
Kentucky High Impact Workforce Investment Boards Initiative

Year One Report

Prepared by Corporation for a Skilled
Workforce for the Kentucky Workforce
Investment Board on behalf of the High
Impact WIBs Stakeholder Steering
Committee

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Development of the Kentucky High Impact Workforce Investment Boards Initiative

Background

In spring 2009, Governor Beshear appointed a new state workforce investment board to serve as an advisor on workforce issues. One of the first activities undertaken by the new board was the development of a strategic plan to serve as a blueprint for transforming the state's workforce development system to better serve Kentucky in the new economy. The strategic planning process exposed a number of weaknesses in the system that put Kentucky at a competitive disadvantage with other states in terms of economic development and improving the quality of life for Kentucky families.¹ One of the weaknesses was the absence of clear performance expectations for local Workforce Investment Boards (WIBs) regarding proactive and strategic efforts that align with state goals for economic development and education.

The Kentucky Workforce Investment Board (KWIB) 2010 strategic planning work thus provided the backdrop for the Kentucky High Performing Workforce Investment Boards Initiative. Ultimately, the Steering Committee for the initiative had a lengthy discussion about the anticipated outcomes for the work and agreed that high *performance* by the WIBs did not accurately capture expectations. The true purpose is to foster and grow WIBs to have effective *impact* on their communities. Therefore, the initiative name was changed to the **High Impact Workforce Investment Boards Initiative (HIW)**.

As part of the strategic planning work, each of the KWIB members and partners, as well as some customers and community stakeholders, were interviewed to help identify goals for the system:

- Align the Commonwealth's workforce development system with Kentucky's education objectives.
- Align the Commonwealth's workforce development system with economic development strategies.
- Simplify the workforce development service delivery system.
- Improve service to achieve a customer-centered delivery system.

The KWIB strategic planning resulted in a number of initiatives, including those focused on high impact boards, sector partnerships, one-stop certification, branding, and more than 20 other strategic areas. The Steering Committee and leadership at the state took pains to make sure that each of the major initiatives was considered in developing the HIW model.

¹ From the Commonwealth of Kentucky SOLICITATION - Federal Stimulus KWIB Consultant High Performance Initiative, p. 8 of 23.

In launching the HIW initiative, the KWIB intended to recognize and validate the current good work being done by WIBs; set the course for a vision and future investments in and by the local WIBs; collaboratively “move together toward excellence;” and create a technical assistance system to help boards improve. CSW was hired in a competitive process to help inform the design and implementation of the first phase of the HIW initiative.

To ensure an inclusive, collaborative and iterative process, a Stakeholder Steering Committee was formed to help shape the work and collectively define “high impact.” This group was comprised of individuals representing the state and local levels of the workforce development system, education and the private sector, including representatives from the state departments of workforce development, education, and economic development, local Workforce Investment Board member chairs and directors, and leaders from post-secondary education and business. The Steering Committee drove decisions on the design of the HIW model at all stages of the initiative, from initial concept development through implementation of the baseline assessment year and final recommendations for the learning year and certification phases of the initiative.

The HIW initiative is an iterative, three-phased approach focusing on assessment, technical assistance, capacity building and High Impact certification:

Phase I – Baseline year

Phase II – Learning year

Phase III – Voluntary certification year

The first year was used to test the initial High Impact criteria and scoring methods, identify local WIB technical assistance needs through a baseline assessment, and elicit feedback from local WIBs and review teams on the initial model. The HIW Steering Committee considered this feedback along with information gathered through site visits to make adjustments to the model for implementation in the next two phases of the initiative. Findings from the baseline year and implementation of Phases II and III will be discussed in greater detail below.

Principles of the Kentucky High Impact WIBs Initiative

Very early on in the development of the HIW initiative, the Steering Committee contemplated the overarching principles that would help guide their work in framing the high impact WIBs model. These conversations led to the development of the following five principles:

1. **The system will be transparent**, and engage openly and honestly with a broad spectrum of the community. Trust and credibility will be the expected way of doing business.

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2. **The system will be integrated**, bringing together the resources and expertise of all the organizations/agencies in the system, including (but not limited to) economic development, education, human services and workforce development. This will lead to an effective and efficient system.
 3. **Decision making will be data driven**, insuring that training and resource investments will be targeted to the right sectors and customers.
 4. **The system will be agile** and capable of responding to changing economies, strategies and local/regional needs. The result will be a more entrepreneurial, less bureaucratic system.
 5. **The system will have a clear branding identity** at both the local and state levels. The public will have trust in the brand and know that the employer and participant services provided are of high quality.

The Steering Committee used these guideposts to brainstorm a list of critical attributes of high impact boards. They agreed that high impact WIBs:

- Have essential partnerships with community leadership, e.g., chambers of commerce, education, economic development;
- Have a sector/demand-driven focus;
- Are diverse, connected to the community, business driven and relevant to its members;
- Develop *strategic* plans that are dynamic, data driven and goal oriented;
- Have deeply engaged businesses leading the process;
- Identify and leverage resources (WIA and non-WIA), and develop return on investment (ROI) measures;
- Develop measurable goals, milestones and are outcome/results driven;
- Provide strong system leadership and oversight; and
- Ensure that the system:
 - Has highly cross-trained staff;
 - Is broad and includes education, human services, economic development, etc., and integrates the resources available;
 - Has clear training provider outcomes;
 - Is customer driven;
 - Has a strong brand; and
 - Allocates costs beyond WIA funding in the One Stops.

From these comprehensive guiding principles and indicators of high impact, the Steering Committee was able to drive development of the initial High Impact criteria and success indicators, and create an application process and self-assessment tool for measuring WIB capacity in the baseline year.

The criteria establish three overarching objectives for WIBs that capture the big ideas generated by the Steering Committee:

1. **Grow a strong and engaged Board that drives the vision, mission, objectives, and implementation steps;**
2. **Set clear strategic direction; and**
3. **Manage assets effectively and efficiently.**

From these objectives, the Steering Committee established 11 criteria and 63 total “indicators of success.”

In the baseline year of the initiative, each indicator was scored with a “yes” or “no”; a “yes” was worth either 1 or 2 points based on whether the indicator was in a “deal breaker” category. In the baseline year, the Steering Committee decided not to share scores with the local WIBs because they were testing the criteria and scoring methodology and intended to make edits and adjustments based on feedback from review teams and stakeholders across the system. Additionally, the Steering Committee decided against adoption of “high performance *levels*” such as gold, silver and bronze, and instead endorsed a pass-fail model. Please see Appendix A for the original criteria used in year one.

Implementation of the High Impact WIBs Initiative

With the key elements of the assessment in mind, the Steering Committee developed an inclusive and iterative model that would take into account diverse viewpoints and examine the principles established in the first year. In addition to gathering technical information through a desk review and self-assessment, qualitative on-site reviews were utilized to clarify information received from the local WIBs, gather data to identify a baseline for technical assistance, and provide examples of promising practices that could be shared statewide. Information and feedback received in the first phase of the initiative helped to shape the design and planned implementation for the subsequent two phases.

PHASE I: BASELINE YEAR

The baseline year of the High Impact WIB initiative tested the criteria and assessment methodology, and identified technical assistance needs for local WIBs. The initial year incorporated multiple stakeholder perspectives and included a briefing for local WIBs to explain the initiative and assessment process, a self-assessment and application process completed by the local boards, and an on-site review conducted by a diverse team of representatives from the workforce development system.

WIB Briefing. Workforce Investment Board chairs and staff were briefed about the criteria and the process in January 2011². The briefing had a dual purpose: (1) Share information and the KWIB's vision for the initiative; and (2) Engage local WIB leadership in discussions about the initiative so questions could be answered. During the briefing session members of the Steering Committee and representatives from the Commonwealth formally introduced the High Impact WIBs initiative criteria. Additionally, WIBs reviewed the Kentucky HIW initiative details and walked through the application and self assessment materials. Representatives from the Department of Workforce Investment and the KWIB also answered questions posed by local WIBs.

Desk Review. Each board was required to complete and submit a self-assessment and additional materials to support their answers. These materials included documents such as the local board's strategic plan, by-laws, meeting minutes, agendas, and emails. As part of the assessment, WIB staff asked board members (i.e., their executive committee) and non-member stakeholders to complete a survey about the activities of the board and its staff.

On-Site Review. Qualitative on-site reviews gave local WIBs the best opportunity to share their accomplishments, which collectively represent the performance of the system. On-site reviews were conducted to provide context for interpreting the application materials and to give reviewers the opportunity to ask the WIBs clarifying questions. The visits gave the boards the chance to highlight promising practices and the review teams an opportunity to identify the need for technical assistance. In most cases, review teams consisted of a peer WIB reviewer, a KWIB member, a WIB director from outside of Kentucky, state agency staff, and two CSW staff.

