.

c. Maggie Campbell, Ad Hoc Committee Chair

Maggie stated at our last meeting on October 12, 2016, we discussed and working on the following items:

- Due to the changes in the WIB Bylaws, this will result in some changes to the Ad Hoc Committee. The meeting will have a name change, and will become a public meeting with agendas and minutes.
- Currently working on resource mapping for the youth within Yolo County
- Teaming up with 211 Yolo Information and Resources to have an icon on their page that says “Youth”, and then have sub-icons that can lead them to the services they need.
- We have also been working on Soft Skills 101 for both new and current employees

11. Other Business That May Come Before the Board

Matthew Vendryes announced a monthly event called the Davis Speaker Series. It's next Thursday at 6:30 p.m., in the Davis Roots Building. The topic is on Digital Drugs. This is Cognitive Science applying what they know about cognitive therapy through video games. Creating video games for seniors, people with Alzheimer's, and cognitive impairments.

12. Adjourn

Meeting dismissed at 10:24 a.m.

Next Meeting

January 11, 2017

Yolo County HHSA/Clarksburg Room

Woodland One-Stop

8:30-10:00 a.m.

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TO: Members of the Workforce Innovation Board

FROM: Elaine Lytle, WIB/Executive Director

DATE: January 11, 2017

SUBJECT: **Election of Workforce Innovation Board Officers**

RECOMMENDED ACTION

Annual election of the Workforce Innovation Board Officers:

- o Executive Committee nominations are:
 - Chair: Gary Pelfrey
 - Vice-Chair: Ken Garrett, and
 - Second Vice-Chair: Maggie Campbell
- o Additional nominations to be considered
 1. Open nominations for candidates for WIB Chair
 2. Vote to elect WIB Chair
 3. Open nominations for candidates for WIB Vice-Chair
 4. Vote to elect WIB Vice-Chair
 5. Open nominations for candidates for WIB Second Vice-Chair
 6. Vote to elect WIB Second Vice-Chair

REASON FOR RECOMMENDED ACTION

The Executive Committee discussed all Board Members along with who had expressed an interest in serving in leadership roles, which were none, at the meeting held on December 7, 2016. The Executive Committee noted the importance of having Board leadership in place as we begin the new year and agreed to accept roles on the Board if so approved by the membership. We are still interested in taking nominations from the Board.

FISCAL IMPACT

There is no fiscal impact to this action.

BACKGROUND

Per the Section 10, 11, 12, and 13 of the WIB By-Laws, the officers of the Board shall consist of a Chair, Vice-Chair, Second Vice-Chair, and such other officers as the WIB may deem necessary. Officers shall be elected by the WIB from among its members for a one-year term, and shall serve no more than two consecutive years in each position. The Chair and Vice-Chair shall be elected from among local business representative.

The Chair is elected from among local business representatives to preside over the WIB meetings and the Executive Committee.

The Vice-Chair is elected from among local business representatives and may fill-in for the Chair if unable to attend a scheduled meeting of the WIB. The Vice-Chair may be assigned or requested to perform other duties as are necessary in-lieu of the Chair. The Vice-Chair is appointed to the Executive Committee of the WIB.

The Second Vice-Chair, is elected from among the Workforce/Labor representatives and may be assigned or requested to perform duties as are necessary. The Second Vice-⁴



Chair, in coordination with WIB staff, assists in arranging and scheduling presentations and programs for WIB meetings and special events and is appointed to the Executive Committee of the WIB. They may fill-in for the Chair and Vice Chair if both are unable to attend a scheduled meeting.

Upon election, each officer will begin their term the following this meeting.

AGENCY COORDINATION

WIB Officers to be sworn in by a Yolo County Board of Supervisor member.



Yolo County Workforce Innovation Board

One-Stop Career Center Locations

www.yoloworks.org

25 No. Cottonwood St.
Woodland, CA 95695
(530) 406-4458
(530) 666-8831 FAX

500-A Jefferson Blvd., Suite 100
West Sacramento, CA 95605
(916) 375-6300

- Board Member**
 Committee Member

Workforce Innovation and Opportunity Act (WIOA) Board Membership Application

Membership Category:

- Business
 Higher Education
 Labor
 Adult Ed/Literacy
 Economic Development
 Other
 Vocational Rehab
 Wagner-Peyser

Committee Interest:

- One-Stop Partners
- Programs of Title 1 – WIOA Adult, Dislocated Worker, and youth, Job Corp, Youth Build, Native American, and Migrant & Seasonal Farmworker (MSFW)
 - Wagner Peyser – Employment Service
 - Adult and Ed and Literacy
 - Vocational Rehabilitation
 - Programs of Title V – Senior Community Services Employment Program/Older Americans Act
 - Career Technical Education funded under Carl Perkins
 - Trade Adjustment Assistance
 - Jobs for Veterans State Grants
 - Employment and Training Programs carried out under Community Services Block Grant
 - Employment and Training Programs carried out under Department of Housing & Urban Development (HUD)
 - Unemployment Insurance
 - Section 212 of the Second Chance Act of 2007 (Community Safety Through Recidivism Prevention-grant programs funded and administered by the Office of Justice Programs in the U.S. Department of Justice)
 - TANF/CalWORKS
- Youth Services
- Services to individuals with disabilities

Name Matthew J Vendryes

Title or Position CEO, Founding Teacher of Eclastic.com

Business/Organization Eclastic, Thrive Interactive

Address 717 11th St.

City Davis State CA Zip 95616

Phone Number (925) 586-2616 FAX Number _____

Email Address mjv@eclastic.com

TYPE OF BUSINESS/ORGANIZATION

- Public
- Private
- Labor
- Individual

Number of Employees: 0

General description or product or services of business/organization:

Training tools for the diverse workplace.
 Communication training, online learning, soft-skills training, academic instruction, tutoring, business consulting

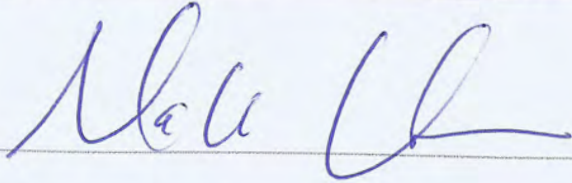
Membership in other organizations, councils, etc.:

CAERC - Capital Adult Education Regional Consortium (Sacramento)
 School/Business Partnership Committee (Davis)

Skills/expertise I would bring to the Board:

Empowering others with useful real-world skills, Communication, Group work and organization, Economic development, technology training, soft-skills resources, job creation, connecting thought leaders, innovation, software development +

Signature of Applicant:



Date: Nov 2, 2016



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Services, Inc.

TO: Members of the Workforce Innovation Board

FROM: Gary Pelfrey, WIB Chair

DATE: January 11, 2017

SUBJECT: YOUTH FUNDS UTILIZATION CORRECTIVE ACTION

RECOMMENDED ACTION

Recommend the Executive Committee of the Workforce Innovation Board (WIB) approve the Health and Human Services Agency (HHS) Youth Funds Utilization Corrective Action Plan.

REASON FOR RECOMMENDED ACTION

Workforce Service Directive (WSD) 15-08 regarding Funds Utilization Requirements for WIOA funds states, in part, that:

- Local Areas are required to obligate at least 80 percent of their program dollars by the end of the first program year for which they were allotted.
- Funds utilization analysis will be based on June 30 expenditure reports submitted to the EDD by the end of the first quarter for each program year.
- It is the responsibility of each Local Area to ensure that funds are obligated appropriately at the level set by the state.
- Any unobligated funds that exceed 20 percent of the year's allocation are considered excess and may be recaptured/returned to the state.

The Funds Utilization Analysis issued by EDD on October 3, 2016, indicates that as of June 30, 2016, Yolo County was under obligated by \$177,089.58. Additionally, the analysis indicates expenditures related to work experience which includes on-the-job training opportunities and pre-apprenticeship programs as well as out-of-school youth are trending below the minimum requirements.

BACKGROUND

WIOA Final Rules and Regulations section 681.400 under subpart C states, in part, the grant recipient/fiscal agent has the option to provide directly some or all of the youth workforce investment activities. However, as provided in WIOA sec.123, if the Local Board chooses to award grants or contracts to youth service providers it must be done on a competitive basis.

HHS, as the grant recipient/fiscal agent, will administer a Youth Pilot Program utilizing WIOA Title I youth funds in accordance to WIB policies to provide on-the-job training and/or pre-apprenticeship opportunities to out-of-school individuals between the ages of 18 and 24 with barriers to employment as defined by WIOA.

HHS will provide job-driven training opportunities with the WIOA Title I youth program dollars that will:

- Facilitate academic to employment transition for out-of-school individuals between the ages of 18 and 24 with barriers to employment.



- Provide more and diversified job-driven training opportunities through on-the-job training contracts with local/regional employers and/or pre-apprenticeship programs as approved by the Department of the Apprenticeship Standards (DAS) and listed on the Eligible Training Providers List (ETPL).
- Incorporate flexible approaches to designing and providing training and support services, including job-driven training strategies to assist out-of-school individuals between the ages of 18 and 24 with barriers to employment.
- Promote more active engagement with the business sector by establishing on-the-job training contracts with employers in key industries driving the local and regional economy/labor market.
- Improve employment outcomes for out-of-school individuals between the ages of 18 and 24 with barriers to employment through work based learning opportunities.

FISCAL IMPACT

Increase WIOA Title I youth program expenditures to achieve the required levels in order to prevent the state from recapturing excess funds.

AGENCY COORDINATION

HHSA will recruit out-of-school individuals between the ages of 18 and 24 for the purpose of providing on-the-job training opportunities and/or pre-apprenticeship trainings and RISE will recruit in-school and out-of-school individuals between the ages of 16 and 24 for the purpose of providing a paid work experience as contracted.



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TO: Members of the Workforce Innovation Board

FROM: Gary Pelfrey, WIB Chair

DATE: January 11, 2017

SUBJECT: REQUEST FOR APPROVAL TO BE AMERICA'S JOB CENTER OF CALIFORNIASM (AJCC) ADULT AND DISLOCATED WORKER SERVICE PROVIDER

RECOMMENDED ACTION

Recommend the Executive Committee of the Workforce Innovation Board (WIB) approve the Request for Health and Human Services Agency (HHS) to be the WIOA Title I Adult and Dislocated Worker Service Provider for Yolo County. HHS is the grant recipient/fiscal administrator.

REASON FOR RECOMMENDED ACTION

Workforce Service Draft Directive (WSDD) 153 regarding Selection of AJCC Operators and Career Services Providers states, in part, that:

- Local Boards are responsible for identifying eligible Adult and Dislocated Worker Career Services Providers.
- A Local Board or administrative entity may be designated as the Adult and Dislocated Worker Career Services Provider only with the approval of the Chief Elected Official (CEO) and the Governor (WIOA Section 107[g][2] and Title 20 CFR 679.410[b]). Approval under this provision would serve as the agreement by the Governor and would exempt the Local Board from selecting the Adult and Dislocated Worker Career Services Providers through a competitive process by allowing them to fulfill the role themselves.
- If a Local Board or administrative entity wants to provide Adult and Dislocated Worker Career Services, the local CEO must submit the Request for Approval to be the Adult and Dislocated Worker Services Provider application and required supporting documents to the State Board by March 1, 2017.
- If a Local Board receives approval to provide Adult and Dislocated Worker Career Services that approval will be valid for a maximum of four years, after which time another request must be submitted.
- All Adult and Dislocated Worker Career Services Providers must be in place and operating in the AJCCs no later than July 1, 2017.

BACKGROUND

HHS served as the WIA Title I B grant recipient/fiscal administrator as well as the provider of services for the Adult and Dislocated programs since WIA implementation in 2000. HHS continues to serve as the WIOA Title I grant recipient/fiscal administrator and is requesting approval to be the Adult and Dislocated Worker Career Services Provider. HHS has successfully provided core, intensive, and training services to the adult and dislocated worker populations of Yolo County under WIA. HHS has the internal infrastructure needed to ensure a seamless transition including the workforce



service staff which are trained, experienced and knowledgeable and will seize the opportunity to immediately and successfully implement WIOA.

FISCAL IMPACT

The WIOA portion of the HHSA budget will remain intact if the application is approved.

AGENCY COORDINATION

Executive Committee approval will be submitted to the WIB on January 11, 2017, for ratification and to the Yolo County Board of Supervisors for approval and signature on January 24, 2017.

Attachment: Request for Approval to be America's Job Center of CaliforniaSM
Adult and Dislocated Worker Servicer Provider Application



**Request for Approval to be
America’s Job Center of CaliforniaSM
Adult and Dislocated Worker Career
Services Provider**

Local Workforce Development Board

Workforce Innovation Board

Local Workforce Development Area

Yolo County

The Workforce Innovation and Opportunity Act (WIOA) allows Local Workforce Development Boards (Local Boards) to be an Adult and Dislocated Worker Career Services Provider with the agreement of the Chief Elected Official (CEO) and the Governor.

This application will serve as the Local Board’s or administrative entity’s request for Governor Approval to be an Adult and Dislocated Worker Career Services Provider within a Local Workforce Development Area (Local Area) under WIOA. The application must be submitted to the California Workforce Development Board (State Board) by March 1, 2017 through one of the following methods:

Mail: California Workforce Development Board
P.O. Box 826880
Sacramento, CA 94280-0001

Overnight Mail/
Hand Deliver: California Workforce Development Board
800 Capitol Mall, Suite 1022
Sacramento, CA 95814

If the State Board determines the request is incomplete, it will either be returned or held until the necessary documentation is submitted. Please contact your Regional Advisor for technical assistance or questions related to completing and submitting this request.

Workforce Innovation Board

Name of Local Board

25 N. Cottonwood Street

Mailing Address

Woodland, CA 95695

City, State Zip

Lisa Vincent

Contact Person

(530) 406-4458

Contact Person’s Phone Number

Date of Submission

Request for Approval to be Adult and Dislocated Worker Career Services Provider

Local Chief Elected Official Statement

A Local Board or administrative entity that seeks approval to be an Adult and Dislocated Worker Career Services Provider within an AJCC must provide a statement from the local CEO indicating his/her request as well as responses to the following questions.

- BOS approval as indicated by the Chair's signature on page 8 of this application serves as the CEO request for Yolo County Health & Human Services Agency (HHSA) to be the Adult and Dislocated Worker Career Services Provider in Yolo County.
1. What factors guided the Local Board's or administrative entity's decision to submit this application to be an Adult and Dislocated Worker Career Services Provider within the Local Area?
 - HHSA has served as the WIA Title I B grant recipient/fiscal administrator as well as the provider of services for the Adult and Dislocated programs. HHSA continues to serve as the WIOA Title I grant recipient/fiscal administrator and is requesting approval to continue to be the Adult and Dislocated Worker Career Services Provider. HHSA has successfully provided core, intensive, and training services to the adult and dislocated worker populations of Yolo County under WIA. HHSA has the internal infrastructure needed to ensure a seamless transition including the workforce service staff who are trained, experienced and knowledgeable and who will seize the opportunity to immediately and successfully implement WIOA.
 2. How would participants be better served by the Local Board or administrative entity acting in this role rather than undergoing a competitive process?
 - The operations of HHSA is overseen by the Yolo County Board of Supervisors (BOS) which also serves as the Local Chief Elected Official. HHSA works to ensure the health, safety and economic stability of children and adults, particularly individuals that are vulnerable. The agency administers almost 50 state and federally mandated programs and services as well as non-mandated programs that improve community wellbeing. HHSA provides services directly and indirectly through contracts with community partners. HHSA also provides the platform for providing connectivity to services as well as the delivery of services in a collaborative and integrated fashion to improve participant outcomes.
 3. Describe the Basic and Individualized Career Services the Local Board or administrative entity will provide as well as their past experience providing these services.

- The Adult and Dislocated Worker Basic and Individualized Career Services that will be provided by HHSA under WIOA are listed below which are similar to the core and intensive services provided by HHSA under WIA.
 - Eligibility for Title I services
 - Outreach, intake, orientation
 - Initial assessment
 - Labor exchange services
 - Referrals to programs
 - Labor market information
 - Performance, cost information
 - Support services information
 - Unemployment Insurance information and assistance
 - Financial aid information
 - Follow-up services
 - Comprehensive assessment
 - Individual employment plan
 - Career planning, counseling
 - Short-term prevocational services
 - Internships, work experience
 - Out-of-area job search
 - Financial literacy services
 - English language acquisition
 - Workforce preparation

4. Provide the Local Area's performance outcomes and cost per participant for each of the last three Program Years (PY 2013-14, 2014-15, 2015-16) and describe how these outcomes compare to other Local Areas in the state.

- The table below provides the negotiated levels of performance and actual outcome levels for PYs 2013-14, 2014-15, and 2015-16.

Yolo County Performance Table						
Adult						
Common Measure	PY 2013-14		PY 2014-15		PY 2015-16	
	Negotiated	Actual	Negotiated	Actual	Negotiated	Actual
Entered Employment Rate	75.8%	81.0%	75.0%	94.1%	75.0%	74.4%
Employment Retention Rate	82.4%	71.4%	85.0%	87.0%	85.0%	85.7%
Average Earnings	\$14,000	\$11,083	\$14,250	\$14,958	\$14,250	\$18,833

Dislocated Worker						
Common Measure	PY 2013-14		PY 2014-15		PY 2015-16	
	Negotiated	Actual	Negotiated	Actual	Negotiated	Actual
Entered Employment Rate	77.1%	79.4%	78.5%	79.4%	78.5%	66.7%
Employment Retention Rate	89.3%	88.5%	85.0%	85.7%	85.0%	78.9%
Average Earnings	\$16,900	\$21,598	\$15,750	\$18,229	\$15,750	\$20,705
Cost Per Participant*	\$302.27		\$324.42		\$335.82	

* Cost per participant was calculated by dividing the total sum of Adult and Dislocated Worker allocations by the number of Adult and Dislocated Worker customers.

