



# Yolo County Workforce Innovation Board

A proud partner of America's Job Center of California<sup>SM</sup> network.

Comprehensive  
Health & Human Services Agency  
25 N. Cottonwood Street  
Woodland, CA 95695  
(530) 661-2750 ext. 4327

Affiliate  
Health & Human Services Agency  
500 Jefferson Boulevard  
West Sacramento, CA 95605  
(916) 375-6300 ext. 4327

www.yoloworks.org

## Board Members

- All Phase Security Inc.
- Buckhorn Steakhouse/  
Putah Creek Café
- California Dept. of  
Rehabilitation
- California Employment  
Development  
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- City of Woodland  
Economic Development
- Clark Pacific
- DMG MORI
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Labor Council (4)
- The Scoop Frozen  
Yogurt Shop
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- Woodland Community  
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- Yolo Employment  
Services, Inc.



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## >>>NOTICE OF PUBLIC MEETING<<< Workforce Innovation Board

September 11, 2019  
8:30AM - 10:30 AM

America's Job Center of California/Community Room/ 25 North Cottonwood Street  
Woodland, CA

### AGENDA

#### 8:30 AM Call to Order-Pledge of Allegiance

1. **Welcome Comments, Introductions and Group Discussion**
2. **Public Comments/Announcements – Non- Agenda Items**
  - a. *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 lime 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 **Consent Agenda – Approved with one motion unless item withdrawn for discussion**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 – July 10, 2019 (Attachment) Page 1
6. **Regular Agenda**
  - a. Receive Resignation from WIB Member Ioanna Iatridis (Attachment) Page 4
  - b. Receive/Review/Discuss/Recommend Approval of WIB Application for Lyndon Huling (Attachment) Page 5
  - c. Receive/Review/Discuss WIOA Program Review Final Monitoring Report PY 2018-19 (Attachment) Page 8
  - d. Receive/Review/Discuss Fiscal and Procurement On-Site Monitoring of HHSA by Yolo County HHSA Monitoring and Internal Controls Division (Attachment) Page 14
  - e. Receive/Review/Discuss Final Monitoring Report for Yolo County WIOA Subrecipients for PY 2018-19 (Attachment) Page 32
  - f. Receive/Review/Discuss WIOA Section 188 Non-Discrimination and Equal Opportunity Provisions Annual Onsite Compliance Monitoring Review Final Report PY 2018-19 (Attachment) Page 49
  - g. Receive/Review/Discuss WIB Membership Tools (Attachment) Page 55
7. **Guest Speaker/Trainer**
  - a. Jayne Williams, All Leaders Must Serve
  - b. Jayne Williams is the Executive Director of All Leaders Must Serve (ALMS), which is a job readiness program formed to empower young adults from 15-25 years of age by instilling purpose, character, work ethics and the desire to give back to their community as self-sufficient adults through the service of mentors. In an effort to assist and empower young adults, Jayne and her team have applied for AB1111, the Breaking Barriers to Employment Grant, which is an initiative that provides individuals with barriers to employment the services they need to enter, participate in, and complete broader workforce preparation, training, and education programs aligned with regional labor market need.

## **8. Information Items**

- a. Update: Notification of the need to re-apply for WIB membership due to December 2019 Term Expiration (Attachment) Page 61
- b. Receive One Stop Operator Report from Michael Indiveri, One-Stop Operator (Attachment) Page 63
- c. Receive Workforce Services Directive (WSD) 19-01 Incumbent Worker Training (Attachment) Page 64
- d. Receive WSD 19-02 Worker Displacement Prohibition (Attachment) Page 72
- e. Receive Workforce Services Draft Directive (WSDD) 200 CalJOBS Roles and Responsibilities – Local Area MIS Administrator (Attachment) Page 75
- f. Receive WSDD Monthly and Quarterly Financial Reporting Requirements (Attachment) Page 80
- g. Receive Workforce Services Information Notice (WSIN) 18-43 Grant Application Opportunity 2019 Women in Apprenticeship and Nontraditional Occupations (Attachment) Page 89
- h. Receive WSIN 18-44 Grant Application Opportunity 2019 YouthBuild (Attachment) Page 90
- i. Receive WSIN 18-45 Deaf and Hard of Hearing Grantees PY 19-20 (Attachment) Page 91
- j. Receive WSIN 19-01 Enhancements to ETPL Module in CalJOBS (Attachment) Page 92
- k. Receive WSIN 19-02 Apprenticeships: Closing the Skills Gaps Grant Opportunity (Attachment) Page 94
- l. Receive WSIN 19-03 AB 1111: Breaking Barriers to Employment Initiative Request for Applications (Attachment) Page 95
- m. Receive WSIN Northern and Southern California DOL Smart 3.0 Training (Attachment) Page 96
- n. Receive Local Area WIOA Program Expenditures for Program Year 2018-2019 (Handout)
- o. Receive County Monthly Labor Force Data for July 2019 (Handout)

## **9. Reports**

- a. Ken Garrett, WIB Chair
- b. Elaine Lytle, Executive Director

## **10. Other Business That May Come Before the Board**

## **11. Adjourn**

## **12. Next Meeting:**

November 13, 2019 – Yolo County Health and Human Services  
Agency

America's Job Center of California  
25 North Cottonwood Street Woodland, CA 95695  
Community Room

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**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 Ashley Abreu at (530) 661-2750 ext. 4327 at least 3 business days prior to the meeting to facilitate arrangement. This WIOA Title I – financially assisted program or activity is an equal opportunity employer/program. For Individuals with hearing or speaking limitations, assistance is available via California Relay Service 711 or 1-800-735-2922 (English), 1-800-855-3000 (Spanish).

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## >>>NOTICE OF PUBLIC MEETING<<< Workforce Innovation Board

July 10, 2019

8:30AM - 10:30 AM

1280 Santa Anita Court Suite 120 Woodland, CA 95776

at the Corazon Center, in the main classroom

**DRAFT MINUTES**

The Yolo County Workforce Innovation Board (WIB) convened in the offices of Yolo County Office of Education at 1280 Santa Anita Court Suite 120, Woodland, CA with the follow persons in attendance:

Present: Alice Tapley, Rob Carrion, Mike Cordova, Pascual Marquez, Gary Pelfrey, John Pickerel, Ken Garrett, Michele Rau, Susan Moylan, Paul Basi, Randy Bloomfield, Ben Mitchell, Wendy Ross

Absent: Maggie Campbell, Sarah McGinn, Denice Seals, Jennifer Pike, John Rodriguez, Theresa Milan, Robyn David-Harris

Staff Present: Lisa Vincent, Ashley Abreu, Erica Johnson

Guests Present: Randi Kay Stephens, Terri Carpenter, Bina Lefkovitz, Andrea Gaytan, Cara Welch, Kristy Wright, Dan Maguire

### **8:30 AM Call to Order-Pledge of Allegiance**

The meeting was called to order at 8:33 AM

1. **Welcome Comments, Introductions and Group Discussion**
2. **Public Comments/Announcements – Non- Agenda Items**
  - a. 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 lime of 3 minutes may be imposed. No action may be taken on non-agenda items.
3. **Establish Quorum**
  - a. A quorum was established
4. **Consider Agenda Approval**
  - a. The Agenda was approved with a motion by Gary Pelfrey to update the address to 1280 Santa Anita Court Suite 120 Woodland, CA 95776, seconded by Rob Carrion; motion passed by all members.
5. **Consent Agenda – Approved with one motion unless item withdrawn for discussion**
  - a. Approve WIB Executive Committee minutes – May 8, 2019 (Attachment) Page 1
    - i. A motion to approve the Consent Agenda items was made by Gary Pelfrey, seconded by Rob Carrion; motion passed by all members.
6. **Guest Speaker/Trainer –**
  - a. Randi Stephens, Bina Lefkovitz, Innovative Pathways to Public Service
  - b. Terri Carpenter, Sacramento Employment and Training Agency (SETA)
    - i. Innovative Pathways to Public Service” is a cross-sector collaborative of organizations focused on youth and workforce development. We are leaders from education (K-12 and

community college), workforce development, municipal and state government agencies, and regional community and business partners that want to align efforts for more intentional, effective pathways into public service.

## **7. Regular Agenda**

- a. Receive/Review/Discuss/Approve 2020 WIB and WIB Executive Committee Meeting Calendars (Attachment) Page 4
  - i. A motion to approve the 2020 WIB and Executive Committee meetings was made by Gary Pelfrey, seconded by Susan Moylan; motion passed by all members.
- b. Receive/Review/Discuss/Approve Workforce Innovation and Opportunity Act (WIOA) America's Job Center of California (AJCC) Memorandums of Understanding (MOU) (Attachment) Page 7
  - i. A motion to approve the WIOA MOU's was made by Susan Moylan, seconded by Gary Pelfrey; motion passed by all members.

## **8. Information Items**

- a. Update: Economic Development Vacancy
- b. Update: Submittal of Regional and Local Plans PY 17-21 – Two-year Modification
- c. Update: Submittal of Designation and Local Board Recertification
- d. Receive Workforce Services Directive (WSD) 18-12 WIOA Memorandums of Understanding (Attachment) Page 9
- e. Receive WSD 18-13 State Level Performance Goals and Local Area Negotiations (Attachment) Page 79
- f. Receive WSD 18-14 Subsequent Local Area Designation and Local Board Recertification (Attachment) Page 104
- g. Receive WSD 18-15 Indirect Cost Rates (Attachment) Page 128
- h. Receive Workforce Services Draft Directive (WSDD) 198 Federal Bond Program (Attachment) Page 140
- i. Receive WSDD 199 Strategic Co-Enrollment – Unified Plan Partners (Attachment) Page 152
- j. Receive Workforce Services Information Notice (WSIN) 18-32 WIOA Formula Allocations PY19-20 (Attachment) Page 160
- k. Receive WSIN 18-33 CalFresh E&T: A Strategic Partnership for Local Boards (Attachment) Page 164
- l. Receive WSIN 18-34 ELL Co-Enrollment Pilot Grant Awards (Attachment) Page 165
- m. Receive WSIN 18-35 Disability Employment Accelerator 18-19 Awards (Attachment) Page 166
- n. Receive WSIN 18-36 PY18 Participant and Performance Reporting (Attachment) Page 167
- o. Receive WSIN 18-37 WIOA Waiver Requests (Attachment) Page 169
- p. Receive WSIN 18-38 AB 1111 Public Comment and Letter of Intent to Apply (Attachment) Page 170
- q. Receive WSIN 18-39 VEAP 2018-19 Awards (Attachment) Page 171
- r. Receive WSIN 18-40 Hilton Honors Military Rewards Program (Attachment) Page 172
- s. Receive WSIN 18-41 Revised PY 18-19 WIOA Formula Allocations (Attachment) Page 176
- t. Receive WSIN 18-42 PY 19-20 Rapid Response and Layoff Aversion Funds (Attachment) Page 179
- u. Receive County Monthly Labor Force Data for May 2019 (Handout)

## **9. Reports**

- a. Ken Garrett, WIB Chair
- b. Elaine Lytle, Executive Director

## **10. Other Business That May Come Before the Board**

### **11. Adjourn**

- a. A motion to adjourn was made at 10:13 AM by Rob Carrion, seconded by Gary Pelfrey; motion passed by all members.

## **12. Tour of Yolo County Office of Education Career Academy**

## **13. Next Meeting:**



September 11, 2019 – Yolo County Health and Human Services Agency  
America's Job Center of California  
25 North Cottonwood Street Woodland, CA 95695  
Community Room

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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

## Board Members

- All Phase Security Inc.
- Buckhorn Steakhouse/  
Putah Creek Café
- California Dept. of  
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- California Employment  
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Services, Inc.

**TO:** Members of the Workforce Innovation Board (WIB)

**FROM:** Ken Garrett, Chair

**DATE:** September 11, 2019

**SUBJECT: RESIGNATION OF WORKFORCE INNOVATION BOARD MEMBER**

Hello Ken,

I hope you had a happy Independence Day!

Please accept this email as my resignation from the Yolo County Workforce Innovation Board (WIB). I have accepted a Dean position at Shasta College and will no longer be with Woodland Community College. With the appointment of WCC's new president Dr. Art Pimentel, the representation on the Yolo County WIB will be determined by him.

It has been a pleasure working with you. I wish you and all the members of the WIB and the Yolo County community continued success.

Sincerely,

Yanna

**Ioanna (Yanna) Iatridis**

Dean of Career Technical Education and Workforce Development  
Woodland Community College

[iiatridi@yccd.edu](mailto:iiatridi@yccd.edu)

(530) 661-5795

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- Woodland Community College
- Yolo Employment Services, Inc.

**TO:** Members of the Workforce Innovation Board (WIB)

**FROM:** Ken Garrett, Chair

**DATE:** September 11, 2019

**SUBJECT: APPOINTMENT OF WORKFORCE INNOVATION BOARD MEMBER**

### RECOMMENDED ACTION

Recommend the appointment of Lyndon Huling to a four (4) year term on the Workforce Innovation Board.

### FISCAL IMPACT

There is no fiscal impact to this action.

### REASON FOR RECOMMENDED ACTION

Lyndon Huling is recommended for membership to the Workforce Innovation Board by the Yolo County Health and Human Service Agency Business Engagement Services Coordinator, Erica Johnson.

### BACKGROUND

Lyndon Huling works in staff recruitment at UC Davis. UC Davis has a vested interest in putting the local community to work at Davis as well as at the Health campus. UC Davis hires for positions in education and health care. Lyndon Huling oversees outreach and diversity recruitment efforts at UC Davis.

Appointment of Board members is based on Workforce Innovation Board (WIB) By-laws, supported by the Workforce Innovation and Opportunity Act. Appointment of Business applicant, Lyndon Huling is based on the Workforce Innovation Board By-law section 3.a) which states, "At least the majority (51%) of the WIB membership must be representatives of business in the local area." Additionally, the term of appointment is based on WIB By-laws which state in section 8. a) "The term of office for each WIB members is four (4) years from the date of appointment by the Board of Supervisors."

### AGENCY COORDINATION

If recommended and approved by a majority vote by the WIB, the subsequent approval to appoint will be submitted to the Yolo County Board of Supervisors.

Attachment:  
Workforce Innovation Board Application for Lyndon Huling.



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# Yolo County Workforce Innovation Board

## One-Stop Career Center Locations

[www.yoloworks.org](http://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
- Adult Ed/Literacy
- Vocational Rehab
- Higher Education
- Economic Development
- Wagner-Peyser
- Labor
- Other

### **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/CaWORKS
- Youth Services
- Services to individuals with disabilities

Name \_\_\_\_\_

Title or Position \_\_\_\_\_

Business/Organization \_\_\_\_\_

Address \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_

Phone Number \_\_\_\_\_ FAX Number \_\_\_\_\_

Email Address \_\_\_\_\_

**TYPE OF BUSINESS/ORGANIZATION**

Public

Private

Labor

Individual

Number of Employees: \_\_\_\_\_

General description or product or services of business/organization:

Membership in other organizations, councils, etc.:

Skills/expertise I would bring to the Board:

**Signature of Applicant:** \_\_\_\_\_

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



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**TO:** Members of the Workforce Innovation Board (WIB)

**FROM:** Ken Garrett, Chair

**DATE:** September 11, 2019

**SUBJECT: FINAL PROGRAM MONITORING REPORT PY 2018-19 ISSUED BY COMPLIANCE MONITORING SECTION OF EDD**

### RECOMMENDED ACTION

Receive the Final Program Monitoring Report from Employment Development Department (EDD) for Program Year 2018-2019.

### REASON FOR RECOMMENDED ACTION

WIOA Sections 183(a) and 184(a)(4) require monitoring be conducted to ensure program and fiscal compliance as defined by the Workforce Innovation and Opportunity Act. The attached Final Monitoring Report for Program Year 2018-2019 is related to those findings.

### BACKGROUND

The Workforce Innovation and Opportunity Act (WIOA) was signed in to law in July 2014. The purpose of the WIOA is to increase opportunities for employment, education, training and support, especially to those individuals with barriers to employment, WIOA section 2 (1).

As part of compliance with the Act, all recipients of federal funding are required to participate in Monitoring from EDD, WIOA section 183(a) and 184(a)(4).

November 26, 2018 through November 30, 2018 Ms. Louise A. Moreno conducted a review to determine compliance within the parameters of the WIOA grant program, federal and state regulation as well as applicable state directives. Information used to complete the report included interviews with HHSA representatives and service provider staff, review of case files, review of applicable policies and procedure as well as the completed WIOA Program On-Site Monitoring Guide.

As a result of the monitoring, the following findings were made:

1. HHSA did not include the federal appeals process procedure on the WIOA Complaint Acknowledgment and Receipt form.
  - a. This violates the following requirements: WIOA Section 181 (c) and WSD 18-05.

The recommendation to correct this finding was implemented during the on-site review. The staff of the WIB developed form AJCC WIOA 2 to include the federal appeals process.

The State has concluded this finding is considered to be resolved, with the implementation of the corrected form.



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**FISCAL IMPACT**

In order to receive WIOA Title I funds (Adult, Dislocated Worker, and Youth), WIOA program providers must comply with program compliance monitoring policies and procedures, outlined by federal and state regulation as well as applicable state directives.

**AGENCY COORDINATION**

WIOA subrecipient program providers are responsible for complying with the EDD monitoring approved corrective action plans, which may require cooperation with internal and external agencies to ensure monitoring duties are fulfilled, ensuring program compliance. Staff of the WIB will conduct annual program monitoring to ensure subrecipient providers have implemented the accepted corrective action plan, including updated AJCC WIOA 2 forms.

Attachment: WIOA Program Review Final Monitoring Report PY 2018-19

Patrick W. Henning  
Director



April 24, 2019

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

WORKFORCE INNOVATION AND OPPORTUNITY ACT  
PROGRAM REVIEW  
FINAL MONITORING REPORT  
PROGRAM YEAR 2018-19

Dear Mr. Larsen:

This final monitoring report is to inform you of the results of our review of Yolo County Health and Human Services' Agency (Yolo County HHSA) Workforce Innovation and Opportunity Act (WIOA) program operations for Program Year (PY) 2018-19. For this review, we focused on WIOA activities for the adult and dislocated worker 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, grievance and complaint system, participant eligibility, career services, and Rapid Response activities.

This review was conducted by Ms. Louise A. Moreno from November 26, 2018 through November 30, 2018.

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

During the review, we performed the following procedures:

- Reviewed laws, regulations, policies, procedures, and directives related to WIOA
- Obtained and reviewed Yolo County HHSA policies and procedures specific to the following areas:
  - Adult, dislocated worker, and youth eligibility determination
  - Personally Identifiable Information
  - Grievance Procedures
  - Conflict of Interest
  - Career Services



Ms. Karen Larsen  
April 24, 2019  
Page two

- Youth Services
  - Supportive Services
  - Oversight and Monitoring
  - Veteran's Priority of Service
  - Training
  - Rapid Response Assistance and Services
- Reviewed Local Workforce Development Board rosters, by-laws, and standing committees.
  - Yolo County HHSA Memorandums of Understanding with partners.
  - Reviewed Yolo County HHSA monitoring policies, procedures, logs and reports.
  - Interviewed Yolo County HHSA representatives and service provider staff (if applicable).
  - Reviewed Yolo County HHSA responses to the On-Site Monitoring Guide.
  - Obtained and reviewed sample case files for adult and dislocated workers enrolled from July 1, 2017 to August 10, 2018.

## **BACKGROUND**

The Yolo County HHSA was awarded WIOA funds to administer a comprehensive workforce development system designed to help job seekers access employment, training, and supportive services to succeed in the labor market and match employers with the skilled workers they need to compete in the global economy. For PY 2018-19, the Yolo County HHSA was allocated: \$568,598 to serve adult participants; \$737,928 to serve youth participants; and \$557,681 to serve dislocated worker participants.

For the quarter ending September 30, 2018, Yolo County HHSA reported the following WIOA expenditures: \$0 for adult participants; \$0 for youth participants; and \$0 for dislocated worker participants. The Yolo County HHSA also reported the following expenditures from their PY 2017-18 allocation: \$426,992 for adult participants, \$200,808 for youth participants and \$0 for dislocated worker participants.

We reviewed 23 case files of the 112 participants enrolled in the WIOA program as of August, 2018.

## **PROGRAM REVIEW RESULTS**

While we conclude that, overall, Yolo County HHSA is meeting applicable WIOA requirements concerning grant program administration, we noted instances of  
lam:9044

noncompliance in the area of grievance and compliant policy and the acknowledgement of receipt form.