Prior to the on-site review, teams were trained to clarify criteria and practice scoring a test case. This revealed that some additional clarification around the criteria was needed. At the direction of the Steering Committee, CSW provided a definitions sheet to respond to this need (Appendix B). Each review team teleconferenced before their site visits to discuss initial assessments, review materials, and prepare questions. On-site reviews ranged from 4-6 hours, and included meetings with the WIB staff, executive committee members, and in some cases, community stakeholders not on the board.

² Participants included: **Tom West**, Executive Director of the KWIB; **Ed Holmes**, Chair of the KWIB; **Darryl McGaha**, Director of the Cumberland WIB; **Bill Monterosso**, Executive Director, Office of Employment and Training; **Jason Slone**, Office of Employment and Training; **Dave Fleisher**, NKY WIB; **Wanda Winkler**, NKY WIB; **Tim Frogge**, NKY One-Stop; **Mary Ann Hyland-Murr**, JCTC/KCTCS; **Owen Grise**, EKCEP; **Sherry Johnson**, LTADD; **Jackie Masterson**, LTADD; **Roger Russell**, TENCO WIB; **Donald Davis**, TENCO WIB; **Jennifer Compton**, Bluegrass; **Lori Collins**, Bluegrass; **Denise Dials**, TENCO; **Denise Wietelmann**, TENCO; **Kim Huston**, LTADD/KWIB; **Jeff Whitehead**, EKCEP; **Donna Diaz**, Cumberland; **Daryl Smith**, Bluegrass; **Ann McGlone**, NK WIA; **Tonia Slone**, NK WIA; **Pam Hatcher**, KCTCS; **Ann Oldham**, West KY; **Sheila Clark**, West KY; **Tonya Logsdon**, Green River; **Karen Dueker**, Green River; **Allan Kennedy**, Green River; **Debbie McCarty**, Barren River; **Pam Goodbar**, Barren River; **Sharon Woods**, Barren River; **Jay Ingram**, Barren River; **Dan Bozarth**, West KY; **Judy Rhoads**, MCC; **Commissioner Beth Brinly**, Dept of Workforce Investment; **Larry Fitch**, CSW; and **Kathy Stocking**, CSW.

PHASE II: LEARNING YEAR

Local WIB submissions, information collected and observed during the on-site reviews, and WIB and review team survey responses inform the planned implementation of the learning year and potential areas for statewide technical assistance.

During the **learning year (July 1, 2011- June 30, 2012)**, Workforce Investment Boards are eligible to apply for funding to support continuous improvement activities and technical assistance. The Commonwealth is setting aside a total of \$200,000; \$150,000 of this will be available for local boards to fund technical assistance activities and support learning and \$50,000 will be reserved for statewide technical assistance needs. Each local board will be eligible to receive up to \$15,000 in state provided funds, and the local boards are required to match a minimum of 25% of the total cost of technical assistance. Workforce areas may apply for technical assistance individually or combine resources as consortia to address common needs. Boards will have to submit a Local Technical Assistance Funds Application and attach an Executive Committee or full local WIB resolution signed by the executive committee approving the submission.

While boards may develop and apply for their own technical assistance objectives, several areas were identified as areas where statewide technical assistance may be beneficial. These include:

- *Strategy and action planning for development or implementation of strategic plans. This may include strategies for aligning strategic objectives with a community vision.*
- *State guidance and shared promising practices about what sector strategies and industry partnerships look like across the country.*
- *Financial asset mapping to help WIBs more proactively identify and leverage non-Workforce Investment Act resources.*
- *Board member training and additional education about Workforce Investment Act rules and the workforce system.*
- *Tracking metrics outside the scope of the Workforce Investment Act measures and using results to demonstrate the value of the workforce system.*
- *Staff development resources to improve the leadership skills of staff.*

The Steering Committee identified several areas of both strength and opportunities for improvement within the Kentucky workforce system. These include the following:

Working Strategically. WIBs across the state are at different stages with their strategic planning. A few WIBs are updating and using their strategic plans on a regular basis. Some boards are getting ready to update their strategic plans, but are waiting to see the results of the High Impact WIBs initiative baseline year before proceeding.

Generally, WIBs are focused on providing services for both employers and individuals looking for training or work; this dual customer approach is being practiced in the majority of regions. However, none of the WIBs has established a baseline condition for measuring progress on stated objectives, and few provided an explanation of how accomplishments would be tracked to help quantify the impact on their communities. Additionally, most local WIBs do not have an action plan for accomplishing their stated objectives.

Surveys reveal good relationships among board members and community stakeholders who were not members but who partner with the WIB on a regular basis. Though some of the partnerships that have been cultivated with economic development or with the local community college are very strong, they vary across the state. These partnerships

Almost all of the local WIBS were reaching out to community stakeholders to assist with their Workforce Investment Act funded programs.

were implied in some cases during the site visits, but it is less clear whether partner organizations work explicitly with the WIBs on shared goals and objectives. None of the local WIBs specifically reference strategic plans of other organizations in the community. Local WIBs have an opportunity for improvement by identifying goals outside the scope of Workforce Investment Act programs and leveraging established partnerships in the

communities to accomplish those goals.

Nearly all of the local WIBs have targeted industry sectors and are engaging key employers in the region. Yet only a few of these activities are referenced in current strategic planning documents. The review teams anticipate this will be rectified as boards complete current or future strategic planning work.

State-provided technical assistance in *Strategy and Action Planning* may be beneficial for development or implementation of strategic plans. Each WIB is at a different place in the process. Some locals are already creating new strategic plans, while others may need guidance on specific issues. This may include strategies to align strategic objectives with community vision. Additionally, state guidance and shared promising practices about what *Sector Strategies and Industry Partnerships* look like across the country would benefit all of the local WIBs.

Resources. Most of the local WIBs have processes in place for budget creation and sharing between board and staff regarding financials. Based on the materials provided and the on-site reviews, most local WIBs are aware of and discuss changing environments and trends in board meetings. Boards are flexible with budget allocations and are able to adjust funding as needed. However, boards could improve how they are proactively leveraging funding beyond what is allocated under the Workforce Investment Act. Several of the boards are leveraging federal resources using their established relationships in the community as opportunities arise. In most cases this includes U.S. Defense Base Closure and Realignment Commission (BRAC) and

American Recovery and Reinvestment Act (ARRA) funding. The review teams note that much of the leveraged funding comes from the U.S. Department of Labor, and that the boards may not be looking to funding streams that go to partners in education, economic development, and community-based organizations. Additionally, for those boards that have it, the review teams recommend leveraging funding using their 501(c)(3) status.

State-provided technical assistance around *financial asset mapping* would help WIBs more proactively identify and leverage non-Workforce Investment Act resources.

State-provided technical assistance around *Financial Asset Mapping* would help WIBs more proactively identify and leverage non-Workforce Investment Act resources. Financial asset maps are an inventory of resources (usually investments or potential sources of investments) available to support a set of community needs, such as adult education and learning or entrepreneurship. The inventory might include particular types of establishments, local or regional government agencies, educational organizations, or other purpose-specific programs or entities. Such a resource can provide a useful context for making investment decisions. The Commonwealth could provide examples of financial asset maps and share examples of local WIBs who were able to transform their funding from purely federal Workforce Investment Act resources to a wider range of leveraged funding streams through proactive relationship building in their communities.

Strong and Engaged Boards. On the site visits, the review teams met with many WIB members that are connected to the community and passionate about the work they are doing. Surveys show that board members are generally satisfied with information shared with them by staff. All boards have processes that help ensure efficient completion of their work, including protocols for committee structures, emergency

All boards have processes that help ensure efficient completion of their work.

executive committee meetings, how to take action between meetings, and how to remove board members who do not regularly attend meetings. All boards have public meetings and often invite outside speakers to bring in fresh perspectives and new ideas.

One opportunity for improvement for almost every board involves building capacity to track outcomes beyond Workforce Investment Act performance measures. This includes established approaches for measuring the impact of investments in sector strategies. Once they are implemented and the results aggregated, these tracking mechanisms have the potential to be a powerful tool to communicate a WIB's value to the community. These results will allow boards to analyze their return on investment and drive budget decisions.

Technical assistance for stronger and more engaged boards might include:

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- **Board member training and additional education about Workforce Investment Act rules and the workforce system.** Some of the boards in the state have enlisted significant new membership in the past few years which has brought in new voices and ideas to the system. Other areas appear to be too dependent on the executive director to set the agenda and strategic direction for the WIB. One idea that emerged from the site visits is to create a board member (or chair) peer learning group to facilitate the exchange of ideas and experiences across local WIBs. Training and education topics could include: state and local board roles and responsibilities; leadership development; and strategic doing. At the request of the board chairs, the KWIB has been researching best practices for local chair training and orientation.
 - **Assistance with *tracking metrics outside the scope of the Workforce Investment Act* measures and using results to *demonstrate the value of the workforce system*.** For example, the boards could set up a system for tracking the amount of leveraged dollars in the community. Boards could also use cost-benefit or return on investment analyses for employer engagement, advocacy, and marketing. When boards seek community impact beyond Workforce Investment Act performance measures and stakeholders outside the workforce development system understand the value of the WIB, they will be more likely to engage community leaders, both on and off the board, to be part of that change.
 - **Staff development resources to assist local WIBs to improve the leadership skills of staff.** This is key to the provision of excellent services, which leads to more and/or better success stories, opportunities for strategic marketing, increased interest and support from stakeholders in the area, and the potential for more leveraging of resources.

