

Governor's Workforce Investment Office Policy Guidance Letter No. 12-00

To: ALL WORK4WV WORKFORCE INVESTMENT BOARD CHAIRS
ALL WORK4WV WORKFORCE INVESTMENT BOARD DIRECTORS
ALL WORK4WV ONE-STOP LIAISONS
ALL STATE AGENCIES INVOLVED IN WORK4WV
WEST VIRGINIA SERVICE PROVIDER ASSOCIATION PRESIDENT
STATE WORKFORCE BOARD CHAIR
STATE WORKFORCE BOARD EXECUTIVE DIRECTOR

From: JAMES S. JEFFERS
CHIEF OF WORKFORCE INVESTMENT
GOVERNOR'S WORKFORCE INVESTMENT OFFICE

Subject: CERTIFICATION OF ONE-STOP OPERATORS

Effective Date: September 12 , 2000

Purpose: To provide a framework for local Workforce Investment Boards use in certifying WORK4WV One-Stop operators.

Reference: The Workforce Investment Act of 1998, Chapter 2, Section 117(d), Section 118(2)(A, B); Chapter 3(c, d). The Workforce Investment Act Interim Final Rule, Subpart C, 661.305(a); Subpart D, 662.400(a, b, c), 662.410(a, b).

Background: The Workforce Investment Act is structured to allow local workforce areas to develop, workforce development systems which are locally designed, locally accountable, and built within a states vision for workforce investment. It gives states and local areas the opportunity to build quality and accountability into local service delivery systems.

One-Stop Career Centers (WORK4WV) are envisioned in the Act as the primary vehicle for creating a workforce investment system that is organized around customer needs, rather than around programs and funding sources. The WORK4WV system and the One-Stop Centers within this system must offer a core set of services to all customers who want them, without eligibility requirements. The goal is to make access to these services easy and customer-friendly to both individual citizens and employers. The WORK4WV system requires close collaboration and integration of services across agencies and programs. The WORK4WV Centers must be established and maintained as high quality service entities that are continuously improving and meeting customer expectations.

One of the tools the Act provides local Boards to assist in their pursuit of service quality is their responsibility for the certification (called Chartering in the WORK4WV system) of WORK4WV Centers

Policy: The process for certifying One-Stop Centers in the WORK4WV system is outlined in the Attachment to this policy letter. The certification methodology is intended to provide local

Boards with a framework that sets the state vision for the system, while at the same time allowing local Boards the flexibility to establish locally driven standards that meet local needs. The process is built around the Malcolm Baldrige National Quality Award criteria. The award recognizes organizations that demonstrate high levels of excellence and improvement in their overall performance. The WORK4WV certification process will help form the intended partnership between local Boards, One-Stop Centers and other system partners striving for service quality and system improvements.

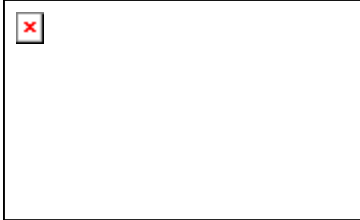
Action: Local Workforce Investment Boards must use this chartering framework to certify One-Stop Centers in their local areas. Certification should be for a timeframe of two years. This process should be used for local Board certification of the WORK4WV Centers given professional certification by GWIO effective July 1, 2000, as well as subsequent certification of new One-Stop Centers.

Questions: Questions should be directed to the Governor's Workforce Investment Office, 1900 Kanawha Boulevard, East, Building 6, Room B617, Charleston, WV 25305. Toll free phone no: 1-877-WORK4WV.

Expiration Date: Effective until modified or rescinded by the Governor's Workforce Investment Office.

ATTACHMENT

WORK4WV



Local Workforce Investment Boards Chartering Process

**A Framework for Service Quality
And
Continuous Improvement**

Governor's Workforce Investment Office

1900 Kanawha Boulevard East

Building 6, Room B-617

Charleston, West Virginia 25305

1-877-WORK4WV

WORK4WV Chartering Criteria:

The Statewide Vision for Quality Assurance

I. Introduction

One of the most important roles local Workforce Investment Boards (WIBs) can play in WORK4WV system development is to provide the leadership needed to transform the service delivery system to one that focuses on quality service, customer satisfaction, and continuous improvement. This can require significant cultural, policy and operational changes as compared to the existing system. WIBs will be expected to push workforce investment stakeholders to commit to continuous improvement activities beginning with providing products and services that meet or exceed customer expectations.

As each local workforce investment area implements the WORK4WV system, the Workforce Boards must develop chartering criteria (performance and operational expectations) with the One-Stop operator(s) participating in the operation of, or providing services through a local WORK4WV Center. The primary purpose of the charter is to establish that Centers are capable of meeting or exceeding quality standards that have been set by the WDB. In essence, granting the charter will certify the readiness of the Center to deliver high quality services to its customers.

The state's model for chartering places the primary authority and responsibility for setting performance measures and standards at the local level with the WIBs. However, to ensure consistency of quality across the WORK4WV System, the state provides a statewide vision and framework for WIBs to use.

To ensure that the WORK4WV system functions as a high quality service operation, the state will use one of the most compelling private sector frameworks, the Malcolm Baldrige National Quality Award Criteria. The Baldrige Award was established in 1987 by Congress to honor companies that excel in business excellence and quality achievement. Equally important, beyond the small number of firms that go through the official awards application process, many thousands more use the Baldrige criteria for internal self-assessment and benchmarking.

The basic premise of the Baldrige Award criteria is that successful organizations operate with the systems, structures and strategies to achieve three things:

Superior performance;
Continuous improvement; and
Highly satisfied customers.