- Workforce Services Information Notice (WSIN) 14-29 provided the final PY 2013-14 performance results for California’s 49 Local Areas and the data published provides the basis for the comparisons below.
 - Yolo County and 39 other Local Areas achieved a success rate of 100 percent or greater for the Adult Entered Employment Rate
 - Yolo County and 9 other Local Areas achieved a success rate between 80 and 99 percent for the Adult Employment Retention Rate
 - Yolo County achieved a success rate of 79.2 percent and was the only Local Area that fell below the 80 percent success rate for the Adult Average Earnings
 - Yolo County and 39 other Local Areas achieved a success rate of 100 percent or greater for the Dislocated Worker Entered Employment Rate
 - Yolo County and 10 other Local Areas achieved a success rate between 80 and 99 percent for the Dislocated Worker Employment Retention Rate
 - Yolo County and 37 other Local Areas achieved a success rate of 100 percent or greater for the Dislocated Worker Average Earnings
- A comparison for PY 2014-15 is not provided due to the lack of published information regarding the final performance results for California’s 49 Local Areas although based on the table above Yolo County achieved success rates of greater than 100 percent in all 6 of the Adult and Dislocated Worker measures.
- A comparison for PY 2015-16 is not provided due to the lack of published information regarding the final performance results for California’s 49 Local Areas although based on the table above Yolo County achieved success rates of greater than 100 percent in 3 of the 6 Adult and Dislocated Worker measures and between 80 and 99 percent in the remaining 3 measures.

5. Provide evidence that the Local Board or administrative entity is qualified to provide Adult and Dislocated Worker Career Services, including testimonials that speak to the effectiveness and efficiency with which the Local Board or administrative entity has provided or can provide those services. Attach supporting documentation.
 - Three documents are attached that speak to the effectiveness and efficiency with which HHSA served as the WIA Title I B as well as serves as the WIOA Title I grant recipient/fiscal administrator and provider of services for the Adult and Dislocated programs.
 - Initial Designation as a Local Workforce Development Area which was recommended by California Workforce Investment Board as well as the Secretary of the Labor & Workforce Development Agency and approved by the Governor. Initial designation was an application process which included an evidence review of successful performance and fiscal integrity.
 - WIOA Fiscal and Procurement Review Final Monitoring Report PY 2015-16 issued by the Compliance Monitoring Section of the Employment Development Department (EDD) which indicates that no findings or concerns. Fiscal review is conducted annually to determine the level of compliance with applicable federal and state laws, regulations, policies, and directives related to the WIA/WIOA grant regarding financial management and procurement.
 - WIOA Program Review Final Monitoring Report PY 2016-17 issued by the Compliance Monitoring Section of the EDD which indicates that no findings or concerns were identified. Program review is conducted annually to determine the level of compliance to WIOA grant program, federal and state regulations, and applicable state directives.

6. Attach documentation (signed and dated letter) that the members of the Local Board and other relevant parties (e.g., Board of Supervisors) reviewed the information provided in the application and approved the request in a public meeting.
 - Three documents are attached that provide evidence of the application being reviewed and/or approved in a public meeting.
 - The WIB Executive Agenda is posted in advance of the meeting, the meeting is open to the public, and includes a public comment period.
 - The WIB Agenda is posted in advance of the meeting, the meeting is open to the public, and includes a public comment period.
 - The BOS Agenda is posted in advance of the meeting, the meeting is open to the public, and includes a public comment period.

Signature Page

By signing below, the local CEO and Local Board chair request approval from the Governor to be an Adult and Dislocated Worker Career Services Provider. Each party certifies that this application submission was reviewed and demonstrates that the Local Board or administrative entity will meet all the requirements as an Adult and Dislocated Worker Career Services Provider under WIOA law and regulations.

Instructions: The Local Board chair and local CEO must sign and date this form. Include the original signatures with the request.

Local Workforce Development Board Chair

Signature

Gary Pelfrey
Name

WIB Chair
Title

December 7, 2016
Date

Local Chief Elected Official

Signature

Duane Chamberlain
Name

BOS Chair
Title

January 24, 2017
Date



Michael Rossi, Chair ▪ Tim Rainey, Executive Director ▪ Edmund G. Brown, Jr., Governor

July 17, 2015

Yolo County Workforce Investment Board
Mr. Matt Rexroad, Chair
625 Court Street, Room 204
Woodland, CA 95695

SUBJECT: Initial Designation as a Local Workforce Development Area

Dear Mr. Rexroad,

This letter is to inform you that at its June 23, 2015 meeting, the California Workforce Investment Board recommended approval of your application for initial designation as a Local Workforce Development Area under the federal Workforce Innovation and Opportunity Act (WIOA). The Governor and the Secretary of the Labor & Workforce Development Agency have concurred with this recommendation.

Initial designation is for the 2-year period of July 1, 2015 through June 30, 2017. Local board certification was combined in this application process. Your local board is certified for the 1-year period of July 1, 2015 through June 30, 2016.

Congratulations on your designation as a Local Workforce Development Area. We look forward to our continued partnership in the successful implementation of WIOA in California.

If you have any questions, please contact your Employment Development Department Regional Advisor.

A handwritten signature in black ink, appearing to read "Tim Rainey".

TIM RAINEY, Executive Director
California Workforce Investment Board

cc: Elaine Lytle, Executive Director
David Lanier, Secretary - Labor and Workforce Development Agency
Mike Rossi, Chair - California Workforce Investment Board
Patrick Henning, Director - Employment Development Department
Brian McMahon, Labor and Workforce Development Agency

Existing Local Area

**Application for Initial Local Area Designation
Program Years 2015-17
and
Initial Local Board Certification
Program Year 2015-16**

Local Workforce Investment Area

Yolo County

Existing Local Area
Application for Initial Local Area Designation
and Initial Local Board Certification

This application will serve as your request for Local Workforce Development Area (local area) initial designation for Program Years (PYs) 2015 and 2016 and Local Workforce Development Board (local board) initial certification for PY 2015 under the *Workforce Innovation and Opportunity Act (WIOA)*.

If the California Workforce Investment Board determines the application is incomplete, it will either be returned or held until the necessary documentation is submitted. Please contact your Regional Advisor for technical assistance or questions related to completing and submitting this application.

Yolo County _____

Name of Local Area

25 N. Cottonwood Street _____

Mailing Address

Woodland, CA 95695 _____

City, State

ZIP

Date of Submission

Lisa Vincent _____

Contact Person

(530) 406-4458 _____

Contact Person's Phone Number

Local Area Levels of Performance

Instructions: Enter your local area's negotiated levels of performance and actual levels of performance for PYs 2012-13 and 2013-14.

Performance Table				
Name of Local Area: <u>Yolo County</u>				
Common Measure	Negotiated PY 2012-13	Actual PY 2012-13	Negotiated PY 2013-14	Actual PY 2013-14
Adult				
Entered Employment Rate	70.0%	60.6%	75.8%	81.0%
Employment Retention Rate	80.5%	88.9%	82.4%	71.4%
Average Earnings	\$14,000	\$14,087	\$14,000	\$11,083
Dislocated Worker				
Entered Employment Rate	72.0%	79.6%	77.1%	79.4%
Employment Retention Rate	83.0%	84.2%	89.3%	88.5%
Average Earnings	\$12,000	\$14,975	\$16,900	\$21,598
Youth (ages 14-21)*				
Placement in Employment or Education	72.0%	81.9%	72.0%	94.4%
Attainment of a Degree or Certificate	60.0%	84.2%	70.0%	78.1%
Literacy and Numeracy Gains	54.0%	80.0%	75.0%	0.0%**

*Note: For PY 2012-13, each local area's youth performance goals were the same as the State level goals.

**0.0% is an indicator of the Department of Labor "Rule of Three" which means that 3 or fewer individuals were included in this measure; it is not an indicator of failed performance.

Local Board Membership

Current Local Board Membership

Provide a list of individuals currently appointed to the local board and their respective membership category (e.g., business, local education entity, labor organization, community based organization, etc.) in the following chart (Workforce Investment Act [WIA] Section 117).

Or, attach a roster of the current local board which identifies each member's respective membership category

Name	Title	Membership Category
Marco Lizarraga	Sales & Training	Business
Alan Ruzich	Operations Manager	Business
Kenneth Garrett	Chief Executive Officer	Business
Jennifer Cruickshank	Director	Business
Jennifer Pike	Human Resource Generalist	Business
Gary Pelfrey	Vice President	Business
Michele N. Fadling	Human Resource Manager	Business
John Pickerel	Owner	Business
Carrie Garcia	Associate Support Depart Supervisor	Business
Katie Stille	Director of Marketing	Business
Sharon Krutt	Associate Support Depart Head	Business
Brett Sanders	USR and D Stations Lead	Business
Angelina Veal	Owner	Business
Benny Mitchell	Warehouse Operations Manager	Business
Paul Basi	Owner	Business
Denice A. Seals*	President/CEO	Business
Tico Zendejas*	Executive Director	Business
Lynn White	Organizing Director	Labor Organization
Randy Young	Business Representative	Labor Organization
Maggie Campbell	Labor Relations Representative	Labor Organization
Rob Carrion	District Representative	Labor Organization
Daniel John Silva	Member Strength Director	Labor Organization
Wendy Ross	Manager	Economic Development
Denice A. Seals*	President/CEO	Economic Development
Lorie Perez*	Coordinator	Local Education Entity/
Dr. Alfred Konuwa	Vice-President	Local Education Entity
Donald Palm	Dean-Davis Center	Local Education Entity
Kevin R. Sanchez	Executive Director	Community Based Organization
Tico Zendejas*	Executive Director	Community Based Organization
Scharlene Reid	Employment & Training Coordinator	One-Stop Partner
Janis Holt	Resource Administrator	One-Stop Partner
Blanca Barba	Regional Coordinator	One-Stop Partner
Robyn David-Harris	Staff Services Manager I	One-Stop Partner
Alice Tapley	Executive Director	One-Stop Partner
Raymond Rivera	Program Supervisor	One-Stop Partner
Janet Neitzel	Cluster Manager	One-Stop Partner
Lorie Perez*	Coordinator	One-Stop Partner

*Individual represents two categories

Plan for WIOA Local Board Compliance

Identify the actions the local chief elected official (CEO) will take in order to ensure WIOA local board membership compliance by June 30, 2016.

The Yolo County Board of Supervisors will work with the Executive Committee and staff of the WIOA local board to recommend, recruit, and approve appropriate members as defined by WIOA.

Sustained Fiscal Integrity

The local area hereby certifies that it has not been found in violation of any of the following during either PYs 2012-13 or 2013-14:

- **Final determination finding(s)** from audits, evaluations, or other reviews conducted by state or local governmental agencies or the Department of Labor identifying issues of fiscal integrity or misexpended funds due to the willful disregard or failure to comply with any Workforce Investment Act (WIA) requirement, such as failure to grant priority of service or verify participant eligibility.
- **Gross negligence** - defined as a conscious and voluntary disregard for the need to use reasonable care, which is likely to cause foreseeable grave injury or harm to persons, property, or both.
- **Failure to observe accepted standards of administration.** Local areas must have adhered to the applicable uniform administrative requirements set forth in Title 29 Code of Federal Regulations (CFR) Parts 95 and 97, appropriate Office of Management and Budget circulars or rules, WIA regulations, and state guidance.

Highlights of these responsibilities include:

- Timely reporting of WIA participant and expenditure data
- Timely completion and submission of the required annual single audit
- ***Have not been placed on cash hold for longer than 30 days***

[In alignment with WIOA Section 106(e)(2)]

Local Area Assurances

Through PY 2016-17, the local area assures the following:

- A. It will comply with the applicable uniform administrative requirements, cost principles, and audit requirements included in the appropriate circulars or rules of the Office of Management and Budget [WIOA Section 184(a)(2) and (3)].

Highlights of this assurance include the following:

- The local area's procurement procedures will avoid acquisition of unnecessary or duplicative items, software, and subscriptions (in alignment with Title 2 CFR Section 200.318).
- The local area will maintain and provide accounting and program records, including supporting source documentation, to auditors at all levels, as permitted by law (Title 2 CFR Section 200.508).

Note that failure to comply with the audit requirements specified in Title 2 CFR Part 200 Subpart F will subject the local area to potential cash hold (Title 2 CFR Section 200.338).

- B. All financial reporting will be done in compliance with federal and state regulations and guidance.

Highlights of this assurance include the following:

- Reporting will be done in compliance with Workforce Services Directive WSD12-3, *Quarterly and Monthly Financial Reporting Requirements*.
- All close out reports will comply with the policies and procedures listed in Workforce Services Directive WSD09-12, *WIA Closeout Handbook*.

Note that failure to comply with financial reporting requirements will subject the local area to potential cash hold (Title 2 CFR Section 200.338).

- C. Funds will be spent in accordance with federal and state laws, regulations, and guidance.

Highlights of this assurance include the following:

- The local area will meet the requirements of State Senate Bill 734, to spend a minimum of 25 percent of combined total of adult and dislocated worker formula fund allocations on training services (*California Unemployment Insurance Code* Section 14211).
- The local area will not use funds to assist, promote, or deter union organizing [WIOA Section 181(b)(7)].

- D. The local board will select the America's Job Center of CaliforniaSM (AJCC) Operator(s), with the agreement of the local Chief Elected Official (CEO), through a competitive process such as a Request for Proposal (RFP), unless granted a waiver by the state [WIOA Section 121(d)(2)(A) and 107(g)(2)].
- E. The local board will collect, enter, and maintain data related to participant enrollment, activities, and performance necessary to meet all CalJOBSSM reporting requirements and deadlines.
- F. The local board will comply with the nondiscrimination provisions of WIOA Section 188, including the collection of necessary data.
- G. It will comply with State Board policies and guidelines, legislative mandates and/or other special provisions as may be required under federal law or policy, including the WIOA or state legislation.
- H. Priority shall be given to veterans, recipients of public assistance, other low-income individuals, and individuals who are basic skills deficient for receipt of career and training services funded by WIOA Adult funding [WIOA Section 134(c)(3)(E) and Training and Employment Guidance Letter 10-09].

Application Signature Page

Instructions: The local CEO and local board chair must sign and date this form. Include the original signatures in the application package.

By signing the application below, the local CEO and local board chair request initial designation of the existing local area and initial certification of the existing local board. They certify that the local area has performed successfully and sustained fiscal integrity during PYs 2012-13 and 2013-14. Additionally, they agree to abide by the local area assurances included in this application.

Local Workforce Investment Board Chair



Signature

Gary Relfrey

Name

WIB Chair

Title

March 11, 2015

Date

Local Chief Elected Official



Signature

Matt Rexroad

Name

BOS Chair

Title

March 24, 2015

Date

California Labor and Workforce Development Agency



May 11, 2016



Edmund G. Brown Jr.
Governor

Ms. Karen Larsen, Executive Director
Yolo County Health and Human Services Agency
25 N Cottonwood Street
Woodland, CA 95695

Dear Ms. Larsen:

**WORKFORCE INNOVATION AND OPPORTUNITY ACT
FISCAL AND PROCUREMENT REVIEW
FINAL MONITORING REPORT
PROGRAM YEAR 2015-16**

This is to inform you of the results of our review for Program Year (PY) 2015-16 of the Yolo County Health and Human Services' Agency (Yolo County DESS) financial management and procurement activities funded by the Workforce Investment Act (WIA) and the Workforce Innovation and Opportunity Act (WIOA). This review was conducted by Ms. Ann Brito from May 2, 2016, through May 6, 2016. For the fiscal portion of the review, we focused on the following areas: fiscal policies and procedures, financial reporting, expenditures charged to the WIA/WIOA grants, cost allocation, indirect cost rate, cash management, internal controls, oversight of your subrecipients, subrecipient audits, and debt collection. For the procurement portion of the review, we examined procurement transactions and property management.

Our review was conducted under the authority of WIOA Sections 183(a) and 184(a)(4). The purpose of this review was to determine the level of compliance by Yolo County DESS with applicable federal and state laws, regulations, policies, and directives related to the WIA/WIOA grant regarding financial management and procurement for PY 2015-16.

We collected the information for this report through interviews with representatives of Yolo County DESS, a review of applicable policies and procedures, and a review of documentation retained by Yolo County DESS for a sample of expenditures and procurements for PY 2014-15 and PY 2015-16.

BACKGROUND

The Yolo County DESS was awarded WIOA funds to administer a comprehensive workforce investment system by way of streamlining services through the America's Job

Ms. Karen Larsen
May 11, 2016
Page two

Center of CaliforniaSM delivery system. For PY 2015-16, Yolo County DESS was allocated: \$552,562 to serve adult participants; \$736,876 to serve youth participants; and \$390,252 to serve dislocated worker participants.

For the quarter ending March 31, 2016, Yolo County DESS reported the following WIOA expenditures: \$147,395 for adult participants; \$7,320 for youth participants; and \$84,670 for dislocated worker participants.

FISCAL REVIEW RESULTS

We conclude that, overall, Yolo County DESS is meeting applicable WIA/WIOA requirements concerning financial management.

