

Evaluation Criteria for Local Plans and Local Board Certification

Purpose

On behalf of the Governor, the State Board must concurrently perform three statutorily required activities related to ensuring effective local boards. These activities are:

- 1. Approve five-year local plans based on adherence to the *State Strategic Workforce Development Plan*:** Local boards are required by federal law to submit to the State Board a comprehensive five-year local plan that reflects the vision, strategy, and goals of the State Strategic Workforce Development Plan (State Plan).
- 2. Recommend local board recertification to the Governor:** Federal and state law require the State Board to recommend to the Governor recertification of each local board every two years. Consideration is based on meeting minimum federal performance measures and compliance with state and federal law and regulations.
- 3. Evaluate local board performance for biennial “high-performance” certification:** In 2011, Governor Brown signed Senate Bill 698 [California Unemployment Insurance Code (CUIC) 14200(c)] which set the bar higher for local board performance. By January 1, 2013, the State Board must implement standards for certifying high-performance local boards. The first certification will occur by October 1, 2013.

In order to maximize efficiency and minimize the administrative workload of the local boards and state staff, the State Board is combining the three above activities into a single evaluation process.

The high-performance local board standards will serve as the core for State guidance to local boards for developing their local plans. Those local boards that comply with the minimum requirements of this guidance will be considered for local plan approval as well as local board recertification. Those local boards that exceed the minimum requirements promulgated in the high-performance standards will be considered for status as a “high-performance” local board.

Those local boards that do not meet the minimum requirements will receive further technical assistance from the State Board and the Employment Development Department (EDD) Workforce Services Branch to correct shortfalls. The goal is that all local boards receive local plan approval and local board recertification. Additionally, those local boards that do not meet the high-performance standards, but wish to do so, will receive further technical assistance from the EDD and the State Board.

High-performance certification is a voluntary process. A local board must request high-performance certification at the time its local plan is submitted to the State Board. It is expected that this certification will provide a local board increased recognition, credibility and visibility for its work.

The initial 2013 high-performance certification is a baseline stage of a continuous improvement process primarily based on the local board's commitment in their local plan to the State Plan goals and strategies. In 2015, the State Board will revise the high-performance standards and evaluation criteria to place more emphasis on measurable data related to specific employment and education outcomes for workers and job-seekers.

Assumptions

The high-performance local board standards and evaluation criteria are intended to:

- **Be meaningful** – They should be credible to all stakeholders and defensible in their correlation to whether a local board is “high-performance” or not.
- **Incentivize the implementation of the State Plan goals and objectives** – The standards should encourage local boards to:
 - Take on strategic community leadership roles that engage diverse partners and stakeholders;
 - Prioritize and invest in worker training;
 - Adopt and use sector partnerships as a key part of service delivery;
 - Publicize workforce successes; and
 - Continuously improve service delivery.
- **Be achievable and replicable** -- The standards should be a “fair game” that strong local boards can pass with realistic metrics. These standards should help identify local boards that are “high-performance,” and should neither be set so low that all variants of practice pass, nor so high that no one can pass.
- **Be easily understood** – The standards should be clear and easily understood and not result in additional administrative burden.

Scoring

Local boards will be assessed against five standards. These standards coincide with the State Plan and each of its four goals. Each standard contains four criteria for a total of 20. Four of the 20 criteria are required elements contained in the federal Workforce Investment Act (WIA) and State law and will be scored as pass/fail. The other 16 criteria will be worth two points each for a maximum of 32 possible points.

For local board recertification, local boards that fail any of the four required pass/fail elements and/or fail to meet the minimum requirements for any of the 16 other criteria

will receive a “conditional” certification and will be required to submit a corrective action plan to the State Board within 45 days that addresses those areas that did not meet the minimum requirements. Local boards that pass the four required pass/fail elements and meet the minimum requirements for each of the 16 other criteria will receive full certification.