A. Key Definitions

- **Required or Mandated Partners:** The organizations responsible for the local administration of the funds of the specified programs identified in Chapter 3, Section 121 (b) of the Workforce Investment Act. See the Appendix for a list of these required partners. Required partners must make their applicable core services available in One-Stop Centers and use portions of the funds to create and maintain the WORK4WV service delivery system.
- **One-Stop Operator:** A single organization or consortium of organizations that may operate one or more WORK4WV Centers. One-Stop operators are selected and chartered by local Workforce Investment Boards with agreement from local elected officials.
- **Memorandum of Understanding:** An agreement developed and executed between WIBs and the One-Stop partners related to the operation of the WORK4WV system in the local area. A Memorandum of Understanding must be executed before a One-Stop operation can be chartered.

- **WORK4WV System:** West Virginia's service delivery strategy, which includes WORK4WV Centers, Affiliate Sites, Access Points, and the WORK4WV Operating System.

- **WORK4WV Center:** A physical location where at least three of the required partners are co-located and providing services, and where all of the required partners' services are accessible.

- **WORK4WV Affiliate Site:** A physical location where WORK4WV partners are providing services and access to the WORK4WV Operating System.

- **WORK4WV Access Point:** A physical location where customers can access the Internet –based WORK4WV Operating System.

- **Core Services:** Services provided by all WORK4WV partners and universally accessible to all customers. There are no eligibility requirements for the receipt of core services.

- **Intensive Services:** Services designed for those who are unable to obtain employment through core services. Eligibility is based on need to obtain or retain employment for self-sufficiency.

- **Training:** Occupational Training is provided for those who are unable to obtain employment

through core and intensive services. Support for training is provided through the local area's Individual Training Account system, except for On-the Job training and Customized training activities.

- **Chartering:** A process used by local Workforce Investment Boards to establish performance and operational expectations for local One-Stop systems, and to certify the readiness of One-Stop operators to delivery high quality services.

I. West Virginia's Vision for WORK4WV Centers

The Baldrige Award Criteria included 7 major categories and 21 items within them. The seven categories, which have been consistently used since the creation of the award, are leadership, information and analysis, strategic planning, human resource development and management, process management, performance results, and customer, stakeholder and market focus.

For each of the seven categories, the state has established a vision statement. Local WIBs are to define specific criteria and measurements that are consistent with that vision and which are responsive to local priorities as well. Workforce Investment Boards have the authority and responsibility to define locally what will represent high quality Centers within the broad vision set forth by the state.

A. Leadership

Vision: West Virginia's commitment to excellence in its WORK4WV Centers and its Workforce Investment System will be modeled and shaped by strong public and private leadership for the system. Agency leaders work collaboratively to provide active and supportive management of the new system being implemented and of the transitions required to achieve it. Workforce leaders, both public and private, play an active role in raising

community awareness of the Centers and the value of their services.

B. Strategic Planning

Vision: The Centers are developed and managed within the context of a Workforce Investment Board plan for workforce investment services in the community. That plan focuses upon ensuring quality and results from the system of services, including the Centers, and is created through the active participation of all-essential stakeholders and staff. Second, Center managers develop and use a business plan for their Centers that demonstrate to the WIBs the strategies for achieving Center performance goals for outcomes, customer satisfaction and continuous improvement.

C. Customer and Market Focus

Vision: WORK4WV Centers and WORK4WV System are based upon a strong customer focus, both in terms of employers and individuals. Services are shaped and Centers measured in significant part by customer feedback and articulation of needs. Customer satisfaction is benchmarked against other high quality service settings.

D. Information and Analysis

Vision: Centers that are ready to implement and improve their systems have identified, acquired and organized a wide variety of data sources capable of supporting customers in making effective choices. The Centers offer locally customized, reliable information in easy to use formats. Staffs at the Centers are trained to both use the information tools themselves and to assist customers in doing so. Information is used to manage and improve products and services offered by the Center.

E. Human Resource Development and Management

Vision: WORK4WV Centers will be models of staff empowerment. Through investments in staff development, cross training, and information tools, staff will be equipped to provide high levels of services to Center customers. Front-line staff will be highly valued and given the flexibility and support to meet customer needs. Center management will seek staff feedback in order to refine and improve Center services, processes and procedures.

F. Process Management

Vision: WORK4WV Centers service delivery processes are designed with fulfilling customer needs in mind. Customer and staff feedback are used continually to improve services. Centers will develop integrated processes that are seamless to the customer. Front-line staff will be empowered to assist customers' access to options in the entire Center menu of services.

G. Performance Results

Vision: Each WORK4WV Center has a set of crosscutting performance expectations that have been established in the Charter granted by the Workforce Investment Board. Center performance goals are well known by partner leadership and front-line staff. Partners assist each other in meeting their program specific goals as they work together to meet the overall Center goals. Results are quantified and discussed and used as an ongoing source of information for continuous improvement.

II. Recommended Steps for Initial Center Chartering

Below is a set of steps that Workforce Investment Boards might follow to issue initial chartering to WORK4WV Centers. This model is not a requirement of the state, but rather a starting point Boards might use to adapt to your local circumstance. These steps can be used as your process for initial chartering of Centers and may also be adaptable for use if you choose to charter WORK4WV Mini Sites. Other states and localities that have used similar chartering processes have found these initial steps are important in coming to an agreement on outcomes and expectations prior to certification by the Board.

The Appendix contained in this document contains templates and tools that may be used to carry out the steps in the suggested process.