PROCUREMENT REVIEW RESULTS

We conclude that, overall, Yolo County DESS is meeting applicable WIA/WIOA requirements concerning procurement.

This report contains no findings or concerns; therefore, we are issuing this report as the final report.

Because the methodology for our monitoring review included sample testing, this report is not a comprehensive assessment of all of the areas included in our review. It is Yolo County DESS's responsibility to ensure that its systems, programs, and related activities comply with the WIA/WIOA grant program, federal and state regulations, and applicable state directives. Consequently, any deficiencies identified in subsequent reviews, such as an audit, would remain Yolo County DESS's responsibility.

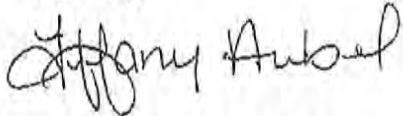
Please extend our appreciation to your staff for their cooperation and assistance during our review.

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Ms. Karen Larsen
May 11, 2016
Page three

If you have any questions regarding this report or the review that was conducted, please contact Ms. Ann Brito at (916) 651-3325 or Ms. Kathy Meyer at (916) 654-9587.

Sincerely,



TIFFANY AUBEL, Chief
Compliance Monitoring Section
Compliance Review Office

cc: Gloria Earl, MIC 50
Greg Gibson, MIC 50
Daniel Patterson, MIC 45
Georganne Pintar, MIC 50

amb:6113:6114

TOTAL P.004



October 31, 2016



Edmund G. Brown Jr.
Governor

Mr. Nolan Sullivan, Service Center Director
Yolo County Health and Human Services Agency
25 N. Cottonwood Street
Woodland, CA 95695

Dear Mr. Nolan:

WORKFORCE INNOVATION AND OPPORTUNITY ACT
PROGRAM REVIEW
FINAL MONITORING REPORT
PROGRAM YEAR 2016-17

This is to inform you of the results of our monitoring review for Program Year (PY) 2016-17 of the Yolo County Health and Human Services Agency's (Yolo County HHSA) Workforce Innovation and Opportunity Act (WIOA) program operations. For this review, we focused on WIOA activities for the adult, dislocated worker, and youth programs including the following areas: Workforce Development Board and Standing Committee composition, local program oversight and monitoring of subrecipients, management information system/reporting, incident reporting, nondiscrimination and equal opportunity, grievance and complaint system, participant eligibility, intensive services, training services, supportive services, youth services, and Rapid Response activities.

This review was conducted by Ms. Ann Brito and Ms. Priscilla Nastasia from October 24, 2016, through October 27, 2016.

Our review was conducted under the authority of WIOA Sections 183(a) and 184(a)(4). The purpose of this review was to determine the level of compliance to WIOA grant program, federal and state regulations, and applicable state directives.

We collected the information for this report through interviews with Yolo County HHSA representatives and service provider staff. In addition, this report includes the results of our review of sampled case files, your response to Sections I, II, and Attachment I of the WIOA Program On-Site Monitoring Guide, and a review of applicable policies and procedures for PY 2016-17.

BACKGROUND

The Yolo County HHSA was awarded WIOA funds to administer a comprehensive workforce investment system by way of streamlining services through the America's Job Center of California™ delivery system. For PY 2016-17, the Yolo County HHSA was

Mr. Nolan Sullivan
October 31, 2016
Page two

allocated: \$69,162 to serve adult participants; \$726,080 to serve youth participants; and \$90,975 to serve dislocated worker participants.

For the quarter ending September 30, 2016, Yolo County HHSA reported the following WIOA expenditures: \$66,622 for adult participants; \$0 for youth participants; and \$0 for dislocated worker participants. Yolo County HHSA also reported the following expenditures from their PY 2015-16 allocation: \$548,140 for adult participants, \$648,791 for youth participants and \$345,942 for dislocated worker participants.

We reviewed 30 case files of the 124 participants enrolled in the Adult and Dislocated Worker WIOA program as of October 24, 2016.

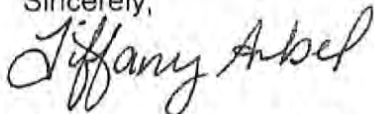
PROGRAM REVIEW RESULTS

During this review we did not identify any findings or concerns; therefore, we are issuing this report as the final report.

Because the methodology for our monitoring review included sample testing, this report is not a comprehensive assessment of all of the areas included in our review. The Yolo County HHSA is responsible to ensure that its systems, programs, and related activities comply with the WIOA grant program, federal and state regulations, and applicable state directives. Therefore, Yolo County HHSA is responsible for any deficiencies identified in subsequent reviews or audits.

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 Ms. Ann Brito at (916) 651-3325 or Ms. Kathy Meyer at (916) 654-9587.

Sincerely,



TIFFANY AUBEL, Chief
Compliance Monitoring Section

cc: Daniel Patterson, MIC 45
Lisa Buchanan, MIC 50
Georganne Pintar, MIC 50
Sarah Turner, MIC 50

amb:7045



Yolo County Workforce Innovation Board

A proud partner of America's Job Center of CaliforniaSM network.

American's Job Center of California - One-Stop Career Center Locations
 West Sacramento 500-A Jefferson Blvd., Building A (916) 375-6200 x4327
 Woodland 25 N. Cottonwood St (530) 661-2750 x4327

Board Members

- All Phase Security Inc.
- Buckhorn Steakhouse/
Putah Creek Café
- California Dept. of
Rehabilitation
- California Employment
Development
Department
- City of Woodland
Economic
Development
- Clark Pacific
- DMG Mori
- La Cooperative
Campesina
- Los Rios Community
College District
- Olam Tomato
Processors
- Optimum Zendejas
Home Loans
- PrideStaff
- Sacramento Central
Labor Council (4)
- Seminis Vegetable
Seeds
- The Scoop Frozen
Yogurt Shop
- West Sacramento
Chamber of
Commerce
- Woodland Aviation
- Woodland Adult
Education
- Woodland Community
College
- Yolo Food Bank
- Yolo Employment
Services, Inc.

TO: Members of the Workforce Innovation Board

FROM: Gary Pelfrey, WIB Chair

DATE: January 11, 2017

SUBJECT: TRANSFER PY 2016-17 WIOA FUNDS FROM DISLOCATED WORKER TO ADULT PROGRAM

RECOMMENDED ACTION

Receive and approve the Transfer of Funds Request as prepared by the staff of the Health and Human Services Agency (HHS) acting as the grant recipient/fiscal agent. HHS recommends a transfer from the dislocated worker to the adult funding streams in the amount of \$242,000.

REASON FOR RECOMMENDED ACTION

The demand for services funded by the adult funding stream is greater than the demand for services funded through the dislocated worker funding stream. The transfer will fund occupational skills trainings, support services, and case management for adult participants. These services assist adult participants by providing them with the development of job skills necessary to gain employment and/or progress in careers leading to self-sufficiency.

BACKGROUND

The WIOA allows the transfer of up to and including 100 percent of funds between the adult and dislocated worker funding streams in order to maximize customer service and provide greater flexibility to respond to changes in the local labor markets. HHS staff followed the transfer of funds guidance and procedures provided in Workforce Services Directive 15-23 dated March 29, 2016.

FISCAL IMPACT

Program Year 2016-17 dislocated worker funds will be reduced although the adult funds will be increased. There is no County general fund impact.

Workforce Innovation and Opportunity Act Program	Total Federal Funds Prior to Transfer	Revised Total	County Funds
Adult	\$540,780	\$782,780	0
Dislocated Worker	\$573,299	\$331,299	0

AGENCY COORDINATION

HHS will submit the Transfer of Funds Request to the Workforce Services Division of the Employment Development Department upon WIB approval.

Attachments: Transfer of Funds Request



Transfer of Funds Request

1. Local Area Yolo County

2. Subgrant Number K7102080 3. Request Date January 11, 2017

4. Program Year PY 2016-17 5. Transfer Request No 01

6. Direction of Transfer (Check One):

Adult to Dislocated Worker

201 → 299

202 → 200

Dislocated Worker to Adult

501 → 499

502 → 500

7. Amount of Transfer \$242,000

8. Contact Person Lisa Vincent

9. Contact Person's Telephone Number (530) 406-4458

10. All transfer requests must be approved and signed off by the Local Board.

Date of Local Board meeting to discuss transfer (Executive Committee) December 7, 2016

Date of Local Board meeting to approve transfer (Workforce Innovation Board) January 11, 2017

11. By signing below, the Local Area Administrator/Designee requests a transfer of funds and certifies that this transfer request was approved at the Local Board Meeting on the date indicated above.

Signature _____

Name Nolan Sullivan

Title Service Center Director

Date _____

12. Taking into account the factors described under the Transfer of Funds Procedures section on page 5 of the directive, describe the Local Board's reasoning to request a transfer of funds.

Historically, Yolo County has a greater demand for adult services than it does dislocated worker services which continues to be true in program year 2016-17. As of the beginning of December 2016, there were 58 adult program participants and 13 dislocated worker program participants. The transfer would assist with funding 45 additional adult training opportunities as well as preserve enough funds to accommodate up to 5 additional dislocated workers. The cumulative total of individuals that receive training opportunities with adult and dislocated worker funds is forecasted to be 121.

Instructions for Completing the Transfer of Funds Request Form

TRANSFER OF FUNDS REQUEST FORM

- Line 1. Enter the Local Area name.
- Line 2. Enter the subgrant number.
- Line 3. Enter the date of the request
- Line 4. Enter the program year.
- Line 5. Enter the transfer request number for reference purposes. If this is your Local Area's first transfer of funds request enter 01; subsequent requests are 02, 03, etc.
- Line 6. Check the appropriate block regarding the direction of transfer. Only one type of transfer can be entered on each form.
- Line 7. Provide the amount of the transfer. Do not include any amount previously transferred.
- Line 8. Enter the contact person's name.
- Line 9. Enter the contact person's telephone number.
- Line 10. Enter the date of the Local Board meeting during which the transfer request was a specific agenda item with public comment time made available. This is needed to fulfill the "Sunshine Provision" requirement. Also enter the date that the Local Board approved the transfer.
- Line 11. Have the Local Area Administrator/Designee sign the form. Also enter the name of the Local Area Administrator/Designee, title, and the date the Local Area Administrator/Designee signed the Transfer of Funds Request forms.
- Line 12. Provide the reason(s) for the transfer of funds along with any other pertinent data.

Transfer of Funds Request Participant Plan

Local Area: Yolo CountyPrepared Date 12/8/2016

Enter the number of individuals in each category.

TOTALS FOR PY 20__	ADULT	DW
1. Registered Participants Carried in from PY 2015-16	32	9
2. New Registered Participants for PY 2016-17	71	9
3. Total Registered Participants for PY 2016-17 (Line 1 plus 2)	103	18
4. Exiters for PY 2016-17	74	13
5. Registered Participants Carried Out to PY 2017-18 (Line 3 minus 4)	29	5

PROGRAM SERVICES		
6. Career Services	3,605	36
a. Basic Career Services (WIA Core Services)	3,502	18
b. Individualized Career Services (WIA Intensive Services)	103	18
7. Training Services	103	18

EXIT STATUS		
8. Entered Employment	75	10
9. Training-Related	63	8
10. Entered Military Service	1	0
11. Entered Apprenticeship Program	2	1
12. Exited for Exclusionary Reasons	1	1

Lisa Vincent, Senior Administrative Analyst

(530) 406-4458

Contact Person, Title**Telephone Number****Comments:**

Yolo County Workforce Innovation Board



Local Plan

2017-2020

January 2017

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DRAFT

Yolo County Profile*

Yolo County was one of the original 27 counties created when California became a state in 1850. Yolo county's towns first developed along the Sacramento River with its first town and first county seat, Fremont, being founded in 1849 along the confluence of the Sacramento and Feather Rivers. Knight's Landing, Washington, Cacheville, later called Yolo, Clarksburg Winters, Esparto, Capay, Guinda, and Davisville (Davis) also were built near waterways. Davisville had the added advantage of being on the path of the newly constructed railroad. Woodland, which became the county seat in 1862, began in a wooded area of valley oaks and was also served by a nearby railroad. In 1906, to emphasize agriculture's role in Yolo County, the University of California, chose a 780-acre farm belonging to Jerome Davis, for establishment of a university farm to serve as parts of the College of Agriculture. The Davis farm has since become a separate campus and has received word-wide fame for its research and education work. In 1987 West Sacramento became Yolo County's fourth incorporated City.

2016-17 Budget: \$372, 922,234 (general purpose revenue \$69,681.000)

Largest employer: University of California, Davis

Employees: 1,418 (as of July 2016)

Largest Industry; Agriculture

Yolo County Population: 214, 555 residence (DOF) estimate as of January 2016)

Area: 1,021 square miles (653,549 acres)

City Populations: Davis 68,314; West Sacramento 53,082; Winters 7,214; Woodland 57, 536 (DOF estimate as of January 2016)

Source: *Yolo County website www.yolocounty.org

Yolo County Board of Supervisors*

The Board of Supervisors (BOS) is the duly elected legislative of the County of Yolo. The BOS sets and adopts policies and establishes programs for law and justice; health and mental health; social services; land use; transportation, water resources air quality and flood management; agriculture; economic development; emergency services; intergovernmental relations; libraries and areas of general governance. Based on these policies, the BOS fixes salaries, appropriates funds, and adopts annual funds for all departments. The five members of the BOS are elected by district, are non-partisan, and serve four-year terms. Board Members also sit as the governing body for Yolo County Housing, In-Home Supportive Services, Public Authority, Yolo County Financing Corporation, eight county service areas and thirteen fire districts as well as participating in a number of regional governing bodies.

Source: *Yolo County website www.yolocounty.org

County Strategic Plan

The Strategic Plan Goals (Appendix 1) and priority focus for 2016-2019 are supported by the following guiding principles of Operational Excellence:

- ❖ Advance innovation
- ❖ Collaborate to maximize success
- ❖ Engage and empower our residents
- ❖ Strategically align our organization
- ❖ Provide accessible, fiscally sound, dynamic and responsive services

Local Landscape*

Yolo County is located in the rich agricultural regions of California's Central Valley and Sacramento River Delta. It is directly west, across the Sacramento River from the State Capital of Sacramento. The County has excellent transportation systems which include three interstate highways, major rail lines, a deep water port, a major metropolitan airport and smaller regional airports. The County is committed to balanced, sustainable, quality growth while providing economic opportunity and a high quality of life for citizens. Agricultural viability is at the top of the industry priority list, which also includes food processing, tourism, biotechnology, highway commercial development, and general manufacturing. The County's leading industry is agriculture which depends on warehousing and distribution, food processing, technology and biotechnology research and development as well as the University of California, Davis.

Source: *Yolo County website www.yolocounty.org

Preface

The Yolo County Workforce Development Board known as the Workforce Innovation Board (WIB) are proud to present Yolo County's Local Plan which is aligned with the County Strategic Plan and California's Strategic Workforce Development Plan: Skill Attainment for Upward Mobility; Aligned Services for Shared Prosperity. Additionally, Yolo's Local Plan was combined with those of Golden Sierra, North Central Counties Consortium (NCCC), and Sacramento Employment and Training Agency (SETA) to form the Capital Region Plan.

- Under the California's Strategic Workforce Development Plan, the primary purpose of the local workforce plans and partnerships is to facilitate access to workforce services at the local level. While Workforce Innovation and Opportunity Act (WIOA) Section 106 regional plans and partnerships are specifically focused on constructing a regional training and education framework that aligns with regional labor markets, individuals will access and experience this regional workforce framework primarily through local service delivery efforts, principally those of WIOA partners operating in the America's Job Center of CaliforniaSM (AJCC), formally known as a One-Stop Career Centers, but potentially through other partners of the workforce system as well. In this regard, it is typically at the local level where services will be integrated, resources braided, and support services provided to individuals being served by the partners.
 - The Local Plan outlines a comprehensive three-year strategy for the investment of federal workforce training and employment services dollars in a manner that ensures a baseline level of WIOA core program alignment for six programs. These programs include Title I Adult, Dislocated Worker, and Youth programs, Title II Adult Basic Education and Basic Skills programs, Title III Wagner-Peyser Employment Services programs, and Title IV Vocational Rehabilitation services.
 - The Local Plan also provides the framework for aligning other relevant state and federally funded workforce, education, and human services programs. The plan initiates the expansion of partnership beyond core programs to other relevant programs such as Temporary Assistance to Needy Families (TANF) known as California Work Opportunity and Responsibility to Kids (CalWORKs), Carl Perkins K-14 Career and Technical Education (CTE) programs, as well as state general-funded Adult Basic Education Block Grant programs administered by regional consortia under state statutes, and as appropriate, state funded CTE programs delivered through both the K-12 educational system and California's community colleges. The goals of this plan, outlined below, are intended to be met collectively by plan partners.

Executive Summary

Plan Objectives

Consistent with the WIOA and the State Plan, the WIB has developed its Local Plan based on the State Plan policy objectives:

- Fostering “demand-driven skills attainment”. Workforce and education programs need to align program content with the local industry sector needs so as to provide Yolo County employers and businesses with the skilled workforce necessary to compete in the regional economy.
- Enabling upward mobility for all local residents, including populations with barriers to employment. Workforce and education programs need to be accessible for all local residents and ensure that everyone has access to a marketable set of skills, and is able to access the level of education necessary to get a good job that ensures both long-term economic self-sufficiency and economic security.
- Aligning, coordinating, and integrating programs and services to economize limited resources to achieve scale and impact, while also providing the right services to customers, based on each customer’s individualized needs, including any needs for skills-development.