**FINDING ONE**

**Requirement:** WIOA Section 181(c) states “Each state and local area receiving an allotment or allocation under this title shall establish and maintain a procedure for grievances or complaints alleging violations of the requirements of this title from participants and other interested or affected parties...”

WSD 18-05, WIOA Grievance and Compliant Resolution Procedures states, in part, that local areas must provide a copy of the local grievance and complaint procedures to each participant.

**Observation:** During our review, we found that the participant case files included the WIOA Grievance and Complaint Acknowledgement of Receipt form, however, the forms were missing the federal appeal process procedures.

In addition, the Yolo County America’s Job Centers of California WIOA Grievance and Complaint Policy was also missing the federal appeal procedures.

However, during the on-site review, Yolo County HHS provided the Compliance Review Office an updated and corrected WIOA Grievance and Complaint Policy and the Local Grievance and Complaint Acknowledgement of Receipt form which includes the federal appeal process. Therefore, we consider this finding resolved.

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 HHS 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 HHS is responsible for any deficiencies identified in subsequent reviews or audits.

Ms. Karen Larsen  
April 24, 2019  
Page four

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. Louise A. Moreno, Compliance Monitoring Analyst, at (916) 651-3321 or Ms. Karen Fuller-Ware, Compliance Monitoring Supervisor, at (916) 653-4174.

Sincerely,



JESSICA DELGADO, Section Chief  
Compliance Monitoring Section  
Compliance Review Office

cc: Jessica Encarnacion, MIC 22  
Jennifer Gouvaiam MIC 50  
Jaime Gutierrez, MIC 50  
MaryLiz Kerecman, MIC 50  
Karen Fuller-Ware, MIC 22



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# Yolo County Workforce Innovation Board

A proud partner of America's Job Center of California<sup>SM</sup> network.

Comprehensive  
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25 N. Cottonwood Street  
Woodland, CA 95695  
(530) 661-2750 ext. 4327

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500 Jefferson Boulevard  
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**TO:** Members of the Workforce Innovation Board (WIB)

**FROM:** Ken Garrett, Chair

**DATE:** September 11, 2019

**SUBJECT: FINAL SUBRECIPIENTS PY 2018-19 FISCAL AND PROCUREMENT MONITORING REPORTS**

### RECOMMENDED ACTION

Receive the Final Workforce Innovation and Opportunity Act (WIOA) Title I Subrecipients PY 2018-19 Fiscal Monitoring Report for Health and Human Services Agency (HHS), Rural Innovations in Social Economics, Inc. (RISE), and Yolo County Children's Alliance (YCCA) issued by HHS Monitoring and Internal Controls Division.

### REASON FOR RECOMMENDED ACTION

WIOA Sections 183(a) and 184(a)(4) require monitoring be conducted to ensure program and fiscal compliance as defined by the Workforce Innovation and Opportunity Act. The fiscal and procurement findings issued to HHS, RISE, and YCCA by the Monitoring and Internal Controls Division are outlined below.

### BACKGROUND

The Workforce Innovation and Opportunity Act was signed in to law in July 2014. The purpose of the WIOA is to increase opportunities for employment, education, training and support, especially to those individuals with barriers to employment, WIOA section 2 (1).

As part of compliance with the Act, each recipient and subrecipient of funds under Title I of WIOA must conduct regular oversight and monitoring of its WIOA program(s) including Code of Federal Regulations (CFR) part 200 related to fiscal and procurement guidelines.

Monitoring and Internal Controls Division issued Final Fiscal and Procurement Monitoring Reports to HHS, RISE, and YCCA based on oversight reviews conducted by Ms. Tamara Boystan and Ms. Shelby Milliren. The reviews were to determine fiscal and procurement compliance within the parameters of the WIOA grant program, federal and state regulation as well as applicable state directives. Information used to complete the report included interviews with subrecipient representatives and service provider staff, review of applicable policies and procedures as well as the on-site fiscal and procurement reviews.

### HHS

As a result of the monitoring;

- The following findings were issued to HHS in PY 2018-19:
  1. HHS has been awarding contracts without verifying contracts DUN number and checking if SAM's profiles are active.
    - a. This violates the following requirements: CFR 200.320
  2. Some General Liability and Worker's Compensation Certificates are expired and not





updated.

- a. This violates Uniform Guidance and Federal Regulations.

HHS provided a Corrective Action Plan (CAP) to the Monitoring and Internal Controls Division that addressed the new findings. The Monitoring and Internal Controls Division determined the CAP to be adequate and will reevaluate during a future on-site visit.

### **RISE**

As a result of the monitoring:

- No PY 2018-19 findings were issued.

### **YCCA**

As a result of the monitoring:

- No PY 2018-19 findings were issued.

### **FISCAL IMPACT**

In order to receive WIOA Title I funds (Adult, Dislocated Worker, and Youth), WIOA program providers must comply with fiscal and procurement compliance monitoring policies and procedures, outlined by federal and state regulations as well as applicable state directives.

### **AGENCY COORDINATION**

WIOA subrecipient program providers are responsible for complying with the WIOA Monitoring and Internal Controls Division monitoring requirements and approved corrective action plans, which may require cooperation with internal and external agencies to ensure monitoring duties are fulfilled, ensuring program compliance.

Attachment:

- HHS – WIOA Youth, Adult, and Dislocated Worker Monitoring
- RISE – Agreement NO. 17-193 WIOA Youth Services
- YCCA – Agreement NO. 17-222 WIOA Youth Services



# COUNTY OF YOLO

Health and Human Services Agency

*Karen Larsen*  
Director

25 North Cottonwood Street • Woodland, CA 95695  
(530) 666-8651 • [www.yolocounty.org](http://www.yolocounty.org)

June 11, 2019

Lucy Chavez  
Business Services Manager  
137 North Cottonwood Street  
Woodland, CA 95695

**RE: WIOA Youth, Adult and Dislocated Worker Monitoring**

Dear Mrs. Chavez,

This letter is to inform you of the results of an on-site fiscal monitoring of your organization conducted by Tamara Boytsan and Shelby Milliren of the Yolo County HHSA Monitoring and Internal Controls division for the contract term July 1, 2018 through June 30, 2019.

The purpose of this monitoring 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 the **Agreements # 17-227 & 18-182**. 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.

The result of the tests of financial statements disclosed no signs of noncompliance with applicable laws and regulations. **While the results of the review conclude that, overall, HHSA is meeting applicable WIOA requirements concerning administrative, accounting and cash management, the instance of noncompliance noted in the areas of procurement and compliance reviews. The agency's identified findings, responses and corrective action plan are described in the monitoring report.** This report is not a comprehensive assessment; consequently, any deficiencies identified in subsequent reviews, such as an audit, would remain your organization's responsibility.

Questions concerning the outcome of this review should be directed via email to [Tamara.Boytsan@yolocounty.org](mailto:Tamara.Boytsan@yolocounty.org) and [Josh.Iverson@yolocounty.org](mailto:Josh.Iverson@yolocounty.org)

Sincerely,

Josh Iverson, Deputy Branch Director, Administration Branch  
Health and Human Services Agency

Subrecipient: Yolo County – Health and Human Services Agency  
25 North Cottonwood Street – Woodland, CA 95695

Agreement Number: K8106697  
Agreement Amount: \$1,952,718.00  
Agreement Number: K9110078  
Agreement Amount: \$1,990,285.00  
DUNS Number: 073770646  
Programs: WIOA – Youth, Adult and Dislocated Workers  
CFDA: 17.258 and 17.259

Contract Term: July 1, 2018 to June 30, 2019  
Monitors: Tamara Boytsan and Shelby Milliren

### **Purpose**

The purpose of the Workforce Innovation and Opportunity Act (WIOA) Program is to better align the workforce development system with education, training and economic development initiatives to create a collective response to labor market challenges on the national, state and local levels.

This review was conducted by Internal Controls Division personnel Tamara Boytsan and Shelby Milliren from May 1, 2019 through May 31, 2019.

Our review was conducted under the applicable state directives and the authority of Public Law 113-128 - WIOA sections 183(a) and 184(4):

*SEC. 183. Monitoring.*

*a) IN GENERAL. —The Secretary is authorized to monitor all recipients of financial assistance under this title to determine whether the recipients are complying with the provisions of this title, including the regulations issued under this title.*

*SEC. 184. FISCAL CONTROLS; SANCTIONS.*

*4) MONITORING. — Each Governor of a State shall conduct on an annual basis onsite monitoring of each local area within the State to ensure compliance with the uniform administrative requirements referred to in paragraph (3)*

During the review, we obtained and reviewed the following:

- Yolo County policy and procedures
- HHSA Risk Assessment completed by the management and personnel
- HHSA WIOA Financial Statements
- HHSA WIOA Expenditure Reports (chart of accounts, activities and allocations)
- HHSA WIOA Payroll register and time-studies
- HHSA WIOA Adult and Dislocated Workers sub-contracts with partners
- HHSA WIOA Youth Subrecipients sub-contracts

**Background**

The Employment Development Department (EDD) awarded grant funds to Yolo County Health and Human Services Agency (HHSA) from the Workforce Innovation and Opportunity Act (WIOA), Catalog of Federal Domestic Assistance (CFDA) Number 17.259 & 17.258. The terms of each subgrant spans a total of two years, beginning April 1<sup>st</sup> and ending June 30<sup>th</sup>.

<b>Agreement NO 17-277 K8106697</b>	<b>Agreement NO 18-182 K9110078</b>
<b>04/01/2017-06/30/2019</b>	<b>04/01/2018-06/30/2020</b>
<b>\$1,952,718.00</b>	<b>\$1,990,285.00</b>

**Administrative, Accounting and Cash Management Review**

Our monitoring shows, in-overall, HHSA management complies with controls, record keeping and fund accounting procedures required of WIOA, federal and state regulations, and directives to ensure the proper disbursement of, and accounting for, program funds paid to the Subrecipient and disbursed by the Subrecipient, under the subgrant agreement. An evaluation of the separation of duties matrix for accounting functions identified that the agency appears to have sufficient duties in place to safeguard the funds. The expenditure analysis for WIOA funds shows HHSA at **\$1,700,970** of their allocation through April 2019 claims. We reviewed claims vs general ledger reports, all support documentation was included and accounted for. HHSA uses Infor Software to process accounting activities.

<b>Grant Number</b>	<b>Grant Period</b>	<b>FY1819 Total Awarded</b>	<b>FY1819 Claimed</b>	<b>FY1819 Total Balance</b>
NO 17-277 - K8106697	04/01/2017-06/30/2019	\$755,494.43	\$ 735,346.19	\$20,148.24
NO 18-182 - K9110078	04/01/2018-06/30/2020	\$1,990,285.00	\$ 965,623.82	\$1,024,661.18
<b>FY1819 Total Summary Awarded</b>		<b>\$2,745,779.43</b>	<b>\$1,700,970.01</b>	<b>\$1,044,809.42</b>

County uses WIOA funds to provide career services, which include training and supportive services linked to job opportunities in Yolo County including occupational training, work-based training and basic skills training. The County is authorized by Government Code Section 31000 to contract with persons specially trained, experienced, expert and competent to perform special services such as Workforce Innovation and Opportunity Act Youth Services (WIOA). The Yolo County Workforce Innovation Board (WIB) approved the award of funds to RISE, Inc. and YCCA to deliver Youth Services. The expenditure analysis shows as of April 2019, HHSA paid RISE **\$185,967** and YCCA **\$126,287** for Youth Services. For Adult and Dislocated Workers, the county desires to retain employers to provide On-The-Job (OJT) training and the employer warrants that it is qualified and competent to render the aforesaid services. As of April 2019, HHSA contracted with eighteen (18) different contractors and they have been providing OST/OJT training at least to 80 participants. The expenditure analysis shows HHSA paid **\$257,517** total to their OST/OJT contractors. The rest **\$1,131,196** of **\$1,700,970** total claimed belongs to HHSA charges for its administrative services to maintain WIOA funds/programs.

## Expenditures Breakdown

Vendor	Program CFDA#	FY1819 Total Contracts	Total Paid	Total Remaining
RISE INC (12349)	WIOA Youth 17.259	\$ 275,600.00	\$ 185,967.05	\$ 89,632.95
YCCA (12593)	WIOA Youth 17.259	\$ 244,400.00	\$ 126,287.31	\$ 118,112.69
HHS WIOA OST/OJT	WIOA Adult & DW 17.258	\$ 363,781.63	\$ 257,517.63	\$ 106,264.00
<b>FY1819</b>	<b>Total Summary Contracts</b>	<b>\$ 883,781.63</b>	<b>\$ 569,771.99</b>	<b>\$ 314,009.64</b>
<b>FY1819 HHS - WIOA Administration Cost</b>		<b>\$1,861,997.80</b>	<b>\$1,131,198.02</b>	<b>\$730,799.78</b>

## Procurement and Compliance Review

Subrecipient/vendor/contractor must use the methods of procurement in accordance with 2 C.F.R. § 200.320. [78 FR 78608, Dec. 26, 2013, as amended at 79 FR 75885, Dec. 19, 2014; 80 FR 54409, Sept. 10, 2015]. Furthermore, Subrecipient/vendors/contractors must have a Dun and Bradstreet Numbering System (DUNS) number and must maintain active and current profiles in the System for Award Management (SAM). We have reviewed stages of procurement process from the beginning to completion and agency's compliance with the types of compliance requirements described in the contract and noticed some instance of noncompliance. Our review revealed that the HHS has been awarding contracts without verifying DUNS number and checking if SAM's profiles are active. We tested seven (7) of eighteen (18) vendors and noted contractors didn't have DUNS number or active SAM's profiles.

During the term of the agreement, Subrecipient/vendor/contractor shall at all times maintain, at its expense, the insurance coverages and requirements. Subrecipient/vendor/contractor must provide renewals before the expiration date.

*"4. Insurance: vi. Subrecipient agrees that the liability insurance herein provided for shall be in effect at all times during the term of this subgrant agreement. In the event said Insurance coverage expires at any time or times during the lime of this contract, the Subrecipient agrees to provide, at least 30 days before said expiration date, a new certificate of insurance evidencing Insurance coverage as provided for herein for not less than the remainder of the term of the subgrant agreement or for a period of not less than one year."*

We tested five (5) vendors sampled and noted one (1) vendor's insurance certificates expired.

### **Certification Code Assignment - PROD/AP14.3**

#### **Vendor Group 1000 YOLO COUNTY VENDOR GROUP**

**Vendor 17605 OSC COMPUTER TRAINING Position To**

#### **Location Code**

#### **Detail Area**

FC	Code	Description	Eff	Exprn	Days To Date	Date	Date	Expire	Edit
	AUTO LIA	AUTO LIABILITY				04/24/2018	04/24/2019	43-	N
	BLANKET	BLANKET ENDORSEMENT				04/24/2018	04/24/2019	43-	N
	GEN LIA	GENERAL LIABILITY				04/24/2018	04/24/2019	43-	N
	UMBRELLA	UMBRELLA LIABILITY				04/24/2018	04/24/2019	43-	N
	WAIVER	WAIVER - INSURANCE				04/24/2018	04/24/2019	43-	N
	WC	WORKER'S COMP				04/24/2018	04/24/2019	43-	N

While we concluded that, overall, Yolo-HHSA is meeting applicable WIOA requirements concerning grant program administration, we noted instances of noncompliance in the area of Procurement and Compliance, which are required to be reported in accordance with the Uniform Guidance and Federal regulations.

The finding that we identified and Yolo County HHSA management's respond with Corrective Action Plan are specified below.

### **Corrective Action Plan for WIOA monitoring**

#### **Finding Number 2019-01: Contractor's Requirements on DUNS and SAM**

The contractor must have a Dun and Bradstreet Numbering System (DUNS) number and maintain active and current profiles in the System for Award Management (SAM).

The record shows the Yolo County HHSA has been awarding contracts without verifying contractor's DUNS number and checking if SAM's profiles are active.

#### **Management's response:**

HHSA Contracts Unit and WIOA program staff worked collaboratively to determine the following corrective action plan:

- Training will be conducted by Contracts Manager for Contracts staff on purpose of DUNS and SAM by June 30, 2019
- Contracts staff will create inventory of WIOA vendors, and determine DUNS and SAM verification status for each vendor by July 31, 2019. Contracts staff will keep inventory updated as DUNS and SAM information is collected for vendors.
- Contracts staff will contact each WIOA vendor and request any missing information related to DUNS and SAM by July 31, 2019.
- Contracts staff and WIOA program staff will routinely check in with vendors on progress, and will provide technical support to vendors (if needed) in process of requesting DUNS number and creating SAM profile, through September 30, 2019.
- Contracts staff and WIOA program staff will review status of DUNS and SAM for each vendor, and identify any vendors who have not submitted required documentation by September 30, 2019.
- Contracts staff will issue final reminder to vendors with missing documentation by October 18, 2019.
- Contracts staff and WIOA program staff will consider contract termination for any vendors with missing DUNS and/or SAM after October 31, 2019.



## **Finding Number 2019-02: Contractor's Insurance Responsibilities**

The contractor agrees that the liability insurance and workers' compensation coverage shall be in effect at all times during the term of this agreement.

Our record shows same general liability and worker's compensation insurance certificates are expired and not updated.

### **Management's response:**

- WIOA program staff maintain a tracking log of insurance certificate expirations, and issue a reminder to providers to resubmit insurance information two (2) weeks prior to insurance certificates expiring.
- Immediately upon determining that a vendor has expired insurance certificates, the WIOA program staff take several actions.
  - WIOA staff continue to follow up with the provider on a regular basis, and make a good faith effort to secure the needed insurance documentation. In some cases, the provider acknowledges the request and indicates that they are in the process of securing the requested certificate(s) but may not have the new certificate(s) within the 30 days.
  - WIOA staff identify any existing placement with the provider, and develop a strategy for ending those placements in a timely manner without jeopardizing the client's progress. In this process, the WIOA staff and Manager consider the risk of maintaining the participant(s) at the site until they have completed their certification program or placement. Risk factors that are considered include historical provider information (e.g. length of the relationship, past practice in getting the requested certificate(s), and current relationship status, total number of participants at the site as well as the time they need to complete their trainings).
  - The WIOA Manager instructs staff that no new placements can be made with the provider until the insurance documentation has been provided.
- By June 30, 2019, WIOA program staff and Contracts staff will determine vendors with continued expired insurance, despite good faith efforts to work with them to get their insurance documentation up to date. WIOA staff and Contracts staff will initiate contract terminations with these vendors before July 31, 2019. New contracts with these vendors will not be re-established until update insurance information is provided.

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

Thank you.



# COUNTY OF YOLO

## Health and Human Services Agency

*Karen Larsen*  
Director

25 North Cottonwood Street • Woodland, CA 95695  
(530) 666-8651 • [www.yolocounty.org](http://www.yolocounty.org)

May 14, 2019

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

Re: Agreement NO. 17-193, Workforce Innovation and Opportunity Act (WIOA) Youth Services

Dear Mr. Zendejas,

This letter is to inform you of the results of an on-site fiscal monitoring of your organization conducted by Tamara Boytsan and Shelby Milliren of the Yolo County HHSA Monitoring and Internal Controls division for the contract term July 1, 2018 through June 30, 2019.

The purpose of this monitoring 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 through H of **Agreement #17-193**. 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. This report is not a comprehensive assessment; consequently, any deficiencies identified in subsequent reviews, such as an audit, would remain your organization's responsibility.

Questions concerning the outcome of this review should be directed via email to [Tamara.Boytsan@yolocounty.org](mailto:Tamara.Boytsan@yolocounty.org) and [Josh.Iverson@yolocounty.org](mailto:Josh.Iverson@yolocounty.org)

Sincerely,

Josh Iverson, Deputy Branch Director, Administration Branch  
Health and Human Services Agency

**FISCAL MONITORING REPORT  
FY18/19**

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<b>Contractor:</b>	RISE, Inc 17313 Fremont St, Esparto, CA 95627		
<b>Agreement Number:</b>	17-193	<b>Contract Amount:</b>	\$275,600
<b>DUNS Number:</b>	931270164	<b>CFDA Number:</b>	17.259
<b>Programs:</b>	Workforce Innovation and Opportunity Act Youth Services		
<b>Contact:</b>	Tico Zendejas, Executive Director		

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<b>Monitoring Week:</b>	March 25-29, 2019	<b>Contract Term:</b>	July 1, 2018 to June 30, 2019
<b>On-Site Visit:</b>	May 03, 2019		

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<b>Monitors:</b>	HHS Staff: Tamara Boytsan & Shelby Milliren	<b>Report Written:</b>	05/14/2019
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**Background**

Rural Innovations in Social Economics, Incorporated (RISE, Inc.) Agreement Number 17-193 provides training services leading to self-sufficiency for the Workforce Innovation and Opportunity Act (WIOA) enrolled youth ages 14-24 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.