PHASE III – VOLUNTARY CERTIFICATION YEAR

Boards who participate in the voluntary **2012 standards year (July 1, 2012-June 30, 2013)** and achieve High Impact status will receive preferred status for state discretionary fund allocations during the life of the certification (2 years). Also under consideration pending legal review is automatic state re-certification of the WIB if designated High Impact.

After a thorough review of the original criteria used in the baseline year and additional discussion and consideration, the Steering Committee adjusted the criteria and the assessment process to address various concerns. Among these are changes that seek to clarify the Steering Committee’s definition of a High Impact WIB, simplified language, removal of redundancies, and greater flexibility in how Local WIBs can provide evidence that they are meeting the criteria. For specific changes, please see Appendix C for the criteria crosswalk and Appendix D for recommended new criteria. The revised criteria reflect all of the principles from the original standards. However, several of the more administrative requirements are included in the “Standard Workforce Investment

Act (WIA)-based and/or Administrative Criteria,” which boards must pass as a prerequisite to applying for HIW review. In brief, the following adjustments have been made to the High Impact criteria:

- Local WIBs are required to meet all of the Part I “Standard WIA-based and Administrative Criteria” (including things such as board review of independent audits, specific polices, by-law content, board and committee membership requirements), before moving on to submit Part II of their application. WIBs will be assessed on these criteria during the annual monitoring review. Local WIBs must be in compliance with federal and state regulations and have no outstanding monitoring issues in order to apply for High Impact certification.
- There are eight (rather than 11) criteria in the same three major categories (strategic planning and implementation; developing and managing resources; managing the work of the board);
- Within the eight criteria there are 30 indicators, each worth one point.
- There are five additional indicators that complete the intent to prioritize the importance of data driven strategy, stakeholder communications, informed and active board members, and customer satisfaction.
- The WIBs are allowed to decide how to demonstrate they have met the criteria (discussed in greater detail below under “process changes”).
- The WIBs must meet 25 of the 30 criteria to be certified High Impact. High Impact certification will last two years.

Feedback and input from both reviewers and local WIBs reveal that the self-assessment and desk review portions of the initiative could be streamlined. In the future, the assessment process will be implemented in the following way:

- Assessments will occur on a rolling basis throughout the certification year (July 1, 2012-June 30, 2013).
- Applications will allow room for the WIBs to decide how to demonstrate they have met the criteria. While WIBs will still be required to submit their strategic plan, by-laws, and other collaborative documents through a desk review and self-assessment, the certification process will require far less paperwork, and the assessment tool will be more open ended to allow WIBs to decide what additional materials provide the best evidence that they have satisfied the criteria.
- Review team composition in the standards year will be more consistent and include at least three core team members who will visit and assess all the local WIBs. Review teams will continue to consist of a diverse group of stakeholders.
- Review teams will spend more time on site visits gathering information about WIB activities than was allowed in the baseline year.

Concluding Recommendations

The KWIB has provided an excellent framework and is committed to assisting local WIBs with continuous improvement. Throughout the process, local WIB members have expressed their willingness to improve performance and a desire to work with the state to do so. This interest includes participating in reviews and trainings, and providing feedback on criteria and assessment processes. Additionally, while not discussed at length in this report, the organization of most local WIBs within the Area Development Districts (ADD) structure is somewhat unique. The High Impact WIBs initiative provided an opportunity to reflect on this structure in terms of a) the benefits of having workforce development and economic development under the same roof; and b) areas where there may be barriers to working autonomously as a workforce investment board. The state has already begun initiating and facilitating conversations between the board chairs, ADD directors, and state agency directors to more effectively work within this framework. The continuation of this dialogue will help bring clarity to the system in terms of roles and responsibilities and will create stronger, more productive boards.

Additionally, the Steering Committee recommends the KWIB and state agency representatives:

- Continue to coordinate KWIB initiatives and ensure that local WIBs are able to integrate them throughout their activities.
- Continue facilitating conversations and dialogue with Area Development District Directors, WIB chairs and directors, and state agency directors for greater clarity around roles and responsibilities.
- Continue the dialogue both at state and local levels with One-Stop partners to create a seamless delivery of services driven by the strategic intent of the WIB.
- Continue an ongoing dialogue between local WIB directors and board chairs and the KWIB around continuous improvement and leadership development.
- Explore KWIB processes and areas for improvement to foster High Impact WIBs across the state.
- Focus on identifying local innovations that can be shared across the Commonwealth and/or brought to scale and replicated across the state.
- Consider new approaches to gathering information about WIB operations on site visits and through board meetings.
- Support the development of local programs by providing labor market intelligence by Workforce Investment Area on a regular basis.
- Provide technical assistance in the following areas to improve board processes and build capacity:

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- *Strategy and action planning* for development or implementation of strategic plans, particularly for WIBs undergoing significant transitions. This may include strategies for aligning strategic objectives with a community vision.
 - State guidance and shared promising practices about what *sector strategies and industry partnerships* look like across the country.
 - *Financial asset mapping* to help WIBs more proactively identify and leverage non-Workforce Investment Act resources.
 - *Board member training* and additional education about Workforce Investment Act rules and the workforce system. This may also include the facilitation of a peer learning group.
 - *Tracking metrics* outside the scope of the Workforce Investment Act measures and using results to *demonstrate the value* of the workforce system.
 - *Staff development* resources improve to the leadership skills of staff.

Appendices

- A. Baseline Year Criteria
- B. Definitions
- C. Revised Standards and Criteria
- D. Standards and Criteria Crosswalk

Appendix A: Baseline Year Criteria

Working Strategically

Goal: WIBs have a clear strategic direction

- 1 Criterion: There is a strategic plan that is goal oriented and goes beyond the scope of Workforce Investment Act (WIA) funded activities**

Indicators: 1. Objectives are clear, state defined outcomes, and have related action plans.

2. Plan reflects employer and job seeker needs

- 1.1 The objectives are clearly articulated and strategic.**

There is a difference between ends and means. Objectives use “end” words such as increase, decrease, reduce, complete, obtain. Objectives do *not* use “means” words such as provide, establish, create. The “means” should be in the *Action Plan*. Reviewers should be able to easily understand what the intended “ends” are in the strategic plan.

- 1.2 The objectives reflect community objectives, beyond measures of WIA or one-stop.**

For example: increasing literacy in the region; raising graduation rates; increasing the number of adults enrolled in lifelong learning; etc. High performing boards do not just concern themselves with employment rates and wages. There are many other issues that impact the community’s economic health, including housing, transportation, and even health insurance. The board should look broadly at the region’s needs.

- 1.3 Objectives are based on a stated level of improvement over an identified baseline condition.**

The strategic plan includes data providing baseline information and objectives reflect improvement over the baseline. For example, if the current graduation rate is 74%, an objective might be stated as “raise graduation rates to 80% in five years.”

- 1.4 Attainment of the objectives will clearly produce benefit for both employers and job seekers.**

Not all the objectives have to specifically address job seekers and employers, and there doesn’t need to be one objective each that apply solely to job seekers and solely to employers. For example, “Reduce the turnover rate in the hospitality industry by 5%” would obviously benefit employers, and if the strategies include helping new hires in hospitality to overcome their barriers to staying on the job, then job seekers will also benefit. If the benefits to employers and job seekers are not obvious, explain in the notes section to the right how the board feels one or more objectives will provide such benefit.

- 1.5 The plan explains how the level of improvement will be measured/ quantified³**

This can be highly definitive, e.g., “The board will obtain at least 12 mentions about its literacy campaign in the media in 2011 as measured by copies of news clippings and radio spots.” It can also be a compilation of evidence – quantitative or qualitative. As Jim Collins says in *Good to Great*, if the evidence is primarily qualitative, think like a trial lawyer assembling the combined body of evidence. But the plan should describe what kind of evidence it is going to compile and how it is going to get it.

³ Reference tool: *Good to Great and the Social Sectors* by Jim Collins. The monograph explains how to hold yourself accountable for progress in outputs, *even if those outputs defy measurement*. Goals answer the question of how effectively the board delivers on its mission and makes a distinctive impact, relative to its resources.

1.6 There is an action plan related to the objectives.

Strategic action describes “how” an objective will be met. It should be clear enough that people know what needs to be done and can assess whether they have done it. Action is the *means*, so words like identify, create, establish, provide, research, etc. can be used. Action plans should be specific about who will do what by when. E.g., “By December 31, 2011, the Marketing Committee will create a power point presentation and speaker’s notes that board members can use to make presentations about literacy to community groups. The committee will identify no less than 5 venues for presentation and complete all presentations by June, 2012.”