These objectives influence local policy, administration, and service delivery as outlined.

Industry Engagement

This Local Plan adopts a dual-customer focus and is intended to provide direction for a system that serves both employers and job seekers. The Local Plan provides the framework for aligning education, training, and employment services with local and regional labor market needs based on industry sector engagement. By aligning employment and training programs to meet the skill demands of employers in key industries driving local and regional economy. The intent is to create career ladder opportunities for new hires and incumbent workers based on coordinated efforts identified through strong employer engagement, industry recognized training, supportive services, and basic skills remediation where necessary.

Serving Individuals with Barriers to Employment

WIOA and state law mandate that services be provided to individuals with barriers to employment. Additionally, Yolo County places a high priority on serving vulnerable populations with barriers to employment. The WIB emphasis will be to serve both employers and job seekers, including those with barriers to employment by aligning training, education, and employment services with key industries driving the local and regional economy. Local service strategies will include the provision of remedial education services, which may include services designed to improve literacy and numeracy, English language literacy, as well as reengagement

services for high school dropouts. Barriers to employment will be addressed to assist individual participation in training and education programs that are aligned with employer needs.

Job Placement in Quality Jobs

The intent of the WIB is to coordinate the development of a local workforce system that provides access to basic and individualized career services which may include industry recognized training to job-seekers with the goal to obtain and retain unsubsidized employment leading to self-sufficiency. In addition, job placement strategies should consider “placement in a job providing economic security or job placement in an entry-level job that has a well-articulated career pathway or career ladder to a job providing economic security. As such, the local plan partners and providers are encouraged to make it a priority to work with employers who offer jobs with good wages and benefits, support for ongoing skill training and employee advancement, and good working conditions. This will be accomplished by aligning and coordinating the employment and training resources linked to job opportunities that are connected to key industries driving the local and regional economy.

Customer-Centered Services

The WIB recognizes that services provided by Local Plan partners and providers will vary on the basis of customer need. For some, these services will necessarily involve enrollment in remedial basic skills programming prior to, or concurrently with, enrollment in career technical education or job training. For other individuals, participation in job readiness training may be necessary prior to labor market entry. It is important to recognize that individuals with significant barriers to employment may need multiple interventions and access to a menu of services provided over an extended period of time before they will be able to find and enter a good job. However, for other individuals served by the workforce system, especially dislocated workers with an in-demand skillset, finding a good job may require only access to information about which employers are hiring in their local area or region.

Yolo County Local Plan

Vision, Strategic Planning, and Implementation

The WIB is a 23-member board (Appendix 2) which is overseen by the BOS and is charged with convening partners, providing policy, planning and oversight for local and regional workforce development initiatives under WIOA which supersedes the Workforce Investment Act (WIA). WIB membership includes: business, workforce and labor, adult education literacy, vocational rehabilitation, higher education, Wagner-Peyser, and economic development. Representatives from the four incorporated Yolo County cities of Davis, West Sacramento, Winters, and Woodland as well as agriculture, which is one of the County's leading industries, are included in the membership. WIB recertification (Appendix 3) is effective through June 30, 2018. This three-year workforce development plan reflects the vision, mission, goals, strategies, partnerships, and initiatives developed by the WIB, core partners, and stakeholders as well as align with the BOS 2016-2019 Strategic Plan. The BOS serves as the Chief Elected Official (CEO).

Note: In order to support the orderly transition to WIOA, some operational guidance established under Workforce Investment Act (WIA) is reflected in this plan.

Vision:

Yolo County is a place where existing and new businesses have their employment needs met by a trained and motivated workforce and where residents have the opportunity for a fulfilling and sustainable career.

Mission:

The WIB is a partnership of business, labor, education, non-profit, government and community leaders working together to anticipate business needs and facilitate training, education and career path opportunities which fulfills both employer and job seeker needs.

Goals:

The strategic goals for the WIB are:

Job Seeker Services:

Ensure Yolo County jobseekers (adult, dislocated workers, and youth) are aware of the education, skills upgrade, and occupational skills services available locally via the WIB and WIOA partners through the AJCC.

Initiatives:

- Provide Yolo County adults access to local resources that can assist with training and/or employment related services some of which include:
 - Apprenticeship
 - Career pathways

- Interview skills
 - Job referrals
 - Job searching
 - Pre-apprenticeship
 - Resume building
 - Short term training
 - Sector strategies that promote regional partnerships
 - Work-based learning
- Provide Yolo County youth access to local resources that can assist with education, training, and/or employment related services some of which include:
 - Expand the use of the Work Ready Certificate
 - Identify providers of youth activities
 - Organize industry tours for youth
 - Re-engage High School Dropouts
 - Sector strategies that promote regional partnerships

Business Services:

Ensure Yolo County employers are aware of the business services offered locally via the WIB through WIOA partners and the AJCC.

Initiative:

- Continuously market CalJOBSSM as the premier employer system that provides Yolo County businesses with access to AJCC resources some of which include:
 - Address the skill needs of critical industries
 - Develop relationships with employers
 - Job fairs
 - Job listing assistance
 - Job recruitment
 - Job referrals
 - Labor market information
 - Rapid Response/Aversion
 - Sector strategies that promote regional partnerships

Local Program alignment to implement State Plan

Between 2017 and 2020, Yolo County will assist the state with the goal to produce a million “middle-skill” industry-valued and recognized postsecondary credentials. These credentials are broadly defined as sub-baccalaureate credentials with demonstrable labor market value, including industry-recognized certificates, or certifications, or certificates of completion of apprenticeship, or professional licenses, recognized by California or the federal government, as well as industry-valued associate degrees that facilitate movement into either the labor market

or longer term educational programs aligned with the state's workforce needs. Additionally, Yolo County will also assist with doubling the number of individuals enrolled in apprenticeship programs.

Although these goals are aspirational in nature, they are attainable through collaborative efforts between the workforce and education programs being focused on producing credentials connected to the regional and local labor market trends. The WIB will participate in regional efforts and lead local efforts to engage employers, industry leaders, labor, education, and training providers with the assessment and, if necessary, work with training and education providers to redesign relevant training and education programs.

In 2015, to begin the regional and local work required the Capital Region commissioned the Labor Market Information Division (LMID) of the California Employment Development Department (EDD) to provide a resource for workforce development and planning. The Capital Region is a WIOA designated regional planning unit which is a collaborative of four Local Areas (Golden Sierra, NCCC, SETA, and Yolo) that represent nine counties (Alpine, El Dorado, Placer, Colusa, Glenn, Sutter, Yuba, Sacramento, and Yolo). LMID provided five Industry Cluster of Opportunity reports; one for the Capital Region (Appendix 4) and one for each Local Area. The labor market data provided in the Capital Region Industry Cluster of Opportunity as well as the Yolo County Industry Cluster of Opportunity (Appendix 5) indicates industry and occupational trends and will serve as the tool to lead in the engagement efforts.

To respond to the needs of employers and unemployed/underemployed workers, Yolo County will continue to provide career-technical training funded by WIOA Title I Adult, Dislocated Worker, and Youth formula allocations. The career-technical training approach links academics, relevant career-technical education, real-world work-based (Work Experience and On-the-Job training), as well as earn and learn (apprenticeships) experiences supported by industry and community partners. A dependable pool of educated, trained and available workers is critical to the successful functioning of the local and regional economy.

A greater investment in direct training funds will provide a local workforce with the practical skills required in the marketplace. In conjunction with local employers, educational industry-themed pathways in a wide range of fields will be developed for traditional and nontraditional students to enter the workforce. Intense and varied training will lead to a certificate, credential or associates degree, or the skills or competencies needed for a specific job, occupation, or occupational group in one of the region's identified critical occupational clusters. These certifications and skills are necessary to support the sectors with the largest projected job growth in the next decade.

By focusing on preparing customers for middle-skills jobs in the critical occupational clusters, Yolo County will provide opportunities for skills training in occupations that will remain in high demand and will pay a self-sufficient wage. Training will include Occupational Skills, On-the-Job

Training/Subsidized Employment and customized training conducted with a commitment by an employer or a group of employers to employ trainees upon successful completion of the training, apprenticeships.

Vocational English as a Second Language, Adult Basic Education, and GED Preparation/High School Completion Services may be provided in conjunction with one or more training services.

Specified Services and Service Delivery Strategies

The WIB, through the AJCC operator, will develop a collaborative relationship to address the needs of job seekers and employers as well as encourage partnerships between business, labor, community colleges, and economic development entities. Core programs, including Unemployment Insurance (UI), will focus on the co-enrollment as well as develop career pathway opportunities through education, and regional and local industry. The providers and partners, in conjunction with education and community college, will coordinate the development of career pathways connected to industries in high demand/high growth in the regional and local area as identified in the Industry of Cluster Opportunity reports. This will facilitate the use of a sector approach in planning data driven initiatives that is inclusive of, and responsive to employers thus resulting in the increase of the numbers of job seekers successfully completing education and training programs in demand industries and occupations. These career pathways will include classroom instruction, hands-on training, and career counseling/case management, supportive services that lead to “middle-skill” credentials connected to regional and local employment opportunities.

Information Pertaining to AJCCs

Yolo County has two AJCCs which are in the Health and Human Services Agency (HHS), formerly known as Department of Employment and Social Services, located in Woodland and West Sacramento (Appendix 6). The Woodland location is considered a comprehensive AJCC with the following partners co-located: WIOA Title I Adult, Dislocated Worker and Youth; WIOA Title III Wagner-Peyser; Title V Older Americans Act, Veterans, Trade Adjustment Assistance Act, Unemployment Compensation, and CalWORKs. The West Sacramento location is considered an affiliate AJCC with the following partners co-located: WIOA Title I Adult, Dislocated Worker and Youth; Older Americans Act, and CalWORKs. The two AJCCs and partners will focus on developing sustainable, collaborative relationships between the programs and partners to address the needs of job seekers and employers as well as encourage partnerships between business, labor, community colleges, and economic development entities. Access to partner programs, services, and activities through the AJCCs is available through a referral process outlined in the Memorandum of Understanding (MOU).

The AJCC Operator will be responsible for reporting to the WIB on operations, performance, and continuous improvement recommendations, implementing policies established by the WIB, and adhering to all applicable federal and state guidance. The role of the AJCC Operator will be limited to coordinating the regional and local service delivery of the required core partners and

service providers and ensuring the implementation of partner responsibilities and contributions agreed upon in Phase I and II of the WIOA MOUs.

WIOA Phase I MOUs which addressed service coordination and collaboration amongst the core partners include provisions regarding services provided through the AJCC delivery system, access to services, continuous improvement, conflict of interest, shared technology and system security, WIOA Section 188 and the Americans with Disabilities Act. The MOUs state, in part, that the AJCC partner shall not unlawfully discriminate, harass or allow harassment against any employee, applicant for employment or AJCC applicant due to gender, race, color, ancestry, religion, national origin, veteran status, physical disability, mental disability, medical condition(s), age, sexual orientation or marital status. The AJCC partner agrees to comply with the provisions of the Fair Employment and Housing Act (Government Code Section 12990) and related, applicable regulations. Additionally, the AJCC partner will assure compliance with the Americans with Disabilities Act of 1990 and its amendments, which prohibits discrimination on the basis of disability, as well as other applicable regulations and guidelines issued pursuant to the Americans with Disabilities Act. The MOUs also include methods for referring customers to core partners which includes WIOA Section 166 and Section 167 grantees as well as outline a grievance and complaint process.

The WIB through providers maintains a cooperative working relationship with many organizations targeting services to special populations. Through established MOU's services are targeted, coordinated and provided to individuals on public assistance, limited English proficient, immigrant, migrant and seasonal farm worker populations, individuals with disabilities, older individuals, veterans, as well as Native Americans. To ensure all populations full and fair access to WIOA employment and training opportunities the WIB has established a policy regarding Equal Opportunity & Nondiscrimination Complaint Procedure for Customers.

Listed below are the WIOA Phase I MOUs that were completed in the summer of 2016.

- WIOA Title I Adult, Dislocated Worker, Youth Programs (Appendix 7)
- WIOA Title II Adult Education & Literacy-Woodland (Appendix 8)
- WIOA Title II Adult Education & Literacy-West Sacramento (Appendix 9)
- WIOA Title III Wagner-Peyser, Veterans, Trade Adjustment Assistance Act, Unemployment Insurance (Appendix 10)
- WIOA Title IV Vocational Rehabilitation (Appendix 11)
- Title V Older Americans Act (Appendix 12)
- Carl Perkins Career Technical Education (Appendix 13)
- Native American Programs (Section 166) (Appendix 14)
- Migrant Seasonal Farmworkers (Section 167) (Appendix 15)
- Housing and Urban Development (Appendix 16)
- TANF/CalWORKS (Appendix 17)

In the fall of 2016, WIB and core partner staff attended the WIOA MOU Phase II Training session offered by the California Workforce Association in partnership with the California Workforce Development Board. Following the training, WIB staff convened a WIOA MOU Phase II core partner meeting to facilitate the gathering of input needed to address how to sustain the unified system described in Phase I through the use of resource sharing and joint infrastructure cost funding needed for Phase II MOUs. WIB and core partner staff listed above as well as the one listed below intend to have the Phase II MOUs completed by the June 30, 2017 deadline.

- Job Corps

Specific Program, Populations, and Partners

The WIB through service provider(s) will assist low-skilled, underemployed, or unemployed job seekers with the work preparedness and occupational skills necessary for “middle skill” jobs and career pathways as well as assist in-school or out-of-school youth with barriers as defined by WIOA with employment or education. The service provider in coordination with the participant will develop an individual service strategy that emphasizes as appropriate, education, work preparedness, training that leads to the attainment of industry recognized certificate, credential, or degree needed for a job or occupation in the regional or local labor market of average or above. All WIOA Title I funded trainings (providers and programs) will be on the Eligible Training Provider List (ETPL) and the training provider must apply with the terms of the service providers training agreement. The service provider will issue a contract to the training provider on behalf of the participant. Collaborative efforts will be made between in-demand regional and local industries and the CTE programs and Community Colleges to develop a training strategy to fill skill gaps in order to build a pipeline of workers. Additionally, the intention is for the WIB to sponsor the training provider and program(s) on the ETPL which will allow for WIOA funds to assist with funding the trainings.

The WIB will utilize the Industry Clusters of Opportunity reports to provide guidance regarding service strategies that align with regional and local labor markets. Thus allowing the WIB to:

- Use a sector approach to planning workforce initiatives, which is data driven and inclusive of, and responsive to employers
- Partner with industry, education, economic development entities, and workforce agencies to operate sector initiatives
- Collaborate with partners to implement system improvements and innovations that increase cooperation across program and funding streams, and integrate successful strategies into existing programs and funding streams
- Increase the numbers of job seekers successfully completing education and training programs in demand industries and occupations that target “middle-skill” jobs, which result in career pathways and include classroom instruction, hands-on training, career counseling, supportive services and employment

The AJCC system and services provider will implement a “no wrong door” approach to meeting the workforce and employment needs of job seekers and employers with the goal of building and maintain a world-class talent pool by:

- Increasing the number of adult and dislocated worker residents who obtain a marketable and industry-recognized credential or degree, with an emphasis of serving veterans, unemployed, underemployed, low-skilled, low-income, basic skills deficient, disabled and other populations with barriers to employment, as well as
- Increasing the number of in-school and out-of-school youth residents with barriers who are prepared for postsecondary education and/or a career through work experiences (which includes pre-apprenticeship programs, internships and job shadowing, and on-the-job training)

To respond to the needs of employers as well as the unemployed/underemployed workers, Yolo County will continue to provide career-technical training funded by WIOA allocations (Adult, Dislocated Worker, and Youth). The career-technical training approach links academics, relevant career-technical education, real-world work-based (Work Experience and On-the-Job training), as well as earn and learn (apprenticeships) experiences supported by industry and community partners. A dependable pool of educated, trained and available workers is critical to the successful functioning of the regional and local economy.

A greater investment in direct training funds (30% Adult and Dislocated Worker and 20% Youth) will arm the local workforce with the practical skills required in the marketplace and may be leveraged with Wagner-Peyser, Trade Adjustment Assistance, Veteran Services, and Pell Grant programs supporting career/technical training. In conjunction with local employers, educational industry-themed pathways in a wide range of fields will be developed for traditional and nontraditional students to enter the workforce. Intense and varied training will lead to a certificate, credential or associates degree, or the skills or competencies needed for a specific job, occupation, or occupational group in one of the regional or local identified critical occupational clusters. These certifications and skills are necessary to support the sectors with the largest projected job growth in the next decade and will contribute to the achievement of a million “middle-skill” industry-valued and recognized postsecondary credentials.

By focusing on preparing customers for middle-skills jobs in the critical occupational clusters, Yolo County will provide opportunities for skills training in occupations that will remain in high demand and will pay a self-sufficient wage. Training will include Occupational Skills, On-the-Job Training/Subsidized Employment and customized training conducted with a commitment by an employer or a group of employers to employ trainees upon successful completion of the training, apprenticeships.

Vocational English as a Second Language, Adult Basic Education, and High School Diploma and High School Equivalency services may be provided in conjunction with one or more training services.