Approved Agreement Number 17-193 with RISE, Inc. beginning July 01, 2017 for \$275,600 with three option years, to provide Work Innovation and Opportunity Act comprehensive employment and training services to the youth in Region 1, which includes the cities/communities of Brooks, Capay, Dunnigan, Esparto, Guinda, Knights Landing, Madison, Rumsey, Winters, Woodland, Yolo and Zamora.

**Fiscal Monitoring of Service Provided by RISE**

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 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. Education offered concurrently with and in the same context as workforce preparation activities and training for a specific occupation or occupational cluster.
5. Leadership development opportunities, including community service and peer-centered activities encouraging responsibility, and other positive social and civic behaviors.
6. Supportive services.
7. Adult mentoring for a duration of at least 12 months that may occur both during and after program participation.
8. Follow-up services for not less than 12 months after the completion of participation.
9. 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.
10. Financial literacy education.
11. Entrepreneurial skills training.
12. 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.
13. Activities that help youth prepare for and transition to post-secondary education and training.

The monitoring review was conducted with the assistance of Mr. Tico Zendejas, Executive Director. The outcome of this 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.

**Fiscal Monitoring Results**

The expenditure analysis for WIOA Youth shows RISE, Inc. at \$140,618.20 (51.02%) of their allocation through January 2019 claims based on the contract. HHSA randomly selected three claims to review: September 2018, December 2018 and January 2019. All backup documentation was included and accounted for. Monthly reports have been submitted each month with the claim form and support documentation. The contractor uses the QuickBooks software to process accounting activities.

Description (Based on Exhibit D - Budget)	Budgeted %	Budget Amount	Amount paid	Amount available	% Claimed To Date
SALARIES	0.39	106,615	61,435.10	45,179.90	58%
FRINGE BENEFITS	0.02	4,590	2,677.52	1,912.48	58%
OPERATING EXPENSE	0.13	36,650	20,245.22	16,404.78	55%
INDIRECT COSTS	0.06	16,500	7,342.20	9,157.80	44%



<b>PARTICIPANT SUPPORTIVE SERVICES</b>	<b>0.01</b>	<b>4,061</b>	<b>2,860.00</b>	<b>1,201.00</b>	<b>70%</b>
<b>TOTAL BUDGET/EXPENDITURES</b>	<b>100</b>	<b>275,600</b>	<b>140,618</b>	<b>134,982</b>	<b>51%</b>

The Workforce Innovation and Opportunity Act (WIOA) supersedes the Workforce Investment Act (WIA) of 1998; WIOA was signed into law on July 22, 2014, with an effective date of 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. *As of January 2019, approximately 84% of the total Expenditure was spent on Out of School Youth, which meets the requirement.*

<b>WIOA Act Requirements</b>	<b>Total Amount paid</b>	<b>% Claimed To Date</b>
<b>In-school</b>	<b>\$ 22,106.25</b>	<b>16%</b>
<b>Out-school - Minimum 75% required</b>	<b>\$118,511.95</b>	<b>84%</b>

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 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.

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. *As of January 2019, approximately 41% of the Total Expenditure was disbursed on Work Experience, which meets the requirement.*

<b>WIOA WEX Requirement s</b>	<b>Total WIOA payments</b>	<b>WEX Disbursements</b>	<b>WEX % Claimed To Date</b>
<b>Local Youth Formula - Minimum 20%</b>	<b>\$ 118,511.95</b>	<b>\$ 48,918.16</b>	<b>41%</b>

**WIOA Act Youth Requirement**

To ensure the compliance with the Scope of Work, Performance Measures and FY2018-2019 Budget Plan Summary, RISE should meet the minimum performance standards as set forth in the Agreement: (Region 1 – OS-24 minimum and IS-8 minimum) at the total Intensive Participant Training Cost of \$107,184.00. Based on the review as of January 2019, RISE enrolled and trained 8 participants In-School, and 14 participants Out-School at the cost of \$46,058.16, which meets the requirements. To be sure RISE will reach the minimum goal, an email was sent to RISE to get the most current number of participants.

**RISE Response**

“Region 1 – Enrollment as of April 2019: 24 OSY and 8 ISY”

**Contractor’s Responsibilities**

The contractor must have a Dun and Bradstreet Numbering System (DUNS) number and maintain active and current profiles in the System for Award Management (SAM). An email was sent to RISE to get the update on DUNS number and SAM profiles.

**RISE Response**

“Our DUNS number is: 93-127-0164. I need to do some checking on the SAM number... I haven’t had that requested before.”

RISE completed the SAM registration and it was activated on May 11, 2019. The SAM Registration is valid for one year and it expires on April 16, 2020.

**Findings**

None

**Corrective Action/Due Date**

We conclude that, overall, RISE is meeting applicable WIOA requirements concerning fiscal policies and procedures, accounting systems, indirect cost allocation and reporting. Therefore, there is no corrective action at this time. The HHSA Internal Controls Division will continue monitoring throughout the contract duration.

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





# COUNTY OF YOLO

## Health and Human Services Agency

*Karen Larsen*  
Director

25 North Cottonwood Street • Woodland, CA 95695  
(530) 666-8651 • [www.yolocounty.org](http://www.yolocounty.org)

May 03, 2019

Katie Villegas, Executive Director  
Yolo County Children's Alliance  
600 A Street, Ste Y  
Davis, CA 95616

Re: Agreement NO. 17-222, Workforce Innovation and Opportunity Act (WIOA) Youth Services

Dear Mrs. Villegas:

This letter is to inform you of the results of an on-site fiscal monitoring of your organization conducted by Tamara Boytsan and Shelby Milliren of Yolo County HHSA for the contract term July 1, 2018 through June 30, 2019.

The purpose of this monitoring 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 through H of Agreement #17-222. 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. This report is not a comprehensive assessment, consequently, any deficiencies identified in subsequent reviews, such as an audit, would remain your organization's responsibility.

Questions concerning the outcome of this review should be directed via email to [Tamara.Boytsan@yolocounty.org](mailto:Tamara.Boytsan@yolocounty.org) and [Josh.Iverson@yolocounty.org](mailto:Josh.Iverson@yolocounty.org)

Sincerely,

Josh Iverson, Deputy Branch Director, Administration Branch  
Health and Human Services Agency

**FISCAL MONITORING REPORT  
FY18/19**

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<b>Contractor:</b>	Yolo County Children's Alliance 600 A Street, Ste. Y, Davis, CA 95616		
<b>Agreement Number:</b>	17-222	<b>Contract Amount:</b>	\$244,400
<b>DUNS Number:</b>	018763130	<b>CFDA Number:</b>	17.259
<b>Programs:</b>	Workforce Innovation and Opportunity Act Youth Services		
<b>Contact:</b>	Katie Villegas, Executive Director		

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<b>Monitoring Week:</b> March 25-29, 2019	<b>Contract Term:</b> July 1, 2018 to June 30, 2019
<b>On-Site Visit:</b> May 1, 2019	

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<b>Monitors:</b> HHS Staff: Tamara Boytsan & Shelby Milliren	<b>Report Written:</b> 05/03/2019
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**Background**

Yolo County Children's Alliance (YCCA), Agreement Number 17-222, provides training services leading to self-sufficiency for the Workforce Innovation and Opportunity Act (WIOA) enrolled youth ages 14-24 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.

Approved Agreement Number 17-222 with YCCA beginning July 01, 2017 for \$244,400 with three option years, to provide Work Innovation and Opportunity Act comprehensive employment and training services to the youth in Region 2, which includes the cities/communities of Clarksburg, Davis and West Sacramento.

**Fiscal Monitoring of Service Provided by YCCA**

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 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. Education offered concurrently with and in the same context as workforce preparation activities and training for a specific occupation or occupational cluster.
5. Leadership development opportunities, including community service and peer-centered activities encouraging responsibility, and other positive social and civic behaviors.
6. Supportive services.
7. Adult mentoring for a duration of at least 12 months that may occur both during and after program participation.

8. Follow-up services for not less than 12 months after the completion of participation.
9. 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.
10. Financial literacy education.
11. Entrepreneurial skills training.
12. 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.
13. Activities that help youth prepare for and transition to post-secondary education and training.

The monitoring review was conducted with the assistance of: Tricia Styc - Finance Manager, Robin Frank – Grant/Contracts Manager, Eric Blair – WIOA Program Coordinator, and Vicente Jimenez – Youth Employment Specialist. The outcome of this review is based on an examination of a sample of fiscal contract requirements and is, therefore, only an indicator of total compliance. It remains YCCA’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 YCCA’s responsibility.

**Fiscal Monitoring Results**

The expenditure analysis for WIOA Youth shows YCCA at (42%) \$102,613 of their allocation through January 2019 claims based on the contract. HHS randomly selected three claims to review: August 2018, November 2018 and December 2018. All backup documentation was included and accounted for. Monthly reports have been submitted each month with the claim form and support documentation included. The contractor uses the QuickBooks software to process accounting activities.

Description (Based on Exhibit D - Budget)	Budgeted %	Budget Amount	Amount paid	Amount available	% Claimed To Date
SALARIES	0.31	76,500	51,714.33	24,785.67	68%
FRINGE BENEFITS	0.08	18,510	5,310.44	13,199.56	29%
OPERATING EXPENSE	0.03	8,100	5,338.76	2,761.24	66%
INDIRECT COSTS	0.10	24,400	12,026.68	12,373.32	49%
PARTICIPANT INTENSIVE & TRAINING COSTS	0.45	109,890	26,326.30	83,563.70	24%
PARTICIPANT SUPPORTIVE SERVICES	0.03	7,000	1,896.70	5,103.30	27%
<b>TOTAL BUDGET/EXPENDITURES</b>	<b>1</b>	<b>244,400</b>	<b>102,613</b>	<b>141,787</b>	<b>42%</b>

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. *As of January 2019, approximately 79% of the total Expenditure was spent on Out of School Youth which meets the minimum requirement.*



WIOA Act Requirements	Amount paid	% Claimed To Date
In-school	\$21,929.75	21%
Out-school - Minimum 75% required	\$80,683.46	79%

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 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.

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. *As of January 2019, approximately 28% of the Total Expenditure was disbursed on Work Experience which meets the requirement.*

WIOA WEX Requirements	Total WIOA Payments	WEX Disbursement	WEX % Claimed To Date
Local Youth Formula - Minimum 20%	102,613.21	\$28,223.00	28%

#### WIOA Act Youth Requirement

To ensure the compliance with the Scope of Work, Performance Measures and FY2018-2019 Budget Plan Summary, YCCA should meet the minimum performance standards as set forth in the Agreement: (Region 2: OSY-23 minimum and ISY-7 minimum) at the total Intensive Participant Training Cost of \$109,890.00. Based on the review as of January 2019, YCCA enrolled and trained 6 participants In-School, and 14 participants Out-School at the cost of \$28,223.00 which is too low. YCCA has been facing significant challenges in Region 2. The update sent on April 30, 2019 shows the enrollment of new participants reached the goal but they still struggle to keep them and to complete the program.

#### YCCA Response – WIOA Update 04/30/2019:

“Currently Enrolled – ISY -7 and Pending – ISY - 2  
Currently Enrolled – OSY - 24 and Pending OSY – 2”

“In answer to the question about the “highlighted fields that are low” – Those are the budget lines that pay for the participants’ work experience salary and for expenses related to working (e.g. work boots for a job that requires them). An explanation from Eric, the Program Coordinator: Due to the population we work with it is often a struggle to complete all hours. Many are transient and/or have personal issues that they are dealing with. We do our best to prepare and encourage them. We support and provide referrals to supportive services. We attempt to find better fit locations for those that are not content with their worksite placement or are terminated. I want to see every one of the participants complete their hours, but I cannot

force them. The majority of those that did not complete their hours either 1) gained employment 2) Left town or 3) Is dealing with a personal (medical or otherwise) situation that is keeping them from working.”

**Findings**

None

**Corrective Action/Due Date**

We conclude that, overall, YCCA is meeting applicable WIOA requirements concerning fiscal policies and procedures, accounting systems, indirect cost allocation and reporting. Therefore, there is no corrective action required at this time, however, we will continue to monitor this contract throughout the term.

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



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# Yolo County Workforce Innovation Board

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Yolo Employment Services, Inc.

**TO:** Members of the Workforce Innovation Board (WIB)  
**FROM:** Ken Garrett, Chair  
**DATE:** September 11, 2019  
**SUBJECT: FINAL SUBRECIPIENTS PY 2018-19 PROGRAM MONITORING REPORTS**

### RECOMMENDED ACTION

Receive the Final Workforce Innovation and Opportunity Act (WIOA) Title I Subrecipients PY 2018-19 Program Monitoring Reports for Yolo County Health and Human Services Agency (HHSA), Rural Innovations in Social Economics Inc. (RISE), and Yolo County Children's Alliance (YCCA) issued by WIB staff.

### REASON FOR RECOMMENDED ACTION

WIOA Sections 183(a) and 184(a)(4) require monitoring be conducted to ensure program and fiscal compliance as defined by the Workforce Innovation and Opportunity Act. The program findings issued to HHSA, RISE, and YCCA by the WIB staff are outlined below.

### BACKGROUND

The Workforce Innovation and Opportunity Act (WIOA) was signed in to law in July 2014. The purpose of the WIOA is to increase opportunities for employment, education, training and support, especially to those individuals with barriers to employment, WIOA section 2 (1).

As part of compliance with the Act, each recipient and subrecipient of funds under Title I of WIOA must conduct regular oversight and monitoring of its WIOA program(s).

On June 27, 2019, WIB staff issued Final Program Monitoring Reports to HHSA, RISE, and YCCA based on oversight reviews conducted by Ms. Lisa Vincent and/or Ms. Ashley Abreu from August of 2018 through May of 2019. The reviews were to determine compliance within the parameters of the WIOA grant program, federal and state regulations as well as applicable state directives. Information used to complete the reports includes interviews with subrecipient representatives and service provider staff, review of case files, review of applicable policies and procedures as well as the completed WIOA Program On-Site Monitoring Guides from each subrecipient.

### HHSA

As a result of the monitoring:

- The following findings were issued to HHSA in PY 2018-19:
  1. Lack of internal controls regarding allowable costs.
  2. Failure to achieve objectives related to reliability of reporting and adequate documentation.



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- The following PY 2017-18 findings remain unresolved:
  1. Lack of adequate narration and documentation.
  2. Failure to follow internal policies and procedures.
  3. Failure to meet adequate enrollment numbers.
- The following PY 2017-18 finding is considered to be resolved:
  1. Failure to enroll adequate On-The-Job Training (OJT) participants.

HSA provided a Corrective Action Plan (CAP) to WIB staff that addressed the new findings as well as the previously issued/unresolved findings. WIB staff determined the CAP to be adequate and will be reevaluated during a future on-site visit.

### **RISE**

As a result of the monitoring:

- No PY 2018-19 findings were issued.

### **YCCA**

As a result of the monitoring:

- No PY 2018-19 findings were issued.
- The following PY 2017-18 findings remain unresolved:
  1. Failure to enroll an adequate number of participant and failure to achieve adequate expenditures.
  2. Failure to follow internal policies and procedures.
- The following PY 2017-18 findings are considered to be resolved:
  1. Lack of adequate narration and documentation.
  2. Failure to supply adequate documentation in a timely manner.
  3. Failure to ensure fiscal oversight.
  4. Failure to ensure adequate implementation of State Labor Laws.
  5. Failure to provide oversight of expenditures related to Federal Funds.

YCCA provided a CAP to WIB staff that addressed the previously issued/unresolved findings. WIB staff determined the CAP to be adequate and will reevaluate during a future on-site visit.

### **FISCAL IMPACT**

In order to receive WIOA Title I funds (Adult, Dislocated Worker, and Youth), must comply with program compliance monitoring policies and procedures, outlined by federal and state regulation as well as applicable state directives.

### **AGENCY COORDINATION**

WIB staff are responsible for ensuring subrecipients comply with the Corrective Action Plan (CAP), which may require cooperation with internal and external agencies to ensure monitoring duties are fulfilled, as well as ensuring program compliance.

Attachments:

- HSA - WIOA Adult, Dislocated Worker, and Youth Services – 85 Percent Program Review - Final Monitoring Report PY 2018-19
- RISE - WIOA Youth Services – 85 Percent Program Review - Final Monitoring Report PY 2018-19
- YCCA - WIOA Youth Services – 85 Percent Program Review - Final Monitoring Report PY 2018-19





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June 27, 2019

Art Rodriguez, Branch Manager  
Health and Human Services Agency  
Service Center Branch  
Workforce Innovation and Opportunity Act Program  
25 N. Cottonwood St.  
Woodland CA, 95695

Dear Mr. Rodriguez:

**RE: WORKFORCE INNOVATION AND OPPORTUNITY ACT  
ADULT, DISLOCATED WORKER, AND YOUTH SERVICES  
85-PERCENT PROGRAM REVIEW  
FINAL MONITORING REPORT  
PROGRAM YEAR 2018-19**

This is to inform the Yolo County Health and Human Services Agency (HHS), the administrator of Workforce Innovation and Opportunity Act (WIOA) Adult, Dislocated Worker, and Youth Services 85-Percent program operations, of the results of the review conducted regarding compliance with WIOA Subgrant Agreement No. K9110078 during the period of July 2018 - June 2019. The review focused on WIOA program administration, eligibility determination, participant activities, management information system reporting, occupational skills training agreements, on-the-job trainings, case file reviews, and subgrant performance/compliance.

The review was conducted by Workforce Innovation Board (WIB) staff, Ms. Ashley Abreu and Ms. Lisa Vincent, from August 2018 through May 2019.

Our review was conducted under the authority of WIOA Sections 183(a) and 184(a)(4), which requires each subrecipient to conduct regular oversight and monitoring of its WIOA activities, as well as those of its subrecipients and contractors. The purpose of the review was to determine the level of compliance by HHS WIOA Program with applicable federal and state laws, regulations, policies, and directives related to the Program Year (PY) 2018-19 WIOA Adult, Dislocated Worker, and Youth Services operations.

WIB staff collected the information for this report through interviews with WIOA Program representatives and service provider staff. In addition, this report includes the results of our sampled case files, sampled occupational skills training and on-the-job training agreements, on-site visits, WIOA Program response to the WIOA Adult, Dislocated Worker, and Youth Service Provider/Subrecipient Program On-Site Monitoring Guide, and a review of applicable contract language, policies, and procedures for PY 2018-19.



## **BACKGROUND**

The Employment Development Department (EDD) issued WIOA Title I Subgrant NO. K9110078 to the HHSA on September 13, 2018. The term of the subgrant spans a total of two years, beginning April 1, 2018, and ending June 30, 2020, for a maximum financial allocation amount of \$1,865,381. The expectation is to enroll a minimum of one-hundred ninety-eight (198) participants as defined by WIOA between July 1, 2018, and June 30, 2019. The participant plan indicates the following minimum number of participants to be served by eligibility type for all Yolo County WIOA program subgrantee service providers: eighty-eight (88) Adults, eighteen (18) Dislocated Workers, and ninety-two (92) Youth participants. The WIOA Title I subgrantee service providers in Yolo County are HHSA WIOA Program, Rural Innovation in Social Economics, Inc. (RISE), and Yolo County Children's Alliance (YCCA). HHSA WIOA program was granted approval by the Governor to provide services while RISE and YCCA were competitively procured.

The role of HHSA WIOA Program staff, as the awardee of the WIOA Title I Subgrant NO. K9110078, is to determine eligibility for a minimum of one-hundred ninety-eight (198) participants and subsequently enter all data into the CalJOBS Virtual One-Stop system for those participants. Additionally, HHSA WIOA Program staff are to enroll a minimum of one-hundred thirty-six (136) new participants as defined by WIOA: eighty-eight (88) Adults, eighteen (18) Dislocated Workers, and thirty (30) out-of-school Youth between July 1, 2018 and June 30, 2019. The remaining sixty-two (62) participants are to be served by RISE and YCCA as per their contract. In addition to serving new participants, HHSA WIOA program staff are responsible for follow-up services to a minimum of seventy-seven (77) previously enrolled participants as defined by WIOA.