1.7 The action being planned is sufficient to meet the objectives.

There should be a direct connection between the planned action and attainment of the objective. And, if the objectives are lofty, the strategies and action plans will need to be lofty as well if the board is to be successful.

High performing boards identify and address root causes and ultimate fixes, not band-aids. “Programs” are essentially band-aids that address an immediate need, one person at a time. The board should determine the root causes behind the needs, and develop solutions to address the underlying problem.

Notes:

STRENGTHS:

AREAS FOR IMPROVEMENT:

SUMMARY SCORE FOR CRITERIA 1: NOTE: This criterion MUST be met for a board to be considered “high performing” regardless of total points scored.

- **Yes/No evaluation:** board is “High Performing” if it receives positive marks for at least 6 of the 7 measures.
- **Numerical Evaluation:** Board receives 2 points for each positive measure and must score at least 12 points.

NUMBER OF POINTS:

INDICATE YES OR NO:

2 **Criterion: The strategic plan emerged from a broadly inclusive process**
Indicators: The plan (and any updates) reflects the input or participation of economic development, employer, and education stakeholders.

2.1 **Surveys with (minimally) economic developers, educators, and employers on the board demonstrate that they feel they were listened to and were able to fully participate in the planning process to the extent they desired.**

When the board surveyed economic development, education, and employer stakeholders on the WIB, how did they respond to the following questions:

1. What opportunities were you given to participate in strategic planning, such as being invited to be part of a planning committee or participate in focus groups, responding to written documents, etc.?
2. How satisfied were you with the level of involvement you were offered? Very satisfied, satisfied, neutral, dissatisfied, very dissatisfied.
3. If you participated, in the opportunities to participate, how satisfied were you with the degree to which you believe your input was heard and considered? Very satisfied, satisfied, neutral, dissatisfied, very dissatisfied.

2.2 **Surveys with (minimally) economic developers, educators, and employers beyond those that are WIB members demonstrate that they feel they were listened to and were able to fully participate in the planning process to the extent they desired.**

Non-board members can contribute additional expertise, new ideas, community commitment, and resources. When the board surveyed economic development, education, and employer stakeholders NOT on the WIB, how did they respond to the following questions:

1. What opportunities were you given to participate in strategic planning, such as being invited to be part of a planning committee or participate in focus groups, responding to written documents, etc.?
2. How satisfied were you with the level of involvement you were offered? Very satisfied, satisfied, neutral, dissatisfied, very dissatisfied.
3. If you participated, in the opportunities to participate, how satisfied were you with the degree to which you believe your input was heard and considered? Very satisfied, satisfied, neutral, dissatisfied, very dissatisfied.

2.3 **The WIB can document all efforts it made to obtain input from employers, educators, and economic developers (e.g., surveys, meeting invitations, meeting minutes and summaries showing attendance and active participation, summaries of interviews, etc.)**

Documentation is included with the application.

2.4 **There are references in the board's strategic plan to the plans of other organizations.**

Because of the broad-based, inclusive planning process, we would anticipate that the board's strategic plan is aligned with other entities' plans. Plans should align as a result of community engagement and staff and board member participation on other boards and committees in the region. The strategic plan should reflect the board's awareness of these other plans and how alignment can provide leverage to accomplishment of the objectives.

Notes:

STRENGTHS:

AREAS FOR IMPROVEMENT:

SUMMARY SCORE FOR CRITERION 2: NOTE: This criterion MUST be met for a board to be considered “high performing” regardless of total points scored.

- Yes/No evaluation: board is “High Performing” if it receives positive marks for at least 3 of the 4 measures
- Numerical Evaluation: Board receives 2 points for each positive measure and must score at least 6 points.

INDICATE YES OR NO:

NUMBER OF POINTS:

- 3** **Criterion:** The board has adopted a sector approach to workforce development.
Indicators: 1. The WIB has analyzed the regional labor market using the most current available data, and is effectively using this information to guide sector policy and investments.
2. Employers are engaged through sector strategies.
3. Where sector strategies have not been implemented at the time of the first review, there is clear plan in place to create them with definitive steps and timelines.
4. The board supports Sector Partnerships

3.1 Target sectors are identified using data

Targeted sectors should be easily identifiable in the strategic plan.

3.2 The sector approach is clearly reflected in the goals and actions of the strategic plan (whether to enhance existing sector strategies or to create them with definitive steps and timelines.)

A number of competitiveness strategies use an industry-specific approach, including industry clusters, sector partnerships, business networks, career pathways, centers of excellence, career clusters, among others. In many cases, these strategies share other characteristics too, including: 1) being regionally-based; 2) involving multiple firms in one or more inter-related industries; 3) using a public-private partnership model; (4) aiming to be employer-led and/or owned; (5) aligning and leveraging strategies and resources; 6) including a workforce education and training component; and (7) seeking outcomes of competitive workers and competitive firms.

3.3 The WIB gives clear direction to the one-stop operator regarding sectors to be targeted through contract requirements, local plan requirements, business plan requirements, MOUs, or similar means.

Attached to the application is the document (or labeled excerpt from the document) of the WIB’s direction to the one-stop operator that identifies sector targets, and what the board wants the one-stop to do to support its sector efforts.

3.4 The WIB sets quantified expectations for the one-stop for addressing the needs of target sectors.

Attached to this application is the document (or labeled excerpt from the document) of the WIB’s quantified expectations for the one-stop to meet the needs of the targeted sectors.

3.5 Sector partnerships, whether existing, or planned, include key employers in the sectors (or if planned, key employers to invite as members have been identified) as demonstrated through meeting summaries, e-mails, etc.

Sector partnerships are employer-driven, public-private collaboratives that define common skills challenges and solutions across multiple firms in a specific industry. Attached to this application are the last two meeting summaries of existing sector partnerships (inclusive of the names of members and the organization or firm they represent). If the board currently has no partnerships but is planning to establish them, a copy is attached of the action plan showing who the board intends to engage in the partnership.

3.6 Staff support is provided to sector partnerships as demonstrated by meeting summaries, e-mails, etc.

In the notes/comments section in the column of the self assessment, the board identified the name of each staff person assigned to support each partnership, their title, and role. Or, if the meeting summaries or copies of e-mails among partnership members adequately demonstrate the name and role, the board simply attached copies to the application.

3.7 Sector partnerships are employer driven, as demonstrated by meeting summaries, e-mails, etc.

Reviewers will examine the meeting summaries and e-mail exchanges with staff that are submitted to look for evidence that the partnerships are employer-driven. If meeting notes do not fully represent the degree to which partnerships are employer-driven, the board explained in the notes section in the self assessment how they know that they are so driven.

Notes:

STRENGTHS:

AREAS FOR IMPROVEMENT:

SUMMARY SCORE FOR CRITERION 3:

- **Yes/No evaluation:** board is “High Performing” if it receives positive marks for at least 6 of the 7 measures. **Numerical Evaluation:** Board receives 1 point for each positive measure.

INDICATE YES OR NO:

NUMBER OF POINTS:

4 Criterion: The strategic plan is part of a continuous improvement process; the plan is a “living” document

- Indicators:** 1. There is an update mechanism for the plan.
2. The Board seeks feedback on the plan from relevant stakeholders

4.1 The strategic plan describes the timeframes and mechanisms for updating the plan

Strategic plans should not sit on a shelf or be cast in concrete. Goals and strategies must be updated as conditions change or as strategies are determined to be ineffective. The plan should include the process for how updates will be handled (which should include the broad community again) and how often the board and community will re-visit the goals and strategies.

4.2 WIB meeting summaries demonstrate that progress on the plan is discussed at every board meeting.

Reviewers will examine the meeting minutes for the last 12 months that were submitted with this application.

4.3 Evidence is provided showing how the WIB sought feedback on the plan from stakeholders through interviews and/or surveys and/or focus groups.

Documentation is included in the application.

Notes:

STRENGTHS:

AREAS FOR IMPROVEMENT:

SUMMARY SCORE FOR CRITERION 4:

- Yes/No evaluation: board is “High Performing” if it receives positive marks for all 3 measures

Numerical Evaluation: Board receives 1 point for each positive measure.

INDICATE YES OR NO:

NUMBER OF POINTS:

Developing and Managing Resources

GOAL: WIBs effectively (fill community need/gaps) and efficiently (avoids duplication) manages assets in the community

5 Criterion: Staff develops the budget under the direction of the WIB

Indicators:

- 1. The Chief Elected Official is involved in development of the budget;**
- 2. The budget supports the strategic plan;**
- 3. The WIB invests resources to develop skills in high priority occupational areas.**

5.1 A process is in place for the board to provide direction for development of the budget. The process is in writing (e.g., in the by-laws, in the strategic plan, etc.) and for the chief elected official to be involved.