1. The Board establishes quality standards within each of the seven Baldrige categories. The standards and expectations should be established in consideration of the state vision described in section 11. A template is provided in the Appendix that Boards might use to record standards and expectations.
2. The Board requires the One-Stop operator applying for certification, to develop a business plan. The business plan should describe how the operator envisions developing, sustaining, and growing its WORK4WV Center. A business plan framework can be found in the Appendix.
3. The One-Stop certification applicant completes a Chartering application. The application document provides detailed responses in a format that enables those reviewing the application material to do so in a

structured, fair manner. This model suggests the business plan and application document be submitted together.

4. The Workforce Board conducts an on-site review of the One-Stop operator applicant. This gives the Board the opportunity to confirm information found in the business plan and application, and is another way of gauging readiness to operate a WORK4WV Center.

5. The Board provides a feedback report to the applicant. This report should address the application and business plan, the on-site review, and the overall status of the chartering application process.

6. The Board makes the Chartering decision based on the information provided, the on-site review, and is measured against the established chartering standards. If approved, the Board enters into a Memorandum of Understanding with the Operator partners as the final step for certification.

7. The Workforce Investment Board should take the lead in identifying Operator technical assistance, training, and support needs. The Board should work closely with the operator in identifying these needs and developing strategies and resources to build the capacity of the system to deliver quality service to WORK4WV customers.

111. Other Chartering Issues

Workforce Investment Boards may issue charters for up to two years.

Re-chartering WORK4WV Centers can be a similar process as described in Section III. However, the performance standards and operational expectations should be established at higher levels assuming Center growth and maturity.

A Workforce Investment Board may terminate a Charter (de-certification). This can occur only after the Board has worked with the operator to devise a corrective action plan and provided technical assistance. De-certification may occur for the following reasons:

Failure to meet performance expectations for two consecutive years.

Failure of a required partner to participate in the Memorandum of Understanding.

Failure to gather required information for quality assurance and continuous improvement.

Other reasons established in the Memorandum of Understanding.

Only Chartered Centers and approved Affiliate Sites and Access Points may display the WORK4WV name, logo and signage.

APPENDIX

WORK4WV Chartering Process

Tools and Templates

26642. List of Required Partners Under WIA

26643. Chartering Criteria/Measures Template

26644. Self Assessment Tool

26645. Business Plan Format/Checklist

26646. Chartering Application Package

26647. On-Site Review Checklist Template

26648. WIB Feedback Report Template

List of Required Partners Under WIA

Mandated One-Stop Partners

(WIA section 121(b)(1))

1. Programs authorized under Title 1 of the Workforce Investment Act;
2. Programs authorized under the Wagner-Peyser Act;
3. Adult education and literacy activities authorized under Title 11 of the Workforce Investment Act;
4. Vocational rehabilitation programs authorized under parts A and B of Title 1 of the Rehabilitation Act;

5. Welfare-to-Work programs authorized under the Social Security Act;
6. Senior community services employment activities under Title V of the Older Americans Act of 1965;
7. Postsecondary vocational education activities under the Carl D. Perkins Vocational and Applied Technology Education Act;
8. Trade Adjustment Assistance and NAFTA Transitional Adjustment Assistance activities under chapter 2 of Title 11 of the Trade Act of 1974;
9. Veterans employment representatives and disabled outreach programs under Chapter 41 of Title 38, U.S.C;
10. Community Services Block Grant employment and training activities;
11. Department of Housing and Urban Development employment and training;
12. Programs authorized under state unemployment compensation laws.

Baldrige-Based Chartering Criteria/Measures Template

Following is a chartering (certification) criteria/measurement template. This is a basic template in which you are to simply define the criteria for each of the seven Baldrige categories (standards) and then list the measurements of success or progress for those criteria. It enables you to begin to define your criteria and measures according to a continuum of quality to allow for organizations to continuously strive for ever-increasing levels of quality within your system. The Workforce Board can customize this template to meet local needs and requirements

Baldrige-Based Certification Criteria/Measures

Basic Template

| <i>Baldrige Criteria</i> | <i>Criteria</i> | |
|----------------------------------|------------------------|--|
| Leadership | | |
| Strategic Planning | | |
| Customer and Market Focus | | |
| Information and Analysis | | |
| Human Resource Focus | | |
| Process Management | | |
| Business Results | | |

Sample Certification Self Assessment Tool

The sample self-assessment tool provides examples of the seven Baldrige assessment categories and specific assessment items related to an operator certification applicant. Like the model itself, the self-assessment tool is written from the standpoint of a Workforce Board evaluating a prospective operator for certification. But, also like the model, it can be used to develop a standard self-assessment tool, which can be adapted by any stakeholder or partner in your local system, such as an already certified operator evaluating an affiliate or partner for their ability to meet certification standards.

Certification applicants use this tool in teams to discuss each of the certification criteria. During the discussion, the teams will evaluate where the organization falls along a continuum. Each team member should score each of the items individually. Then the team should discuss the individual scores and reach consensus on an overall score for that criteria. Team members should try to cite examples that will assist in describing how they know where they think the organization is.

In continuous improvement, we are never done with our improvement strategy. Having a score or a number to rate yourselves can be a distraction. Continuous improvement requires that those involved in the self-assessment not just accept the ratings, but to then embark on a strategy for improving on the results of the assessment. Constant progress is the goal.

LEADERSHIP

All levels of leadership demonstrate a belief in integrated service delivery and regularly articulate that belief to staff.

Individual Score: _____

Consensus Score: _____

Top administrators are personally visible in efforts to learn about and focus on customers.

Individual Score: _____

Consensus Score: _____

STRATEGIC PLANNING

All workforce investment partners participate in setting strategic directions.

Individual Score: _____

Consensus Score: _____

People know what the strategic plan requires of their daily work.

Individual Score: _____

Consensus Score: _____

Each of the processes that underpin an integrated delivery system is operated in a consistent manner within and across agencies.