This report focuses on HHSA Adult, Dislocated Worker and Youth Services funded by WIOA from July 1, 2018, through June 30, 2019. As of June 2019, HHSA WIOA Program enrolled a total of one hundred twenty-nine (129) individuals: eighty-four (84) adults, seventeen (17) dislocated workers, and twenty-eight (28) out-of-school youth. WIB staff reviewed a total of twenty-seven (27) eligibility files and seventeen (17) participant case files.

## **PROGRAM AND CONTRACT REVIEW RESULTS PY 2018-19**

WIB staff concludes that, overall, HHSA WIOA Program is meeting applicable WIOA requirements concerning program administration. However, the results of the review noted instances of noncompliance in the areas of policy adherence and adequate narration/documentation. The findings identified are specified below:

### **Finding One (1)**

<b>Requirement:</b>	Uniform Guidance §200.61 and §200.62 regarding <b>internal controls</b> states, in part, a non-Federal entity implements a process that provides reasonable assurance regarding the achievement of the objectives including reliability of reporting for internal and external use as well as transactions are
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	<p>properly recorded and accounted for, in order to demonstrate compliance with Federal statutes, regulations, and terms and conditions of the Federal award.</p> <p>Internal practices including WIB Policies, WIOA Program Procedures, and County Policy and Procedures ensure federal, state, and local directives are applied appropriately. These actions are required to minimize risks.</p> <p>Part 200.441 of the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Code of Federal Regulations) states, in part, costs resulting from non-Federal entity violations of, alleged violations of, or <b>failure to comply with</b>, Federal, state, tribal, <b>local</b> or foreign laws and <b>regulations</b> are unallowable.</p> <p>WSD16-16 states, in part, that in general, to be an allowable charge to WIOA, a cost must be <b>necessary and reasonable for the performance of the award</b>, be allocable to the award, be determined in accordance with generally accepted accounting principles, be adequately documented.</p>
<b>WIB Observation:</b>	<p>WIB staff observed instances when WIB Policy 16-6 Revision 3 - Funded Supportive Services and Incentives, were not followed. Specifically, a participant was reimbursed for the purchase of a discount card and educational work and training items purchased for another individual exceeded the Policy maximum.</p>
<b>WIB Recommendation:</b>	<p>WIB staff recommends that HHS WIOA Program provide a corrective action plan to ensure that, in the future, internal processes which includes WIB Policies are followed.</p>
<b>WIOA Program Response:</b>	<p>Manager and supervisors will be discussing the Funded Supportive Services and Incentives policy (16-6) with staff at our program staff meeting. Supervisors are now aware of the specifics outlined in this policy related to what can and cannot be purchased and purchase limits. Program will continue to follow our current practice of having supervisors sign off on all support service and incentive requests.</p>

<b>WIB Conclusion:</b>	The HSA WIOA Program stated corrective action plan should be sufficient to resolve this finding. However, we cannot close this finding until we verify, the successful implementation of the stated corrective action plan, during a future onsite visit. Until then, this finding remains open and has been assigned Corrective Action Tracking (CAT) number 1819-01.
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**Finding Two (2)**

<b>Requirement:</b>	<p>Uniform Guidance §200.61 and §200.62 regarding internal controls states, in part, a non-Federal entity implements a process that provides reasonable assurance regarding the achievement of the objectives including <b>reliability of reporting</b> for internal and external use as well as transactions are properly recorded and accounted for, in order to demonstrate compliance with Federal statutes, regulations, and terms and conditions of the Federal award.</p> <p>WSD16-16 states, in part, that in general, to be an allowable charge to WIOA, a cost must be necessary and reasonable for the performance of the award, be allocable to the award, be determined in accordance with generally accepted accounting principles, <b>be adequately documented.</b></p> <p>Narrative entries document purposeful, meaningful contact with case manager and others. The case note entry describes the case manager's performance of basic job functions, including assessment of service needs; development of a specific plan to meet the identified needs; referral to help the individual obtain needed services; and monitoring and follow-up activities to ensure that the case plan is effectively meeting the identified needs. Documentation serves several key functions:</p> <ul style="list-style-type: none"> <li>• Enabling the case manager to relate the "story" by succinctly recording and summarizing the essential actions.</li> <li>• Providing a discoverable record for those situations that may require Court involvement.</li> <li>• Enabling the state and federal reviewers to assess compliance with quality control standards for measuring performance.</li> <li>• Justifying that case management activities</li> </ul>
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	legitimately meet the criteria for federal funding claims.
<b>WIB Observation:</b>	WIB staff observed an extraordinary high number of documentation issues including the storage and maintenance of documents containing medical and/or disability related conditions/indications in the wrong file folder, not using the correct version of a form, and a lack of appropriate narration.
<b>WIB Recommendation:</b>	WIB staff recommends that HHSA WIOA Program provide a corrective action plan to ensure that, in the future, adequate narration and/or documentation including storage of documentation is maintained in the participant case file and/or CalJOBS to succinctly record and summarize essential actions.
<b>WIOA Program Response:</b>	Manager and supervisors will be having a meeting with WIOA administrative staff to find out specific examples of issues with case narrations and confidential information stored in the wrong location. We will use this information to address these issues with program staff and correct the identified findings. Supervisors are currently reviewing WIOA Eligibility Files after the case has been staffed but prior to any services being provided to participants. Narrations and the handling of confidential information will be specifically reviewed during this process.
<b>WIB Conclusion:</b>	The HHSA WIOA Program stated corrective action plan should be sufficient to resolve this finding. However, we cannot close this finding until we verify, the successful implementation of the stated corrective action plan, during a future onsite visit. Until then, this finding remains open and has been assigned Corrective Action Tracking (CAT) number 1819-02.

**FOLLOW-UP ON PREVIOUSLY ISSUED FINDINGS (PY 2017-18)**

WIB staff concludes that HHSA WIOA Program has successfully implemented one (1) of the four (4) previously submitted corrective action plans and as a result we consider Corrective Action Tracking System (CATS) numbers 1718-11 resolved. Although the CATS numbers 1718-08, 1718-09, and 1718-10 will remain open.

**CATS Number 1718-08:** WIB staff observed an extraordinary high number of WIOA Eligibility Narration Sheet forms (WIOA 16 formerly YC34M) that lacked narration. The front side of the form was complete although no eligibility details were narrated on the

back of the form. Eligibility narration should succinctly record and summarize the essential eligibility actions; e.g., date, time, and place of meeting; individuals present; reason lower tiered documentation expected; missing documentation.

The corrective action plan provided by HHSA WIOA Program in June 2018 was accepted by WIB staff and CATS number 1718-08 issued until successful implementation of the plan was verified.

Based on PY 2018-19 program review, WIB staff considers this finding not resolved. On June 18, 2019, HHSA provided WIB staff with an updated corrective action plan to address eligibility narration. However, CATS number 1718-08 will remain open until successful implementation can be verified.

**CATS  
Number  
1718-09:**

WIB staff observed an extraordinary high number of eligibility files that had not been reviewed; they did not contain the YC270.

WIB staff modified the corrective action plan provided by HHSA WIOA Program in June 2018 to include all eligibility files to be reviewed and CATS number 1718-09 issued until successful implementation of the plan verified.

Based on PY 2018-19 program review, WIB staff considers this finding not resolved. On June 18, 2019, HHSA provided WIB staff with an updated corrective action plan to address how all eligibility files will be reviewed. However, CATS number 1718-09 will remain open until successful implementation can be verified.

**CATS  
Number  
1718-10:**

WIB staff observed low enrollment numbers. Specifically, a total of seventy (70) new enrollments occurred between July 2017 and June 2018; fifty-eight (58) adults, seven (7) dislocated workers, and five (5) out-of-school youth. HHSA WIOA Program is lacking a total of forty-five (45) enrollments: eighteen (18) adults, two (2) dislocated workers, and twenty-five (25) out-of-school youth.

The corrective action plan provided by HHSA WIOA Program in June 2018 was accepted by WIB staff and CATS number 1718-10 issued until successful implementation of the plan was verified.

Based on PY 2018-19 program review, WIB staff observed substantial gains in enrollment numbers for the Adult, Dislocated Worker, and Youth programs administered by HHSA WIOA Program and would like to acknowledge the efforts by staff to increase the enrollments. Additionally, WIB staff acknowledges that the momentum may have been

hindered due to staff changes that occurred in the last half of PY 2018-19 which could have contributed to a lack of seven (7) total enrollments: four (4) Adults, one (1) Dislocated Worker and two (2) youth. WIB staff considers this finding not resolved. On June 18, 2019, HHSa provided WIB staff with an updated corrective action plan to address low enrollment numbers. However, CATS number 1718-10 will remain open until successful implementation can be verified.

**CATS  
Number  
1718-11:**

WIB staff observed only one (1) on-the-job training contract.

The corrective action plan provided by HHSa WIOA Program in June 2018 was accepted by WIB staff and CATS number 1718-11 issued until successful implementation of the plan was verified.

Based on PY 2018-19 program review, WIB staff observed a total of four (4) OJT contracts issued and others that were initiated although not implemented due to various reasons. WIB staff would like to acknowledge the efforts of the WIOA Program and Employment Engagement teams and encourage their continued collaboration and coordination to increase the number of available OJT sites as well as placements. WIB staff considers this finding resolved. Therefore, CATS number 1718-11 is closed.

This report contains two (2) new findings and closes one (1) of four (4) previously issued CATS numbers.

Because the methodology for the monitoring review included sample testing, this report is not a comprehensive assessment of all areas included in our review. It is HHSa WIOA Program responsibility to ensure that its systems, programs, and related activities comply with the WIOA grant program, federal and state regulations, county regulations, and local guidance. Consequently, any deficiencies identified in subsequent reviews, such as an audit, would remain WIOA Program responsibility.

Please extend our appreciation to your staff for their cooperation and assistance during our review. If you have any questions regarding this report or the review that was conducted, please contact Elaine Lytle at (530) 661-8795.

Sincerely,



Elaine Lytle  
WIB Executive Director



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# Yolo County Workforce Innovation Board

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Services, Inc.

June 27, 2019

Tico Zendejas, Executive Director  
Rural Innovations in Social Economics, Incorporated  
P.O. Box 133  
Esparto, CA 95627

Dear Mr. Zendejas:

**RE: WORKFORCE INNOVATION AND OPPORTUNITY ACT  
YOUTH SERVICES - 85-PERCENT PROGRAM REVIEW  
FINAL MONITORING REPORT  
PROGRAM YEAR 2018-19**

This is to inform Rural Innovations in Social Economics, Incorporated (RISE) of the review results for Workforce Innovation and Opportunity Act (WIOA) Youth Services 85-Percent grant program operations in PY 2018-19. The review was conducted over a period of time ranging from October 2018 through May 2019. The review focused on program administration as well as contract compliance which includes the following areas: program administration, WIOA activities, management information system reporting, work experience, case file reviews, as well as contract performance and was conducted by Workforce Innovation Board (WIB) staff, Ms. Ashley Abreu and Ms. Lisa Vincent.

This review was conducted under the authority of WIOA Sections 183(a) and 184(a)(4) which requires each subrecipient to conduct regular oversight and monitoring of its WIOA activities, as well as those of its subrecipients and contractors. The purpose of the review conducted by the Health and Human Services Agency (HHSA) WIB staff was to determine the level of compliance by RISE with applicable federal and state laws, regulations, policies, and directives related to the PY 2018-19 WIOA Youth Services operations.

This report includes the results of our review of sampled case files, sampled work experience site visits, RISE on-site visits, responses provided by RISE in the WIOA Youth Service Provider/Subrecipient Program On-Site Monitoring Guide, and a review of applicable contract language, policies, and procedures for PY 2018-19. In addition, this report includes information collected through interviews including group discussions and participant staffing meetings with RISE representatives.



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## **BACKGROUND**

The Yolo County Purchasing Division released the Workforce Innovation and Opportunity Act (WIOA) Youth Services Notice of Request for Proposal (RFP) Number 2017-02 on April 26, 2017, via BidSync. The RFP offered applicants the opportunity to submit program proposals that provided comprehensive youth services to out-of-school and in-school youth as defined by WIOA. Two contracts were available through the RFP with services based on region. Region 1 consists of the communities of Brooks, Capay, Dunnigan, Esparto, Guinda, Knights Landing, Madison, Rumsey, Winters, Woodland, Yolo and Zamora. Region 2 consists of Clarksburg, Davis, and West Sacramento.

RISE was awarded WIOA funds for services provided in Region 1 through Yolo County Agreement No. 17-193/Infor PO No. 2331. The terms of the agreement are July 1, 2017, through June 30, 2018, for a maximum amount of \$275,600 to serve a minimum of thirty-two (32) new youth participants as defined by WIOA; twenty-five (25) out-of-school youth and seven (7) in-school youth. As well as provide follow-up services to a minimum of twenty-one (21) previously enrolled youth participants as defined by WIOA. The contract also contains provisions that allow the HHS Director to renew the agreement for up to three (3) consecutive one-year periods (e.g., July 1, 2018 through June 30, 2019; July 1, 2019 through June 30, 2020; and July 1, 2020 through June 30, 2021) for a maximum amount of \$275,600 per year subject to the County receiving Federal and State grant funds for this purpose and the Contractor's satisfactory performance.

HHS renewed the agreement for the 1<sup>st</sup> option year (e.g., July 1, 2018 through June 30, 2019) for a maximum amount of \$275,600 to serve a minimum of thirty-two (32) new youth participants as defined by WIOA; twenty-four (24) out-of-school youth and eight (8) in-school youth. Additionally, RISE is to provide follow-up services to a minimum of thirty-six (36) previously enrolled youth participants as defined by WIOA.

This report focuses on RISE youth services funded by WIOA from July 1, 2018, through June 30, 2019, which is the 1<sup>st</sup> option year. As of May 2019, RISE submitted expenditure claims through March 2019 totaling \$185,967.06 and enrolled a total of thirty-two (32); twenty-four (24) out-of-school youth and eight (8) in-school youth. Additionally, RISE provided follow-up services to a minimum of thirty-six (36) previously enrolled youth participants as defined by WIOA. WIB staff reviewed a total of five (5) participant case files and four (4) work experience site reviews.

## **PROGRAM AND CONTRACT REVIEW RESULTS PY 2018-19**

WIB staff concludes that, overall, RISE is meeting applicable WIOA requirements and Yolo County Agreement No. 17-193 requirements concerning program administration. This report contains no new findings or concerns; therefore, it is being issued as the final report.



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

Please extend our appreciation to your staff for their cooperation and assistance during our review. If you have any questions regarding this report or the review that was conducted, please contact Elaine Lytle at (530) 661-8795.

Sincerely,



Elaine Lytle  
WIB Executive Director



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Yolo Employment  
Services, Inc.

June 27, 2019

Katie Villegas, Executive Director  
Yolo County Children's Alliance  
500 Jefferson Boulevard, Suite A  
West Sacramento, CA 95605

Dear Ms. Villegas:

**RE: WORKFORCE INNOVATION AND OPPORTUNITY ACT  
YOUTH SERVICES - 85-PERCENT PROGRAM REVIEW  
FINAL MONITORING REPORT  
PROGRAM YEAR 2018-19**

This is to inform Yolo County Children's Alliance (YCCA) of the review results for Workforce Innovation and Opportunity Act (WIOA) Youth Services 85-Percent grant program operations in PY 2018-19. The review was conducted over a period of time ranging from December 2018 through May 2019. The review focused on program administration as well as contract compliance which includes the following areas: program administration, WIOA activities, management information system reporting, work experience, case file reviews, as well as contract performance and was conducted by Workforce Innovation Board (WIB) staff, Ms. Ashley Abreu and Ms. Lisa Vincent.

This review was conducted under the authority of WIOA Sections 183(a) and 184(a)(4) which requires each subrecipient to conduct regular oversight and monitoring of its WIOA activities, as well as those of its subrecipients and contractors. The purpose of the review conducted by the Health and Human Services Agency (HHS) WIB staff was to determine the level of compliance by YCCA with applicable federal and state laws, regulations, policies, and directives related to the PY 2018-19 WIOA Youth Services operations.

This report includes the results of our review of sampled case files, sampled work experience site visits, YCCA on-site visits, responses provided by YCCA in the WIOA Youth Service Provider/Subrecipient Program On-Site Monitoring Guide, and a review of applicable contract language, policies, and procedures for PY 2018-19. In addition, this report includes information that we collected through interviews including group discussions and participant staffing meetings with YCCA representatives.

## **BACKGROUND**

The Yolo County Purchasing Division released the Workforce Innovation and Opportunity Act (WIOA) Youth Services Notice of Request for Proposal (RFP) Number 2017-02 on April 26, 2017, via BidSync. The RFP offered applicants the opportunity to submit program proposals that provided



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comprehensive youth services to out-of-school and in-school youth as defined by WIOA. Two contracts were available through the RFP with services based on region. Region 1 consists of the communities of Brooks, Capay, Dunnigan, Esparto, Guinda, Knights Landing, Madison, Rumsey, Winters, Woodland, Yolo and Zamora. Region 2 consists of Clarksburg, Davis, and West Sacramento.

YCCA was awarded WIOA funds for services provided in Region 2 through Yolo County Agreement No. 17-222/Infor PO No. 2358. The terms of the agreement are July 1, 2017, through June 30, 2018, for a maximum amount of \$244,400 to serve a minimum of forty four (44) new youth participants as defined by WIOA: thirty-four (34) out-of-school youth and eleven (11) in-school youth. Additionally, the contract has provisions that allow the HHSA Director to renew the agreement for up to three (3) consecutive one-year periods (e.g., July 1, 2018 through June 30, 2019; July 1, 2019 through June 30, 2020; and July 1, 2020 through June 30, 2021) for a maximum amount of \$244,400 per year subject to the County receiving Federal and State grant funds for this purpose and the Contractor's satisfactory performance.

This report focuses on YCCA youth services funded by WIOA from July 1, 2018, through June 30, 2019, which is the 1<sup>st</sup> option year. As of May 2019, YCCA submitted expenditure claims through March 2019 totaling \$126,287.31 and enrolled a total of thirty-two (32) youth: twenty (25) out-of-school youth and seven (7) in-school youth. WIB staff reviewed a total of five (5) participant case files and two (2) work experience site reviews.

#### **PROGRAM AND CONTRACT REVIEW RESULTS PY 2018-19**

WIB staff concludes that, overall, YCCA is meeting applicable WIOA requirements and Yolo County Agreement No. 17-222 requirements concerning program administration.

#### **FOLLOW-UP ON PREVIOUSLY ISSUED FINDINGS (PY 2017-18)**

WIB staff concludes that YCCA successfully implemented five (5) of the seven (7) previously submitted corrective action plans and as a result we consider Corrective Action Tracking System (CATS) number 1718-02, 1718-03, 1718-05, 1718-06, and 1718-07 resolved. However, CATS number 1718-01 and 1718-04 will remain open.

#### **CATS Number 1718- 01:**

WIB staff observed low enrollments and low WEX expenditures.

The corrective action plan provided by YCCA in June 2018 was accepted by WIB staff and CATS number 1718-01 issued until successful implementation of the plan was verified.

Based on PY 2018-19 program review, WIB staff considers this finding partially resolved. The corrective action plan for low enrollments was successfully implemented. However, the corrective

action plan for low WEX expenditures was not successfully implemented. On May 31, 2019, during the on-site visit WIB staff accepted an updated corrective action plan from YCCA that addressed actions to be taken to increase WEX expenditures. Therefore, CATS number 1718-01 will remain open until successful implementation of WEX expenditures can be verified.

**CATS  
Number 1718-  
02:**

WIB staff observed an extraordinarily high number of documentation issues including lack of appropriate narration, unsigned edits, incomplete forms, and lack of date stamps.

The corrective action plan provided by YCCA in June 2018 was accepted by WIB staff and CATS number 1718-02 issued until successful implementation of the plan was verified.

Based on PY 2018-19 program review, WIB staff considers this finding resolved. Therefore, CATS number 1718-02 is closed.

**CATS  
Number 1718-  
03:**

WIB staff observed that YCCA was not providing forms to HHS in a timely manner. HHS notified and worked with YCCA to correct the issue in November 2017, January 2018, and April 2018. In June 2018, documentation indicates non-timely submittal of forms was still an issue.

The corrective action plan provided by YCCA in June 2018 was accepted by WIB staff and CATS number 1718-03 issued until successful implementation of the plan was verified.

Based on PY 2018-19 program review, WIB staff considers this finding resolved. Therefore, CATS number 1718-03 is closed.