Adult and Dislocated Worker Career Services

The WIB through the Adult and Dislocated Worker Career Services Provider will assist low-skilled, underemployed, or unemployed job seekers with the work preparedness and occupational skills necessary for “middle skill” jobs and career pathways. Adult and Dislocated Worker Basic Career Services, Individualized Career Services, and Training Services will be provided under WIOA Title I in conjunction with partners are:

- Basic Career Services:
 - Eligibility for Title I services
 - Outreach, intake, orientation
 - Initial assessment
 - Labor exchange services
 - Referrals to programs
 - Labor market information
 - Performance, cost information
 - Support services information
 - Unemployment Insurance information and assistance
 - Financial aid information
- Individualized Career Services:
 - Adult Literacy, basic skills or high school equivalency
 - Comprehensive assessment
 - Individual employment plan
 - Career planning, counseling
 - Short-term prevocational services
 - Internships, work experience
 - Out-of-area job search
 - Financial literacy services
 - English as a second language
 - Workforce preparation
 - Pre-apprenticeship training, job readiness
 - Follow-up services
- Training Services:
 - Occupational Skills Training
 - Entrepreneurial training
 - Customized training
 - Skill upgrading and retraining
 - Transitional job

- On-the-job training
- Adult Education with training services
- Apprenticeship training

For customers enrolled in an adult literacy activity (basic skills, high school equivalency, English as a second language), there will be a special emphasis on combining/linking the activity with another training activity such as job readiness, on-the-job, customized or occupational skills training in an effort to speed the progress of students towards goals as workers. Primary to this is improving student transition to post-secondary education coursework and achievement of vocational certificates/credentials.

Rapid Response and Layoff Aversion

The WIB through the Rapid Response and Layoff Aversion Provider will assist workers and businesses at risk of layoff or affected by layoff, and additional assistance for Local Boards to apply for if there is a significant increase in unemployment in their areas caused by plant closure, downsizing, natural disaster, or “other events.”

The primary purpose of Rapid Response is to enable affected workers to return to work as quickly as possible following a layoff, or to prevent layoffs altogether. To accomplish this, the AJCC system must be coordinated, comprehensive, and proactive in communicating with business. This includes providing labor market and workforce information, integrating industry requirements into training strategies and career pathways, brokering relationships and job connections, making services efficient and easy to access, and coordinating with regional partners to reduce duplication.

The role of layoff aversion strategy helps employers retain a skilled workforce and/or provides workers rapid transition to new employment, minimizing periods of unemployment. Layoff aversion is a central component of a high-performing business engagement strategy, requiring a shared responsibility among numerous partners at the state, regional, and local levels.

The WIB goal for Rapid Response is two-fold. The first goal is to establish a relationship with businesses, including small employers, in the region and local area Rapid Response Activities. The second goal is to promote the priorities outlined in the California’s Strategic Workforce Development Plan: 2013-2017, *Shared Strategy for a Shared Prosperity*:

- Lay-off Aversion Services; develop plans to identify and assist employers at risk of employee reduction
- Innovation; create innovative efforts to expand, or redesign regional and local Rapid Response systems to become more responsive to regional and local business
- Small Business Services; innovate ways to connect the services of the AJCC to the small business employers

- Impact; support efforts to share innovative Business Services/Rapid Response models in Yolo County and their impact on regional and local economy.

The Yolo County Rapid Response Team is comprised of workforce professionals from HHSA, EDD, City and County Economic Development Agencies, as well as Labor and Trade Adjustment Assistance representatives if appropriate. Additionally, if appropriate, a regional Rapid Response team may be coordinated. The Team provides on-site orientation(s) coupled with information describing the services and benefits available to employees affected by layoffs. Additional services and staff support are available based on employer/employee need. Rapid Response and Layoff Aversion activities will be provided under WIOA Title I in conjunction with partners are:

- Rapid Response Services Available to Dislocated Workers:
 - Information about regional services to assist them in finding new jobs
 - Information about training opportunities and providers
 - Professional help with their job search
 - Distributing information to dislocated workers regarding job prospects and occupational demand
 - Access to AJCCs
 - Access to various on-line job search and job matching systems including CalJOBS (<https://www.caliobs.ca.gov>)
 - Job Clubs and Job Search Assistance
 - Counseling
 - Information on unemployment insurance, housing programs, medical insurance
 - Other services to address employee and family needs
- Benefits to the Employer:
 - Better employee morale and productivity during transition
 - Confidentiality concerning business decisions
 - Coordination with outplacement services that may be provided
 - No red tape to handle
 - On-site assistance
 - Services provided at no cost

Employer and Business Services

The WIB through providers and partners can assist employers with business services which may include:

- Customized on-site training
- Employee assessment and testing
- Employee recruitment and pre-screening
- Employer workshops and seminars

- Internet talent search and job posting
- Job fairs
- Labor market information
- Local economic development efforts
- On-the-job training
- Rapid Response
- Small business administration information
- Tax credit information
- Wage and benefit information

Youth

The WIB through the Youth Provider(s) will assist with an increase in the number of in-school and out-of-school youth, with emphasis on at-risk youth and those from low-income communities, who graduate prepared for postsecondary vocational training, further education, and/or a career as well as ensure the required elements are available in Yolo County. The 14 youth program elements will be provided under WIOA Title I in conjunction with partners are:

1. Tutoring, study skills training, and evidence-based dropout prevention and recovery strategies that lead to completion of secondary school diploma or its recognized equivalent or for a recognized post-secondary credential
2. Alternative secondary school services, or dropout recovery services, as appropriate
3. Paid and unpaid work experiences that have academic and occupational education as a component of the work experience, including the following:
 - a. Summer employment opportunities and other employment opportunities available throughout the school year
 - b. Pre-apprenticeship programs
 - c. Internships and job shadowing
 - d. On-the-job training opportunities
4. Occupational skill training, which includes priority consideration for training programs that lead to recognized post-secondary credentials that align with in-demand industry sectors or occupations
5. Education offered concurrently with and in the same context as workforce preparation activities and training for a specific occupation or occupational cluster
6. Leadership development opportunities, including community service and peer-centered activities encouraging responsibility, and other positive social and civic behaviors
7. Supportive services
8. Adult mentoring for a duration of at least 12 months that may occur both during and after program participation
9. Follow-up services for not less than 12 months after the completion of participation

10. Comprehensive guidance and counseling, including drug and alcohol abuse counseling, as well as referrals to counseling, as appropriate to the needs of the individual youth
11. Financial literacy education
12. Entrepreneurial skills training
13. Services that provide labor market and employment information about in-demand industry sectors or occupations available in the Local Area, such as career awareness, career counseling, and career exploration services
14. Activities that help youth prepare for and transition to post-secondary education and training

Administration

HHSA functions simultaneously in variety of roles, including the fiscal agent, WIB staff, One-Stop, and direct provider of services. The BOS included both HHSA staff and WIB Members in the Yolo County Conflict of Interest Code (Appendix 18) as a firewall to protect against undesirable influence, outcome, or authority.

The Fiscal and Administration Branch of HHSA, with oversight from the BOS functions as the administrative entity (grant recipient/fiscal administrator) for WIOA Title I Adult, Dislocated Worker, and Youth funds. The Fiscal and Administration Branch of HHSA also functioned as the administrative entity for the WIA Title IB Adult, Dislocated Worker, and Youth funds since its' implementation in 1998.

The Service Centers Branch of HHSA functions as WIB staff, One-Stop, and direct provider of services.

- The selection of an AJCC Operator will be done through a competitive process at least once every four years (WIOA Section 121[d][2][A]). This process will include clearly articulated roles and responsibilities of the AJCC Operator (Title 20 CFR Section 678.620[a]). The AJCC Operator may be a single public, private, or non-profit entity or consortium of entities. However, if a consortium of entities consists of AJCC partners, it must include a minimum of three of the required AJCC partners listed in WIOA Section 121(b)(1). The types of entities eligible to be an AJCC Operator include (WIOA Section 121[d][2][B]): an institution of higher education; an employment service state agency established under the Wagner-Peyser Act; a community-based organization, nonprofit organization, or workforce intermediary; a private for-profit entity; a government agency; another interested organization or entity, which may include a local chamber of commerce or other business organization, or a labor organization. HHSA will fully adhere to the federal procurement standards outlined in Uniform Guidance Section 200.318-200326, as well as local procurement policies. The AJCC Operator will be in place and operating no later than July 1, 2017 (Title 20 CFR Section 678.635).
- The selection of eligible Adult and Dislocated Worker Career Services Providers will be done through the approval of the CEO, which is the BOS, and the Governor (WIOA Section 107[g][2] and Title 20 CFR 679.410[b]). Approval under this provision will serve

as the agreement by the Governor and would exempt the WIB from selecting Adult and Dislocated Worker Career Service Providers through a competitive process by allowing them to fulfill the role themselves or through the administrative entity. If the WIB receives approval for the administrative entity to provide adult and dislocated worker career services that approval will be valid for a maximum of four years, after which time another request must be submitted. If the request is not approved then, HHSA will fully adhere to the appropriate competitive selection process based on local procurement policies as well as the policies and principles of competitive procurement specified in Uniform Guidance Section 200.318-326. In either case, the Adult and Dislocated Worker Career Services Provider(s) will be in place and operating in the AJCCs no later than July 1, 2017.

- The Request for Approval to be AJCC Adult and Dislocated Worker Career Services Provider (Appendix 19) application will be submitted to the State Board by March 1, 2017.
- The WIB through the administrative entity, HHSA, will directly provide Rapid Response and Layoff Aversion activities. However, if the WIB or administrative entity chooses to award grants or contracts to Rapid Response and Layoff Aversion Providers for some or all activities, it must be done through a competitive process that:
 - Takes into consideration the ability of the Rapid Response and Layoff Aversion Provider to meet performance accountability measures
 - Meets the procurement standards specified in Uniform Guidance and DOL Exceptions
 - Follows state and local procurements laws

Rapid Response and Layoff Aversion Providers will be in place and operating no later than July 1, 2017.

- The WIB through the administrative entity, HHSA, will directly provide some or all of the youth workforce service activities. However, as required in WIOA Section 123, if the WIB or administrative entity chooses to award grants or contracts to Youth Service Providers for some or all activities, it must be done through a competitive process that:
 - Takes into consideration the ability of the Youth Service Provider to meet performance accountability measures
 - Meets the procurement standards specified in Uniform Guidance and DOL Exceptions
 - Follows state and local procurements laws

Youth Service Providers will be in place and operating no later than July 1, 2017.

Performance Goals

The efforts to align training and education programs with local and/or regional labor market trends will be validated by the labor market. This will be done by examining the employment and wage rates of those who participate in and complete relevant programs. The real test of whether programs are serving the needs of both employers and workers is whether those who

are receiving services are getting good jobs that put them on a path to upward mobility. On September 2, 2016, representatives of the Local Boards in the Capital Region (Golden Sierra, NCCC, SETA, and Yolo County) collectively negotiated and reached agreements on their respective local levels of performance for Program Year (PY) 2016 and PY 2017.

The primary indicators of performance negotiated are as listed:

- Adult, Dislocated Worker, and Youth
 - o The percentage of program participants who are in unsubsidized employment during the second quarter after exit from the program (for Title I Youth, the indicator is participants in education, or training activities or employment in the 2nd quarter after exit)
 - o The percentage of program participants who are in unsubsidized employment during the fourth quarter after exit from the program (for Title I Youth, the indicator is participants in education, or training activities or employment in the 4th quarter after exit)
 - o The percentage of program participants who attain a recognized postsecondary credential, or a secondary school diploma or its recognized equivalent, during participation in or within 1 year after exit from the program
- Adult and Dislocated Worker only
 - o The median earnings of program participants who are in unsubsidized employment during the second quarter after exit from the program

The Yolo County negotiated performance goals for PY 2016 and PY 2017 are provided in the Exhibits below.

Exhibit 1 PY 2016-17 Proposed Performance Goals				
	Adults	Dislocated Workers	Youth	
Employment Rate 2nd Quarter After Exit	65%	68%	56%	Employment or Placement Rate 2nd Quarter After Exit
Employment Rate 4th Quarter After Exit	62.5%	63.5%	64.2%	Employment or Placement Rate 4th Quarter After Exit
Median Earnings 2nd Quarter After Exit	\$4,957	\$7,308	BASELINE	Median Earnings
Credential Attainment within 4 Quarters After Exit	52.9%	60%	54.7%	Credential Attainment within 4 Quarters After Exit

Exhibit 2 PY 2017-18 Proposed Performance Goals				
	Adults	Dislocated Workers	Youth	
Employment Rate 2nd Quarter After Exit	68%	71%	58%	Employment or Placement Rate 2nd Quarter After Exit
Employment Rate 4th Quarter After Exit	65.5%	69.5%	67.2%	Employment or Placement Rate 4th Quarter After Exit
Median Earnings 2nd Quarter After Exit	\$5,157	\$7,523	BASELINE	Median Earnings
Credential Attainment within 4 Quarters After Exit	55.9%	63%	57.7%	Credential Attainment within 4 Quarters After Exit

Note: Baseline indicators are indicators for which local areas were not required to propose an expected level of performance and will not need to come to agreement with the state on negotiated levels of performance. Baseline indicators include Adult, Dislocated Worker, and Youth “measurable skill gains” and “employer effectiveness” (as well as Youth “median earnings”). Even though “Baseline” indicators were not negotiated and will not be used to determine failure to achieve adjusted levels of performance for purposes of performance accountability, Yolo County will collect data and report these indicators of performance.

Training Activity

The goal is to prepare low-skilled job seekers with the work preparedness and skills necessary for “middle skill” jobs and career pathways connected to the local and/or regional labor market. These services should be individual based with an emphasis on the attainment of an industry recognized certificate, credential, or degree needed for a job or occupation with a labor market of average or above.

The WIB will establish WIOA required policies in order to provide operational guidance for the provider of adult and dislocated worker career services. As stated in WIOA Section 134(c)(3)(E), with respect to individualized career and training services funded with the WIOA adult formula funds allocation, priority must be given to recipients of public assistance, other low-income individuals, or individuals who are basic skills deficient with veterans and eligible spouses taking priority among all eligible individuals.

The WIB will ensure that at least 30 percent of the WIOA Title I adult and dislocated worker formula fund allocations are spent and/or leveraged on training services as required by Senate Bill (SB) 734 and outlined by Workforce Services Directive (WSD) 14-1. A cap of 10 percent is placed on the leveraged portion of funds which may come from the following partners: Federal Pell Grants established under Title IV of the Higher Education Act of 1965; public programs authorized by WIOA like Job Corps, Migrant Seasonal Farm Worker, Rapid Response, WIOA Title

II Adult Education and Literacy, national and state WIOA discretionary grants, and WIOA Title I youth program; Trade Adjustment Assistance; Department of Labor National Emergency Grants; match from employers, industry, and industry associations; match funds from joint labor-management trusts; and Employment Training Panel (ETP) grants.

Training activities may include, but are not limited to: occupational skills training; on-the-job training; incumbent worker training (IWT); skill upgrading and retraining; entrepreneurial training; pre-apprenticeship training; and apprenticeship training. In-lieu of an individual training account the adult and dislocated worker career services provider may enter into a contract on behalf of the individual with the training provider. WIOA Title I funded occupational skills training providers and programs must be on the California's ETPL or an out-of-state ETPL.

For individuals enrolled in an adult literacy activity, there will be a special emphasis on combining/linking the activity with another training activity such as job readiness, on-the-job, customized or occupational skills training in an effort to speed the progress of students towards goals as workers. Primary to this is improving student transition to post-secondary education coursework and achievement of vocational certificates/credentials.

Transparency, Accessibility, and Inclusivity

The Local Plan was collaboratively developed and vetted with a wide range of stakeholders including a 30-day public notice comment period prior to submission.

Through the calendar year of 2016, WIB staff solicited input and gathered data from employers, job seekers, community based organizations, education and training providers, economic development, labor representatives, and WIOA core partners regarding their workforce strategies to ensure they were engaged in the local and regional planning process. In early November of 2016, WIB staff attended Regional and Local Planning Guidance Training Sessions offered by the California Workforce Association in partnership with the California Workforce Development Board and then began drafting the Local Plan which was finalized in late December of 2016.

In January of 2017, a 30-day public notice/comment period was initiated through various local publications throughout Yolo County. Additionally, public comments were welcomed at the January 2017 WIB meeting, February 2017 WIB Executive meeting, and March BOS meeting.

Intake and Case Management

Currently the WIB through providers independently provide intake and case management services which WIOA Title I programs can track co-enrolled participants thru CalJOBSSM. Future WIB plans will be for providers and partners to develop.

THE WIB through providers and partners will develop a human centered design approach by looking first at what a customer needs. This approach will build the capacity of the workforce system to better empathize with job seekers, employers who need skilled workers, and out of school youth, and to design more personalized services to help them get the skills, workers and jobs they need.

Through the AJCC system, the partners will share services that are commonly provided such as initial intake, assessment of needs, appraisal of basic skills, identification of appropriate services to meet such needs, referrals to other partners and business services. Job seeker customers will have universal access and a variety of tools to partner programs which may include co-enrollment in order to leverage funds.

Beyond shared processes, partners will coordinate service strategies to ensure a participant's access to necessary activities and support services and providing job and career planning during participation and after job placement. Through State guidance, the partners will work towards tracking information through a shared system.

Regional Plan Portions and Attachments

Yolo County is part of a regional planning unit known as the Capital Region which includes nine counties (Alpine, El Dorado, Placer, Colusa, Glenn, Sutter, Yuba, Sacramento, and Yolo) and four local workforce development boards (Golden Sierra, NCCC, SETA, and Yolo) which have been working collaboratively for years. Prior to the WIOA requirement for the state to establish regional planning units, the four boards created a partnership known as the Capital Area Investment Zone (CAIZ) which was committed to the continuous development, support and improvement of a strategically planned regional One-Stop Career Center System dedicated to providing quality, standardized services at the local career center. This established regional partnership will continue its work to align workforce development activities and resources with larger regional economic development areas and available resources to provide coordinated and efficient services to job seekers and employers.