Local boards that seek to be considered for “high-performance” certification must pass the four required pass/fail elements and meet or exceed the minimum requirements for each of the 16 other criteria and obtain 26 of 32 possible points.

Scoring Definitions

0 Points:

The local plan element contains *insufficient* detail and *does not* meet minimum requirements.

1 Point:

The local plan element contains the required analysis, identifies goals and strategies for achieving the desired outcomes in sufficient detail to meet minimum requirements.

2 Points:

The local plan element contains detailed analysis and clearly identified goals and strategies for achieving the desired outcomes and *exceeds* minimum requirements. The local plan provides evidence that a regional partnership is being or has been formed (that includes education, business, labor, and other workforce entities) that support the goals and the strategies in the local plan. The local plan leverages resources of the partnership. Local board officials were actively engaged in the planning process and participate as champions for the workforce system.

Tips for local boards requesting “high-performance” certification as part of their local plan submission:

- **Focus on the standards and the criteria.** Review of the local plan will center on the local board’s demonstrated performance against each standard, and the four criteria that are being used to operationalize the standard.
- **Treat the detail under each criterion as examples, not the only required points of response.** The State Board recognizes that different local boards bring different strengths and approaches to these expectations. Use whatever combination of the topics included as examples of proof with others that are locally relevant to make your case.
- **Be clear and concise.** Applicants won’t get additional points for volume of detail provided. The State Board and the review team are interested in local boards telling their story succinctly.

STANDARD 1 VISION, ECONOMIC AND WORKFORCE ANALYSIS, STRATEGIC PLANNING AND IMPLEMENTATION

Expectation: In support of the State Plan, the local board developed and will implement an actionable strategic plan through an inclusive stakeholder process that articulates key workforce issues and prioritized strategies for impacting them, both within the LWIA, regionally, and, where applicable, the overall labor market.

Criteria:

1. The local plan meets the local planning requirements in CUI Section 14200(c). (Mandatory, Pass/Fail)

Evidence must include:

- The local plan is a strategic plan, not just a WIA program plan.
- The local plan incorporates and reflects the Governor's vision, goals, and policy priorities of the State Plan.
- The local plan contains measurable goals that support the goals and objectives in Chapter IV of the State Plan and includes a well-specified blueprint for attaining the goals with benchmarks, timelines, and action steps that specify who will take action to meet the goals.
- The local plan identifies local and regional community stakeholders and includes their input.

2. The local plan's vision is strategic and comprehensive. (Maximum 2 points possible)

Examples of evidence:

- The local plan demonstrates a good understanding of the labor market and the workforce needs of the priority industry sectors in the local and regional economy derived from a detailed economic and workforce analysis.
- The goals and strategies of the local plan address the workforce needs of the identified priority industry sectors in the local and regional economy and include career pathway programs to provide upward mobility to unskilled and entry-level workers in these priority industry sectors.
- The local plan demonstrates an awareness of the various workforce, education and training services provided in the local and regional economy and their relevance to meeting the labor market needs of the priority industry sectors.
- The local plan articulates how the local board and One-Stop delivery system will make use of, and coordinate with, the various workforce, education and training service delivery organizations and systems in the local and regional economy to achieve the local plan goals and objectives.

3. The local plan's goals and objectives are evidence-based. (Maximum 2 points possible)

Examples of evidence:

- The local plan is informed by and based upon data from a detailed economic and workforce analysis.
- Strategies chosen are based on evidence drawn from research, evaluation, and promising practices.
- The local plan contains clear metrics, both quantitative and qualitative, for each strategy, and the local board is prepared to regularly assess progress against those strategies, including a game plan for collecting and analyzing needed information.
- The local board regularly receives performance information to enable it to perform its oversight role of the One-Stop operations.