**CATS  
Number 1718-  
04:**

WIB staff observed an extraordinary high number of time cards not signed in blue by the participant and supervisor which is against YCCA's policy as well as edits without participant and worksite supervisor's initials which we consider unsigned edits.

The corrective action plan provided by YCCA in June 2018 was accepted by WIB staff and CATS number 1718-04 issued until successful implementation of the plan was verified.

Based on PY 2018-19 program review, WIB staff WIB

staff considers this finding partially resolved. The corrective action plan for time cards not signed in blue ink was successfully implemented. However, the corrective action plan for unsigned edits was not successfully implemented. On May 31, 2019, during the on-site visit, WIB staff accepted an updated corrective action plan from YCCA that addressed actions to be taken to educate WEX sites and participants regarding edits. Therefore, CATS number 1718-04 will remain open until successful implementation of signed edits can be verified.

**CATS  
Number 1718-  
05:**

WIB staff observed an extraordinarily high number of time card issues which resulted in both under payments and over payments.

The corrective action plan provided by YCCA in June 2018 was accepted by WIB staff and CATS number 1718-05 issued until successful implementation of the plan was verified.

Based on PY 2018-19 program review, WIB staff considers this finding resolved. Therefore, CATS number 1718-05 is closed.

**CATS  
Number 1718-  
06:**

WIB staff observed at least fourteen (14) occasions when the total work period per day of the employee exceeded six (6) hours and the meal period was not provided by the end of the fifth (5<sup>th</sup>) hour as well as at least three (3) occasions when the total work period per day of the employee exceeded six (6) hours although the meal period was not documented on the time card.

The corrective action plan provided by YCCA in June 2018 was accepted by WIB staff and CATS number 1718-06 issued until successful implementation of the plan was verified.

Based on PY 2018-19 program review, WIB staff considers this finding resolved. Therefore, CATS number 1718-06 is closed.

**CATS  
Number 1718-  
07:**

WIB staff indicated the cost of payments indicated as non-allocable in the HHS Recommendation for Finding 5 and 6 must be made from a non-federal source.

The corrective action plan provided by YCCA in June 2018 was accepted by WIB staff and CATS number 1718-07 issued until successful implementation of the

plan was verified.

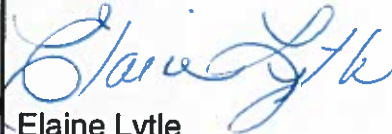
Based on PY 2018-19 program review, WIB staff considers this finding resolved. Therefore, CATS number 1718-07 is closed.

This report contains no new findings or concerns; therefore, it is being issued as the final report. Additionally, this report closes five (5) of the seven (7) previously issued CATS numbers.

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

Please extend our appreciation to your staff for their cooperation and assistance during our review. If you have any questions regarding this report or the review that was conducted, please contact Elaine Lytle at (530) 661-8795.

Sincerely,



Elaine Lytle  
WIB Executive Director



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Services, Inc.

**TO:** Members of the Workforce Innovation Board (WIB)

**FROM:** Ken Garrett, Chair

**DATE:** September 11, 2019

**SUBJECT: EQUAL OPPORTUNITY FINAL MONITORING REPORT PY 2018-19  
ISSUED BY COMPLIANCE MONITORING SECTION OF EDD**

### RECOMMENDED ACTION

Receive the Equal Opportunity Final Monitoring Report from Employment Development Department (EDD) for Program Year 2018-2019.

### REASON FOR RECOMMENDED ACTION

WIOA Section 188 and Title 29 Code of Federal Regulations (CFR) Part 38 requires Nondiscrimination and Equal Opportunity provisions be in place and monitoring be conducted to ensure compliance as defined by the Workforce Innovation and Opportunity Act. The attached Final Monitoring Report for Program Year 2018-2019 from the Equal Employment Opportunity (EEO) review is related to those findings.

### BACKGROUND

The Workforce Innovation and Opportunity Act (WIOA) was signed in to law in July 2014. The purpose of WIOA is to increase opportunities for employment, education, training and support, especially to those individuals with barriers to employment, WIOA section 2 (1).

As part of compliance with the Act, all recipients of federal funding are required to participate in Monitoring from the Employment Development Department (EDD) Equal Employment Opportunity (EEO) office, WIOA section 188 and Title 29 CFR Part 38.

On March 25, 2019, Ms. Ashley Bayongan conducted a review to determine EEO compliance within the parameters of the WIOA grant program, federal and state regulations as well as applicable state directives, specifically related to nondiscrimination and equal employment opportunity provision for PY 2018-19. Information used to complete the report includes the completed Compliance Monitoring Guide completed by the Equal Opportunity Officer, interviews with HHS representatives, review of applicable policies and procedures as well as a review of the documentation retained by HHS during PY 2018-19.

As a result of the monitoring, EDD released the attached final report which states, in part, Yolo County HHS is meeting applicable WIOA 188 and Title 29 CFR Part 38 requirements concerning Nondiscrimination and Equal Opportunity provision, however the compliance monitor noted instances of noncompliance regarding data and information collection and maintenance.

Title 29 CFR Section 38.41-38.45 and WSD 17-01 require medical and disability-related information to be collected and maintained separately from other documents as to prevent



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disclosure of a disability.

EDD EEO found that some of the HHSA WIOA forms which contain confidential medical and disability related information, as well as other personal identification information was maintained in eligibility files.

EDD EEO found that HHSA has not review all of its WIOA Program Participant files from previous program years to ensure that confidential medical and disability-related information are not being maintained in those files.

EDD EEO recommends that medical and disability related information be collected on separate form(s) and maintained in one or more separate files.

HHSA has advised EDD EEO that the process of data collection and maintenance of information will be reviewed in an on-going basis to ensure compliance with Title 29 CFR Section 38.41-38.45 and WSD 17-01. HHSA has advised EDD EEO that HHSA is in the process of reviewing WIOA Adult, Dislocated Worker and Youth Program participant files to determine if the revised local data collection process, including storage was appropriately implemented based on the date of application.

### **FISCAL IMPACT**

In order to receive WIOA Title I funds (Adult, Dislocated Worker, and Youth), HHSA must comply with EEO and nondiscrimination monitoring policies and procedures, outlined by federal and state regulation as well as applicable state directives.

### **AGENCY COORDINATION**

HHSA is responsible for continuing to ensure applicable EEO and nondiscrimination standards are met as outlined by the Workforce Innovation and Opportunity Act of 2014 and all other applicable regulation sections, including State and Federal Directives.

Attachment: WIOA Section 188 Nondiscrimination and Equal Opportunity Provisions Annual Onsite Compliance Monitoring Review Final Monitoring Report PY 2018-19



Patrick W. Henning  
Director

Gavin Newsom, Governor  
California Labor and Workforce Development Agency



July 18, 2019

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

**WORKFORCE INNOVATION AND OPPORTUNITY ACT (WIOA) SECTION 188  
NONDISCRIMINATION AND EQUAL OPPORTUNITY PROVISIONS  
ANNUAL ONSITE COMPLIANCE MONITORING REVIEW  
FINAL MONITORING REPORT PROGRAM YEAR (PY) 2018-19**

This notification informs you of the results of the Employment Development Department's (EDD) Equal Employment Opportunity (EEO) Office onsite compliance monitoring review of Yolo County Health and Human Services Agency (HHSA) for compliance to the WIOA Section 188 for PY 2018-19. This review was conducted by Ashley Bayongan, EEO Specialist, on March 25, 2019.

Our review was conducted under the authority of WIOA Section 188 and Title 29 Code of Federal Regulations (CFR) Part 38. The purpose of this review was to determine the level of compliance by HHSA with applicable federal and state laws, regulations, policies, and directives related to the WIOA grant regarding nondiscrimination and equal opportunity provisions for PY 2018-19.

We collected the information for this report through a desk review of the EDD's EEO Office Compliance Monitoring Guide completed by your Equal Opportunity (EO) Officer, onsite visit, interviews with HHSA representatives, a review of applicable policies and procedures, and a review of documentation retained by HHSA for PY 2018-19.

We received your response to our draft report on June 27, 2019 and reviewed your comments and documentation before finalizing this report.

**COMPLIANCE MONITORING REVIEW RESULTS**

While we concluded that, overall, HHSA is meeting applicable WIOA Section 188 and Title 29 CFR Part 38 requirements concerning nondiscrimination and EO provisions, we noted instances of noncompliance in the area of Data and Information Collection and Maintenance. The finding we identified in this area, and our recommendation, is specified below.



**FINDING ONE**

- Requirement:** Title 29 CFR Part 38, 38.41(b)(3) and Workforce Services Directive 17-01
- Observation:** While reviewing PY 2018-19 WIOA Adult and Dislocated Worker Program participants' eligibility files, we observed that HHSA is maintaining *Attachment A-1*, *Attachment A-2* and *HHSA Authorization For Release Of Client Information* forms which contained confidential medical and disability-related information, and other information about the participants such as personal identification information in the eligibility files.
- During the onsite review, HHSA staff stated that they have not reviewed all of its WIOA Program participants files (Adult, Dislocated Worker, and Youth) from previous program years to ensure that confidential medical and disability-related information are not being maintained in those files.
- Previous Finding:** During the PY 2017-18 compliance monitoring review, we identified that the HHSA collected and maintained confidential medical and disability-related information in WIOA Program participant files.
- Recommendation:** To address this unresolved finding, we recommended that *all* WIOA Program participants' (Adult, Dislocated Worker, and Youth) medical and disability-related information, whether hard copy, electronic, or both, must be maintained in one or more separate files, apart from other information about the individuals, and treated as confidential as required by WIOA Section 188 and its implementing regulations and state directives.

**HHSA's Response:** The HHSA stated that it understands and values the importance of confidentiality and non-disclosure of disability and medical information. HHSA implemented a continuous improvement plan related to this issue in July 2018, which included on-going efforts to review and refine the process. Specifically, in July 2018, HHSA revised the local WIOA – Eligibility Application to include a separate form for collecting medical and disability-related information as well as implemented a different file for storing a separate file and any supporting documentation. In March 2019, HHSA revised the local WIOA – Eligibility Application to refine the separate form and update terminology to indicate “WIOA CFR Part 38” instead of “HIPAA.”

The HHSA also stated that it is currently in the process of reviewing all local WIOA forms, including the *HHSA Authorization For Release Of Client Information*, to determine which forms need to be revised in order to ensure the collection and storage of medical and disability-related information is done separately. In addition, HHSA is in the process of reviewing WIOA Adult, Dislocated Worker, and Youth Program participant files to determine if the revised local data collection process including storage was appropriately implemented based on date of application.

**State Conclusion:** We consider this finding resolved.

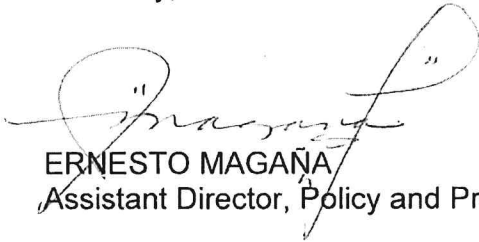
Because the methodology for our monitoring review included sample testing, this report is not a comprehensive assessment of all the areas included in our review. It is the HHSA's responsibility to ensure that its systems, programs, and related activities comply with the WIOA grant program, federal and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

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

Nolan Sullivan  
July 18, 2019  
Page four

If you have any questions regarding this report or the review that was conducted, please contact Ashley Bayongan at 916-654-2997 or Kimberly Clinton, EEO Office Manager, at 916-654-4595.

Sincerely,

A handwritten signature in black ink, appearing to read "Ernesto Magaña". The signature is written in a cursive style with a large, looping initial "E".

ERNESTO MAGAÑA  
Assistant Director, Policy and Programs/State-level EO Officer

cc: Gabriel Garcia, Workforce Services Branch, MIC 50  
Tanya Provencher, HHS EO Officer





## PROCESS FOR ITEMS AND ISSUES TO BE BROUGHT BEFORE THE YOLO COUNTY WORKFORCE INNOVATION BOARD

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### **WIB Meeting Discussions**

Any item or discussion must comply with requirements of the Ralph M. Brown Act 1999, California Code § 54950 -54962. Board and committee meetings are open to the public in compliance with the Brown Act. WIB members, staff, or the public may address the Workforce Innovation Board or a WIB 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 in a general or committee meeting.

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### **Meeting Protocols**

Additional information may be provided to the WIB for action or information pertinent to the WIB and mission of the WIB during a meeting. Members may raise an issue within the WIB or committee meetings or may direct questions to the WIB Chair or WIB Executive Director. No action may be taken on non-agenda items.

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### **Committee Discussions**

The WIB has requested that issues generally be discussed first at the committee level. Therefore, when an issue is raised outside of a committee meeting, it will usually be referred to the appropriate committee for discussion and recommendation.

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### **Agenda Timelines**

Any new agenda item to be brought before a committee must be submitted and WIB staff must be apprised at least ten (10) days prior to the meeting; or submitted to the WIB at least twenty (20) days prior to a meeting to be placed on the appropriate agenda.

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### **State Issued Directives**

The State of California EDD provides Directives to Local Workforce Development Areas (LWDA). This information will be provided to the WIB Executive Committee during the regularly scheduled Executive Committee meetings, prior to it being placed directly on the next WIB meeting agenda, except under urgent circumstances.

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### **Staff Actions**

Staff may bring issues, policies, and directives to the attention of an appropriate committee for discussion and recommendation for actions by the committee and/or the WIB.

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### **Board Letters**

If a committee makes a recommendation for WIB action, staff will work with the committee chair to prepare a Board letter for placement on the WIB agenda. The Executive Committee and/or WIB Chair reviews agenda items and may request modifications.

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### **Contacts**

Elaine Lytle, Executive Director  
Phone (916) 6257  
Email: [elaine.lytle@yolocounty.org](mailto:elaine.lytle@yolocounty.org)

Lisa Vincent, Analyst  
Phone: (530) 406-4458  
Email: [lisa.vincent@yolocounty.org](mailto:lisa.vincent@yolocounty.org)

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## YOLO COUNTY WORKFORCE INNOVATION BOARD (WIB) MEMBERSHIP APPLICATION PROCESS

### INITIAL APPLICATION

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**Completion of  
WIB  
Application**

Prospective Members will submit a completed application to a WIB member or staff.

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**Executive  
Committee  
Application  
Review**

The Executive Committee will receive and review the Membership Application as a Regular Agenda Item at their next scheduled meeting. The Applicant will be invited to attend the Executive Committee meeting and may be interviewed by the Executive Committee. The Executive Committee, as appropriate, will recommend WIB approval or approve the Membership Application. If approved, the Membership Application and Executive Committee recommendation will be moved forward to the WIB.

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**WIB  
Application  
Review**

The Executive Committee will report to the WIB any applicable information regarding the Membership Application discussion that occurred during their previous meeting. The WIB will approve or ratify the Executive Committee decision as appropriate or deny the Membership Application. If approved or ratified, the Membership Application and WIB recommendation will be moved forward to the Yolo County Board of Supervisors (BOS) for final approval.

\*\*Note: To ensure timeliness of Appointment, staff of the WIB may recommend an Application be provided to the WIB without prior to review by the Executive Committee.

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**BOS  
Application  
Review and  
Approval**

The BOS or Chief Local Elected Official (CLEO) provides oversight to the WIB and makes the final determination to approve or deny a Membership Application. If approved by the BOS, the membership term is four (4) years from the date of Appointment by the BOS.

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**Receipt of  
Updated Roster**

Upon BOS approval, the Clerk of the Board will publish an updated roster for public to view. The updated roster is then provided to the Executive Committee and WIB as an information item at the next meeting.

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**Form 700  
Statement of  
Economic  
Interest**

Upon BOS approval and annually thereafter, the County Clerk will notify WIB members of their requirement to file a Form 700, Statement of Economic Interest., Timely completions of the Form 700, Statement of Economic Interest are required as to adhere to BOS Resolution 16-41 and maintain compliance with the Political Reform Act. (See BOS Resolution 16-41)

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**Membership  
Guidelines**

Upon BOS approval, WIB staff will notify WIB members of their requirement to complete the Membership Guidelines Form.

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## RESIGNATION

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**WIB Member  
Resignation**

WIB members may resign prior to their term date by providing written notice to the WIB Chair and/or WIB staff.

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**Executive  
Committee  
Resignation  
Notice**

The Executive Committee, if appropriate, will receive the resignation notice and recommend removal as a regular agenda item.

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**WIB  
Resignation  
Notice**

The WIB, if appropriate, will receive the resignation notice and recommend removal as a regular agenda item, or ratify the Executive Committee decision to remove.

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**BOS  
Resignation  
Notice**

WIB staff will provide the Clerk of the Board notice of the resignation to be moved forward as an Agenda Item at the next Board of Supervisors meeting, as well as request the BOS revise the roster.

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**Receipt of  
Updated Roster**

Upon BOS approval of roster revision, the Clerk of the Board will publish an updated roster for public to view. The updated roster is then provided to the Executive Committee and WIB as an information item at the next meeting.

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**Form 700  
Statement of  
Economic  
Interest**

Upon BOS approval to revise the roster by removing individual, the County Clerk will notify the former WIB members of their requirement to file a Form 700, Statement of Economic Interest. Timely completion of the Form 700, Statement of Economic Interest is required as to adhere to BOS Resolution 16-41 and maintain compliance with the Political Reform Act. (See BOS Resolution 16-41)

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## SUBSEQUENT APPLICATION

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**Completion of  
WIB  
Application**

WIB staff will contact members prior to their term date to determine if the Member would like to remain on the WIB. If yes, the Member will complete and submit an application and return it to WIB staff. If no, the Member will be removed from the WIB based on the term date.

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**Executive  
Committee  
Subsequent  
Application  
Review**

The Executive Committee will receive and review the Member application as a Regular Agenda Item at their next scheduled meeting. The Executive Committee will consider the following items when reviewing a Members' application for a subsequent term on the WIB:

- Membership Representation to determine the appropriate membership category (Private Business, Workforce and Labor, Adult Education and Literacy, Vocational Rehabilitation, Higher Education, Wagner-Peyser, Economic Development)
- Attendance to determine if the Member successfully contributed to quorum on a

- regular basis as outlined in the Bylaws\*
- Adherence to BOS Resolution 16-41 and Compliance with the Political Reform Act, Timely completions of the Form 700, Statement of Economic Interest, to determine if the Member is in good standing with the required filing
- Other areas as deemed appropriate by the Executive Committee

If approved, the Executive Committee will recommend the Membership Application be moved forward to the WIB.

If denied, the Executive Committee will request WIB staff notify the Member of the decision. Additionally, WIB staff will inform the Member that they can request their Membership Application be reviewed by the WIB at the next scheduled meeting as a Regular Agenda Item.

\*The WIB Bylaws Section 9 state, in part, the term of office of a WIB member who has three consecutive unexcused absences from the regular meetings of the WIB and/or WIB committee meetings may be terminated.

**WIB  
Subsequent  
Application  
Review**

Consent Agenda: The Executive Committee will report to the WIB any applicable information regarding the Membership Application discussion that occurred during their previous meeting. The WIB, if appropriate, will ratify the Executive Committee decision to approve the Membership Application.

Regular Agenda: The Executive Committee will report to the WIB any applicable information for their recommendation to deny the Membership Application that occurred during their previous meeting. The Member will address the issue(s). The WIB will vote to recommend or deny the Membership Application.

The WIB recommendation to approve or deny the Membership Application will be moved forward to the Yolo County Board of Supervisors (BOS) for final approval.

**BOS  
Subsequent  
Application  
Review and  
Approval**

WIB staff will provide the Clerk of the Board notice of the subsequent Membership Application or request to remove Member.

**Receipt of  
Updated Roster**

Upon BOS approval, the Clerk of the Board will publish an updated roster for public to view. The updated roster is then provided to the Executive Committee and WIB as an information item at the next meeting.