The accomplishments of the Capital Region, to date, are listed below:

- Memorandum of Understanding for the Capital Area Regional Planning Unit (Appendix 20)
- National Emergency Grant Sector Partnership Grant
 - Capital Region Industry Clusters of Opportunity 2010-2015 (Appendix 4)
 - Inventory of Regional Business Advisory Groups (Appendix 21)
- SlingShot – the release of \$750,000 in grants to entrepreneurial and small business (Appendix 22)
- America's Promise Job Driven Grant – commitment to the Healthcare Pathways of Promise Project application (Appendix 23)
- Negotiated WIOA Title IB local area performance goals for PY 2016 and 2017 with the CWDB through a regional process

- Northern California Rapid Response Roundtable

The narrative content for the initiatives listed above can be found in the Capital Regional Plan.

Federal High Performance Board Effort

To support the orderly transition from WIA to WIOA during the initial designation period of July 1, 2015, through June 30, 2017, the first policy established by the WIB was Transition from WIA to WIOA (Appendix 24) which allowed the existing WIA policies and/or procedures for Title I Adult, Dislocated Worker, and Youth Programs to be used until new WIOA policies and/or procedures could be established. To date, the WIB has established the WIOA policies listed below which includes priority of service:

- 16-2 Residency Requirement (Appendix 25)
- 16-3 Selective Services Registration (Appendix 26)
- 16-4 Adult Program Priority of Service (Appendix 27)
- 16-5 Self-Sufficiency Standard (Appendix 28)
- 16-6 Funded Support Services (Appendix 29)

The efforts to establish additional WIOA policies and/or procedures remains a priority as does Phase II of MOU process to address the resource sharing and joint infrastructure cost funding needed to support the unified system described in Phase I which was completed in the summer of 2016.

In addition to establishing policy guidance for WIOA Title I Adult, Dislocated Worker, and Youth programs, WIB members themselves are actively involved in leadership initiatives that assist with fostering “demand-driven skills attainment by aligning program content with local industry needs, enabling upward mobility for all local residents including populations with barriers to employment, as well as aligning and coordinating services to achieve scale and impact. Current, WIB initiatives include:

- SlingShot
Members volunteer their time to service on the Business Leadership Council (BLC) of the Capital Region SlingShot entrepreneurial and small business initiative. The BLC is the governance structure made up of business representatives from each of the four local boards, community partners, entrepreneurs, business leaders and employers that prioritize, advanced recommendations, and that makes decisions about SlingShot investments. This structure maximizes involvement from a wide range of stakeholders and creates the potential to leverage additional capacity, investment, and resources to ensure that the SlingShot grant is a catalyst fund that supports the innovation economy and entrepreneurial ecosystem, and that builds sustainability for the long-term.
- Yolo County Public Defender’s Office: Division of Social Work

Members volunteer their time to assist the Public Defender social worker with adult offender population discharge planning services that include help with securing benefits, housing or employment, required psychiatric medication refills, as well as mental health and substance abuse services. The social worker also provides direct legal support to the criminal defense attorneys to develop plans to influence client-centered and productive resolution of pending court case. Members typically assist with employment services like resume development, interviewing skills, and job search.

- Soft Skills

Members volunteer their time to assist with the organization of the Youth & Young Adults development of soft skills curriculum that aligns with those of the local and/or regional industry business leaders and employers.

- 211 Yolo

Members volunteer their time to assist with the organization of vital online health and human services information and resources available to the youth and young adults in the local area.

- Membership Training

Mini-trainings are embedded in the regularly scheduled WIB meetings to assist with the social and personal development of members with the intent to add value and improve performance at their place of employment.



www.yoloworks.org

Yolo County Workforce Innovation Board

A proud partner of America's Job Center of CaliforniaSM network.

American's Job Center of California - One-Stop Career Center Locations
West Sacramento Woodland
500-A Jefferson Blvd., Building A 25 N. Cottonwood St
(916) 375-6300 x4327 (530) 661-2750 x4327

Board Members

- All Phase Security Inc.
- Buckhorn Steakhouse/
Putah Creek Café
- California Dept. of
Rehabilitation
- California Employment
Development
Department
- City of Woodland
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- Clark Pacific
- DMG Mori
- La Cooperative
Campesina
- Los Rios Community
College District
- Olam Tomato
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- Optimum Zendejas
Home Loans
- PrideStaff
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Seeds
- The Scoop Frozen
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- West Sacramento
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Commerce
- Woodland Aviation
- Woodland Adult
Education
- Woodland Community
College
- Yolo Food Bank
- Yolo Employment
Services, Inc.

TO: Members of the Workforce Innovation Board

FROM: Gary Pelfrey, WIB Chair

DATE: January 11, 2017

SUBJECT: RESIGNATION OF WORKFORCE INNOVATION BOARD MEMBER

On December 8, 2016, the Health and Human Services Agency received notice of Denice Seal's resignation from the Workforce Innovation Board.



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October 31, 2016



Edmund G. Brown Jr.
Governor

Mr. Nolan Sullivan, Service Center Director
Yolo County Health and Human Services Agency
25 N. Cottonwood Street
Woodland, CA 95695

Dear Mr. Nolan:

**WORKFORCE INNOVATION AND OPPORTUNITY ACT
PROGRAM REVIEW
FINAL MONITORING REPORT
PROGRAM YEAR 2016-17**

This is to inform you of the results of our monitoring review for Program Year (PY) 2016-17 of the Yolo County Health and Human Services Agency's (Yolo County HHSA) Workforce Innovation and Opportunity Act (WIOA) program operations. For this review, we focused on WIOA activities for the adult, dislocated worker, and youth programs including the following areas: Workforce Development Board and Standing Committee composition, local program oversight and monitoring of subrecipients, management information system/reporting, incident reporting, nondiscrimination and equal opportunity, grievance and complaint system, participant eligibility, intensive services, training services, supportive services, youth services, and Rapid Response activities.

This review was conducted by Ms. Ann Brito and Ms. Priscilla Nastasia from October 24, 2016, through October 27, 2016.

Our review was conducted under the authority of WIOA Sections 183(a) and 184(a)(4). The purpose of this review was to determine the level of compliance to WIOA grant program, federal and state regulations, and applicable state directives.

We collected the information for this report through interviews with Yolo County HHSA representatives and service provider staff. In addition, this report includes the results of our review of sampled case files, your response to Sections I, II, and Attachment I of the WIOA Program On-Site Monitoring Guide, and a review of applicable policies and procedures for PY 2016-17.

BACKGROUND

The Yolo County HHSA was awarded WIOA funds to administer a comprehensive workforce investment system by way of streamlining services through the America's Job Center of California™ delivery system. For PY 2016-17, the Yolo County HHSA was

Mr. Nolan Sullivan
October 31, 2016
Page two

allocated: \$69,162 to serve adult participants; \$726,080 to serve youth participants; and \$90,975 to serve dislocated worker participants.

For the quarter ending September 30, 2016, Yolo County HHSA reported the following WIOA expenditures: \$66,622 for adult participants; \$0 for youth participants; and \$0 for dislocated worker participants. Yolo County HHSA also reported the following expenditures from their PY 2015-16 allocation: \$548,140 for adult participants, \$648,791 for youth participants and \$345,942 for dislocated worker participants.

We reviewed 30 case files of the 124 participants enrolled in the Adult and Dislocated Worker WIOA program as of October 24, 2016.

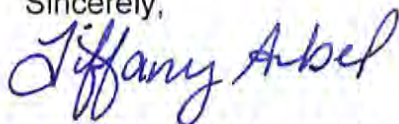
PROGRAM REVIEW RESULTS

During this review we did not identify any findings or concerns; therefore, we are issuing this report as the final report.

Because the methodology for our monitoring review included sample testing, this report is not a comprehensive assessment of all of the areas included in our review. The Yolo County HHSA is responsible to ensure that its systems, programs, and related activities comply with the WIOA grant program, federal and state regulations, and applicable state directives. Therefore, Yolo County HHSA is responsible for any deficiencies identified in subsequent reviews or audits.

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 Ms. Ann Brito at (916) 651-3325 or Ms. Kathy Meyer at (916) 654-9587.

Sincerely,



TIFFANY AUBEL, Chief
Compliance Monitoring Section

cc: Daniel Patterson, MIC 45
Lisa Buchanan, MIC 50
Georganne Pintar, MIC 50
Sarah Turner, MIC 50

amb:7045



COUNTY OF YOLO

Health and Human Services Agency

Karen Larsen
Director

25 North Cottonwood Street • Woodland, CA 95695
(530) 666-8651 • www.yolocounty.org

September 22, 2016

Tico Zendejas, Executive Director
Rural Innovations in Social Economics, Incorporated
17313 Fremont Street
Esparto, CA 95627

Re: Contract: # 2015-0137, Workforce Investment and Opportunity Act (WIOA) Youth Services

Dear Mr. Zendejas:

This letter is to inform you of the results of an off-site fiscal monitoring of your organization during the week of May 16, 2016 for contract term July 1, 2015 through June 30, 2016.

The purpose of the review was to determine the level of compliance by your organization with the applicable federal and state laws and regulations as well as the scope of work outlined in Exhibits A, B, and C of contract #2015-0137. Several areas were focused upon during the contract review: fiscal policies and procedures, accounting systems, reporting, program income, expenditures, internal control, property management, cost allocation, indirect cost, single audit report, and audit resolution policies.

It is concluded that, overall, your organization complied with the federal and state laws and regulations, and the County of Yolo guidelines specified in this contract. Furthermore, the result of the tests of financial statements disclosed no signs of noncompliance with applicable laws and regulations.

Questions concerning the outcome of this review should be directed via email to tamara.boytsan@yolocounty.org and steve.schroeder@yolocounty.org

Sincerely,

Katy Eckert, MBA, Deputy Director
Health and Human Services Agency

**FISCAL MONITORING REPORT
FY15/16**

Contractor:	RISE, Inc 17313 Fremont St, Esparto, CA 95627		
Contract Number:	2015-0137	Contract Amount:	\$500,000
DUNS Number:	931270164	CFDA Number:	17.259
Programs:	Workforce Innovation and Opportunity Act Youth Services		
Contact:	Tico Zendejas, Executive Director		
Monitoring Week: May 16, 2016		Contract Term: July 1, 2015 to June 30, 2016	
Monitors: HHS Staff: Kristy Brockett, Tamara Boytsan			Report Written: 06/21/2016 (updated 09/22/16)

Rural Innovations in Social Economics, Incorporated (RISE, Inc.) Contract Number 2015-0137 provides training services leading to self-sufficiency for Workforce Innovation and Opportunity Act (WIOA) enrolled youth ages 16-24 living in Yolo County. The program provides paid and unpaid work experience, tutoring, study skills training, leadership development, supportive services, and adult mentoring; follow up services and comprehensive guidance and counseling.

With the contract beginning October 01, 2014, Contract Number 2015-0137 for \$350,000 (\$125,000 each for Region 1&2, \$100,000 for Region 3) services provided by RISE, Inc. includes three separate regions. Region 1 serves Dunnigan, Knights Landing, Woodland, Yolo and Zamora youth. Region 2 serves Clarksburg, Davis and West Sacramento youth. Region 3 continues the services in Brooks, Capay, Esparto, Guinda, Madison, Rumsey and Winters youth.

On or about September 18, 2015, the First Amendment to Agreement 2015-0137 was to increase to \$500,000 (\$201,157 for Region 1, \$201,052 for Region 2, and \$97,791 for Region 3) due to new WIOA requirements. The cost was anticipated to increase because many out-of-school youths require more intensive and costly services.

Grant funds from the Workforce Innovation and Opportunity Act (WIOA), Catalog of Federal Domestic Assistance (CFDA) Number 17.259 Department of Labor administered by the State of California, Employment Development Department, Workforce Services Division were used for the following 14 elements:

1. Tutoring, study skills training, and evidence-based dropout prevention and recovery strategies that lead to completion of secondary school diploma or its recognized equivalent or for a recognized post-secondary credential.
2. Alternative secondary school services, or dropout recovery services, as appropriate.
3. Paid and unpaid work experiences that have academic and occupational education as a component of the work experience, including the following:
 - a. Summer employment opportunities and other employment opportunities available throughout the school year
 - b. Pre-apprenticeship programs
 - c. Internships and job shadowing
 - d. On-the-job training opportunities

4. Occupational skill training, which includes priority consideration for training programs that lead to recognized post-secondary credentials that align with in-demand industry sectors or occupations.
5. Education offered concurrently with and in the same context as workforce preparation activities and training for a specific occupation or occupational cluster.
6. Leadership development opportunities, including community service and peer-centered activities encouraging responsibility, and other positive social and civic behaviors.
7. Supportive services.
8. Adult mentoring for a duration of at least 12 months that may occur both during and after program participation.
9. Follow-up services for not less than 12 months after the completion of participation.
10. Comprehensive guidance and counseling, including drug and alcohol abuse counseling, as well as referrals to counseling, as appropriate to the needs of the individual youth.
11. Financial literacy education.
12. Entrepreneurial skills training.
13. Services that provide labor market and employment information about in-demand industry sectors or occupations available in the Local Area, such as career awareness, career counseling, and career exploration services.
14. Activities that help youth prepare for and transition to post-secondary education and training.

The monitor review was conducted with the assistance of Mr. Tico Zendejas, Executive Director, and Ms. Chelsea Becker, financial officer. The outcome of this monitoring review is based on an examination of a sample of fiscal contract requirements and is, therefore, only an indicator of total compliance. It remains RISE, Inc.'s responsibility to ensure that it abides by all terms and conditions of the contract. Any deficiencies or finding that surface during subsequent monitoring reviews by local, State or Federal officials are solely RISE, Inc.'s responsibility.

Observations:

The expenditure analysis for WIOA Youth shows RISE, Inc. at 56.74 percent of their allocation through March 2016 claims based on the contract. We randomly selected three claims to review: August 2015, December 2015, January 2016. All backup documentation was included and accounted for. The operating costs are based on a percentage that RISE, Inc. determines in July of each year. The percentage is based on the number of work stations and impact of the program (number of employees in the office or number of clients expected to be in the office and how long). The percentage generally does not change throughout the contract term; yet, we asked RISE to explain if they calculate the actual indirect cost.

RISE Response:

"Our indirect is based on actual indirect costs. Because indirect costs are not evenly distributed through the year we are claiming based on the actually indirect cost for that month. For example, the month that we pay our liability insurance which is a large admin expense we would go over 10% of our total monthly expenditures. We are providing back up showing that all admin expenses are allowable and actual expenses. Then once we claim the budgeted amount for indirect for the year we stop claiming it. If you can view the March & April 2016 claims, you will see that for Region 3 we claimed no indirect because we have already claimed the budgeted amount not because we don't have indirect costs. Since Region 1 & 2 have a higher budget we did claim indirect for those regions in April & March 2016. Our admin budget is an annual budget and many expenses cannot be spread across 12 months to evening match with the 10% of our expenditure for that month. This is only realistic way for us to receive the allowed 10%

while also showing you all the receipts for the actual expenses under Admin/Indirect for each month.”

Fiscal Review Results:

For Contract 2015-0137 effective October 1, 2014 expended 54.04% for Region 1, 52.09% for Region 2 and 71.86% for Region 3. An option letter was sent out June 1, 2016 to renew their agreement for fiscal year 2016-2017.

The Workforce Innovation and Opportunity Act (WIOA) supersedes the Workforce Investment Act (WIA) of 1998; WIOA was signed into law on July 22, 2014, and takes effect on July 1, 2015. WIOA requires a youth formula program spend at least 75 percent of funds on out-of-school youth, compared to 30 percent under WIA. ***RISE has spent approximately 86% of funds on Out of School Youth which meets the requirement.*** The Act also changes youth eligibility requirements by establishing separate criteria for out-of-school and in-school, including removing the income eligibility requirements for most out-of-school youth and raises the eligible age for such youth to 16 through 24. In-school youth age eligibility continues to be ages 14-21, as in WIA. WIOA places a new priority on work-based learning by providing that at least 20 percent of local youth formula funds be used for work experiences such as summer jobs, pre-apprenticeship training, on-the-job training and internships that have academic and occupational education as a component. ***RISE has spent approximately 28% of funds on Work Experience which meets the requirement.*** WIOA also links services to the attainment of secondary school diplomas, entry into postsecondary education and career readiness, and to the attainment of postsecondary credentials aligned with in-demand industry sectors or occupations. Additional allowable activities include financial literacy education and entrepreneurial skills training.

While, we conclude that, overall, RISE is meeting WIOA requirements concerning fiscal policies and procedures, accounting systems, cost allocation, indirect cost and reporting, we noted an instance of noncompliance in the area of lagging expenditures.

Requirement: It is the responsibility of RISE to ensure that funds are obligated appropriately at the level set by the budget plan summary included in the contract. Per the budget plan summary, RISE is required to meet the total Intensive Participant Training Cost of 81,385.00 in Region 1, \$81,385.00 in Region 2, and \$27,912.00 in Region 3.