Individual Score: _____

Consensus Score: _____

There are processes and practices in place that foster good communication within the workforce investment system.

Individual Score: _____

Consensus Score: _____

Staff within each partner agency can articulate what each agency does and how they do it against the strategic directions.

Individual Score: _____

Consensus Score: _____

The product line and service menu is up to date based on current customer and labor market data.

Individual Score: _____

Consensus Score: _____

There are strategy and action plans to align current technologies across agencies and to incorporate the most effective and up to date technology.

Individual Score: _____

Consensus Score: _____

Services are of consistent quality across agencies and these services are built and/or abandoned based on customer needs and demographics.

Individual Score: _____

Consensus Score: _____

CUSTOMER AND MARKET FOCUS

The workforce investment system enhances the satisfaction of its customers by reducing the number of handoffs and insuring that the handoffs are accurate the first time.

Individual Score: _____

Consensus Score: _____

The workforce investment system enhances the satisfaction of its customers by reducing the redundancies in data collection.

Individual Score: _____

Consensus Score: _____

The workforce investment system enhances the satisfaction of its customers by providing environmentally pleasant surroundings.

Individual Score: _____

Consensus Score: _____

The workforce investment system meets customer expectations through insuring that staff is credible, professional and friendly.

Individual Score: _____

Consensus Score: _____

The workforce investment system meets customer expectations through ongoing identification and consistent use of workforce skill standards.

Individual Score: _____

Consensus Score: _____

The workforce investment system meets customer expectations by getting customers what they need.

Individual Score: _____

Consensus Score: _____

Customers have easy access to all services.

Individual Score: _____

Consensus Score: _____

The employer customer is provided qualified applicants each and every time.

Individual Score: _____

Consensus Score: _____

Services, both initial and ongoing, are initiated in a timely fashion.

Individual Score: _____

Consensus Score: _____

The workforce investment system determines customer requirements, expectations, and preferences through varied data collection mechanisms.

Individual Score: _____

Consensus Score: _____

INFORMATION AND ANALYSIS

The workforce investment system continuously uses data and information to evaluate itself and improve performance.

Individual Score: _____

Consensus Score: _____

Decisions about what data to collect are guided by consistent criteria.

Individual Score: _____

Consensus Score: _____

Data is reliable.

Individual Score: _____

Consensus Score: _____

Data is immediately available to the system workers who need it to make decisions about work processes.

Individual Score: _____

Consensus Score: _____

Benchmarks are established against world-class systems similar to us.

Individual Score: _____

Consensus Score: _____

HUMAN RESOURCE DEVELOPMENT AND MANAGEMENT

Work is designed, organized and managed to promote empowered employees.

Individual Score: _____

Consensus Score: _____

Work is designed, organized and managed to promote team-based problem solving and decision-making.

Individual Score: _____

Consensus Score: _____

Employee knowledge and skills are developed based on progressive models of human service delivery.

Individual Score: _____

Consensus Score: _____

Employees demonstrate respect and value for each other's knowledge and skills within and across agencies.

Individual Score: _____

Consensus Score: _____

PROCESS MANAGEMENT

Service delivery processes are designed to transfer data and information from agency to agency.

Individual Score: _____

Consensus Score: _____

System partners offer capabilities and competencies that directly support the products and services customers want.

Individual Score: _____

Consensus Score: _____

Processes are in place to ensure that customers experience a "one stop" approach to information collection about them.

Individual Score: _____

Consensus Score: _____

Communication mechanisms, including technology, used to communicate between agencies and workers about customers, services, and practice encourage and easily facilitate information sharing between agencies, centers, work units, and individual staff members.

Individual Score: _____

Consensus Score: _____

Processes and tools used ensure that customers are provided access to all partners' programs and other community programs.

Individual Score: _____

Consensus Score: _____

Customers are provided accurate, timely consumer report information to assist them in making choices among service and training providers.

Individual Score: _____

Consensus Score: _____

BUSINESS RESULTS

All services are value-added to customer needs.

Individual Score: _____

Consensus Score: _____

Employers regularly use the system as the services of choice.

Individual Score: _____

Consensus Score: _____

Customers articulate that they get what they want.

Individual Score: _____

Consensus Score: _____

The system has clearly articulated outcomes that are known to all and are measured consistently within the system.

Individual Score: _____

Consensus Score: _____

See next page for Scoring Sheet.

Quality Standards Self-Assessment Scoring Sheet

Scoring refers to the process of identifying strengths, areas for improvement and issues for on-site review.

| | |
|----------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 0%-9% | <ul style="list-style-type: none">• Anecdotal only• No system evident |
| 10%-40% | <ul style="list-style-type: none">• Beginning of a systemic approach to addressing the primary purpose of the indicator• Early stages of a transition from reacting to problems to preventing problems• Very early stages of developing trend data• Data not reported for many of the key processes |
| 40%-60% | <ul style="list-style-type: none">• Beginnings of a CQI process in place• Beginning to be deployed in pockets of the organization |
| 60%-90% | <ul style="list-style-type: none">• Fact-based improvement process is in place• Approaches beginning to be saturated in all relevant areas and activities• Some trends and current performance are evaluated against relevant comparison benchmarks |
| 90%-100% | <ul style="list-style-type: none">• Fact-based improvement process is a key management tool• Clear evidence of improvements as a result of improvement cycles and analysis |

- Fully saturated
- Excellent improvement trends
- Sustained excellent performance

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100% represents saturation, e.g. the purpose of the item is integrated as part of normal work.

Above 50% represents that learning, refinement, maturity, integration and deployment are taking place.