**Contacts** Elaine Lytle, Executive Director  
Phone (916) 375-6257  
Email:  
[elaine.lytle@yolocounty.org](mailto:elaine.lytle@yolocounty.org)

Lisa Vincent, Analyst  
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Ashley Abreu, Analyst  
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E-mail:  
[ashley.abreu@yolocounty.org](mailto:ashley.abreu@yolocounty.org)



## Membership Guidelines of the Workforce Innovation Board

### Members have the responsibility to:

- Attend all meetings and be on time; prepare for meetings beforehand.
- Accept committee assignments or other tasks in a cooperative spirit.
- Accept officership when proposed, and discharge those duties properly.
- Keep the Board informed of status and progress of your relevant activities as a Board member.
- Maintain a professional and business-like approach to all Board matters.
- Recuse one-self from influencing or voting on WIB decisions in any area of conflict of interest.
- File a Statement of Economic Interest, Form 700, with the Fair Political Practices Commission, as a condition of membership, in compliance with applicable law.
- Represent the Board in the local community, before bodies of elected officials, and the media.
- Refrain from intervening directly in the implementation (application) of the Board's policies.
- Participate in Strategic Planning.
- Assure that the Agency's direction is in conformance with its purpose and mission; help to formulate policies to that effect.
- Make timely updates of member information records.

### Members have a right to:

- Move to change the order of the agenda at the beginning of a meeting.
- Ensure the Minutes of the previous meetings are accurate according to your contemporaneous notes of those meetings.
- Bring any concern about organizational activities to committees or to the attention of the Board.
- Initiate and express any opinions about issues or proposed matters for the Board's consideration.
- Request additional information on any subject under consideration before a vote is called.
- Question, suggest, or recommend any matter that has a bearing on the effectiveness of the Board and the conduct of its' business.
- Ask for clarification of anything that is unclear during a meeting.
- Request that a vote be taken on any issue in a particular manner (roll call, show of hands, or voice).
- Move to defer (table) action on any item of business to a later meeting.
- Seek reconsideration, under the rules of procedure of the Board, of any measure previously passed.
- Ask to be appointed to a committee of special interest.

I accept of the above responsibilities and rights as a member of the Yolo County Workforce Innovation Board.

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WIB Member Signature

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Date



## Yolo County Workforce Innovation Board

### Member Prospectus

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.

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.

#### **POSITION TITLE: Board Member**

Appointments by the Yolo County Board of Supervisors

#### **PURPOSE:**

- ❖ Build collaborations among business, local elected officials, government, and community groups to influence the design and performance of an integrated system that prepares adults and youth for successful employment.
- ❖ Establish and promote workforce development policies that improve the social and economic life of the community.
- ❖ Create a strategic vision and set measurable goals and outcomes for a market-driven workforce development system, including the certification of training providers.
- ❖ Promote the Board and workforce initiatives at every opportunity, through collaboration and relationship building with other businesses, organizations, and groups.
- ❖ Oversee progress towards the strategic vision and the Local Four-year Plan.

#### **BOARD MEMBER QUALIFICATIONS:**

- ❖ Desire to make a positive impact on the quality of life in the community.
- ❖ Commitment to devote time and talent in partnering with other organizations to improve the quality of the workforce through public policy.
- ❖ An interest in finding out how board activities can make a difference in the business climate for the community and for you.
- ❖ Hold senior decision-making authority in your organization.
- ❖ Experience and/or knowledge that allows one to contribute in at least one or more of these key areas: evaluation, training, program development, policy administration, finance, personnel planning, human resource administration, or public relations.
- ❖ Willingness to participate actively, including regular attendance at board meetings\* and committee meetings\*\*.

\**Board Meetings:* General Board Meetings 8:30 - 9:30 a.m., 25 N. Cottonwood, Woodland: Second Wednesday bi-monthly.

\*\**Committees:* Executive Committee, Additional Ad hoc taskforces are formed on an as-needed basis, are time-limited, and represent temporary commitments for Board members.

#### **WIB Contacts:**

Elaine Lytle, Executive Director- Phone (916)375-6257/email: elaine.lytle@yolocounty.org  
Lisa Vincent, Analyst- Phone: (530) 406-4458/e-mail: lisa.vincent@yolocounty.org

# Workforce Innovation Board

**Purpose:** This committee serves as an intermediary to assist the local service administration to respond to the business community. It is the contact point in the local service delivery systems and combines education and training in order to become more responsive to local employment and business development. It provides direction for the establishment of programs designed to prepare eligible youth, dislocated workers, and unskilled adults for entry into the labor force.

**Authority:** Resolution No. 15-146 (12/15/15)

**Related County Department:** Health and Human Services Agency

<b>Staff Liaison:</b>	<b>Telephone:</b>	<b>Email:</b>
Lisa Vincent	530-406-4458	lisa.vincent@yolocounty.org

**Board of Supervisors representative:** Supervisor Don Saylor

**Telephone:** 530-666-8622                      **Email:** don.saylor@yolocounty.org

**Makeup of membership:** 19-25 members appointed by the Board of Supervisors:

- Minimum:
- Business (51%)
- Workforce (20%) / Labor (15%)
- Adult Education/ Literacy (1)
- Vocational Rehabilitation (1)
- Higher Education (1)
- Wagner-Peyser (1)
- Economic Development (1)

**Membership terms:** 4 years from the date of appointment

**Frequency and time of meetings:** Meets Bi-Monthly (January, March, May, July, September, November) the 2<sup>nd</sup> Wednesday at the Health and Human Services Agency in Woodland from 8:30 – 9:30 a.m.

**Current Committee membership and terms:**

Member	Category	Date Appointed	Expiration of Term
<b><u>Business Representatives</u></b>			
Benny Mitchell Jr.	Olam West Coast	12/15/2015	12/15/2019
<b>VACANT</b>			
Gary Pelfrey – <b>Vice Chair</b>	Woodland Aviation	12/15/2015	12/15/2019
Jennifer Pike	Clark Pacific	12/15/2015	12/15/2019
John Pickerel	Buckhorn Steakhouse	12/15/2015	12/15/2019
John Rodriguez	The Scoop Frozen Yogurt Shop	12/15/2015	12/15/2019

Kenneth D. Garrett Jr. – <b>Chair</b>	All Phase Security, Inc.	12/15/2015	12/15/2019
Michele Rau	DMG Mori	12/15/2015	12/15/2019
Paul Basi	Pride Staff	12/15/2015	12/15/2019
<b>VACANT</b>			
Denice Seals	West Sacramento Chamber of Commerce	3/6/2018	3/6/2022
Pascual Marquez	Marquez Designs	5/22/2018	5/22/2022
<b><u>Workforce/Labor</u></b>			
Alice B. Tapley	Yolo Employment Services	12/15/2015	12/15/2019
Sarah McGinn	SEIU Local 1000	9/25/2018	9/25/2022
Maggie Campbell	Laborers Local 185 (LIUNA)	12/15/2015	12/15/2019
Mike Cordova	ESC Local 20	3/26/2019	3/6/2023
Rob Carrion – <b>2<sup>nd</sup> Vice Chair</b>	Operating Engineers Local Union No. 3	12/15/2015	15/15/2019
<b><u>Adult Education/Literacy</u></b>			
Susan Moylan	Woodland Adult Education	12/15/2015	12/15/2019
<b><u>Vocational Rehabilitation</u></b>			
Robyn David-Harris	Dept. of Rehabilitation	12/15/2015	12/15/2019
<b><u>Higher Education</u></b>			
Ionna Iatridis	Woodland Community College	3/6/2018	3/6/2022
Theresa Milan	Los Rios Community College	3/6/2018	3/6/2022
<b><u>Wagner-Peyser</u></b>			
Randy Bloomfield	Employment Development Department	12/12/2017	12/12/2021
<b><u>Economic Development</u></b>			
Wendy Ross	City of Woodland	12/15/2015	12/15/2019

**How to apply to be a member of this committee:**

Individuals interested in serving on this advisory body may submit an application to the Yolo County Board of Supervisors' Office, 625 Court Street, Room 204, Woodland, CA 95695 or by completing an application on our website at [www.yolocounty.org](http://www.yolocounty.org)> [Residents](#)> [Advisory Bodies](#). For more information please call the Clerk of the Board at (530) 666-8195.



# ONE-STOP OPERATOR MEMO

**To:** WIB Executive Committee  
**From:** Michael Indiveri. One-Stop Operator  
**Subj:** MOU Partners/ PCC Meeting  
**Date:** August 28, 2019

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## Recap of July 30 WIOA Partners Meeting

On Tuesday July 30 the WIOAMOU Partners had their quarterly meeting. It was held at the Yolo County Housing Office and the meeting was combined with the on-going Program Coordinating Committee (PCC) meeting. The PCC is a broad array of social and human services providers in Yolo County and in the region. The attendance at the last combined meeting was over 20 persons. However, on this same afternoon, there was *The Prison to Employment Initiative* planning being held at the Yolo County HHSA on North Cottonwood. Many of the community actors were at that meeting. In attendance at the WIOA MOU Partner's meeting was Yolo County Health & Human Service Agency (HHSA), State of California Employment Development Department (EDD), Yolo County Housing, Turning Point, Yolo County WIB staff and the One-Stop Operator.

WIB staff and the One-Stop Operator gave partner and program updates. During the partner roundtable, agencies shared what's new in their agency and upcoming classes and events. Yolo county Housing gave updates on the ROSS/FSS programs. Also covered was the grant application for FSS HCV/LIPH, the rent ready curriculum, the quarterly resident meetings, National Night Out and Computer Learning Center updates. Extensive and productive information was shared that will enhance customer services.

## Next Meeting

The next meeting is tentatively scheduled for October 29, 2019 at Yolo County Housing. There are several possible MOU topics that may be covered. These include the customer referral process between the partners, an inventory of partner services, staff training on labor market Information & career pathways, and issues pertaining to the data systems platforms used by the partners. There is to be a presentation on the Community Pro platform on August 29 that addresses to many of these issues.

## INCUMBENT WORKER TRAINING

### EXECUTIVE SUMMARY

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This policy provides guidance and establishes the procedures regarding Incumbent Worker Training (IWT) as part of comprehensive regional sector pathway programs and strategies for developing a skilled workforce and income mobility. This policy applies to all Local Boards and relevant parties, and is effective immediately.

This policy contains some state-imposed requirements. All state-imposed requirements are indicated by **bold, italic** type.

*This directive finalizes Workforce Services Draft Directive Business Engagement – Incumbent Worker Training WSDD-187, issued for comment on July 24, 2018. The Workforce Development Community submitted 34 comments during the draft comment period. A summary of comments, including all changes, is provided as Attachment 1.*

Retain this Directive until further notice.

### REFERENCES

- 
- *Workforce Innovation and Opportunity Act (WIOA) (Public Law) Sections, 122(h)(i), 134(d)(4), 134(G)(ii), 134(c)(3)(H), and 194(4)*
  - Title 20 Code of Federal Regulations (CFR) Sections 680.780 – 680.820
  - Training and Employment Guidance Letter (TEGL) [10-16](#), [Change 1](#), [Subject: Performance Accountability Guidance for Workforce Innovation and Opportunity Act \(WIOA\) Title I, Title II, Title III and Title IV Core Programs](#) (August 23, 2017)
  - TEGL [19-16](#): *Guidance on Services provided through the Adult and Dislocated Worker Programs under the Workforce Innovation and Opportunity Act (WIOA) and the Wagner-Peyser Act Employment Services (ES) as amended by title III of WIOA, and for Implementation of the WIOA Final Rules* (March 1, 2017)
  - *California Unemployment Insurance Code (CUIC) Section 14000-14530*

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

- Workforce Services Directive [WSD18-10 \(PDF\)](#), *WIOA Training Expenditure Requirement*, (January 31, 2019)
- [WSD18-03 \(PDF\)](#), Subject: *Pathway to Services, Referral, and Enrollment* (August 29, 2018)
- [WSD17-08 \(PDF\)](#), Subject: *Procurement of Equipment and Related Services* (March 14, 2018)
- [WSD16-18 \(PDF\)](#), Subject: *Selective Service Registration* (April 10, 2017)
- [WSD16-16 \(PDF\)](#), Subject: *Allowable Costs and Prior Written Approval* (February 21, 2017)
- [WSD16-15 \(PDF\)](#), Subject: *Dislocated Worker Additional Assistance Projects* (December 28, 2016)
- [WSD16-13 \(PDF\)](#), Subject: *Monthly and Quarterly Financial Reporting Requirements* (November 28, 2016)
- [WSD16-04 \(PDF\)](#), Subject: *Rapid Response and Layoff Aversion Activities* (July 22, 2016)
- [WSD15-23 \(PDF\)](#), Subject: *Transfer of Funds – WIOA Adult/Dislocated Worker Programs* (March 29, 2016)
- Workforce Services Information Notice [WSIN12-31 \(PDF\)](#), Subject: *Assisting Employers in the New CalJOBS<sup>SM</sup>* (February 15, 2013)

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## BACKGROUND

Under WIOA, IWT provides both workers and employers with the opportunity to build and maintain a quality workforce, and increase both participants' and employers' competitiveness. IWT is a type of work-based training and upskilling designed to ensure California workers can acquire and develop the skills necessary to avert layoff or increase the skill levels of employees so they can be promoted within the company and create backfill opportunities for employers.

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## POLICY AND PROCEDURES

### Definitions

For the purposes of this Directive, the following definitions apply:

*Business and Employer* – A private sector, local government, for profit or not-for profit place of business. Business and Employer are used interchangeably in this directive.

*California Employer Account Number* – An eight-digit payroll tax number issued to a registered employer by the Employment Development Department, also known as the Employer Payroll Tax Account Number, State Employer Identification Number, or state ID.

*Eligible Employer* – For an employer to be eligible for IWT services, the Local Board must consider the following:

- Whether the employer can provide a valid California Employer Account Number.
- The characteristics of the individuals in the program (see the IWT definition below).
- The relationship of the training to the competitiveness of an individual and the employer.
- Other factors the Local Board determines appropriate, such as the number of employees trained, wages and benefits including post training increases, and the existence of other training opportunities provided by the employer.

[Reference: WIOA Section 134(d)(4)(A)(ii)]

*Employer Share* – Employers are required to pay for a significant cost of the training for those individuals in IWT. The minimum amount of employer share in IWT depends on the size of the employer.

*Follow-up* – Shall be performed six months after reported completion of IWT to determine outcomes (retained employment, advancement, and increased wages).

*Incumbent Worker* – To qualify as an Incumbent Worker, the employee must meet the following:

- Be a current employee of an eligible employer and have an established employment history with the employer for six months or more. An individual is not held to the six month employment requirement if the IWT is being provided to a cohort of employees. In this instance, not every employee must meet the employment history requirement as long as a majority of the employees being trained do meet the requirement.
- Meet the Fair Labor Standards Act requirements for an employer-employee relationship.
- Meet the Selective Service requirements.

[Reference: Title 20 CFR Section 680.780]

*IWT* – The following characteristics define IWT:

- Designed to meet the special requirements of an employer (including a group of employers) to retain a skilled workforce, avert the need to lay-off employees by assisting the workers in obtaining the skills necessary to retain employment, and/or provide training that will result in progression on a career pathway and income mobility.
- Conducted with a commitment by the employer to retain employees, avert the layoff(s) of the incumbent worker(s) trained for a period of six months following completion of the training, or promote incumbent workers to higher paying positions.
- Increases the competitiveness of the employer or employee.

- Gives employees the opportunity to progress on their career pathway by providing opportunities to obtain certificates or credentials based on the employers need. (Reference 20 CFR 680.790)

*IWT Allowable Costs* – The Local Boards’ share of the cost of training (teacher, books, materials) for the delivery of IWT. This amount excludes the cost of individual wages paid by the employer while the employee is attending/participating in the training. [Reference: WIOA Section 134(d)(4)(C)-(D)]

*Qualified Trainer* – Qualified training can be provided in-house, by a training agency, or by a third party. Training providers should be California-based, unless the training is so unique that a training provider cannot be found in California. The choice and method of training are determined by the employer. [Reference: WIOA Section 134(d)(4)(C)-(D)]

*Training Method* – The following are types of training methods allowable for IWT:

- Classroom training is instruction in a classroom setting that is provided to a group of trainees and conducted by a qualified instructor.
- Laboratory training is hands-on instruction or skill acquisition under the constant and direct guidance of a qualified trainer. Laboratory training may require the use of specialized equipment or facilities. Laboratory training may be conducted in a simulated work setting, or at a productive work setting, also known as Productive Laboratory.
- Computer-based training is delivered through a computer program at a pace set by the trainee. There is no requirement for delivery by a live trainer and training does not have to be interactive.
- Video Conference training is live, interactive instruction provided by a trainer through a video communications session.
- E-Learning instruction is delivered through a web-based system, conducted in a virtual environment utilizing a web meeting/webinar.

[Reference: WIOA Section 134(d)(4)(C)-(D)]

### **Eligibility for IWT**

WIOA requires Local Boards to determine an employer’s eligibility for participating in IWT in order to evaluate whether training would increase the competitiveness of the employees and/or employers. Eligibility for participation in IWT is based on the following factors:

- The characteristics of the individuals in the program (e.g. individuals with barriers to employment).
- The relationship of the training to the competitiveness of the individual and employer.

- Other factors Local Boards determine appropriate, which may include, but are not limited to, the following:
  - The number of employees participating in the training.
  - The employees' advancement opportunities, along with wages and benefits (both pre-and post-training earnings).
  - The existence of other training and advancement opportunities provided by the employer.
  - Credentials and skills gained as a result of the training.
  - Layoffs averted as a result of the training.
  - Utilization as part of a larger sector and/or career pathway strategy.
  - Employer size.

[Reference: WIOA Section 134(d)(4)(A)(ii) and TEGL 19-16]

Additional factors identified by the Local Board must be included in the Local Board's policy and procedures to ensure consistent application for all employers.

For an employer to receive IWT funds, the individual(s) participating in the IWT must meet the following:

- Be employed.
- Meet the Fair Labor Standards Act requirements for an employer-employee relationship.
- Have an established employment history with the employer for six months or more. This may include time spent as a temporary or contract worker performing work for the employer. It should be noted that an individual is not held to the six month employment requirement if the IWT is being provided to a cohort of employees. In this instance, not every employee must meet the employment history requirement as long as a majority of the employees being trained do meet the requirement.

[Reference: Title 20 CFR Section 680.780]

An eligible individual participating in IWT is not required to meet the eligibility requirements for the Adult or Dislocated Worker program, unless they are also co-enrolled as a participant in the WIOA Adult or Dislocated Worker program and will receive WIOA funded services in addition to the IWT.

## **Funding**

IWT is part of a comprehensive business engagement strategy designed to meet the special requirements of an employer (including a group of employers) to upskill current employees. To



implement this strategy, Local Boards can use up to 20 percent of their Adult and Dislocated Worker formula allocations for IWT activities. This 20 percent can only be used for programmatic activities, and cannot be used for administrative functions.

Generally, IWT should be provided to private sector employers, but there may be instances where non-profit and local government entities may receive IWT funds. For example, IWT funds may be used in the health care industry where nursing upskilling opportunities are available in a hospital operated by a non-profit organization.

Under WIOA, layoff aversion is now a required Rapid Response activity (Title 20 CFR Section 682.330). Local Boards can leverage Rapid Response funds by including IWT as part of a robust layoff aversion strategy for the Local Workforce Development Area (Local Area). Local Boards have flexibility to determine which strategies and activities are applicable in a given situation, based upon the specific needs, policies, and procedures within the state and Local Areas.

The WIOA defines IWT as a business service, therefore, the delivery of IWT does not require the use of an Individual Training Account or that the training program be listed on the Eligible Training Provider List.

### *Employer Share*

Local Boards are required to establish policies regarding the non-federal share of the cost of IWT. Employers are required to pay for a significant cost of the training for those individuals in IWT. This can be done through cash payments and fairly evaluated in-kind contributions. The wages paid to individuals while in training may include the wages the employer pays to the individual while they are attending the training.

The Local Board must consider the number of employees participating in the training, the wage and benefit levels of the employees (at the beginning and anticipated upon completion of the training), the relationship of the training to the competitiveness of the employer and employees, and the availability of other employer-provided training and advancement opportunities. The minimum amount of employer share in IWT depends on the size of the employer and are as follows:

- At least 10 percent of the cost for employers with 50 or fewer employees.
- At least 25 percent of the cost for employers with 51 to 100 employees.
- At least 50 percent of the cost for employers with more than 100 employees.

[Reference: WIOA Section 134(d)(4)(C)-(D)]

The Local Board's policy must be applied to each employer to ensure consistent determination of the employer's eligibility to receive funding for IWT, and the Local Board's rationale/reasoning to support the IWT initiative.

### *Tracking IWT Expenditures*

The EDD Workforce Services Branch's Financial Management Unit (FMU) is tasked with keeping track of IWT expenditures to ensure Local Boards do not exceed the 20% allowance for IWT. FMU has updated the expenditure reports the sub-recipients use to include a line item for IWT. Each quarter, FMU compiles a report for the Local Boards that details where they stand in regards to these expenditure levels. An example of the updated expenditure reports can be found as attachments to [WSD16-13 \(PDF\)](#).

