

## **Certification Policy & Procedures**

### ***Introduction***

Certification of WorkSource Centers and OneSource general contractors (henceforth known as contractors) by the Workforce Investment Board (WIB) requires they be successful in meeting annual contract performance goals and in addressing WIB priorities identified in the Annual Plan. Contractors shall incorporate Malcolm Baldrige National Quality Award Criteria into their management practices to ensure success in the certification process.

### ***Certification Guidelines***

1. Contractors shall be certified by the WIB, on an annual basis, through a formal performance evaluation.
2. The WIB shall not fund any organization as a contractor that is not certified. Certification shall not serve as a substitute for competitive procurement for OneSource contractors
3. If a contractor fails to meet certification standards their agreement with the City will be allowed to expire at the end of the program year (typically June 30), unless extenuating circumstances, as identified by the Department, support an earlier termination date. The intent of this guideline is to allow for the uninterrupted provision of services to customers that are actively participating in the program.
4. Extenuating circumstances may include, but are not limited to, poor performance or confirmed organizational findings of fraud and abuse that could result in the immediate termination of an agreement.
5. In the event a contractor fails to meet certification standards, Department staff shall prepare a report to the WIB regarding the impact of contract termination on the community, together with recommendations to either terminate services or identify a replacement center operator.
6. A contractor may appeal the denial of certification in accordance with the Workforce Investment Board-Local Elected Official (WIB-LEO) agreement.
7. The Department shall present certification recommendations to the WIB Policy and Oversight and Executive Committees, prior to convening an appeals hearing.
8. Replacement center operators shall be selected from a list of qualified organizations identified through a formal bid process or Department staff may assume center operations.
9. A de-funded contractor will be removed from any existing list of qualified replacement center operators and may only be reinstated through a future competitive bid process.

**Adopted Policies**

***Performance Evaluation (SOFA II)***

1. Frequency - Evaluations will be conducted at six-month intervals. The first will be at the six-month mark of the program year and will be known as the Six-Month Progress Report. The second will be at the completion of the program year, will evaluate results for the entire twelve months, and will be known as the Annual Evaluation.
2. Evaluation Categories – Contractors will be evaluated in three categories:
  - Satisfaction
  - Outcomes and Flow (Products and Services)
  - Administrative Capability (Financial, Human Resources & Organizational Effectiveness) and Implementation of Annual Plan Priorities (Leadership)
3. Awarding of Stars – A maximum of 4 Stars can be awarded:
  - If a contractor meets the minimum contract goals for every measure in every category, a Star will be awarded for Attainment of Minimum Contract Goals.
  - If a contractor exceeds the minimum contract goals for every measure in a category by a specified %, a Star will be awarded for that category.
4. Evaluation Results – Results of the evaluation will be categorized as follows:

0 Stars	=	Failure to perform
1 Star	=	Satisfactory
2 Stars	=	Good
3 Stars	=	Excellent
4 Stars	=	Outstanding

Evaluation results and certification recommendations will be compiled by the Department and presented to the WIB Policy and Oversight Committee at the end of the program year.
5. Recognition of Star Performance
  - Incentive Awards - 4 Star performers will be eligible for incentive awards. An incentive award fund will be established by the WIB through the Annual Plan, contingent upon fund availability.
  - Plaques – All-star performers will be recognized through the awarding of plaques.
  - Awards Ceremony – A formal awards ceremony will be convened if all contractors are awarded a minimum of one star.
6. Probation/Corrective Action - Contractors who are not awarded stars shall be placed on probation and corrective action will be requested.
7. Revocation of Certification - If contractors are on probation for two consecutive annual evaluations they shall have their certification revoked.

**Adopted Policies**

**Performance Measures**

**1. Satisfaction**

Measure	WorkSource	OneSource
a. Customer Satisfaction (intercept/telephone)	X	X
b. Exiter Satisfaction (telephone)	X	X
c. Employer Satisfaction	X	X

**2. Outcomes and Flow (Products & Services)**

a. Entered Employment/Education	X	X
b. Wage Gain/Average Earnings	X	
c. Retention	X	X
d. Employed with a credential.	X	
e. Attainment of a High School Diploma, GED (College diploma or Certificate or locally approved certificate)		X
f. Skill Attainments/Literacy & Numeracy Gains		X
g. Number of Unduplicated Universal Access Customers Served	X	
h. Number of Exited Customers (for OS, 50% must be out-of-school)	X	X
i. Number of Employer Customers	X	X

**3. Administrative Capability/Annual Plan Priorities**

a. Contractor Performance against policies and priorities identified in the Annual Plan (see attached).	Y	Y
b. Assesses contractor administrative practices related to work performance, timeliness, fiscal, communication, human resources & ethics.	Y	Y

For outcomes measures a-f the Department proposes to establish minimum contract goals that will serve as predictors of success on the federal measures. The Department reserves the right to take into account measures a-f to ensure consistency with Department of Labor Common Measures.

**Adopted Policies**

**ATTACHMENT—PROCESS FOR REVIEW OF ANNUAL PLAN PRIORITIES (WORKSOURCE ONLY)**

1. Department sends out Request For Contract Renewal (RFCR) to contractors. Contractor responses include commitments to outcome targets, plus describe contractor strategies to achieve WIB Annual Plan priorities in four (4) areas:
  - Training, including sector participation
  - Placement in good jobs, including how the contractor proposes to define good jobs
  - Successful outcomes target hard-to-serve populations including homeless, LEP, ex-offenders.
  - Other innovations
2. WIB Certification Committee meets with the Department to discuss contractor responses to the WIB Annual Plan priorities section of the RFCR, refining and agreeing upon overall definitions, expectations, and benchmarks to ensure that the priorities can be met and measured.
3. Department meets with contractors to refine RFCR responses, consistent with Committee discussion.
4. Program year begins. Baldrige based technical assistance is provided by Department staff.
5. Department monitors and collects SOFA II data on an ongoing basis for the 6-month Progress Report and the Annual Evaluation.
6. At the end of the program year, review teams are selected from the Committee membership and other volunteers are identified. Team members individually review the RFCR responses and the SOFA II data for the contractor to which they are assigned.
7. Review teams meet with a designated facilitator to discuss and evaluate the RFCR response, to review the SOFA II data and to prepare for site visits, or to request additional information prior to making a site visit.
8. Review teams conduct site visits, along with assigned Department staff and facilitator. At the conclusion of the visit, the team meets (at the site) to discuss their observations and provide input that will be used to prepare summary reports.
9. The facilitator, with input from the assigned Department staff person, prepares the final report (one for each contractor), which is then incorporated into the SOFA results. The report is then sent to review team members for their review and concurrence. The report serves as the backup for the evaluation of the “Annual Plan Priorities” measure. The overall results of the SOFA II evaluation, together with a certification recommendation, are transmitted to the Policy and Oversight Committee, which then forwards its recommendation to the Executive Committee for consideration.
  - If a Contractor passes SOFA II, it remains certified for another year.
  - If a Contractor fails SOFA II, it is put on probation for one year. The Department offers technical assistance and monitors progress.
  - If a Contractor fails SOFA II for a second year in a row, it is recommended for revocation of certification in accordance with the general certification guidelines.
10. At the conclusion of the evaluation process, the Certification Committee meets to review SOFA II procedures and outcomes for the entire system and to make recommendations for changes in the system for the next year.
11. This process is repeated annually.