50% represents a sound approach for accomplishing the purposes addressed in the criteria. There is an affect on most of the people and operations addressed in this item.

Below 50% represents that many of the organization's reactions are reactive. It reflects the beginnings of a systematic approach.

0% represents that a systematic approach is entirely lacking. The approach to quality may be entirely or largely reactive.

Sample Business Plan Component Checklist for Career Center Certification Application

The sample business plan component checklist provides examples of major categories and specific items, which comprise a thorough business plan geared toward application for Career Center certification. Like the model itself, the checklist is written for a Workforce Board that is evaluating a prospective operator for certification. But, also like the model, it can be used to develop a standard business plan

format for use by any stakeholder or partner in your local system, such as an already certified operator evaluating an affiliate or partner for their ability to meet certification standards.

The checklist contains two types of information. First, is a series of framing questions for the center operator to consider when developing each section. The questions are designed to ensure comprehensive thinking about the center(s) and its planning. These questions are not exhaustive, but are designed to prompt teams to think strategically about what they are launching. Second, are the major areas to be addressed and included in the business plan.

NAMES OF CENTERS

A bidder may submit in their business plan a name used to identify the career center for which a bid is made. The Workforce Investment Board reserves the right to select center name(s), to require a standard name for all centers in the service area, or to select any other identification system which meets the intent of the workforce investment system.

BUSINESS PLAN FORMAT

Defining the Business

Framing Questions:

Why is the career center being established? What is its primary business objective?

What is the concise definition of the core business as it relates to the local labor market?

Who comprises the center's current and/or proposed customer base?

What location has been chosen for the center and why?

What is the center's relationship to other community service providers?

Areas to Address:

_____ Vision and mission are clearly defined and consistent with Workforce Investment Board/System vision.

_____ Operator's/partners' vision and mission reflects new approach to Career Center operations, including emphasis on customer-focus, service integration, and measurable results.

Management Plan

Framing Questions

What is the center's management structure?

What is the background and expertise of key management and operations staff that influence success or failure?

What is the relationship between center management and staff?

What center-wide policies and procedures are needed or are being established?

What staff is needed? What are their duties?

What will the center actually manage and what other service providers will manage?

What employee development strategies are in place or planned?

Areas to Address:

_____ Identifies management structure, including organizational chart, job titles by department, division or function, the integration of services through a description of the relationships between all partners, and the management process for decisions made on the basis of center goals, objectives, and business plan.

_____ Includes MOUs signed by all partners and showing active participation in or electronic linkage with center(s), and agreement to serve in the management structure.

_____ Identifies the most important staff skills and competencies needed to meet goals and objectives, and short- and long-term plans for ongoing investment in employee training to ensure a competent and highly motivated staff.

_____ Demonstrates how centers are committed to employee empowerment and team building through layering of decision-making, cross-training of staff,

and creation of cross-functional work teams.

_____ Plan/process exists for rewarding and recognizing employee excellence.

_____ Clearly indicates staff positions primarily responsible for oversight of all customer satisfaction and for continuous improvement.

_____ Describes strategy for preparing for and recovering from issues and problems that arise.

Service Delivery Plan/products and Services

Framing Questions:

What are the primary products and services of the center(s)?

Who are the targeted customers of each product and service (i.e., employers or individuals)?

Who will provide these products and services?

Who will pay for the products and services?

How will customers access products and services? Is there a good, functional resource center available for customer use?

Areas to Address - Employers:

_____ Clearly shows plan to increase employer use of center(s).

_____ Identifies performance measures for employer customers which support center and system objectives.

_____ Describes how employer satisfaction is surveyed, including frequency and results, as well as how survey results are disseminated to staff and others.

_____ Identifies plan for improvement in actual results.

_____ Describes a mechanism to identify the need for technical assistance in working with employers.

Areas to Address - Individual Job Seekers:

_____ Clearly shows plan for increasing individual customer use of center(s) through universal access and/or enrollment in various programs.

_____ Includes diagram of customer flow through core services.

_____ Demonstrates clear flow of services between all partners.

_____ Identifies performance measures related to individual customers which support center and system objectives.

_____ Describes how individual customer satisfaction is surveyed, including frequency and results, as well as how survey results are disseminated to staff and others. Identifies plan for improvement in actual results.

_____ Describes a mechanism to identify the need for staff technical assistance in working with individual customers.

_____ Clearly outlines core services, as required by the Workforce Investment Act, and intensive services and identifies provider(s) of each core and intensive service.

_____ Identifies a system for referrals to training services.

_____ Identifies the use of ITAs, including planned service level and estimated cost.

_____ Demonstrates knowledge of and linkage with educational grants, student

loans, and other education support/financial aid programs.

Marketing Plan

Framing Questions:

What is the short and long-term marketing strategy?

How does the center define its market?

What market analysis exists? What analysis needs to be done?

Areas to Address:

_____ Describes the marketing need for the service area and planned measures of marketing success, including a plan to increase employee and individual use of center(s) and ensuring community-wide recognition of center(s) as a valuable resource.

_____ Identifies marketing pieces to be developed, such as TV, Internet, radio and print campaigns, and linkage with other partners' marketing divisions are established and maintained by a dedicated staff position.

_____ Identifies the need for technical assistance and marketing capacity building.

Technology Plan

Framing Questions:

What are the technology needs of the center?

What plans are already in place to achieve full technological capacity?

Are the center partners prepared to create and use integrated management information?

Are technology and MIS needs being defined and linked to customer needs?

Areas to Address:

_____ Clearly describes the plan to assure state-of-the-art technology for both customers and staff.

_____ Describes electronic linkages between partners and how linkage will be maintained, including types of subcontractors, consultants, or staff positions.