Note – IWT expenditures can be counted toward the training expenditure requirement in [WSD18-10 \(PDF\)](#). The employer contributions for IWT can be counted as leveraged dollars.

### *Documentation*

The Local Board's IWT policy and the documentation for each IWT initiative must be retained by the Local Board. It is the Local Board's responsibility, in partnership with the employer, to ensure all training is completed and certificates of completion are obtained for each trainee and retained locally. This documentation will be subject to monitoring.

### **IWT Performance and Reporting Requirements**

Since eligibility for IWT is determined at the employer level (not the individual level), the Department of Labor (DOL) does not consider individuals in IWT to be a participant in the Adult and/or Dislocated Worker program. Individuals who only receive IWT are not included in the WIOA Adult or Dislocated Worker program performance calculations. However, the DOL requires Local Boards and the State to report certain participant and performance data on all individuals participating in IWT. The required information for these individuals is limited to demographic information, and information necessary to calculate employment in the 2<sup>nd</sup> and 4<sup>th</sup> quarters after exit, median earnings in the 2<sup>nd</sup> quarter after exit, measurable skill gains, and credential attainment. For the purpose of calculating these metrics for IWT-only individuals, the exit date is the last date of training, as indicated in the training contract.

To reduce the reporting burden on employers and the Local Boards, the DOL encourages the collection of Social Security Numbers (SSNs) as part of the training contract with the employer. For all individuals where an SSN is collected, the EDD will conduct a base wage match to obtain their employment and earnings. For those individuals that have a pseudo SSN, it is the Local Board's responsibility to provide supplemental data. Additionally, it is the Local Board's responsibility to capture and enter credential information into CalJOBS<sup>SM</sup> for each IWT individual.

Note – If the individual in IWT becomes a participant in the Adult or Dislocated Worker program at any point, they are included in performance calculations for the core program that provides additional services.

## CalJOBS<sup>SM</sup>

All recipients of IWT must be reported to DOL, regardless of whether they become a participant in one of the other WIOA programs. Individuals who participate in IWT must be registered in CalJOBS<sup>SM</sup>, and do the following:

- Title I – Workforce Development application with an Incumbent Worker eligibility date entered. The application and eligibility requirements for the IWT eligibility is truncated and requires minimal information.
- On the Eligibility Summary tab of the Title I application:
  - Set “Incumbent Worker Eligibility” to yes.
  - Add the appropriate IWT grant code, then select [Finish] to save the application.
- CalJOBS<sup>SM</sup> Activity Code 308 – IWT should be added to the application and associated to the appropriate funding stream for the duration of the IWT. If utilizing WIOA formula funds, staff must associate grant code 2272 – Incumbent Worker Training Participant to the 308 – IWT activity code.

## Employers

Local Area staff must ensure that the employer participating in IWT is registered as a preferred employer (recruiting employer) in CalJOBS<sup>SM</sup>, and the CalJOBS<sup>SM</sup> Activity Code E68 – IWT is added to the employer’s account. For more information about registering an employer into CalJOBS<sup>SM</sup>, please see [WSIN12-31 \(PDF\)](#).

## INQUIRIES

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If you have any questions, contact Carlos Bravo at (916) 327-5383.

/s/JAIME L. GUTIERREZ, Chief  
Central Office Workforce Services Division

Attachment is available on the internet:

[Summary of Comments \(PDF\)](#)

## WORKER DISPLACEMENT PROHIBITION

### EXECUTIVE SUMMARY

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This policy provides the guidance and establishes the procedures regarding the prohibition on the replacing of regular employees with Workforce Innovation and Opportunity Act (WIOA) participants, and against infringing on the promotional opportunities of currently employed individuals. This policy applies to Local Workforce Development Areas (Local Area) and other recipients of WIOA funds, and is effective immediately.

This policy contains no state-imposed requirements.

This Directive finalizes Workforce Services Draft Directive *Worker Displacement Prohibition* WSD19-02, issued for comment on February 1, 2019. The Workforce Development Community submitted one comment during the draft comment period. A summary of comments, including all changes, is provided as Attachment 1.

This policy supersedes Workforce Services Directive *Worker Displacement Prohibition* WIAD02-9, dated November 22, 2002. Retain this Directive until further notice.

### REFERENCES

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- 
- WIOA (Public Law 113-128) Sections 181(b)(2) and (3)
  - Title 20 *Code of Federal Regulations* (CFR) Section 683.270
  - Workforce Services Directive WSD18-05, Subject: *WIOA Grievance and Complaint Resolution Procedures* (September 4, 2018)

### BACKGROUND

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The WIOA Section 181(b)(2) states the general prohibitions against displacing current employees and against impairing existing contracts for services and collective bargaining agreements.

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

Additionally, WIOA Section 181(b)(3) states the prohibitions against replacing laid off employees with WIOA participants and against using WIOA participants to replace employees who have been terminated with the intent of so replacing them. Section 181(b)(3) of WIOA further prohibits infringement on the promotional opportunities of currently employed workers.

Further information and clarification regarding federal requirements for ensuring that WIOA participants do not displace other employees can be found in 20 CFR Section 683.270(a) through (c). Finally, 20 CFR Section 683.270(d) provides that regular employees and program participants alleging displacement may file a complaint under applicable WIOA grievance procedures.

## **POLICY AND PROCEDURES**

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As required under WIOA Section 181(b)(2)(A) and 20 CFR Section 683.270(a), participants in programs and activities authorized under WIOA Title I may not displace (including a partial displacement, such as a reduction in the hours of non-overtime work, wages, or employment benefits) any currently employed employee (as of the date of participation).

WIOA Section 181(b)(2)(B) and 20 CFR Section 683.270(b) prohibit the impairment of existing contracts for services or collective bargaining agreements. When a program or activity authorized under WIOA Title I would be inconsistent with a collective bargaining agreement, the appropriate labor organization and employer must provide written concurrence before the program or activity begins.

As required by WIOA Section 181(b)(3) and 20 CFR Section 683.270(c), a WIOA participant may not be employed in, or assigned to, a job if any of the following is true:

- Any other individual is on layoff from the same or any substantially equivalent job.
- The employer has terminated the employment of any regular, unsubsidized employee or otherwise caused an involuntary reduction in its workforce with the intention of filling the vacancy so created with the WIOA participant.
- The job is created in a promotional line that infringes in any way on the promotional opportunities of currently employed workers as of the date of the participation.

Finally, 20 CFR Section 683.270(d) states that regular employees and program participants alleging displacement may file a complaint under the applicable grievance procedures found in WIOA Section 181(c) and 20 CFR Section 683.600. Local Areas are required to establish and maintain procedures for participants and other interested parties to file grievances and complaints alleging violations of WIOA Title I requirements as outlined in WSD18-05.

As a part of their oversight responsibilities, Local Workforce Development Boards are responsible for ensuring that there is a system in place that facilitates compliance with the above described non-displacement prohibitions in WIOA and its associated regulations.

## **ACTION**

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Bring this Directive to the attention of all relevant parties.

## **INQUIRIES**

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If you have any questions, contact your [Regional Advisor](#) at 1-916-654-7799.

/s/JAIME L. GUTIERREZ, Chief  
Central Office Workforce Services Division

Attachments are available on the internet:

[Summary of Comments](#)



## CalJOBS ROLES AND RESPONSIBILITIES – LOCAL AREA MIS ADMINISTRATOR

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### GENERAL INSTRUCTIONS

The attached Directive is being issued in draft to give the Workforce Development Community the opportunity to review and comment prior to final issuance.

Submit any comments by email or mail no later than **July 31, 2019**.

All comments received within the comment period will be considered before issuing the final Directive. Commenters will not be responded to individually. Rather, a summary of comments will be released with the final Directive.

Comments received after the specified due date will not be considered.

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**Email**            CalJOBSAdmin@EDD.CA.GOV  
Include “Draft Directive Comments” in the email subject line.

**Mail**             Employment Development Department  
Attn.: CalJOBS Operations Unit  
P.O. Box 826880 / MIC 50  
Sacramento, CA 94280-0001

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If you have any questions, contact the CalJOBS Operations Unit at 916-653-0202.

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## CaIJOBS ROLES AND RESPONSIBILITIES – LOCAL AREA MIS ADMINISTRATOR

### EXECUTIVE SUMMARY

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This policy provides the guidance and establishes the procedures regarding the role and responsibilities of the Local Area Management Information System (MIS) Administrators related to the CaIJOBS<sup>SM</sup> system.

This policy supersedes Workforce Services Information Notice 13-63, *Role and Responsibilities of the Local CaIJOBS MIS Administrator*. This policy applies to all Local Workforce Development Boards, and is effective immediately.

This policy contains no state-imposed requirements.

Retain this Directive until further notice.

### REFERENCES

- 
- *Workforce Innovation and Opportunity Act (WIOA)* (Public Law 113-128)
  - Workforce Services Directive [WSD17-09 \(PDF\)](#), Subject: *Mandated User of VOSGreeter Module in CaIJOBS<sup>SM</sup>* (April 10, 2018)
  - [WSD16-23 \(PDF\)](#), Subject: *Mandated Use of One Integrated Data System – Direct Data Key Entry Into CaIJOBS* (June 20, 2017)
  - [WSD15-07 \(PDF\)](#), Subject: *WIOA Eligible Training Provider List – Policy and Procedures*
  - Workforce Services Information Notice [WSIN17-15 \(PDF\)](#), Subject: *RR WARN Contact List and CaIJOBS Manage WARN Notifications Module*

### BACKGROUND

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On May 5, 2014, the CaIJOBS system became the federally recognized “system of record” for tracking and reporting California’s *Workforce Investment Act* (WIA) and then subsequently the

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

*Workforce Innovation and Opportunity Act (WIOA) Title I, subtitle B, Title III Wagner-Peyser, Trade Adjustment Assistance (TAA), and Jobs for Veterans State Grant (JVSG) participants. Additionally, per Mandated Use of One Integrated Data System – Direct Data Key Entry Into CalJOBS (WSD16-23), all WIOA Title I, subtitle B, and Title III subrecipients are required to direct key data into CalJOBS. As the system of record, CalJOBS provides a unified and streamlined intake and case management system that enables co-enrollment across programs, and consistent recording of data elements for reporting to the Department of Labor (DOL). The Local Workforce Development Area (Local Area) Management Information System (MIS) Administrators play a critical role in assisting local staff members to successfully use the CalJOBS system.*

The CalJOBS system houses Personal Identifiable Information (PII), sensitive, and confidential data, which must remain secure at all times.

## **POLICY AND PROCEDURES**

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Local Area MIS Administrators are granted “administrative” level privileges to create and manage CalJOBS staff user accounts. The designated MIS Administrators are responsible for creating new CalJOBS staff user accounts, resetting passwords, and submitting system issues experienced by staff in their Local Area. Each Local Area should have two MIS Administrators identified for their area.

### **Create New CalJOBS Staff User Account**

MIS Administrators are responsible for creating new CalJOBS staff user accounts. To ensure the appropriate privileges are provided to staff, CalJOBS privilege groups were created and are maintained by the CalJOBS Operations Unit. When creating a staff account, MIS Administrators have access to the following groups:

- **LWIA/CBO Staff**  
This group should be utilized for any staff that are administering Title I services only.
- **LWIA Partner Staff**  
This group should be utilized for any staff that are administering Title I services and need access to the Registration Only eligibility located in the Title III application.
- **LWIA Partner Supervisor**  
This group should be utilized if the staff requires the same access as LWIA Partner Staff, as well as needs access to manage staff within this group. This group has slightly more privileges in order to assisting managing staff within the LWIA Partner Staff or LWIA/CBO Staff groups.
- **ETPL Coordinators**  
This group should be utilized for staff identified as Local Eligible Training Provider List (ETPL) Coordinators working with providers as outlined in [WSD15-07 \(PDF\)](#).

- **WARN**  
This group should be utilized for those staff working as Rapid Response Worker Adjustment and Retraining Notification (WARN) Coordinators as outlined in [WSIN15-07 \(PDF\)](#).
- **View Access**  
This group should be utilized for those staff needing only the ability to view basic information on a jobseeker or employer account. The ability to edit any of the fields on the account is not be allowed.

If a CalJOBS staff user account needs to be created under a privilege group other than the groups listed above, please contact the CalJOBS Operations Unit ([caljobsadmin@edd.ca.gov](mailto:caljobsadmin@edd.ca.gov)).

By selecting a privilege group, the appropriate privileges are provided to that staff user account. If the MIS Administrator deems it necessary to provide more or less access to a staff member, the staff's user account can be adjusted manually. To ensure data integrity and system stability, MIS Administrators do not have access to all privileges. The MIS Administrator must contact the CalJOBS Operations Unit to request access if they are unable to adjust a specific privilege for the staff user account.

Once the staff user account is created, the MIS Administrator will provide the CalJOBS username and temporary password to the user. The first time the staff logs into CalJOBS with their username and temporary password, they will be immediately prompted to establish a new password. Password requirements are as follows:

- 8-20 characters
- At least one uppercase letter
- At least one lowercase letter
- At least one number
- At least one special character
  - Acceptable characters: (!), (@), (#), (\$), (%), (^), (\*), (.), (\_)

### **Reset Staff User Account Password**

MIS Administrators are responsible for resetting passwords for their staff's CalJOBS staff user accounts. Local Areas may define their own policy for resetting CalJOBS staff user account passwords.

When resetting the password, the MIS Administrator will reset the staff's password using the CalJOBS Administration site, and then notify the user of their temporary password. The first time the staff logs into CalJOBS with their username and temporary password, they will be immediately prompted to establish a new password. Staff must be reminded that their username and password are to be kept confidential.

### **Deactivation of CalJOBS Staff User Accounts**

MIS Administrators are responsible for the deactivation of CalJOBS staff user accounts. To maintain the security of the data housed within CalJOBS, a staff's CalJOBS account must be revoked prior to, or at the time of their separation from the organization. Local Areas are responsible for developing a policy that ensures CalJOBS staff user accounts are deactivated at the time of a staff's separation.

### **VOSGreeter Setup**

MIS Administrators are responsible for the set up and maintenance of the VOSGreeter module. The Local Area must work with any collocated partners in the setup of the module to ensure the check-in reasons meet the needs of all partners. For more information on the VOSGreeter module, please see [WSD17-09 \(PDF\)](#).

### **Provide CalJOBS Support**

MIS Administrators are responsible for providing CalJOBS support to their Local Area staff. MIS Administrators may utilize the CalJOBS<sup>SM</sup> User Directory (attachment 1) for assistance with troubleshooting system issues and supporting staff with the use of CalJOBS.

### **Reporting CalJOBS System Issues**

MIS Administrators are the Single Point of Contact for their Local Area. If a system issue occurs, staff should first contact their MIS Administrator for assistance and/or with questions regarding CalJOBS. If the MIS Administrator is unable to resolve the issue, the issue should be submitted to the CalJOBS Operations Unit via phone at 916-653-0202, or email at [caljobsadmin@edd.ca.gov](mailto:caljobsadmin@edd.ca.gov). All correspondence will be between the MIS Administrator and the CalJOBS Operations Unit staff.

## **ACTION**

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Bring this Directive to the attention of all affected staff.

## **INQUIRIES**

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If you have any questions, contact the CalJOBS Operations Unit at 916-653-0202.

/s/JAIME L. GUTIERREZ, Chief  
Central Office Workforce Services Division

Attachments are available on the internet:  
[CalJOBS<sup>SM</sup> User Directory \(PDF\)](#)

## MONTHLY AND QUARTERLY FINANCIAL REPORTING REQUIREMENTS

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### GENERAL INSTRUCTIONS

The attached Directive is being issued in draft to give the Workforce Development Community the opportunity to review and comment prior to final issuance.

Submit any comments by email or mail no later than **August 2, 2019**.

All comments received within the comment period will be considered before issuing the final Directive. Commenters will not be responded to individually and a summary of comments will be released with the final Directive.

Comments received after the specified due date will not be considered.

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**Email**            [WSBFinancialManagementUnit@edd.ca.gov](mailto:WSBFinancialManagementUnit@edd.ca.gov)

Include “Draft Directive Comments” in the email subject line.

**Mail**            Employment Development Department  
                    Attn.: Financial Management Unit  
                    P.O. Box 826880 / MIC 69  
                    Sacramento, CA 94280-0001

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If you have any questions, contact [WSBFinancialManagementUnit@edd.ca.gov](mailto:WSBFinancialManagementUnit@edd.ca.gov).



## MONTHLY AND QUARTERLY FINANCIAL REPORTING REQUIREMENTS

### EXECUTIVE SUMMARY

This policy provides the guidance and establishes the procedures regarding monthly and quarterly financial reporting requirements. This policy applies to all *Workforce Innovation and Opportunity Act* (WIOA) subrecipients who have a subaward in the form of a subgrant, and is effective on the date of issuance.

This policy contains some state-imposed requirements. All state-imposed requirements are indicated by ***bold, italic*** type.

This policy supersedes Workforce Services Directive *Monthly and Quarterly Financial Reporting Requirements* (WSD16-13), dated November 28, 2016. Retain this directive until further notice.

### REFERENCES

- WIOA (Public Law 113-128)
- Joint WIOA Final Rule
- Department of Labor (DOL) WIOA Final Rule
- Title 2 Code of Federal Regulations (CFR) Part 200: “Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards” (Uniform Guidance)
- Title 2 CFR Part 2900: “Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards” (DOL Exceptions)
- Training and Employment Guidance Letter (TEGL) 02-16, Subject: Revised ETA-9130 Financial Report, Instructions, and Additional Guidance (July 14, 2016)
- TEGL 02-15, Subject: Operational Guidance for National Dislocated Worker Grants, pursuant to the Workforce Innovation and Opportunity Act (WIOA or Opportunity Act) (July 1, 2015)
- Workforce Services Directive WSD17-07, Subject: *WIOA Youth Program Requirements* (January 16, 2018)
- Workforce Services Directive WSD15-25, Subject: *WIOA Program Income* (May 24, 2016)

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

- Workforce Services Directive WSD18-10, Subject: *WIOA Training Expenditure Requirement* (January 31, 2019)

## BACKGROUND

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Federal regulations require that the state submit accurate financial reports to DOL on a quarterly basis. Therefore, the state requires subrecipients to submit financial reports on a monthly and quarterly basis in the CalJOBS<sup>SM</sup> system.

## POLICY AND PROCEDURES

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### Expenditure Reporting Requirements

Subrecipients are responsible for ensuring all expenditure reports are accurate and submitted on time. Subrecipients are required to submit monthly and quarterly expenditure reports on a cumulative basis following the accrual basis of accounting. A separate expenditure report must be filed for each grant code.

Youth, Adult, and Dislocated Worker formula expenditures must be reported quarterly. ***Expenditures for all other funds are required to be reported monthly.*** Accrued expenditures do not need to be split out for monthly reports, but should be reported on all quarterly reports.

***Subrecipients must submit their monthly and quarterly expenditure reports in the CalJOBS system by the 20<sup>th</sup> of the month following the end of each reporting period.***

***Example – Expenditure reports for the reporting period that ends July 31 are due August 20.***

***NOTE – When the reporting deadline falls on a weekend or holiday, all reports are due by close of business (COB) on the last business day prior to the due date.***

***Example – If August 20 falls on a Sunday, reports would be due by COB on Friday the 18.***

***Late or incomplete filing of monthly and quarterly expenditure reports will impede future cash requests until the appropriate reports are filed. A cash hold will be implemented immediately once the due dates have passed and the expenditure reports have not been received by the State. Even if no financial activity has occurred since the start of the project, a zero expenditure report must still be filed. A zero expenditure report is an expenditure report submitted with all zeros.***

## Filing a WIOA Summary of Expenditures Report

*Follow the procedures below to file a Summary of Expenditures report in CalJOBS:*

1. *From the CalJOBS home screen, under the “Services for Subgrantee Staff” navigation menu, select “My Expenditures.”*
2. *Enter the appropriate subgrant number and grant code.*
3. *Find the report period end date that an expenditure report is being filed for and select “Create.”*
4. *Enter the appropriate expenditure information in the appropriate areas.\**
5. *Complete the “Certified By” and “Contact” information section.*
6. *Once you have completed the report, select “Save.”*

*\*Examples of the Summary of Expenditures reports are included as Attachments 1 through 4 to this directive. Definitions of the line items can be found in the definitions section of this directive.*

## Revising a Summary of Expenditures Report

*There may be a time when it is necessary to revise a Summary of Expenditures report. Follow the procedures below to revise your Summary of Expenditures Report in CalJOBS.*

1. *From the CalJOBS home screen, under the “Services for Subgrantee Staff” navigation menu, select “My Expenditures.”*
2. *Enter the appropriate subgrant number and grant code.*
3. *Find the expenditure report that was previously filed for the report period and select “Revise.”*

## Definitions

The following definitions are provided to clarify the reporting requirements above and the line items on the expenditure reports.