Observation: We observed expenditures from July 2015 through March 2016, and participant training cost was very low for each region. Region 1 spent \$30,086.81 of \$81,385.00 (approximately 39% of the budget); Region 2 spent \$29,468.13 of \$81,385.00 (approximately 36% of the budget); and Region 3 spent \$18,135.21 of \$27,912.00 (approximately 64% of the budget). As of March 2016, less than 40% of the total participant training budget was used. We requested the list of participants served monthly, and the report shows RISE number of participants served was very low every month. We asked RISE if they will have the ability to fully expend the contract amount of \$500,000 by June 30, 2016 and serve the required number of youth participants per the contract.

RISE Response:

“We do not expect to spend the full \$500,000. However, we will be on pace to spend the 80% requirement. There are several factors as to why this has been a challenge and I have been in regular contact with Yolo HSS Management as well as our Board of Supervisors. There was a major program change and adjustment from the WIA program to the now current WIOA

program. Our team have met our scope of work for last year and this year in regards to the number of youth that we will serve.

This year in fact we will have exceeded the amount of youth served that we stated in our contract. RISE places a large portion of our budget on the WEX (Work Experience). However, the goal of the program is to find participants regular unsubsidized employment. On several instances we would place a youth on a WEX and shortly after we would find a full time position for them. As a result, there were thousands of dollars in WEX that were unspent. The purpose of the program is to assist participants to become self-sufficient. In our success, this caused us to have dollars unspent in our contract.

As we finish the first year of WIOA and our second year providing employment services throughout Yolo County, we are confident going into program year 16-17 that we will be successful not only in completing our scope of work for youth participants served, but in spending the full contract amount.”

Year-End Fiscal Review

For the FY1516, RISE spent \$441,849, or 88.37% of the \$500,000 cap granted to the program for the fiscal year, which complies with the “shall not exceed” expenditure requirement. They spent 81% of funds on Out of School Youth which complies with the WIOA youth formula requirement. RISE demonstrated the progress in training new participants as well. Based on our review of the information provided, RISE is in compliance with the contract for the 2015/16 fiscal year and no further corrective action is considered necessary at this time.

Thank you.



Edmund G. Brown Jr.
Governor

October 3, 2016

Nolan Sullivan
Director
YOLO COUNTY HEALTH AND HUMAN SERVICES AGENCY
25 North Cottonwood Street
Woodland CA 95695

Dear Mr. Sullivan,

RE: FUNDS UTILIZATION ANALYSIS PERIOD ENDING JUNE 30, 2017, PY 2015-16

Please find the following revised enclosures to the Funds Utilization Letters dated September 23, 2016. These revisions are necessary due to some errors in the formula calculations. I personally apologize for any confusion or inconvenience.

Note that the 80 percent fund utilization requirement for Youth, Adult and Dislocated Worker grants have been waived for PY 2015/16 funds. This information is included as information only, as these benchmarks are not required for these funds.

Work experience figures are calculated from Expenditure Reports Line V item 3B. This is a new line to the expenditure reports. If these figures were reported elsewhere, please let me know and I can assist in revising the reports.

Please let me know if you have any additional questions,

Thank you,

Kevin Webb
EDD, FMU
Kevin.Webb@edd.ca.gov

**ANALYSIS
PY 2015/16 FORMULA FUNDS UTILIZATION
INFORMATIONAL ONLY - 80% FUND UTILIZATION REQUIREMENT WAIVED FOR 2015/16 FUNDS**

YOLO COUNTY (YOL)

PY 2015/16		Allowable "Program" Funding 90% (-10% Admin)	80% Required Obligation Amount	Total Program Obligations Reported Period End June 30, 2015	Percentage of Total "Program" Obligations to 80% Requirement	Additional Obligations Needed
Formula Fund	Total Allocation					
Adult	\$ 752,562.00	\$ 677,305.80	\$ 541,844.64	\$ 584,381.48	107.85%	\$ -
Youth	\$ 750,596.00	\$ 675,536.40	\$ 540,429.12	\$ 363,339.54	67.23%	\$ 177,089.58
Dislocated Worker	\$ 390,252.00	\$ 351,226.80	\$ 280,981.44	\$ 208,457.62	74.19%	\$ 72,523.82

**ANALYSIS
Youth Out-Of-School & Work Experience Expenditures
PY 2015 / 16**

YOLO COUNTY (YOL)

Out of School - Youth

Grant Code	Total Youth Allocation	Less Administration	Allowable "Program" Funding 90% (-10% Admin)	75% Out-of-School Requirement on "Program" Funding	Out-of-School Expenditures as of September 2016	Additional Expenditures Needed to meet 75% Requirement by June 30, 2017	Current % Spent
301 / 302	\$ 736,876.00	\$ 73,687.60	\$ 663,188.40	\$ 497,391.30	4,621.50	\$ 492,769.80	1%

Work Experience - Youth

Grant Code	Total Youth Allocation	Less Administration	Allowable "Program" Funding 90% (-10% Admin)	20% Work Experience "Program" Funding	Work Experience Expenditures as of September 2016	Additional Expenditures Needed to meet 75% Requirement by June 30, 2017	Current % Spent
301 / 302	\$ 736,876.00	\$ 73,687.60	\$ 663,188.40	\$ 132,637.68	-	\$ 132,637.68	0%

REAUTHORIZATION OF THE WOTC PROGRAM

EXECUTIVE SUMMARY

This policy provides guidance and establishes the procedures regarding reauthorization of the Work Opportunity Tax Credit (WOTC) under the *Protecting Americans from Tax Hikes Act of 2015* (PATH Act). It also introduces the new qualified Long-Term Unemployment Recipient (LTUR) target group and provides information on current eligibility guidelines for all WOTC target groups. This policy applies to Employment Development Department (EDD), Participating Agency (PA), and other AJCC partner staff, and is effective on the date of issuance.

This policy contains no state-imposed requirements.

This directive finalizes Workforce Services Draft Directive WSD16-152 *Reauthorization of the WOTC Program*, issued for comment on September 23, 2016. The Workforce Development Community submitted two comments during the draft comment period. A summary of the comments, including all changes, is provided as Attachment 2.

This policy supersedes Workforce Services Directive *Reauthorization of the WOTC Program* (WSD15-04), dated September 29, 2015. Retain this directive until further notice.

REFERENCES

- PATH Act (Public Law 114-113)
- Title 26 United States Code (USC) Section 3111(a)
- Training and Employment Guidance Letter (TEGL) 25-15, Subject: *WOTC 2015 Reauthorization* (June 17, 2016)
- Internal Revenue Service (IRS) Notice 2016-40, Subject: *WOTC Additional Transition Relief* (June 17, 2016)
- IRS Notice 2016-22, Subject: *WOTC Guidance and Transition Relief* (March 7, 2016)

BACKGROUND

President Obama signed the *PATH* Act on December 18, 2015, which retroactively reauthorized an extension of the WOTC program and the Empowerment Zones from December 31, 2014 through December 31, 2019, and added the new LTUR target group.

The WOTC program is a federal tax credit available to employers for hiring individuals from specified target groups (Attachment 1) that have consistently faced significant barriers to employment. The tax credit is based on the qualified wages paid to, or incurred on behalf of, a target group member. The amount of the tax credit depends on several factors, including the individual's target group, the amount of wages earned, and the number of hours worked.

The U.S. Department of the Treasury and the U.S. Department of Labor (DOL) Employment and Training Administration (ETA) jointly administer the WOTC program at the federal level. In California, the EDD is the designated agency responsible for issuing final certifications for the WOTC Program.

POLICY AND PROCEDURES

The *PATH* Act retroactively extended the WOTC program to apply to certified new hires that began work on or after December 31, 2014, and before January 1, 2020. The DOL issued [TEGL 25-15](#) to provide guidance on processing WOTC applications for that time period. As the designated agency for California, the EDD is authorized to issue final determinations on all timely filed certification requests for new hires that began work before January 1, 2020.

The IRS also provided guidance on the WOTC extension through issuance of [IRS Notice 2016-22](#) and [IRS Notice 2016-40](#). These notices provide employers, and some tax-exempt 501(c) organizations, with transition relief from the 28-day timely filing requirement for 2015 and 2016 WOTC applications. The transition relief allows any WOTC application with a hire date between January 1, 2015, and August 31, 2016, to be considered as "timely," as long as the employer submitted the application to the EDD WOTC Center no later than September 28, 2016. Employers and their agents/consultants need to be advised that any 2015 and 2016 WOTC applications submitted (or postmarked) no later than September 28, 2016, will be considered.

New Qualified Long-Term Unemployment Recipient Target Group

To claim credit for hiring a qualified target group employee under the WOTC Program, an employer must complete two forms; the *Pre-Screening Notice and Certification Request* ([IRS Form 8850](#)) and the *Individual Characteristics Form* ([DOL-ETA Form 9061](#)). These two forms contain information on the prospective employee and must be completed **on or before** the day the individual is offered employment.

Additionally, within 28 calendar days of the individual starting work, the employer must submit the forms to the EDD WOTC Center in order for the application to be considered “timely.” If the 28th day falls on a weekend or legal holiday, then the next business day will be considered the 28th day.

The DOL also introduced the *Long-Term Unemployment Recipient Self-Attestation Form* ([DOL-ETA Form 9175](#)) to assist in the certification of this target group. This self-attestation form is to be completed and signed by the individual on the day in which they are completing the IRS Form 8850 and submitted with the aforementioned IRS Form 8850 and DOL-ETA Form 9061.

The required forms can be submitted through either method listed below:

Mail Work Opportunity Tax Credit Center
 Employment Development Department
 2901 50th Street
 Sacramento, CA 95817

Online www.edd.ca.gov/WOTC

The WOTC Center will then verify the information and determine whether the individual is a qualified member of a targeted group.

Conditional Certifications

An employer may receive a *Conditional Certification* (CC) ([DOL-ETA Form 9062](#)) for a prospective hire if the EDD or a PA determines that a job-ready applicant is tentatively eligible as a member of a target group under WOTC.

A PA is a federal, state, or local government agency, or a grantee of these agencies, that has entered into a memorandum of understanding with EDD for the issuance of CCs. The EDD has the authority to designate, train, and audit PAs. Current PA designated staff include Department of Rehabilitation Vocational Rehabilitation Counselors, EDD Local Veteran Employment and Disabled Veteran Outreach Program Representatives, and EDD Veteran Service Navigators. All PA designated staff must receive the required training provided by the EDD WOTC Center and may only issue CCs for the target groups for which they have acknowledged expertise.

Only the EDD or a PA designated staff can issue a CC to show eligibility pre-determination was made for an individual. The issuance of a CC is not a guarantee of certification. The purpose of the CC is to: serve as an official record of the pre-certification, alert employers to the potential availability of a tax credit if the individual is hired, and provide a means for employers to request WOTC certification for the individual. If the prospective employee is hired, the employer would submit the DOL-ETA Form 9062 in lieu of the DOL-ETA Form 9061.

For more information about PA designation or alternatives to CC issuing authority, contact the WOTC Customer Service Help Desk at 866-593-0173 (toll free) or WOTCsupport@edd.ca.gov.

Additional Information

For more information about the WOTC program, contact the WOTC Customer Service Help Desk at 866-593-0173 (toll free) or visit the following websites:

[California WOTC](#)

General information about the WOTC program, eWOTC enrollment, online submission, application search, and FAQs.

[DOL WOTC](#)

In-depth WOTC guidance, WOTC forms, tax credit calculation, marketing materials, YouTube videos, and FAQs.

[IRS WOTC](#)

Program updates, certification filing instructions, and FAQs.

ACTION

Bring this directive to the attention of appropriate staff.

INQUIRIES

If you have any questions, contact your [Regional Advisor](#). Inquiries relating to CCs may be addressed to the WOTC State Coordinator, at 916-227-5153.

/S/ JOSÉ LUIS MÁRQUEZ, Chief
Central Office Workforce Services Division

Attachments are available on the internet:

1. [Work Opportunity Tax Credit Target Groups](#)
2. [Summary of Comments](#)

Work Opportunity Tax Credit Target Groups

Group A—Short-Term TANF Recipient – A member of a family that received Temporary Assistance for Needy Families (TANF) benefits for any nine-month period during the 18-month period ending on the hiring date.

Group B—Qualified Veteran – A qualified veteran who meets any of the following criteria:

- A member of a family that received food stamps (i.e., Supplemental Nutrition Assistance Program benefits for at least a three-month period during the 15-month period ending on the hiring date).
- Entitled to compensation for a service-connected disability and hired within one year of discharge, or release from active duty.
- Entitled to compensation for a service-connected disability and unemployed for a period, or periods, totaling at least six months of the year, ending on the hiring date.
- Unemployed for at least four weeks (but less than six months) during the one-year period ending on the hiring date.
- Unemployed for at least six months or more during the one-year period ending on the hiring date.

*Note – To be considered a qualified veteran for this purpose, the individual must meet these two standards:

- Served on active duty, not including training, in the Armed Forces for more than 180 days, or have been discharged or released from active duty for a service-connected disability.
- Not have a period of active duty, not including training, for more than 90 days that ended during the 60-day period concluding on the hiring date.

Group C—Qualified Ex-Felon – An ex-felon who meets the following criteria:

- Has been convicted of a felony under any federal or state law.
- Is hired not more than one year after the conviction or release from prison for that felony.

*Note – Ex-felons who are participating in a transitional program (e.g. work release) are eligible for the Work Opportunity Tax Credit initiative if they were convicted of a felony.

Group D—Qualified Designated Community Resident – An individual who meets the following criteria:

- At least age 18, but not yet age 40, on the hiring date.
- Lives in an Empowerment Zone (See [Empowerment Zone Locator](#)).

Group E—Vocational Rehabilitation Referral – An individual with a disability who has completed, or is completing, rehabilitative services provided by any of the following:

- A state-certified agency.
- An Employment Network under the Ticket to Work program.
- The Department of Veteran Affairs.

Group F—Summer Youth Employee – Any individual who meets the following criteria:

- Performs services for the employer between May 1 and September 15.
- Is age 16 or 17 on the hiring date.
- Lives in an Empowerment Zone (See [Empowerment Zone Locator](#)).

Group G—Food Stamp Recipient – Any individual who meets the following criteria:

- Is at least age 18, but not yet age 40, on the hiring date.
- Is a member of a family that meets one of the following criteria:
 - Has received food stamps for the six-month period ending on the hiring date.
 - Has received food stamps for at least three months of the five-month period ending on the hiring date.

Group H—SSI Recipient – Any individual who is a recipient of Supplemental Security Income (SSI) benefits for any month that ends during the 60-day period ending on the hiring date.

Group I—Long-Term Family Assistance Recipient – An individual who is a member of a family that meets any of the following criteria:

- Has received TANF payments for any 18 consecutive months ending on the hiring date.
- Receives TANF payments for any 18 months (whether or not consecutive) beginning after August 5, 1997, and the earliest 18-month period beginning after August 5, 1997, ended within the last two years.
- Stopped being eligible for TANF payments because federal or state law limits the maximum period such assistance is payable and the individual is hired not more than two years after such eligibility ended.

Group L – Long-Term Unemployment Recipient – An individual who meets the following criteria:

- Has been unemployed for a period of no less than 27 consecutive weeks on the day before the individual begins work for the employer.
- Has received unemployment compensation under state or federal law during that period (period of time receiving unemployment compensation may be less than 27 weeks).

SUMMARY OF COMMENTS

Draft Directive *Reauthorization of WOTC Program (WSDD-152)*

There were two comments to the draft version of this directive:

Comment #1 – The Department of Labor and most other agencies use the acronym “LTUR” for Long-Term Unemployment Recipient, instead of the acronym “QLTUR” for Qualified Long-Term Unemployment Recipient.

Resolution – The directive has been updated to reflect the suggested acronym change.

Comment #2 – In regards to the Long-Term Unemployment Recipient (LTUR) target group, is there a minimum or maximum amount of time that the applicant must receive unemployment compensation during the period of 27 or more consecutive weeks of unemployment. For example, would an applicant who received unemployment compensation even for just one day during that identified period meet the eligibility criteria?

Resolution – According to IRS Notice 16-22, an applicant is considered a LTUR if he/she is in a period of unemployment that is: (i) not less than 27 consecutive weeks and (ii) includes a period (which may be less than 27 weeks) in which the individual received unemployment compensation under state or federal law. Therefore, receiving unemployment compensation for even one day during the period of 27 or more consecutive weeks of unemployment would meet the LTUR eligibility criteria.



REVISED PY 2016-17 RAPID RESPONSE FUNDING

The Employment Development Department recently announced the Rapid Response (RR) and Layoff Aversion (LOA) funding provided to Local Workforce Development Areas (Local Area) for the period of July 1, 2016, through June 30, 2017. On October 27, 2016, the Department of Labor (DOL) released Grant Modification No. 2, AA-28305-16-A-6, reflecting a .41903 percent rescission, which was applied to round two Workforce Innovation and Opportunity (WIOA) allotments. The Dislocated Worker RR funding California received was reduced to \$42,233,376 for PY 2016-2017.

State policy sets the formula allocation methodology at 50 percent of the RR funds being allocated to the Local Areas and the other 50 percent of the RR funds being set aside for the Additional Assistance account. Local Areas experiencing a significant increase in unemployment in their areas caused by plant closures, downsizing, natural disasters, or "other events" may apply for Additional Assistance funds. See attachment for specific funding detail reflecting the funding reduction referenced above. Please note that these allocations include both the formula RR funding, along with separate allocations for LOA. This is consistent with the policy detailed in Rapid Response and Layoff Aversion Activities WSD16-04, published on July 22, 2016.

This notice supersedes WSIN16-12.