_____ Lists software planned for use and its compatibility with required programs and reporting systems.

_____ Clearly identifies staff positions providing oversight, staff and partner training, maintenance, repair, reporting, supervision of technology staff, and other information that indicates emphasis on a high level of technology and use.

_____ Describes any technology links with planned satellite, affiliate or specialty centers, and with all other One-Stop centers.

Measuring Success

Framing Questions:

How will the center(s) measure success against the Workforce Board's chartering criteria?

What are the major milestones of success?

How will center management recognize and reward success among center staff?

How will center(s) ensure that suppliers and partners are committed to achieving, measuring and documenting success?

What types of information will need to be collected in order to meet chartering criteria and support continuous improvement?

Areas to Address:

_____ Identifies how center(s) will be prepared to establish and track baseline outcomes based on center performance measures, and to use outcomes data for continuous improvement.

_____ Describes continuous improvement strategies, how all levels of center staff will be involved, and the planned timeframe for implementing continuous improvement throughout centers.

_____ Describes the link between customer satisfaction information and its use in the continuous improvement process, including the process for sharing customer satisfaction results internally and externally.

_____ Describes strategy for ensuring supplier commitment to success and using supplier performance data to support continuous improvement of supplier performance, as well as overall center performance, e.g., providing supplier performance data to customers, improving referrals to suppliers.

_____ Describes how improvement data will be used in policy decisions.

Location, Facilities, Operations

Framing Questions:

What is the center's service delivery structure, i.e., location, service mix and customer flow?

What is the status of operations; what is the time frame for moving to full scale?

What special transition provisions will be needed?

What other location and access issues will affect the center(s) (i.e., customer flow, ADA compliance, available parking and public transportation, effective signage, safe environment)?

Are there other influences, which affect operations, such as access to resources or time frames?

Areas to Address:

_____ Identifies location(s) (or possible sites) tied to the needs within the service areas for center services, including general population and employers.

_____ Provides a detailed description of building(s) or proposed building(s), including square footage and the ratio of parking spaces to square footage. Identify each building as either full-service or affiliate.

_____ Describes the conditions of furniture, equipment, telephone service, etc. (or planned if not currently available). Furniture, etc. provided by partners should be valued and included in in-kind contributions in the Financial Plan.

_____ Describes how services will be provided through any affiliated center(s). If electronic linkages only will be used, describes the technology plan for affiliates. If affiliates will be staffed, provides job titles, services available (by partner), hours of operation, and staff responsible for oversight of affiliates.

_____ Identifies public transportation access and/or plan to center(s) or proposed center(s).

Financial Plan

Framing Questions:

What is the current budget and what are the sources and levels of funding?

What is the projected budget, cash flow and break-even analysis; what are the underlying assumptions, i.e., how are they related to the growth forecast and marketing plan?

What new funding opportunities have been identified for future growth, i.e., grants, fee-for-service, etc.?

Who will be responsible for raising funds?

Areas to Address:

_____ Identifies revenue and resources needed to meet planned service levels and enumerates various cash and in-kind sources provided by partners and affiliates.

_____ Planned costs of all facilities is identified.

_____ Financial strategy for long-term sustainability exists.

_____ Describes how fee-for-services will be implemented for employers and individuals, including timeline and estimated revenue.

_____ Demonstrates ability to manage ITAs, supportive service payments, and payments of all invoices for the center.

_____ Identifies insurance coverage and estimated annual cost.

* * *

Sample Certification Application Package

*The sample certification application package below includes generic instructions for completing the package; core and intensive services checklists; and required indicators of quality within each of the seven Baldrige categories. The package should also include the self-assessment tool and a business plan format, described elsewhere in this Appendix but not included here. The Chartering methodology for WORK4WV recommends applicants for Chartering be required to submit a **business plan and an application document**.*

INSTRUCTIONS FOR COMPLETING THE APPLICATION FOR CERTIFICATION

The Quality Standards

The Workforce Investment Board has defined the following quality standards for a one-stop career center. These standards define Quality for becoming designated as a WORK4WV Center. To be identified as part of this system, an entity must be chartered as having processes and practices in place, which meet or exceed these standards.

1. Leadership

2. Strategic Planning
3. Customer and Market Focus
4. Information and Analysis
5. Human Resource Focus
6. Process Management
7. Business Results

Who is eligible?

Any public, private, for-profit, or not for profit organization delivering workforce development services is eligible. This application package is designed to assist each site in examining where they are regarding the quality criteria and to promote continuous improvement toward the criteria.

The Process

There is a three-step process for becoming certified. The first is a *Self-Assessment*. The second is the completion of an *Application Process*. The third is an *On-Site Review*. These certification standards are set high. Training and technical assistance is available to support those interested in achieving this level of quality.

Step One: Self-Assessment

Conduct a self-assessment using the self-assessment tool. This self-assessment is meant as a reflective exercise to assist an organization in understanding how far it may be from meeting or exceeding the standards. The self-assessment should help an organization in answering the questions for the certification application and to know which strategies and processes may need to be implemented prior to submitting the application. A self-assessment must be completed to fill out the application. However, your self-assessment score does not accrue to any overall score.

Step Two: Application Process

Based on the self-assessment, each site is expected to complete the application package by completing the core and intensive services checklists, and by answering the questions related to each of the quality standards. This package describes the type of information needed to demonstrate how your organization is meeting each criterion. You may provide whatever other relevant information you find in your self-assessment process. For each criterion, you must describe how you expect to continue to improve the quality of the processes used to meet the criteria. If you are below minimum on certain criteria, you are expected to address how you will reach minimum levels. If you are at minimum levels, you are expected to address how you will exceed them and what your continuous improvement strategy will be. If you are exceeding the minimum standards, you are expected to describe your continuous improvement strategies and ideas for continuing to meet the criteria at high levels of performance.