The written process is included in the application for how the board and chief elected official are engaged in providing direction for development of the budget.

5.2 Interview or survey with the chief elected official confirms that s/he was consulted in budget development.

The information was collected and included with the submission (or may be ready and available when the reviewers come on-site.) The board may provide a signed and dated statement from the CEO that he/she/they were consulted at least 1 month in advance of when the budget needed to be approved with regards to strategic priorities and how the budget should support those priorities.

5.3 Minutes of the budget or finance committee or executive committee or full board reflect discussion of the connection between the strategic plan and the budget.

Board minutes are attached with the application. The board indicated in the notes section of the application where reviewers will find the discussion of the strategic plan and related budget considerations (which group's minutes, the date of the meeting, and the page number).

5.4 Clear direction is provided to the one-stop operator on targeting resources to develop skills in high priority occupational areas as demonstrated in contract requirements, local plan requirements, business plan requirements, MOUs, or similar means.

The board attached documentation that it has provided direction to the one-stop operator regarding skills needed in high priority occupational areas and performance expectations regarding same.

5.5 Board meeting minutes or copies of e-mails demonstrate that staff has shared full findings from independent audits with the WIB, and that any fiscal findings are being addressed.

Minutes were submitted with the application and the board indicated in the notes section of the self- assessment where reviewers will find the discussion of the audit (which group's minutes, the date of the meeting, and the page number). If not in the minutes, the board attached a copy of any e-mail that was sent out to board members containing the audit report, or the date of the board meeting packet that contained the full audit as a handout. If there is an alternative form of documentation, the board is allowed to include it (e.g., the board provided the link to the audit on a website in the notes section of the self assessment).

5.6 Understandable fiscal reports are provided to the WIB on a regular basis as demonstrated by meeting handouts or e-mails.

The board attached a copy of any e-mail that was sent out to board members in the last 12 months that included fiscal reports as attachments (and include the attachments), or provided copies of the financial reports that were included in board meeting packets over the last 12 months. The board may also provide the link to fiscal reports on its website (with the link provided in the self assessment if that is how the board communicates the information to members).

5.7 Written policies exist for procurement, fiscal processes (how revenue flows through the organization), cost allocation procedures (attributing costs to particular entities), and travel reimbursement

The board either:

- Attached copies of the policies.
- Attached a copy of a monitoring report that confirms the policies exist and are satisfactory, or
- Provided a link to the policies on its website in the notes section of the self assessment.

Notes:

STRENGTHS:

AREAS FOR IMPROVEMENT:

SUMMARY SCORE FOR CRITERION 5: NOTE: This criterion MUST be met for a board to be considered “high performing” regardless of total points scored

- Yes/No evaluation: board is “High Performing” if it receives positive marks for at least 6 of the 7 measures.
- Numerical Evaluation: Board receives 2 points for each positive measure and must score at least 12 points.

INDICATE YES OR NO:

NUMBER OF POINTS:

6 Criterion: Resources and assets are coordinated and leveraged from other workforce, economic development, and educational organizations/agencies.

Indicators: 1. The board is aware of and influences resources beyond WIA funding, such as foundation funds, Perkins resources, etc.;;
2. WIBs have mapped what assets are available in the community relative to the key issues they identify in the strategic plan;
3. Asset mapping is used in the board’s discussions and decision-making;
4. Resource utilization is aligned with goals and objectives in the strategic plan;
5. Non-WIA resources, including from the private sector, foundation, and other public entities are being leveraged (or planned to be leveraged, with a definitive set of action steps and timeframes.)

6.1 The board has an asset map.

The board attached the asset map or provided a link to it in the notes section of the self-assessment.

6.2 Board meeting or committee summaries demonstrate that the asset map has been discussed and is being used as a tool for planning.

Minutes were submitted with the application. The board indicated in the notes section of the self-assessment where reviewers will find discussion of the asset map (which group’s minutes, the date of the meeting, and the page number).

6.3 1st year: there is at least a solid plan in place for leveraging resources, including steps and timeframes, and desired results. 2nd year: resources have been successfully leveraged.⁴

The board attached a copy of its plan for leveraging resources.

6.4 1st year: a quantified goal has been set for leveraging non-WIA allocated resources. 2nd year: There is a documentation tool for determining the amount of resources leveraged, which is included in reports to the WIB.

In this baseline year, reviewers will examine the plan for leveraging resources to identify the quantified goal.

Notes:

STRENGTHS:

AREAS FOR IMPROVEMENT:

SUMMARY SCORE FOR CRITERION 6:

- Yes/No evaluation: board is “High Performing” if it receives positive marks for at least 3 of the 4 measures
- Numerical Evaluation: Board receives 1 point for each positive measure.

INDICATE YES OR NO:

NUMBER OF POINTS:

7 Criterion: WIBs are fiscally responsive to shifts in trends and economic conditions.

- Indicators:**
1. There is an update mechanism to reallocate human and financial resources in the business services and youth plans, linked to labor market shifts and tied to the strategic plan;
 2. The Board seeks feedback on financial investments.

7.1 There is a written process for reallocating resources based on economic shifts (outlined in the strategic plan, the plan of service, by-laws, or other location).

The board attached its written plan or indicated in the notes section of the self-assessment where the process may be found in other submissions, such as the plan of service, by-laws, etc.

⁴ Note: “Leveraged funds” can also be funds that the WIB contributed to another organization to fulfill goals that also benefit the WIB’s strategic plan and mission. For example, if the WIB contributes \$10,000 to an economic development corporation’s \$150,000 labor market research project that will benefit the board’s planning efforts, the board has effectively leveraged \$140,000.

7.2 WIB or WIB committee meeting minutes reflect discussion of the impact of changing economic trends, new developments and opportunities, or new challenges and whether those changes should also change the budget; adjustments are made as determined necessary.

The board indicated in the notes section of the self-assessment where reviewers may find this information in the WIB or committee meeting minutes.

Notes:

STRENGTHS:

AREAS FOR IMPROVEMENT:

SUMMARY SCORE FOR CRITERION 7:

- Yes/No evaluation: board is “High Performing” if it receives positive marks for both measures
- Numerical Evaluation: Board receives 1 point for each positive measure.

INDICATE YES OR NO:

NUMBER OF POINTS:

Managing the Work of the Board

GOAL: WIBs have a strong and engaged Board that drives the mission and implementation steps

- 8** **Criterion: The Board is diverse, connected to the community, and business driven.**
Indicators: 1. There is strong business leadership on the board;
2. Board members reflect the diversity of the region.

- 8.1** The by-laws define a quorum of business members necessary to have a meeting.

The quorum should be **representatives of business (as defined in the Act), business associations, and economic development.**

Reviewers will examine the by-laws for documentation.

- 8.2** The by-laws include attendance expectations and a process for removing members who do not attend meetings.

Reviewers will examine the by-laws for documentation.

- 8.3** There is a written board member recruitment plan that is linked to sector priorities, geographic diversity, and the need for community opinion leaders.

The board attached the board member recruitment plan, or if it is contained in another document being submitted, indicated in the notes section of the self-assessment which document and the page number.

- 8.4** Nominations for board membership presented to the chief elected official include a rationale for member appointment based on sectors, geography, leadership skills, community influence, and connection to the strategic plan

The board attached copies of at least 3 nomination forms submitted to the chief elected official.

- 8.5** Committee chairs are all from the private sector.

Reviewers will look at the by-laws for evidence of this requirement. If not contained in the by-laws, the board listed committee chairs in the notes section of the self-assessment for reviewers to compare against the WIB roster.

- 8.6** The executive committee is majority private sector.

Reviewers will look at the by-laws for evidence of this requirement. If not contained in the by-laws, the board listed executive committee members in the notes section of the self-assessment for reviewers to compare against the WIB roster.

- 8.7** Committee chairs make reports to full board, not staff.

Reviewers will look at minutes of full board meetings for documentation.

Notes:

STRENGTHS:

AREAS FOR IMPROVEMENT:

SUMMARY SCORE FOR CRITERION 8: NOTE: This criterion MUST be met for a board to be considered “high performing” regardless of total points scored.

- Yes/No evaluation: board is “High Performing” if it receives positive marks for at least 6 of the 7 measures.
- Numerical Evaluation: Board receives 2 points for each positive measure and must score at least 12 points.

INDICATE YES OR NO:

NUMBER OF POINTS:

9 Criterion: WIBs are measuring success using locally relevant outcomes beyond the mandatory WIA performance standards.

- Indicators:**
- 1. The WIB has established outcomes or results that reflect their strategic intent.**
 - 2. Outcomes are applied to the One-Stop system reflective of the strategic intent;**
 - 3. Sector strategies have measurable outcomes (locally defined).**
 - 4. Achievement against measures are made public.**
 - 5. The WIB has a plan for action if the measures are not met, including action related to service providers.**
 - 6. There is a plan for determining return on investment.**

9.1 The board has identified tools to measure its desired outcomes and results.

If measurement tools are not described in the strategic or operational plan, the board identified them in the notes section of the self-assessment. The board identified the tool(s) to be used for each goal.