4. Key stakeholders are actively engaged both in the planning and implementation of the local plan (Maximum 2 points possible)

Examples of evidence could include describing how:

- Employers from priority industry sectors in the LWIA or regional economy were actively engaged in the planning process and continue to be during implementation.
- Local board members were actively engaged in the planning process and participate as champions for the workforce system.
- Labor organizations were actively engaged in the planning process and continue to be during implementation.
- Education partners, including K-12, adult education, Career Technical Education (CTE), community colleges, and universities were actively involved in the planning process and continue to be during implementation.
- Community based organizations representing target populations of job-seekers were actively engaged in the planning process and continue to be during implementation.
- The local board collaborated regionally with other local boards that share common labor markets during the planning process and continue to do so during implementation, including aligning resources and investments in support of shared strategies and priority industry sectors.
- The local plan is a living document, which the local board and community partners modify and update as needs and economic conditions change.

STANDARD 2 BUSINESS SERVICE PLAN, PARTNERSHIPS AND SECTOR STRATEGIES

Expectation: The local board partners effectively with businesses to identify and resolve skill gaps in priority industry sectors, working in particular through industry sector partnerships.

Criteria:

- 1. The local board has included in its local plan a Business Services Plan, which integrates local business involvement with workforce initiatives. (Maximum 2 points possible)**

Examples of content in the business services plan include:

- How the local board collaborates with businesses to identify skill gaps that are reducing the competitiveness of local businesses within relevant regional economies.
- How the local board effectively engages employers, including representatives from priority industry sectors, as members of the local board and in development of the Business Services Plan.
- What regional or joint approaches with other local boards and other partners are being undertaken to align services to employers.
- What metrics will the local board use to gauge the effectiveness of services provided to business.

- 2. The local board partners with priority industry sector employers and educators in developing and operating regional workforce and economic development networks as a primary strategy. (Maximum 2 points possible)**

Examples of evidence:

- Regional workforce and economic development networks include employers from priority industry sectors and other partners such as educators, workforce developers and others the partnership deems important. An industry-credible convener facilitates the work of each network.
- Regional workforce and economic development networks focus on identifying and meeting the skill needs of the priority industry sectors, while industry sector partnerships focus on developing career pathways that contain entry points for low-skilled workers for each cluster within a priority industry sector.

- Regional workforce and economic development networks operate at the regional geographic scale appropriate to the labor markets for the relevant priority industry sectors.

3. The local board facilitates and/or participates in unified workforce services support to employers within their labor market, integrating with other relevant local boards, educators, and other partners. (Maximum 2 points possible)

Example of evidence:

- The local board leads and/or partners in a unified employer services strategy or in regional workforce and economic development networks that provides businesses with single points of contact spanning all relevant agencies.

4. The local board takes the lead in identifying and obtaining resources to sustain operation of regional workforce and economic development networks over time. (Maximum 2 points possible)

Examples of evidence:

- The local board embeds regional workforce and economic development networks into its use of formula WIA funds and other funds it manages.
- The local board works with regional workforce and economic development networks to develop and implement sustainability strategies, leveraging or braiding combinations of public and private funding.
- The local board seeks out funding opportunities and aligns resources with labor, education, corrections, social services, economic development and other key partners and programs in support of the local plan.

STANDARD 3 ADULT INVESTMENTS IN TRAINING, SKILLS DEVELOPMENT AND CAREER PATHWAYS

Expectation: The local board views as a priority the increasing of worker skills and workplace competencies and the development and use of career pathways that connect skills to good jobs that can provide economic security.

Criteria:

- 1. The local board ensures pre-apprenticeship and apprenticeship training is coordinated with one or more apprenticeship programs registered by the U.S. Department of Labor Employment Training Administration (DOLETA) and/or approved by the California Department of Industrial Relations Division of Apprenticeship Standards (DIR/DAS) for the occupation and geographic area. (Mandatory, Pass/Fail scoring)**

Example of evidence:

- The local board has clearly articulated goals and strategies for fostering collaboration between community colleges and DOLETA-registered and DIR/DAS-approved apprenticeship programs, through Memorandums of Understanding (MOU) or other formal mechanisms, in the geographic area to provide pre-apprenticeship training, apprenticeship training, and continuing education in apprenticeable occupations through the registered/approved apprenticeship, as required by the Workforce Training Act [CUIC Section 14230 (AB 554)].