Step Three: On-Site Examination

A site visit from a designated evaluation or review team will take place. This on-site review will occur after receipt of the application package. You may submit the application whenever you are ready. Certification is an ongoing process that will start when the application is received. Upon receipt of the application, a team of reviewers will come on site to meet with your team. During this time, the reviewers will examine

the application and interview the team. The purpose of this approach is to ensure that the site will continue to strive to meet and exceed the chartering criteria over the next year.

The Rating and Certification

Descriptions of an organization's approach to each quality standard will be reviewed against:

How it assists with improving performance and how the organization understands the link to outcome measures.

What continuous improvement strategies are in place to improve on the criteria?

How skill standards are integrated as part of the criteria, when appropriate.

Chartering to become a designated center will rely on the score received on the application package and the on-site review. A WORK4WV Center charter under this process will remain valid for two years. Centers will be eligible for re-chartering between eighteen and twenty-two months after certification.

The Workforce Investment Act vests in the local Workforce Board, with the agreement of the chief elected official, the authorization to designate or certify one-stop operators and to terminate for cause the eligibility of such operators. This certification application document is in *draft* format, as it is the purview of the local Board to establish, evaluate, and monitor the criteria for certification in their area. The local Board is anticipated to revise and enhance this draft work.

* * *

Continued on next page.

APPLICATION

To complete this application, verify as present each element of the core services and all applicable intensive services on the following checklists. Then, describe how your organization meets the indicator for each of the quality standards. If all the indicators are not yet in place, describe the plan for how and when processes and strategies will be in place.

Core Services Checklist

Please check all that apply.

The ability to offer all of the services listed below is required.

A description of each is required in Criteria 6.C.

- _____ Determination of eligibility
- _____ Outreach, intake and orientation
- _____ Initial assessment
- _____ Job search and placement assistance
- _____ Employment statistics information: job listings, skills needed, demand occupations
- _____ Performance information and program cost information on eligible providers
- _____ Information on how the local area is performing on performance measures
- _____ Accurate information on the availability of support services
- _____ Information on filing for unemployment compensation
- _____ Assistance in establishing eligibility for Welfare-to-Work activities and financial assistance
- _____ Follow-up services for not less than 12 months after the first day of employment (includes job counseling)

Intensive Services Checklist

Please check all that apply.

Access to all of these intensive services is required.

A description of each is required in Criteria 6.D.

- _____ Comprehensive assessment
- _____ Diagnostic testing
- _____ Evaluation of barriers to employment and employment goals
- _____ Development of an individual employment plan
- _____ Counseling
- _____ Career planning
- _____ Case management
- _____ Pre-vocational services

Questions About Indicators of Quality Related to the Seven Quality Standards

Please respond to each question as thoroughly as you can.

1. LEADERSHIP

A. Describe the leadership's current vision of the organization. How is the vision communicated to the staff, and what specifically does the leadership do to insure that its values are being implemented in the workplace?

B. How does the organization measure the effectiveness of its leadership?

C. Describe how the organization sets strategic directions to better define and strengthen it regarding customers, the environment, financial risks, organizational capacity, and partners' capacity?

Summarize the organization's goals and objectives and how they are implemented in ways that support the vision and values.

Describe how top leadership uses customer data.

2. STRATEGIC PLANNING

A. Describe the strategic planning process for the organization.

B. Describe how leadership aligns internal processes to accomplish the goals of the organization.

Describe how staff uses the strategic plan.

Describe what mechanisms are in place for staff to communicate across agencies. Describe how corrections are made when services and processes are found to be misaligned across agencies.

3. CUSTOMERS AND MARKET FOCUS

A. Describe the methods used to collect, analyze and use customer satisfaction data. Identify the key elements customers measure, i.e., timeliness, outcomes, environment, etc. What is the current satisfaction rate against these key elements?

B. Identify where Workforce Skill Standards are used in service delivery and staff development. How are Workforce Skill Standards made known to the customer?

C. Compare how customer flow has changed to ensure reduced and more accurate handoff between agencies; reduced redundancies in data collection among agencies; and how customers access all services to the way these things occurred before changes were put in place.

D. Provide the most recent information on employer satisfaction with the applicants referred and with those hired.

4. INFORMATION AND ANALYSIS

A. Describe the continuous quality improvement (CQI) methods used in the organization.

B. Describe the benchmarking process used.

C. Describe how all levels of staff are involved in the CQI process and how improvement data is used from the desk level to the policy level.

5. HUMAN RESOURCE FOCUS

A. Attach a copy of the agency (or interagency) training plan.

B. Describe the process for developing and implementing a staff-training plan.

C. Identify and describe the organizational structure and how this structure promotes empowering employees and team based problem solving.

D. Describe the ethics (i.e., customer choice, customer participation, etc.) promoted by the organization for service delivery. How does staff know these ethical expectations?

PROCESS MANAGEMENT

A. Describe, which processes are in place to ensure that customers experience a "one stop" approach to information collection about them.

B. Describe the communication mechanisms, including technology, used to communicate between agencies and workers about customers, services, and practice.

C. Identify (use the checklist) and describe the core services available and the processes used to ensure access by customers.

D. Identify (use the checklist) and describe the intensive services available and the processes used to ensure access by customers.

E. Describe the processes and tools used to ensure customers are provided access to partners' programs and other community programs.

F. Describe the process by which customers are provided accurate, timely consumer report information to assist them in making choices among service and training providers.