9.2 There is a relationship between the tools and the measures.

Reviewers will assess whether the tools are likely to provide measurement of progress toward the goals.

9.3 The WIB has a plan for how achievement of outcomes will be publicly communicated.

The board attached a copy of the plan or identified in the notes section of the self-assessment where reviewers may find this information in other submissions.

**9.4 1st year: plans for sector strategies include a plan for creating measurable outcomes.
2nd year: sector strategies have measurable outcomes.**

The board identified in the notes section of the self-assessment where reviewers may find this information (document and page number) in the strategic plan, operational plan, sector partnership meeting notes, or other document.

9.5 The WIB has a formal process in place for how to communicate performance expectations with the one-stop operator and allows feedback from the one-stop.

In the notes section to the right, indicate where reviewers can find this information by document name and page number among the various other submissions, or attach whatever the relevant additional document may be (such as MOU).

9.6 There is a written process for WIB action that will be taken if measures given to the one-stop operator are not being met.

In the notes section of the self-assessment, the board indicated where reviewers can find this information by document name and page number among the various other submissions, or attach whatever the relevant additional document may be.

9.7 There is a written cost-benefit plan for how the WIB will determine if it is getting the most from its investments.

The board attached its plan for analyzing benefit, or in the notes section of the self-assessment, indicated where reviewers can find this information by document name and page number among the various other submissions.

Notes:

STRENGTHS:

AREAS FOR IMPROVEMENT:

SUMMARY SCORE FOR CRITERION 9: NOTE: This criterion MUST be met for a board to be considered “high performing” regardless of total points scored.

- Yes/No evaluation: board is “High Performing” if it receives positive marks for at least 6 of the 7 measures.
- Numerical Evaluation: Board receives 2 points for each positive measure and must score at least 12 points.

INDICATE YES OR NO:

NUMBER OF POINTS:

10 Criterion: The board agenda is developed by staff with direction actively sought from the WIB. The agendas demonstrate that the WIB is engaged in Big Picture issues, not minutia.

Indicators: Board members actively participate. The agenda reflects policy issues relevant to its members, not individual programs

10.1 There is a written process for how board meeting agendas are developed (as contained in the by-laws or other documents).

The board attached a copy of the process, or identified the appropriate document among other submissions and the page number.

10.2 A survey of the chair and/or Executive committee confirm they have been given opportunity to provide input for the agenda.

When the board surveyed its chair and/or executive committee members, how do they respond to the following question:

1. How do you feel you have been given opportunity to provide input for the agenda for full board meetings: Great opportunity, good opportunity, neutral, little opportunity, no opportunity.

10.3 There is evidence that the chair and/or executive committee approved the agenda before it was sent to all members.

The board attached copies of e-mails or other documentation to this effect.

10.4 Time spent on administrivia is minimized by use of a consent agenda (as reflected in agendas or minutes).

Reviewers will read meeting minutes for evidence of the consent agenda process.

10.5 Outside speakers or organizations who are engaged in work related to the strategic goals are invited to make presentations or have discussions with the board to educate the board members and look for opportunities for leverage, influence, or synergy.

Reviewers will read meeting minutes for evidence of discussion of engagement of outside speakers and organizations.

Notes:

STRENGTHS:

AREAS FOR IMPROVEMENT:

SUMMARY SCORE FOR CRITERION 10:

- Yes/No evaluation: board is “High Performing” if it receives positive marks for 4 of the 5 measures

Numerical Evaluation: Board receives 1 point for each positive measure.

INDICATE YES OR NO:

NUMBER OF POINTS:

11 Criterion: The board is organized and staffed to be efficient and effective.

- Indicators:**
- 1. Committees are empowered;**
 - 2. Staff provide information to the board so that the board can make strategic decisions.**
 - 3. Staff carry out the mission of the board.**

11.1 The by-laws or committee charges outline the authorities of the committees.

If committee responsibilities are not contained in the by-laws, the board attached other written documentation of the charge or expectation that has been given to each committee.

11.2 The by-laws address how the WIB can take action between regular meetings (e.g., option for special meetings to be called, option for executive committee to act on behalf of the full board).

Reviewers will examine the by-laws for documentation.

11.3 Surveys with board members document satisfaction with staff communications.

When the board surveyed its board members, how did they respond to the following question:

1. How satisfied are you with the level of communications you have with board staff:
Very satisfied, satisfied, neutral, dissatisfied, very dissatisfied.

11.4 Surveys with board members demonstrate that board members are satisfied with the quality and quantity of information they receive in order to make decisions.

When the board surveyed its board members, how did they respond to the following question:

1. How satisfied are you with the quality and quantity of information you receive from board staff that allows you to make informed decision at board and committee meetings: Very satisfied, satisfied, neutral, dissatisfied, very dissatisfied.

Note: Boards have the option of submitting the results to the reviewers with the application, or having the results ready for the reviewers when they come on-site. The board identified the individuals that it asked, the names of those who responded, and the quantified results.

11.5 The Executive Director job description reflects responsibility for carrying out the mission/strategic plan of the board.

The board attached a copy of the Executive Director's job description.

11.6 The Executive Director evaluation tools include assessment of how well the ED carries out the strategic plan of the board.

The board attached a copy of the executive director assessment tool(s) that provides feedback to the ED on how well he/she carries out the strategic plan of the board.

11.7 Information needed for meetings is distributed to board members at least one week prior, as documented by e-mails or dated copies of hard-copy mailings.

The board attached copies of e-mails or dated copies of hard-copy mailings that show both the date of the mailing and the date of the meeting to which the communication refers.

11.8 There is a mechanism for project management (e.g., an operational plan).

The board attached the plan for operationalizing the strategic plan, or alternative documentation such as a Gantt chart. The attachment should demonstrate that the board and staff have a clear understanding of the work that needs to happen to achieve strategic goals, and timeframes and responsibilities for doing so.

11.9 There is a written process for how the WIB has input into the ED's evaluation.

The board attached documentation of the process.

11.10 The organizational chart clearly shows the staff reporting to the board.

The board attached an organizational chart that shows the relationship between the board and staff, and which staff support the board.

Notes:

STRENGTHS:

AREAS FOR IMPROVEMENT:

SUMMARY SCORE FOR CRITERION 11:

- Yes/No evaluation: board is "High Performing" if it receives positive marks for at least 8 of the 10 measures.

Numerical Evaluation: Board receives 1 point for each positive measure.

INDICATE YES OR NO:

NUMBER OF POINTS:

Appendix B: High-Impact WIBs Definitions

Goals, Objectives, and Strategies (Indicators 1.1 – 1.7)

Goal: A goal is a desired future state of affairs that the organization attempts to realize. A goal is an observable and measurable end result having one or more objectives to be achieved within a more or less fixed timeframe.

Objective: An objective is an end that can be reasonably achieved within an expected timeframe and with available resources. Objectives are specific; they set intermediate-term targets that are necessary but not sufficient for the satisfaction of goals. As described in the self-assessment tool, objectives use “end” words such as *increase, decrease, reduce, complete, obtain*. Objectives do NOT use “means” words (such as provide, establish, create, promote).

Strategy: Strategies are the means by which an objective will be accomplished. Strategies do use “means” words such as provide, establish, or create.

Example:

Goal: The board will become financially independent from state and federal funding within 10 years.

Objective: The board budget will reflect an increase in non-federal funds by 10% per year, starting with a baseline of zero dollars in 2011.

Strategy: Perform market research; develop a fee-for-service menu; and beta test implementation of at least one fee-based service within the next six months.