***Accrual Basis of Accounting*** – *The accounting basis wherein revenues and expenses are recorded in the period in which they are earned or incurred, regardless of whether cash is received or disbursed in that period.*

***Accrued Expenditures*** – *An expenditure for goods that have been received or services that have been provided but have not been paid for.*

***Administrative Expenditures*** – *Expenditures for administrative functions and in carrying out activities that are not related to the direct provision of workforce investment services. Such*

costs include both personnel and non-personnel costs and both direct and indirect costs (WIOA Section 3(1)). Such costs may include the following:

- accounting, budgeting, financial and cash management functions,
- procurement and purchasing functions,
- property management functions,
- personnel management functions,
- payroll functions,
- audit functions,
- costs of rent, equipment, utilities, postage
- travel costs incurred in carrying out administrative activities
- costs of information systems related to administrative functions

A complete list of administrative costs can be found in Section 683.215 in the Joint WIOA Final Rule.

**Career Services (Basic)** – Must be made available to all job seekers and include, but are not limited to: job listings, labor market information, labor exchange services, and information on partner programs (Joint WIOA Final Rule Section 678.430[a]).

**Career Services (Follow-Up)** – A program element that is required to last a minimum of 12 months after completion of participation, to help ensure participants receive support as they transition into the workforce. Follow-up services may include counseling regarding the workplace (Joint WIOA Final Rule Section 678.430[c]).

**Career Services (Individualized)** – Comprehensive services tailored to an individual in order to obtain or retain employment. Individualized Career Services include, but are not limited to: comprehensive skills assessments, career planning, and development of an individual employment plan (Joint WIOA Final Rule Section 678.430[b]).

***Cash Contributions – Federal and/or non-federal contributions of funds made available to the subrecipient to be used for project activities. The subrecipient controls and disburses these funds.***

***Cash Expenditures – An obligation for goods or services that have been received and paid for.***

***Cumulative Reporting – The reporting method that provides expenditure data for activity that occurs from the beginning term date of the project through the last day of the period (month or quarter) that is being reported.***

***Grant Code – The three or four digit code that identifies a particular allocation. The Central Office Workforce Services Division (COWSD) accounts for each allocation by grant code. Therefore, several grant codes exist within a subgrant agreement.***

***In-Kind Contributions – Federal and/or non-federal contributions of non-cash resources made available to the subrecipient to be used for project activities. Examples include donated personnel, services, or use of equipment or space.***

**Incentive Funds** – Non-Federal funds awarded to Local Workforce Development Areas (Local Area) based on performance (Joint WIOA Final Rule Section 677.215).

**Incumbent Worker Training (IWT)** – Training designed to meet the special requirements of an employer to retain a skilled workforce or avoid layoffs by assisting workers to acquire skills necessary to retain employment. Local Areas may reserve up to 20 percent of their combined adult and dislocated worker formula funds for IWT (DOL WIOA Final Rule Section 680.790 - 680.800).

***Leveraged Resources – Federal and/or non-federal resources (cash and/or in-kind contributions) used by the subrecipient to support grant activity and are allowable and auditable under Uniform Guidance. This includes all expenditures that meet the requirements for match but are in excess to the match requirement. For more information on Leveraged Resources, refer to directive WSD18-10, WIOA Training Expenditures Requirements.***

***Leveraged Training Resources - Local Boards may apply leveraged resources spent on training or supportive services toward meeting up to 10 percent of their minimum training expenditure requirement. Please refer to WSD18-10 to view allowable leveraged resources towards meeting the 10 percent requirement.***

***Match – Additional non-federal resources, unless otherwise stated in the Solicitation for Proposal (SFP), that are made available to the subrecipient either by cash or in-kind contributions to be used specifically for project activities. The awarded subrecipient has control over and disburses these funds. Match is only reportable when it is a requirement of the grant listed in the SFP. Match may be a federal and/or non-federal requirement and is documented by a project specific letter of commitment from the donor within the SFP.***

**Needs Related Payments (NRP)** – Funds used to provide payments to participants who are unemployed and do not qualify for unemployment compensation for the purpose of enabling such individuals to participate in training services (WIOA Section 134(d)(3)). Needs related payments are a type of supportive services; however, unlike other supportive services, a participant must be enrolled in training in order to qualify for needs related payments (DOL WIOA Final Rule Section 680.930).

**Obligation** – A formal contractual commitment for the dollar amount of orders placed, contracts and subgrants awarded, goods and services received, and similar transactions during a funding period that will require payment by the subrecipient during the current or future period (Uniform Guidance Section 200.71).

**Participant Wages** – Wages paid to participants in temporary jobs related to disaster National Dislocated Worker Grants (NDWG) which is in compliance with WIOA Section 181(a)(1)(A).

**Participant Fringe Benefits** – Benefits paid to participants in temporary jobs related to disaster NDWGs which is in compliance with the policies of the employer of record (TEGL 02-15).

**Pass-through Entity** – A non-federal entity that provides a subaward to a subrecipient to carry out part of a federal program (Uniform Guidance Section 200.74).

**Pay-for-Performance (PFP)** – A contract that specifies a fixed amount that will be paid to the service provider based on the achievement of specific levels of performance. Local Areas may reserve up to 10 percent of their combined adult and dislocated worker formula funds and/or 10 percent of their youth formula funds on PFP contracts (DOL WIOA Final Rule Section 683.510 – 683.520).

**Period of Performance** – The time during which the subrecipient may incur new obligations to carry out the work authorized under the federal award. The pass-through entity must include start and end dates of the period of performance in the federal award (Uniform Guidance Section 200.77).

**Program Income** – Income earned by the subrecipient that is directly generated by a supported activity or earned as a result of the Federal award. Program income includes but is not limited to income from fees for services performed, the use or rental of real or personal property, license fees and royalties on patents and copyrights, and interest on loans made with Federal award funds. Program income does not include rebates, credits, and discounts (Uniform Guidance Section 200.80). For more information on Program Income, refer to directive WSD15-25, *WIOA Program Income*.

***Program Management & Oversight – The amount of administrative expenditures (not to exceed the administrative cap) excluding any processing costs expended for NRPs will be entered in Section VIII.8.a. The amount of program expenditures related to the management and oversight of the program will be entered on Section VIII.8.b.***

***Stand-In Costs – Program costs, resulting from an audit, paid for with non-federal dollars. Stand-in costs must occur in the same year as the disallowed costs that they are replacing and they must not violate administrative or other cost limitations.***

**Subaward** – An award provided by a pass-through entity to a subrecipient for the subrecipient to carry out part of a federal award received by the pass-through entity. It does not include payments to a contractor or payments to an individual that is a beneficiary of a federal program. A subaward may be provided through any form of legal agreement, including an agreement that the pass-through entity considers a contract (Uniform Guidance Section 200.92).

***Subgrant Agreement – The vehicle that conveys WIOA funds to each subrecipient. The subgrant agreement may contain one or more grant codes and is term-specific.***

**Subrecipient** – A non-federal entity that receives a subaward from a pass-through entity to carry out part of a federal program; but does not include an individual that is a beneficiary of such program. A subrecipient may also be a recipient of other federal awards directly from the federal awarding agency (Uniform Guidance Section 200.93).

**Training Payments** – Services provided to equip individuals to enter the workforce and retain employment. Training services may include, but are not limited to: occupational skills training, on-the-job training, IWT, skill upgrading and retraining, and pre-apprenticeship training (DOL WIOA Final Rule Section 680.200). ***Assembly Bill (AB) 1149 imposes training expenditure requirements on Local Areas. For more information on the training requirements imposed by AB 1149, refer to directive WSD18-10, WIOA Training Expenditure Requirement.***

**Transitional Jobs** – A time-limited, paid and subsidized work experience for individuals with barriers to employment who are chronically unemployed or have inconsistent work history. Local Areas may reserve up to 10 percent of their combined adult and dislocated worker formula funds (DOL WIOA Final Rule Section 680.190 – 680.195).

***Unliquidated Obligations – A formal contractual commitment for a good or service that has NOT been received and has NOT been paid for within the report period.***

**WIOA Training Supportive Services** – Services such as transportation, child care, dependent care, housing, uniforms, safety gear, testing fees, tools, books, school supplies, and needs related payments, that are necessary to enable an individual to participate in WIOA funded activities (WIOA Section 3(59)). Other examples of supportive services can be found in Section 680.900 of DOL WIOA Final Rule.

**Youth In-School (ISY)** – Expenditures spent on in-school youth (DOL WIOA Final Rule 681.220). For eligibility and program requirements for ISY, refer to directive WSD17-07, *WIOA Youth Program Requirements*.

**Youth Out-of-School (OSY)** – Expenditures spent on out-of-school youth. OSY expenditures must meet a 75 percent requirement (DOL WIOA Final Rule Section 681.210 and 681.410). For eligibility and program requirements for OSY, refer to directive WSD17-07, *WIOA Youth Program Requirements*.

**Youth Paid/Unpaid Work Experience** – Paid or unpaid work experience provided to ISY and OSY that includes academic and occupational education. This includes summer employment opportunities, pre-apprenticeship programs, internships, and on-the-job training. Local Areas must expend 20 percent of their youth funds on work experience (DOL WIOA Final Rule Section 681.610). For more information on work experience, refer to directive WSD17-07, *WIOA Youth Program Requirements*.



## ACTION

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Bring this directive to the attention of the appropriate staff.

## INQUIRIES

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If you have any questions, contact the Financial Management Unit at [WSBFinancialManagementUnit@edd.ca.gov](mailto:WSBFinancialManagementUnit@edd.ca.gov).

/s/JAIME L. GUTIERREZ, Chief  
Central Office Workforce Services Division

Attachments are available on the internet:

1. [WIOA Summary of Expenditures Report \(PDF\)](#)
2. [Layoff Aversion and Rapid Response Summary of Expenditures Report \(PDF\)](#)
3. [Youth Summary of Expenditures Report \(PDF\)](#)
4. [National Dislocated Worker Grant Summary of Expenditures Report \(PDF\)](#)







## DEAF AND HARD OF HEARING GRANTEES PY 19-20

The Employment Development Department (EDD) announces the awarding of five grants totaling \$2,300,000 for the Deaf and Hard of Hearing (DHH) Services for Program Year 2019-20. The Wagner-Peyser 10 Percent allocation funds these grants. The awardees will provide employment-related services to deaf and hard of hearing individuals through the America's Job Center of California<sup>SM</sup> (AJCC) network. Services to be provided at 18 AJCC sites include job development and placement services, counseling, and community outreach.

A listing of each grant award, including project agency and description, award amount, and contact information can be found on the [Workforce Development Solicitations for Proposals](#) under "Deaf and Hard of Hearing Services SFP 2019-20."

For questions or additional information, please contact Georganne Pintar at 916-654-7611 or [georganne.pintar@edd.ca.gov](mailto:georganne.pintar@edd.ca.gov).

/s/ JAIME L. GUTIERREZ, Chief  
Central Office Workforce Services Division

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

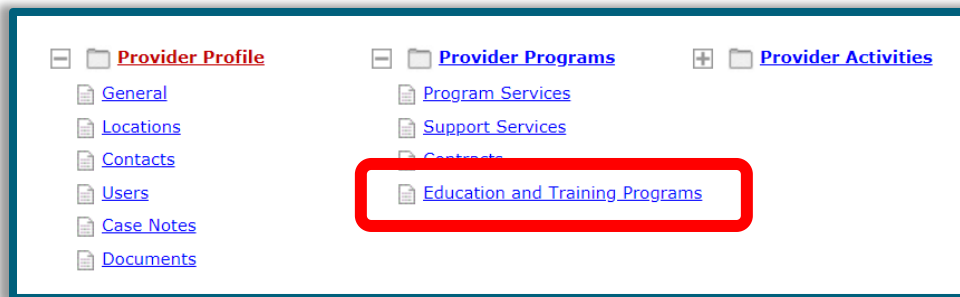


## ENHANCEMENTS TO ETPL MODULE IN CaIJOBS

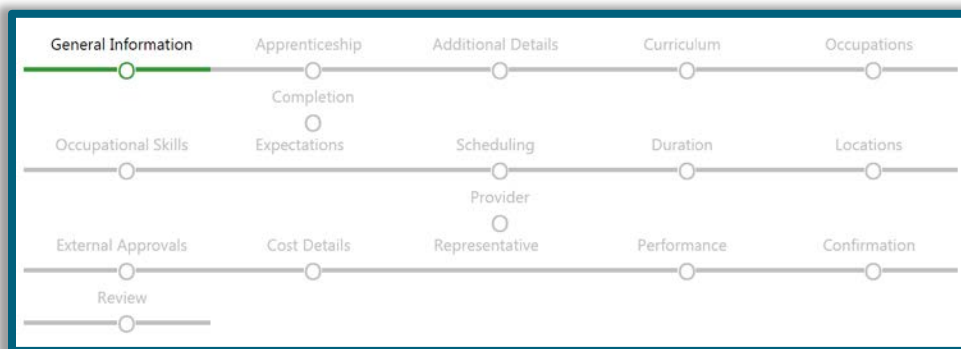
On July 11, 2019, the CaIJOBS<sup>SM</sup> Eligible Training Provider List (ETPL) module will be upgraded to make it easier for providers and staff to create and manage programs. The changes will occur after business hours and will be visible to staff on Friday, July 12, 2019. The availability of CaIJOBS will not be impacted by this event.

The key enhancements and changes to the module include the following:

- In the Provider Programs folder, the “Self Service Education Programs” section is relabeled “Education and Training Programs.”



- When adding a new program, the program wizard guides users through each step of the process.



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- The Education and Training Programs tab displays a more detailed list of programs, including a column for changes submitted for review, and easy access to edit programs through the addition of the “Edit” link under the Action column.

Education and Training Programs					
Program Name	Program Description	Changes Submitted	Active	Review Status	Action
Music Instruments PS - Approved Provider Training - ITA <b>WDA REAPP</b>	A program that generally prepares individuals to master musical instruments and performing art as solo and or ensemble performers. Includes instruction on one or more specific instruments from various instrumental groupings.		✓	Approved/Eligible	<a href="#">Edit</a> <a href="#">Deactivate</a>

- When editing a program, the program is displayed in multiple tabs, which enables the provider and staff to quickly locate the area that needs to be updated.

Scheduling	Duration	Locations	External Approvals	Cost Details	Provider Representative	Performance	Confirmation	Review
General Information	Apprenticeship	Additional Details	Curriculum	Occupations	Occupational Skills	Completion Expectations		

- A “Review” tab that displays state and local approval status.

Review						
Review Type	Status	Subsequent Review Due Date	Date Reviewed	Last Edit Date	Review Location	Action
ITA	Pending (system-set only)	3/7/2021	N/A	3/7/2019 3:45 PM	N/A Cuellar-Lopez, Monica	<a href="#">Edit</a>
ITA	<b>WDA</b> Approved/Eligible	3/8/2019	2/15/2018	3/7/2019 2:41 PM	State Cuellar-Lopez, Monica	<a href="#">View</a>

The enhancements to the ETPL module help users move through the process of creating and editing programs, including the review and approval of programs by Local Area and the Employment Development Department staff.

If you have any questions about the ETPL module, please contact the State ETPL Coordinator at [WSBETPL@edd.ca.gov](mailto:WSBETPL@edd.ca.gov).

/s/JAIME L. GUTIERREZ, Chief  
Central Office Workforce Services Division



## APPRENTICESHIPS: CLOSING THE SKILLS GAPS GRANT OPPORTUNITY

The U.S. Department of Labor (DOL), Employment and Training Administration (ETA), published a Funding Opportunity Announcement (FOA) of approximately \$100 million for the Apprenticeship: Closing the Skill Gap grant program. The purpose of this grant program is to promote apprenticeships as a significant workforce solution in filling current job vacancies and closing the skills gap between employer workforce needs and the skills of the current workforce.

The overarching goals of this grant are threefold: (1) to accelerate the expansion of apprenticeships to industry sectors and occupations that have not traditionally deployed apprenticeships for building a skilled workforce; (2) to promote the large-scale expansion of apprenticeships across the nation to a range of employers, including small and medium-sized employers; and (3) to increase apprenticeship opportunities for all Americans.

Grant funds will be awarded to an apprenticeship partnership of public and private sector entities which together seek to develop and implement new apprenticeship models, or expand an existing apprenticeship program to a new industry sector or occupation, a new population, on a local, regional, statewide, or national scale.

For more information about the grant opportunity, please visit the [grants.gov](https://www.grants.gov) website using opportunity # FOA-ETA-19-09-Apprenticeships: Closing the Skill Gap. For a complete description of the funds available, funders, eligibility requirement, and links to the grant application, please visit the [DOL/ETA](https://www.dol.gov) website. The closing date for receipt of applications under this grant opportunity is September 24, 2019.

/s/JAIME L. GUTIERREZ, Chief  
Central Office Workforce Services Division

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## **AB 1111: BREAKING BARRIERS TO EMPLOYMENT INITIATIVE REQUEST FOR APPLICATIONS**

The California Workforce Development Board (CWDB) is pleased to announce the availability of approximately \$11 million in state funds for the AB 1111: Breaking Barriers to Employment Initiative. These funds will support projects to serve individuals who face the greatest barriers to employment through a joint collaboration with Local Workforce Development Boards (Local Board) and community-based organizations (CBO). The CWDB is interested in funding projects that advance the goals of the [Unified Strategic Plan \(PDF\)](#) and build workforce system infrastructure and capacity through the following efforts:

- Collaboration among partners in the development of service delivery strategies and alignment of resources, to ensure the success of individuals either preparing to enter, or already enrolled, in workforce and education programs.
- Innovation that adapts existing approaches, or accelerates the application of, promising practices in workforce development and skill attainment.
- System change that utilizes these funds to incentivize adoption of proven strategies and innovations that are sustained beyond the grant period.

Applications must include a partnership between a Local Board and a mission-driven CBO with a history of providing services to the target population(s) specified.

All applications must be received by 3:00 p.m. PST on **August 26, 2019**.

Interested applicants are encouraged to register for an [Application Workshop](#) scheduled for July 26, 2019.

For more information, please visit the CWDB's [AB 1111: Breaking Barriers to Employment](#) webpage.

/s/JAIME L. GUTIERREZ, Chief  
Central Office Workforce Services Division

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Southern California SMART Training Registration Deadline: **August 15, 2019**  
Northern California SMART Training Registration Deadline: **September 12, 2019**

If additional representatives would like to be added to the waiting list, please complete the California DOL SMART Training *Waiting List Registration Form* (Attachment 3) and submit it to [CBUTraining@edd.ca.gov](mailto:CBUTraining@edd.ca.gov). We will begin approving the waiting list on August 16 and September 13, respectively. Should additional spaces become available, the representatives on the waiting list will be notified via email.

## **ROOM RESERVATIONS**

Room reservations must be made directly with the hotels in the area. The following hotels offer rooms at the state and federal rates:

### **Southern**

- [Courtyard Los Angeles Baldwin Park](#)
- [Courtyard Los Angeles Hacienda Heights/Orange County](#)
- [Fairfield Inn & Suites Los Angeles Rosemead](#)
- [Residence Inn La Mirada Buena Park](#)

### **Northern**

- [Holiday Inn Sacramento Downtown – Arena](#)
- [Courtyard Sacramento Cal Expo](#)
- [DoubleTree by Hilton Hotel Sacramento](#)

If you have any questions regarding this notice, contact the Statewide Training Unit at 1-916-651-6074 or email us at [CBUTraining@edd.ca.gov](mailto:CBUTraining@edd.ca.gov). We look forward to seeing you at the upcoming DOL SMART 3.0 Training.

/s/ JAIME L. GUTIERREZ, Chief  
Central Office Workforce Services Division

Attachments are available on the internet:

1. [Draft Agenda California DOL SMART Training \(PDF\)](#)
2. [Draft Session Overview California DOL SMART Training \(PDF\)](#)
3. [Waiting List Registration Form \(DOCX\)](#)