7. BUSINESS RESULTS

A. How do you measure outcomes?

B. How do customers provide feedback about their expectations and changing needs?

C. Do businesses seek out your services? How?

Sample On-Site Review Checklist Template

The checklist may be used by an independent Review Team to conduct a review of a center (and center operator) to determine if it can be charted as meeting all required quality criteria for operating as an official WORK4WV Center. The template below is only three pages -- literally, a sample -- to provide a format for you to adapt to your locally designed Baldrige-based standards and criteria.

3. Customer and Market Focus

Services to Employers

| | <u>Yes</u> | <u>No</u> | <u>Comments</u> |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------|--------------------------|----------------------------------|
| 1. The career center provides all of the following USDOL employer services without fee in the geographic area serviced by the center. | | | |
| a. Job matching and referral services | <input type="checkbox"/> | <input type="checkbox"/> | _____ |
| b. WARN and rapid response services | <input type="checkbox"/> | <input type="checkbox"/> | _____ |
| c. Placement of job orders | <input type="checkbox"/> | <input type="checkbox"/> | _____ |
| d. On-site recruitment of prospective employees | <input type="checkbox"/> | <input type="checkbox"/> | _____ |
| e. Bonding services for high risk workers | <input type="checkbox"/> | <input type="checkbox"/> | _____ |
| f. WOTC certification for tax credits | <input type="checkbox"/> | <input type="checkbox"/> | _____ |
| g. Information on accessing financial aid information that can be used to train workers <i>(Specify the source or method used to confirm the center provides employers with this information).</i> | <input type="checkbox"/> | <input type="checkbox"/> | _____ _____ _____ _____ |
| h. Access to economic development information <i>(Specify the source or</i> | <input type="checkbox"/> | <input type="checkbox"/> | _____ |

method used to confirm the center provides employers with access to this information).

2. The Career Center has USDOL employer services available on each regular business day (*defined as state, county or municipal working days*).

4. Information and Analysis

1. The Career Center has structured customer feedback Mechanisms which provide input in at least the following areas:

a. Customer satisfaction with those services being provided by the center. (*Describe the mechanisms used to determine customer satisfaction with these services*).

b. Whether the center is providing those specific services its customers most desire. (*Describe the mechanisms used to determine that this is the case*).

c. Why potential employers are choosing not to use center services. (*Describe the mechanisms used to*

determine why employers are not choosing to use center services).

6. Process Management

1. At a minimum, the approach or process utilized by the Career Center to ensure continuous improvement involves all center Partners not less frequently than monthly in:

a. Reviewing the input received. *(Describe the approach or process used to review input received by all partners).*

b. Determining those specific actions to be taken based on the input. *(Describe the approach or process used to determine those actions).*

c. Reporting the results of the input, and the related actions taken, to an appropriate center governing body not less frequently than quarterly. *(Describe the approach or process used to report results to the governing body).*

* * *

SUMMARY INFORMATION/RECOMMENDATIONS

| Requirement (Baldrige Criteria) | Number of "No" Boxes Checked |
|---------------------------------|------------------------------|
| Leadership | |
| Strategic Planning | |
| Customer and Market Focus | |
| Information and Analysis | |
| Human Resource Focus | |
| Process Management | |
| Business Results | |

Review Team Recommendations:

Sample Feedback Report Template

Purpose: purpose of the report; name of site reviewer

Background: common background piece in each report

Site Description: site name, location, partners; impression of the site from customer perspective, including the following:

Parking/transportation
availability

Hours of operation

Signage

Environment

Resource Room

Staff

Summary of Observations and Interviews: overall impressions after meeting with center staff; identify what the Center is doing around certification criteria. For example:

Leadership

How often do the leaders meet?

How do they use *customer data for continuous improvement*

How do they communicate what is occurring at the center inside their individual agencies?

How has the center changed the way daily business gets done?

Strategic Planning

Is there a business plan for the operator *or partnership and center?*

Does staff know that one exists?

How is it used?

How does the operator or partnership hold itself accountable to the strategic plan?

What is the process for strategic planning?

Customer and Market Focus

Do both customer groups use the center (employers and job seekers)? How?

How is customer data collected?

How is it used for CQI?

Information and Analysis

How does the center use customer data and performance data for CQI?

How is information shared?

How often is customer information reviewed?

Human Resource Focus

Is there a formal training plan that is for the one-stop system, not agency by agency?

Is there a systematic approach to cross-training staff?

What are some of the topics that have been covered in cross training?

Does staff receive training on the skills and competencies required of staff within a one-stop environment?

Process Management

Integration

How often is the agency here (days and hours)?

How do staff like their schedule?

Do staff view working at the one-stop center as being different from when they worked at the "home" office? If so, how?

What does staff think were the initial challenges to working together as co-located staff?

Have these challenges been overcome? If so, how?

How has the center gone beyond co-location to integration of technology, information, assessment, initial intake, and other service offerings?

Customer Flow

How have the customers responded to the center?

What is the value of this center versus the way business was conducted before the one-stop system was created?

What does this center still need to completely meet the one-stop vision of customer friendly, convenient customer service?

Center Operations

Who is on site and how many hours per week are they on site?

-- check attitude of staff toward customers and toward each other as team members; do they back each other up at reception, in the resource room, etc.?

How is the day-to-day operation organized?

How does staff communicate?

How do decisions on operational issues get made? How effective is this process?

Business Results

How is performance measured?

How is customer satisfaction data used?

Are the goals set forth in the strategic plan being met?

Is each agency using outcomes achieved through the center to assist with performance measures mandated for each separate agency?

Plans for the Future: discuss challenges cited by center staff and areas already targeted for improvement.

Recommendations for Improvement: identify any areas that have been overlooked by center staff and offer feedback on opportunities for improvement.

[**BACK**](#)