- 2. The local board prioritizes training for occupations in priority industry sectors in the local or regional economy resulting in completion and attainment of a degree and/or other credentials valued and used by priority industry sector employers within the region. (Maximum 2 points possible)**

Examples of evidence:

- The local board requires training funds be used to prepare workers for occupations in priority industry sectors for which demand can be articulated or projected through their detailed economic and workforce analysis.
- The local board engages priority industry sector employers to ascertain what degrees and credentials are of value to them.
- The local board has clearly defined strategies to ensure it meets the minimum expenditure levels of their Adult and Dislocated Worker WIA formula allocations on workforce training services, as required by the Workforce Training Act [CUIC Section 14211 (SB 734)].

- The local board sets training completion as an Employment Training Partner List (ETPL) eligibility requirement and performance expectation for continued eligibility of its training providers.
- The local board identifies high-quality training providers based on credentials attained and relevant employment outcomes for graduates.
- The local board sets the attainment of industry-recognized degrees, credentials or certificates in the priority industry sectors identified in its detailed economic and workforce analysis as a measurable expectation in its training investments.
- The local board emphasizes sustainable-wage jobs and economic security, including utilization of “self-sufficiency” measures that reflect local conditions.

3. The local board emphasizes career pathways as a framework through which learners can connect their skills and interests with viable career options. (Maximum 2 points possible)

Examples of evidence:

- The local board utilizes industry sector partnerships to collaborate with priority industry sector employers and local K-12 and postsecondary educators to map career pathways within and across those industries.
- The local board collaborates with educators, One-Stop operators and training providers to ensure learners can obtain and make effective use of career pathway information.

4. The local board continuously partners with employers, educators, and other stakeholders to identify funding to support worker training and education that results in improved skills, degree, credential and certificate attainment, and employment. (Maximum 2 points possible)

Example of evidence:

- There is a regional workforce and economic development partnership or similar partnership with a written revenue plan, or a similar document, which describes strategies to obtain, leverage or braid resources, and includes goals and progress measures aligned to the local plan.

STANDARD 4 YOUTH STRATEGIES

Expectation: The local board is a strategic leader in building partnerships to reduce high school dropout rates; to effectively re-engage disconnected youth in education and work; to help youth understand career pathway options; and to encourage attainment of post-secondary degrees and other credentials valued by industry in the local area or the region's labor market.

Criteria:

- 1. The local board is a partner with K-12 education and others on strategies that reduce high school dropout rates and encourage dropout recovery. (Maximum 2 points possible)**

Examples of evidence:

- The local board works to engage local school districts to craft strategies that identify students at risk of dropping out and helps execute interventions to work closely with those students to keep them engaged.
- The local board works to partner with local school districts in setting metrics for dropout rate reduction and in engaging employers, parents, and other stakeholders in meeting those goals.

- 2. The local board is a partner in developing and executing strategies to re-engage disconnected youth. (Maximum 2 points possible)**

Examples of evidence:

- The local board partners with diverse stakeholders such as education, juvenile justice, human services, faith-based organizations, and others, to develop and deliver a comprehensive set of services designed to re-engage young people who have already dropped out of school and are at risk in education and employment attainment.
- The local board collaborates with those partners to fund the re-engagement of disconnected youth in education and employment.
- The local board works with its partners to set metrics for success rates in youth re-engagement and to make those results visible to the community.
- The local board has developed new and innovative strategies and partnerships, which have resulted in increased employment opportunities for youth in the local area or region.