The Role of the Board in Budget Development (Indicator 5.1)

The indicator says the board is to “provide **direction** for development of the budget.” [Note: A budget is not the same as an allocation. That is, a list of the funds allocated to the board from the state does not constitute a budget.] It is our expectation that boards provide *policy direction* that the staff use to create the budget. Here is an example of a survey of board members that a WIB in another state used to seek input from its members about how funds should be budgeted:

1. Our primary service objective for job seekers should be:

Rank from 1 (highest priority) to 3 (lowest priority)

- a. Providing job and training information, and a job matching system to the general public and to the region’s employers
- b. Providing career counseling, assessment, and individual attention to job seekers who cannot find a job with information alone
- c. Providing funds for skill training

___ *Don’t have enough information to respond*

2. Our primary objective for employers should be:

Rank from 1 (highest priority) to 3 (lowest priority)

- a. Providing access for all employers to the available labor pool through an efficient job matching system
 - b. Providing assistance to selected employers in assessing needs and designing customized strategies to hire and retain a workforce
 - c. Providing training funds to meet selected employers' needs for specific skills
- ___ *Don't have enough information to respond*

3. Business services* should be:

Rank from 1(highest priority) to 4 (lowest priority)

* Business services are defined as: dedicated staff, technical assistance, and others resources to assist individual businesses in assessing needs, recruiting employees, developing training strategies, and accessing available sources of training funds, tax credits and other incentive programs

- a. Provided evenly to a wide range of employers
 - b. Focused on employers who are having difficulty finding workers
 - c. Focused on employers who provide wages/benefits needed by job seekers to achieve a level of self-sufficiency
 - d. Focused on specific industry clusters
- ___ *Don't have enough information to respond*

4. Individual Training Accounts (training vouchers) should provide:

Rank from 1 (highest priority) to 2 (lowest priority)

- a. Short-term, low-cost training for a large number of job seekers, assisting them in acquiring skills for entry-level jobs
 - b. Longer-term, higher-cost training for a smaller number of people, assisting them in acquiring skills for higher wage jobs
- ___ *Don't have enough information to respond*

5. Youth services provided with WIA funds should:

Rank from 1 (highest priority) to 3 (lowest priority)

- a. Focus on programs aimed at preventing at-risk youths from dropping out of school
 - b. Focus on programs to help high school dropouts obtain skills and jobs
 - c. Focus on programs to help at-risk high school graduates who are lacking skills and job prospects
- ___ *Don't have enough information to respond*

Board input doesn't have to be obtained through a survey. Other methods, such as a documented discussion at a board or committee meeting can also be used. As you can see from the questions in the example, the board is not debating line items in a budget, it is simply providing direction for priority uses of funds that guide the staff when they are developing the detail. The board should be able to see evidence of its direction in the budget itself or in policies issued to staff, or in the WIB/Operator agreement, or possibly other documents.

One-Stop Operator (Indicator 5.4 and others)

The board is required by the Act to designate or certify one-stop operators (with the agreement of the Chief local elected official). The regulations (662.400) say that "The agreement between the Local Board and the One-Stop operator shall specify the operator's role. That role may range between simply coordinating service providers within the center to being the primary provider of services within the center to coordinating activities throughout the One-Stop system (WIA sec. 121(d)).

Therefore, there should be a written designation of who the one-stop operator is (which may be a single competitively procured entity or designation of a consortia of three or more mandated partners), and a WIB/operator agreement that spells out the role the operator is expected to play. At a *minimum*, the operator coordinates the work of the partners who are located within the one-stop center to ensure the center meets the WIB's expectations for quality and performance.

Asset Map (Indicator 6.1)

Measure 6.1 says "The board has an asset map." A question was raised at reviewer training about our expectations for what an asset map is. Criterion 6 is that "Resources and assets are coordinated and leveraged from other workforce, economic development, and educational organizations/agencies." The indicators for the criteria are: "1. The board is aware of and influences resources beyond WIA funding, such as foundation funds, Perkins resources, etc.; 2. WIBs have mapped what assets are available in the community relative to the key issues they identify in the strategic plan; 3. Asset mapping is used in the board's discussions and decision-making; 4. Resource utilization is aligned with goals and objectives in the strategic plan; 5. Non-WIA resources, including from the private sector, foundation, and other public entities are being leveraged (or planned to be leveraged, with a definitive set of action steps and timeframes.) Understanding the nature of communities' assets (economic, social, and environmental), and how to find, share, and strengthen them is central to economic viability." Clearly, the audience for the asset map is intended to be policy makers for strategic planning purposes, rather than a community services guide for job seekers.

An **asset or resource map** is an inventory of resources (usually investments or potential sources of investments) available to support a set of community needs, such as adult education and learning or entrepreneurship. The inventory might include particular types of establishments, local or regional government agencies, educational

organizations, or other purpose-specific programs or entities. Such a resource can provide a useful context for making investment decisions.

Two examples:

 <h1 style="margin: 0;">Resource Mapping Federal Map</h1>		Learning Experience for Students									
		Opportunities and equal access for all students	High academic standards for all students	Industry-recognized skill standards	Teaching and learning in the context of real-life applications and careers	Work-based learning connected to students' course work and career plan	Career development infused throughout the curriculum	Career pathways/career clusters	Academic and technical curricula integrated within and across subject areas and grade levels	Leadership from stakeholders	Business, industry, and organized labor involvement
Department of Education	Adult Education - State Grant Program	X	*	*	*	*	*	*	*	X	
	The Appalachian Regional Ed Program	X	*	*	*	*	*	*	*	*	
	Bilingual Education - Program Development and Implementation Grants	X	X	*	*	*	*	X	X	*	
	Community-Based Technology Centers Program	X	*	*	*	*	*	*	*	*	
	Comprehensive School Reform Demonstration	*	X	*	*	*	*	*	X	*	
	Education for Homeless Children and Youth Program	X	X	*	*	*	*	*	*	*	
	Empowerment Zones/Enterprise Communities Program	*	*	*	X	X	X	*	*	*	
	Gaining Early Awareness and Readiness for Undergraduate Programs	X	X	*	X	*	*	*	*	*	
	Grants to States for Incarcerated Youth Offenders	*	*	*	*	X	X	*	*	X	
	Native American Vocational Technical Education Program	*	*	X	*	*	X	*	X	*	
	The Learning Anytime Anywhere Partnerships	X	X	*	*	*	*	*	*	*	
	Magnet Schools Assistance Program	X	X	*	*	*	*	*	*	*	
	Migrant and Seasonal Farmworkers	*	*	*	X	X	X	X	X	X	
	Native Hawaiian Vocational Education	*	*	*	*	*	*	*	*	*	
	Projects with Industry	*	*	*	*	*	X	*	X	*	
	Public Charter Schools Program	*	X	*	*	*	*	*	X	*	
	Qualified Zone Academy Bonds	*	*	*	*	*	*	*	*	X	
	RSA - Basic State Grants	*	*	X	X	X	X	X	X	X	
	Research and Innovation	X	*	*	*	*	*	*	X	*	
	Special Education Grants to States	X	X	*	*	*	*	*	X	*	
Star Schools Program	X	X	*	*	*	*	*	*	*		
Department of Labor	Technology Literacy Challenge Fund Grants	*	*	*	*	*	*	*	X	X	
	Title I Grants to Local Educational Agencies	X	X	*	*	*	*	*	X	*	
	Title I Program for Neglected and Delinquent Children	X	X	*	X	X	*	*	X	*	
	Tribally Controlled Postsecondary Vocational and Technical Institutions	*	*	X	*	*	*	*	*	*	
	Twenty-First Century Community Learning Centers	X	X	*	*	*	*	*	X	*	
	Upward Bound Math/Science	X	X	*	X	*	*	*	*	*	
	Vocational Education - Basic Grants to States	X	X	*	*	X	X	*	X	X	
	Boys and Girls Clubs of America	*	*	X	X	X	X	X	X	X	
	Job Corps	X	X	X	X	X	X	X	X	X	
	High School/High Tech	*	*	*	X	X	X	X	X	X	
	Welfare to Work	X	*	*	X	*	*	*	X	X	
	Year-Round Youth Employment Training Program	X	X	X	X	X	X	X	X	X	
	Youth Offenders Grants	X	X	X	X	X	X	X	X	X	
	Youth Opportunity Grants	X	X	X	X	X	X	X	X	X	
	Department of Transportation	Aviation Career Education Academy	X	*	X	X	*	X	*	X	*
Dwight David Eisenhower Transportation Fellowship Program		*	X	X	X	X	*	X	X	*	
Garrett A. Morgan Technology and Transportation Futures Program		X	X	X	X	X	X	X	X	X	
National Summer Transportation Institute for Secondary School Students		*	*	*	X	*	X	X	X	X	
National Urban League Partnership		X	X	X	X	*	X	*	X	X	
On-the-Job Training Supportive Services		*	*	X	*	*	X	*	X	X	
Summer Transportation Intern Program for Diverse Groups		*	X	X	X	X	X	X	X	*	
Transportation and Civil Engineering Program		X	X	X	X	*	X	*	X	*	
Transportation and Technology Academy		X	X	X	X	X	X	X	X	X	
University Transportation Research Centers		*	X	X	X	X	*	X	X	*	

* - Encouraged
X - Explicitly Stated

	Labor and Workforce Development	Higher Education
Department	Employment Development Dept.	Community Colleges
Program	Workforce Investment Act Adult	Adult Education
Total Funding	\$129,702,492	\$206,580,000
Federal Funding	\$129,702,492	\$10,000,000
State Funding	\$0	\$193,300,000
Service Providers	One-stop centers and Workforce Investment Boards	Community Colleges
Services		
Education and Training	X	X
Job search and job Placement	X	
Work Supports	X	
Employer services	X	
Target Populations	Adults (core services for all adults, more intensive services such as work supports and training to those with barriers)	Adults
Number of Participants	67,376	No data

Plan vs. Policy (e.g., Indicator 8.3)

There are several places in the criteria where the board must submit a *plan* for a specific indicator. A question arose at reviewer training regarding the difference between a written *plan* and board *policy*.