Use of Rapid Response and Layoff Aversion Funds

These funds can only be used towards the cost of required and allowable RR activities in response to layoffs, business closures, and natural disasters. Only expenditures for activities described in Sections 3(51) and 134(a)(2)(A) of the *Workforce Innovation and Opportunity Act* (WIOA) will be reimbursed under the formula RR grant codes. Other activities not described in these sections must be paid with other funds.

As referenced in WSD16-04, baseline, layoff-based, and hold-harmless RR funds will continue to be issued to each Local Area in their subgrant, as grant codes 540 and 541. These formula RR funds may be spent on the wide range of required and/or allowable activities. Local Areas shall continue to report Incumbent Worker Training (IWT) participant enrollments funded with RR formula funds, under grant code 2274. LOA funding will be issued under grant codes 292 and 293 in each Local Area's subgrant. These funds are to be spent exclusively on LOA activities, which includes IWT.

The EDD is an equal opportunity employer/program. Auxiliary aids and services are available upon request to individuals with disabilities.

Participants receiving Additional Assistance services must be enrolled in grant code 241. Funds used for training services when serving Additional Assistance participants qualify as “leveraged resources,” which will assist Local Areas in meeting the training expenditure requirement as described in Directive WIA Training Expenditure Requirements, WSD14-1.

PY 2015-16 RR and LOA Funds

In light of the fact that WIOA transition is stretching into a second year and up to 50 percent of PY 2015-16 RR funds can be used for WIOA transition, the state has decided to allow Local Areas to carry forward any unspent PY 2015-16 RR and LOA funds, and will extend the term end dates for those funds to June 30, 2017. The state will not reduce the Local Areas’ PY 2016-17 RR and LOA allocations by their PY 2015-16 carry forward amounts.

If you have any questions regarding this information, please contact your assigned Regional Advisor.

/S/ JOSÉ LUIS MÁRQUEZ, Chief
Central Office Workforce Services Division

Attachment is available on the internet:

1. [PY 2016-17 Rapid Response and Layoff Aversion Funding](#) (Revised)

PY 2016-17 Rapid Response and Layoff Aversion Funding (Revised)

	Rapid Response			Layoff Aversion			PY 16-17 Grand Total
	GC 540	GC 541	Total GC 540/541	GC 292	GC 293	Total GC 292/293	
Alameda County	\$53,770	\$284,977	\$ 338,747	\$15,230	\$80,292	\$ 95,522	\$ 434,269
Anaheim	\$29,257	\$155,887	\$ 185,144	\$8,287	\$43,921	\$ 52,208	\$ 237,352
Contra Costa	\$48,339	\$256,183	\$ 304,522	\$13,692	\$72,179	\$ 85,871	\$ 390,393
Foothill	\$28,310	\$149,994	\$ 178,304	\$8,019	\$42,260	\$ 50,279	\$ 228,583
Fresno City/County	\$32,432	\$172,803	\$ 205,235	\$9,186	\$48,688	\$ 57,874	\$ 263,109
Golden Sierra	\$36,892	\$195,911	\$ 232,803	\$10,449	\$55,198	\$ 65,647	\$ 298,450
Humboldt	\$21,968	\$116,374	\$ 138,342	\$6,222	\$32,789	\$ 39,011	\$ 177,353
Imperial	\$34,877	\$185,832	\$ 220,709	\$9,879	\$52,358	\$ 62,237	\$ 282,946
Kern/Inyo/Mono	\$47,251	\$250,836	\$ 298,087	\$13,384	\$70,673	\$ 84,057	\$ 382,144
Kings	\$22,314	\$118,204	\$ 140,518	\$6,320	\$33,304	\$ 39,624	\$ 180,142
Long Beach	\$78,791	\$417,629	\$ 496,420	\$22,317	\$117,667	\$ 139,984	\$ 636,404
Los Angeles City	\$167,099	\$885,827	\$ 1,052,926	\$47,332	\$249,577	\$ 296,909	\$ 1,349,835
Los Angeles County	\$184,870	\$980,027	\$ 1,164,897	\$52,364	\$276,122	\$ 328,486	\$ 1,493,383
Madera	\$27,362	\$145,788	\$ 173,150	\$7,750	\$41,076	\$ 48,826	\$ 221,976
Mendocino	\$19,488	\$103,225	\$ 122,713	\$5,520	\$29,084	\$ 34,604	\$ 157,317
Merced	\$24,396	\$129,984	\$ 154,380	\$6,910	\$36,623	\$ 43,533	\$ 197,913
Monterey	\$27,651	\$146,499	\$ 174,150	\$7,832	\$41,276	\$ 49,108	\$ 223,258
Mother Lode	\$80,317	\$427,943	\$ 508,260	\$22,749	\$120,574	\$ 143,323	\$ 651,583
NoRTEC	\$109,111	\$580,470	\$ 689,581	\$30,905	\$163,548	\$ 194,453	\$ 884,034
North Central Counties	\$59,749	\$291,936	\$ 351,685	\$16,924	\$82,253	\$ 99,177	\$ 450,862
North Bay	\$54,964	\$316,789	\$ 371,753	\$15,568	\$89,255	\$ 104,823	\$ 476,576
NOVA	\$215,720	\$1,143,793	\$ 1,359,513	\$61,102	\$322,263	\$ 383,365	\$ 1,742,878
Oakland	\$44,226	\$234,379	\$ 278,605	\$12,527	\$66,036	\$ 78,563	\$ 357,168
Orange County	\$122,554	\$649,645	\$ 772,199	\$34,713	\$183,037	\$ 217,750	\$ 989,949
Richmond	\$18,798	\$99,563	\$ 118,361	\$5,324	\$28,052	\$ 33,376	\$ 151,737
Riverside County	\$49,187	\$260,676	\$ 309,863	\$13,932	\$73,445	\$ 87,377	\$ 397,240
Sacramento	\$48,376	\$257,755	\$ 306,131	\$13,702	\$72,623	\$ 86,325	\$ 392,456
San Benito	\$17,322	\$91,741	\$ 109,063	\$4,906	\$25,848	\$ 30,754	\$ 139,817
San Bernardino County	\$55,397	\$294,614	\$ 350,011	\$15,691	\$83,007	\$ 98,698	\$ 448,709
San Diego	\$188,826	\$1,000,998	\$ 1,189,824	\$53,484	\$282,031	\$ 335,515	\$ 1,525,339
San Francisco	\$33,270	\$176,292	\$ 209,562	\$9,424	\$49,670	\$ 59,094	\$ 268,656
San Joaquin	\$43,651	\$232,581	\$ 276,232	\$12,364	\$65,530	\$ 77,894	\$ 354,126
San Jose/Silicon Valley	\$110,379	\$588,120	\$ 698,499	\$31,264	\$165,704	\$ 196,968	\$ 895,467
San Luis Obispo	\$34,836	\$185,614	\$ 220,450	\$9,867	\$52,297	\$ 62,164	\$ 282,614
Santa Ana	\$61,713	\$327,085	\$ 388,798	\$17,480	\$92,156	\$ 109,636	\$ 498,434
Santa Barbara	\$35,248	\$186,777	\$ 222,025	\$9,984	\$52,624	\$ 62,608	\$ 284,633
Santa Cruz	\$20,022	\$106,054	\$ 126,076	\$5,671	\$29,881	\$ 35,552	\$ 161,628
SELACO	\$19,488	\$103,225	\$ 122,713	\$5,520	\$29,084	\$ 34,604	\$ 157,317
Solano County	\$19,206	\$101,727	\$ 120,933	\$5,440	\$28,662	\$ 34,102	\$ 155,035
Sonoma County	\$23,854	\$127,097	\$ 150,951	\$6,756	\$35,810	\$ 42,566	\$ 193,517
South Bay	\$62,403	\$330,748	\$ 393,151	\$17,676	\$93,188	\$ 110,864	\$ 504,015
Stanislaus County	\$29,942	\$158,649	\$ 188,591	\$8,481	\$44,699	\$ 53,180	\$ 241,771
Tulare County	\$24,574	\$130,188	\$ 154,762	\$6,961	\$36,680	\$ 43,641	\$ 198,403
Ventura County	\$59,201	\$313,771	\$ 372,972	\$16,769	\$88,404	\$ 105,173	\$ 478,145
Verdugo	\$58,301	\$310,641	\$ 368,942	\$16,514	\$87,523	\$ 104,037	\$ 472,979
Yolo County	\$25,610	\$135,681	\$ 161,291	\$7,254	\$38,228	\$ 45,482	\$ 206,773
Statewide Total	\$ 2,611,312	\$ 13,860,532	\$ 16,471,844	\$ 739,645	\$ 3,905,199	\$ 4,644,844	\$ 21,116,688



AMENDMENT TO WIOA FORMULA ALLOCATIONS – PY 2016-17

Round two *Workforce Innovation and Opportunity Act* (WIOA) formula funds (commonly referred to as “advanced” funds) for each Local Workforce Development Area (Local Area) for the Adult and Dislocated Worker funding streams for Program Year (PY) 2016-17 were recently released. However, the Department of Labor (DOL) released Grant Modification No. 2, AA-28305-16-A-6 on October 27, 2016, reflecting a .41903 percent rescission, which was only applied to round two allotments. The revised allotments to California and the amounts available for formula allocation to the Local Areas are listed below. Attachment 1 reflects the revised total PY 2016-17 amounts Local Areas will receive for each of the funding streams.

<u>PY 2016-17</u>	<u>Total Allotment</u>	<u>Formula Allocation</u>
Adult Program (Title I)	\$122,675,868	\$104,274,488
Youth Program (Title I)	\$128,788,366	\$109,470,112
Dislocated Worker Program (Title I)	\$168,933,504	\$101,360,103

If you have any questions, please contact Laura Caputo from the Financial Management Unit at Laura.Caputo@edd.ca.gov.

/S/ JOSÉ LUIS MÁRQUEZ, Chief
Central Office Workforce Services Division

Attachments are available on the internet:

1. [Youth, Adult, and Dislocated Worker Activities Program Allotments \(Revised\)](#)
2. [WIOA Funding SFY 2016-17 \(Revised\)](#)

**Workforce Innovation and Opportunity Act
Youth, Adult, and Dislocated Worker Activities Program Allocations
Program Year 2016-17 (Revised)**

Local Area	Round 1			Round 2		Grand Total
	Youth	Adult	Dislocated Worker	Adult	Dislocated Worker	
Alameda	\$1,852,462	\$221,460	\$375,727	\$1,510,135	\$1,991,986	\$5,951,770
Anaheim City	\$865,257	\$105,877	\$117,349	\$721,977	\$622,146	\$2,432,606
Contra Costa	\$1,669,928	\$209,526	\$339,709	\$1,428,759	\$1,801,030	\$5,448,952
Foothill	\$672,173	\$87,940	\$95,660	\$599,665	\$507,160	\$1,962,598
Fresno	\$4,639,966	\$557,441	\$687,181	\$3,801,187	\$3,643,217	\$13,328,992
Golden Sierra	\$1,001,088	\$124,602	\$193,878	\$849,657	\$1,027,880	\$3,197,105
Humboldt	\$381,561	\$42,335	\$48,835	\$288,683	\$258,910	\$1,020,324
Imperial	\$1,801,123	\$226,880	\$328,624	\$1,547,096	\$1,742,263	\$5,645,986
Kern, Inyo, Mono	\$3,978,187	\$487,432	\$580,831	\$3,323,794	\$3,079,386	\$11,449,630
Kings	\$641,789	\$92,763	\$97,688	\$632,553	\$517,910	\$1,982,703
Long Beach	\$2,018,168	\$235,112	\$202,899	\$1,603,225	\$1,075,707	\$5,135,111
Los Angeles City	\$15,347,624	\$1,891,029	\$1,559,578	\$12,894,905	\$8,268,379	\$39,961,515
Los Angeles County	\$12,265,216	\$1,495,493	\$1,425,028	\$10,197,753	\$7,555,045	\$32,938,535
Madera	\$653,598	\$84,866	\$98,643	\$578,702	\$522,976	\$1,938,785
Mendocino	\$221,300	\$28,600	\$34,355	\$195,021	\$182,140	\$661,416
Merced	\$1,336,688	\$160,803	\$203,765	\$1,096,511	\$1,080,299	\$3,878,066
Monterey	\$1,529,554	\$198,145	\$314,158	\$1,351,148	\$1,665,567	\$5,058,572
Mother Lode	\$394,015	\$58,805	\$67,365	\$400,993	\$357,148	\$1,278,326
NoRTEC	\$2,394,786	\$293,203	\$343,975	\$1,999,347	\$1,823,650	\$6,854,961
North Bay	\$754,257	\$105,421	\$145,419	\$840,282	\$898,973	\$2,744,352
North Central Counties	\$1,046,332	\$123,227	\$169,564	\$718,865	\$770,965	\$2,828,953
NOVA-San Mateo	\$1,565,292	\$201,105	\$344,686	\$1,371,331	\$1,827,416	\$5,309,830
Oakland City	\$1,437,498	\$179,978	\$169,934	\$1,227,265	\$900,936	\$3,915,611
Orange	\$3,309,493	\$391,001	\$735,905	\$2,666,232	\$3,901,539	\$11,004,170
Richmond City	\$375,881	\$50,069	\$43,465	\$341,421	\$230,438	\$1,041,274
Riverside	\$6,448,535	\$789,904	\$991,404	\$5,386,351	\$5,256,115	\$18,872,309
Sacramento	\$3,763,899	\$457,105	\$584,167	\$3,116,993	\$3,097,073	\$11,019,237
San Benito	\$202,210	\$24,293	\$37,211	\$165,655	\$197,283	\$626,652
San Bernardino	\$5,998,495	\$723,563	\$839,287	\$4,933,972	\$4,449,634	\$16,944,951
San Diego	\$7,310,414	\$851,298	\$1,192,116	\$5,804,996	\$6,320,223	\$21,479,047
San Francisco	\$1,308,458	\$183,820	\$284,022	\$1,253,465	\$1,505,798	\$4,535,563
San Joaquin	\$2,825,766	\$335,624	\$424,791	\$2,288,619	\$2,252,109	\$8,126,909
San Jose - Silicon Valley	\$2,502,712	\$301,023	\$420,919	\$2,052,670	\$2,231,582	\$7,508,906
San Luis Obispo	\$669,704	\$65,597	\$84,786	\$447,308	\$449,510	\$1,716,905
Santa Ana City	\$1,034,615	\$128,938	\$98,456	\$879,227	\$521,983	\$2,663,219
Santa Barbara	\$1,227,998	\$112,199	\$155,998	\$765,086	\$827,051	\$3,088,332
Santa Cruz	\$1,007,272	\$112,578	\$155,921	\$767,671	\$826,647	\$2,870,089
SELACO	\$1,172,289	\$141,675	\$165,806	\$966,077	\$879,053	\$3,324,900
Solano	\$977,259	\$137,009	\$188,073	\$934,261	\$997,106	\$3,233,708
Sonoma	\$956,999	\$114,773	\$162,281	\$782,639	\$860,364	\$2,877,056
South Bay	\$1,803,221	\$234,370	\$261,996	\$1,598,166	\$1,389,023	\$5,286,776
Stanislaus	\$2,243,498	\$275,163	\$354,662	\$1,876,338	\$1,880,307	\$6,629,968
Tulare	\$2,412,436	\$291,948	\$381,914	\$1,990,789	\$2,024,789	\$7,101,876
Ventura	\$1,906,759	\$221,947	\$358,668	\$1,513,456	\$1,901,545	\$5,902,375
Verdugo	\$818,257	\$110,951	\$126,925	\$756,571	\$672,919	\$2,485,623
Yolo	\$726,080	\$69,162	\$90,975	\$471,618	\$482,324	\$1,840,159
TOTAL	\$109,470,112	\$13,336,053	\$16,084,599	\$90,938,435	\$85,275,504	\$315,104,703

**Workforce Innovation and Opportunity Act (WIOA) Funding
State Fiscal Year (SFY) 2016-17 (Revised)**

Funding Stream	Round 1 (Base)	Share	Round 2 (Advance)	Share	Total
Youth Total	\$ 128,788,366		\$ -		\$ 128,788,366
Formula	\$ 109,470,112	85.00%	\$ -		\$ 109,470,112
Governor's Discretionary	\$ 19,318,254	15.00%	\$ -		\$ 19,318,254
Adult Total	\$ 15,689,474		\$ 106,986,394		\$ 122,675,868
Formula	\$ 13,336,053	85.00%	\$ 90,938,435	85.00%	\$ 104,274,488
Governor's Discretionary	\$ 2,353,421	15.00%	\$ 16,047,959	15.00%	\$ 18,401,380
Dislocated Worker Total	\$ 26,807,663		\$ 142,125,841		\$ 168,933,504
Formula	\$ 16,084,599	60.00%	\$ 85,275,504	60.00%	\$ 101,360,103
Rapid Response	\$ 6,701,915	25.00%	\$ 35,531,461	25.00%	\$ 42,233,376
Governor's Discretionary	\$ 4,021,149	15.00%	\$ 21,318,876	15.00%	\$ 25,340,025
Total WIA Funds	\$ 171,285,503		\$ 249,112,235		\$ 420,397,738
Formula	\$ 138,890,764		\$ 176,213,939		\$ 315,104,703
Rapid Response	\$ 6,701,915		\$ 35,531,461		\$ 42,233,376
Governor's Discretionary	\$ 25,692,824		\$ 37,366,835		\$ 63,059,659

* Program Year 2016-17 WIOA allotments based on TEGL 17-15, dated April 5, 2016

* Round two rescission based on Notice of Award received on 10/27/16