3. The local board partners with employers, educators and others to help youth understand career pathway options. (Maximum 2 points possible)

Examples of evidence:

- The local board partners in developing career pathway information and tools that will work effectively with youth.
- The local board connects youth employment strategies within career pathways by, for example, blending occupational skills training with academic learning.

4. The local board encourages youth to focus on attainment of postsecondary degrees and other credentials important to priority industry sector employers in the local or regional labor market. (Maximum 2 points possible)

Examples of evidence:

- The One-Stop system is youth-friendly and provides information on jobs in priority industry sectors with career pathways leading to economic security in the local area or region; access to postsecondary education that provides credentials, certificates and degrees in priority sectors; and financial assistance and scholarship programs and opportunities.
- The local board publicizes information and research that shows the connections of various kinds of postsecondary credential, certificate or degree attainment with employment rates and wages.
- The local board informs young people about the market value of CTE, “earn and learn” training options such as apprenticeships, OJT, etc., and industry-valued credentials and certificates that require less time than a two or four-year degree.

STANDARD 5 ADMINISTRATION OF THE LOCAL BOARD

Expectation: The local board consists of a strong, engaged membership that represents the community; measures its effectiveness in meeting both federal and State legal requirements and its own local goals; has a process for continuous review and improvement of performance; and shares its results.

Criteria:

1. The local board membership meets all legal requirements (WIA Section 117(b), SB 293) and is representative of the community. (Mandatory, Pass/Fail)

Evidence must include:

- Recruitment of new membership including a majority of business (businesses that represent the local plan's targeted industry sectors of focus are desired but not required).
- The local board membership includes at least 15 percent of members representing labor organizations and this requirement is incorporated into their bylaws.

NOTE: A local board with a participation level of 10-15 percent may receive a passing score *only if* 1) there is a letter from its central labor council(s) stating that the central labor council(s) has reached an agreement with the local board to that lower participation level or 2) the local board can document its unsuccessful attempts to solicit appointments from its central labor council(s) (in compliance with Directive [WIAD06-21](#)).

2. The local board meets other required elements (WIA sections 117(h) and 121(b), SB698). (Mandatory, Pass\Fail)

Evidence must include:

- The local board has established and provided a copy of the MOUs with all the mandatory partners identified in the WIA, as well as other local partners supporting One-Stop service operations.
- Through a public procurement process or other means, the local board has established at least one comprehensive One-Stop in their LWIA.
- The local board has established a sub-committee of the local board that further develops and makes recommendations for the Business Service Plan to the local board in an effort to increase employer involvement in the activities of the local board and this requirement is incorporated into their bylaws.
- The local board has an active and engaged Youth Council.

- The local board has met the 30 percent expenditure requirement for out-of-school youth.
- The local board has an approved Corrective Action Plan for all audit findings.
- The local board has achieved at least 80 percent of its negotiated WIA Common Measure performance goals in the past year.

3. The local board continuously reviews performance of its programs and initiatives, and has a strategy for encouraging and ensuring continuous improvement. (Maximum 2 points possible)

Examples of evidence:

- The local board uses a performance dashboard that tracks key metrics about the results from its programs and initiatives. (If the local board has established additional matrices to track unique local programs and initiatives outside of the Workforce Investment Act Standardized Record Data, these should also be included.)
- The local board seeks and receives feedback from its customers and partners and has a strategy for responding to their identified issues and for improving customer satisfaction.
- The local board engages the public, through a public comment process, in the analysis of community workforce information and subsequent strategic planning.
- The local board has a mechanism for determining return on investment.
- The local board works with its partners and/or other local boards to reduce administrative costs by streamlining paper processes, improving efficiencies, reducing duplication, etc.

4. The local board transparently communicates the results of its efforts with the community. (Maximum 2 points possible)

Examples of evidence:

- Local board meeting summaries clearly articulate and demonstrate progress towards achieving the local plan goals.
- The local board publishes and widely disseminates a performance dashboard containing program and initiative results.
- The local board communicates the success of its programs to employers and job seekers.