- A **policy** is a set of principles intended to govern actions; a statement of principles and/or values that mandate or constrain the performance of activities used in achieving institutional goals.
- A **plan** describes the action that will be taken consistent with the policy. It is a written account of intended future course of action aimed at achieving specific goals within a specific timeframe. It explains what needs to be done by whom, and when.

But words aside, what the reviewers are most interested in whether you have identified the philosophy and how you are going to get there.

Example:

One board has a policy (philosophy, rationale, etc.) regarding business members that says “all business members will be from industries that are targeted key sectors in our regional economy.”

Their plan (how they will act on that policy, how they are going to get to that philosophy) is: “As the term of each business member comes to an end, he or she will only be recommended for reappointment if he/she represents manufacturing, health care, logistics, or tourism. When there is a vacancy, nominations will only be sought from the Manufacturers’ Association, the Hospital Association, the Chamber of Commerce (specifying that we seek only nominees from the four target sectors), the Tourism Bureau, and the Express Delivery and Logistics Association.”

Consent Agenda (Indicator 10.4)

10.4 says “Time spent on administrative is minimized by use of a consent agenda (as reflected in agendas or minutes).” The definition and process for developing a consent agenda are outlined below. If a board is not using a consent agenda, the reviewers will ask if there is any other method the board is utilizing to reduce the amount of time spent on operational and/or minutia and bring that information back to the Steering Committee for finalizing the criteria at the end of this project..

What is a Consent Agenda?

A consent agenda consolidates routine action items into one vote.

Examples of routine items:

- Approval of Meeting Minutes
- Review of Financial Reports
- “Housekeeping” for technical program issues, routine membership items, non-deviation processes
- Standard, self-explanatory or non-controversial items

How is the Consent Agenda Developed?

- Agenda items are reviewed and pre-approved by the Executive Committee (or Board Chair, depending on the local board’s agenda development process) for inclusion.
- The items are those anticipated to have general consensus and approval.
- Items are sent far enough in advance for thorough review by members.
- May include items tabled from previous meeting discussions that are considered ready for approval.

What would NOT appear on a Consent Agenda?

- Major shifts in policy
- Major shifts in strategic priorities
- Complex items that need considerable deliberation, clarification, or Q&A

Sample Rule of Order:

“A consent agenda may be presented by the WIB Chairperson (or other officer conducting the meeting in the Chair’s absence) at the beginning of a meeting. Items may be removed from the consent agenda on the request of any one member. Items not removed may be adopted by general consent without debate. Removed items may be taken up either immediately after the consent agenda or placed later on the agenda at the discretion of the membership.”

Flow of Consent Agenda

1. Executive Committee or Board Chair Approves Consent Agenda
2. Consent Agenda & Review Materials sent with Board Packet
3. Board Meeting Starts
4. WIB Chair asks if there are any items which need removed from Consent Agenda & discussed Individually
 - a) **Yes** - WIB Chair decides to discuss item immediately or place it on regular agenda
 - b) **NO** - Process moves forward
5. WIB Chair reads remaining items; “If there is no objection, these items will be adopted”
6. **Consent Agenda Approved**

Appendix C: High-Impact WIB Revised Standards and Criteria

STANDARD AREA I: STRATEGIC PLANNING AND IMPLEMENTATION

GOAL: WIBs are working strategically

Definition: A High Impact workforce investment board (HIW) has a strategic plan developed through an inclusive process that aligns with local and regional priorities and is flexible enough to be adjusted to changing needs and economic shifts.

Criterion 1: There is a strategic plan that is goal oriented and goes beyond the scope of Workforce Investment Act (WIA) funded activities.

- 1.1 The goals are clearly articulated and strategic.
- 1.2 There is an action plan related to and sufficient to meet the goals that go beyond WIA metrics.
- 1.3 There are clear, measurable and broadly agreed upon outcomes/metrics included in the plan.

Criterion 2: The strategic plan emerged from a broadly inclusive process, reflecting the participation of economic development, employer, human service, education, and other relevant stakeholders.

- 2.1 The strategic plan was shaped by data from a comprehensive regional labor market analysis.
- 2.2 The strategic plan was guided by public and private sector input (board members and non-board members) from critical sectors of the region.
- 2.3 It is evident that the board's strategic plan aligns with the plans of relevant stakeholder organizations in the region, as well as the goals of the Kentucky Workforce system.

Criterion 3: The strategic plan is a "living" document; it is part of a continuous improvement process.

- 3.1 The strategic plan describes timeframes and mechanisms for updating the plan.
- 3.2 The board periodically seeks input on their strategic plan from non-board member stakeholders.
- 3.3 The board tracks progress on their strategic plan, makes adjustments accordingly, and communicates progress to stakeholder and partners.

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- 3.4 As a means of continuous improvement, the board updates its strategic plan based on stakeholder input, changing economic conditions, and developing opportunities and challenges.

Criterion 4: The board has adopted a sector strategy approach to its employer engagement.

- 4.1 Target sectors are identified using the most currently available regional labor market data.
- 4.2 The sector strategy approach is clearly reflected in goals and actions of the strategic plan and is in alignment with the 7 critical factors for sector partnerships⁵
- 4.3 The skill needs of local employers are communicated to human service, education and training providers, and industry associations in the region.
- 4.4 Industry partnerships include key employers in the sectors who are driving the initiative forward.
- 4.5 The board gives clear direction to the one-stop operator regarding industry sectors to be targeted, including quantified expectations and targeted service and training resources for addressing sector needs.

STANDARD AREA II: DEVELOPING AND MANAGING RESOURCES

GOAL: WIBs effectively and efficiently attract and manage their resources.

Definition: A HIW maintains sound fiscal practices and aligns financial resources to the goals identified in its strategic plan.

Criterion 5: The board has reviewed and approved an annual budget with fiscal integrity that aligns with the goals established in its strategic plan.

- 5.1 There is a process in place for the board to be involved and provide clear direction for developing budget priorities in consultation with the Chief Elected Official.
- 5.2 The WIB discusses the budget within the context of the strategic plan and makes appropriate adjustments to both budget and strategy as necessary.
- 5.3 Understandable fiscal reports are provided to the WIB and Chief Local Elected Official on a timely and regular basis.

⁵World -class sector strategies for Kentucky include: 1. Sectors based on real-time data; 2. Sectors reflect regional consensus; 3. Employer talent needs identified; 4. Partner's plans and organizations support sectors; 5. Education and training aligned; 6. Business services aligned; 7. Continuous improvement and sustainability.

Criterion 6: Resources and assets are coordinated and leveraged from other workforce, economic development, human services and educational organizations/agencies⁶.

- 6.1 The board has completed a community audit, asset map or similar plan to identify existing and emerging revenue resources and infrastructure in the region that go beyond WIA formula funds.
- 6.2 The board leverages partnerships with employers, educational institutions, and other relevant state and regional stakeholders to capitalize on funding opportunities.
- 6.3 All revenue development objectives, regardless of source, are aligned with the board's strategic plan.

STANDARD AREA III: MANAGING THE WORK OF THE BOARD

GOAL: WIBs have a strong and engaged board that drives the strategy development and implementation for their local workforce system.

Definition: A HIW represents its community, measures its effectiveness in meeting stated goals, has a process for continuous review and improvement of its performance and the performance of the local workforce system, and shares information about its accomplishments.

Criterion 7: The board is diverse, connected to the community, and business driven.

- 7.1 The board membership is representative of area employers in target sectors and includes other community leaders.
- 7.2 New board members are oriented to assure they are aware of their roles, responsibilities, and strategic goals and activities of the board.
- 7.3 There are policies and/or procedures in place to encourage and ensure active participation of private sector board members, including by-laws that require: a quorum of business members to hold a meeting; all committee chairs be from the private sector; and a majority private sector executive committee.
- 7.4 Non-board members engaged in related strategic work are invited to attend and participate in board meetings.

Criterion 8: The board measures both the board's effectiveness and the effectiveness of the local workforce system in meeting their stated strategic goals.

- 8.1 The board tracks the progress of strategic board-led initiatives from inception through collection and analysis of outcome data to

⁶ Please refer to the Definitions in Appendix B for examples.

determine whether it is getting the appropriate return on its investments.

- 8.2 The one-stop operator communicates to the board their progress on meeting priority targets for service and training.
- 8.3 The board evaluates the effectiveness of one-stop leadership in carrying out the goals identified in the strategic plan.
- 8.4 The board takes action to mitigate system weaknesses or poor performance.
- 8.5 The board tracks and analyzes customer satisfaction (both jobseekers and employers), and other relevant system measures beyond WIA required measures.

STANDARD WORKFORCE INVESTMENT ACT (WIA)-BASED AND/OR ADMINISTRATIVE CRITERIA

- Staff has the WIB review shared full findings from independent audits with the WIB, and that any fiscal findings are being addressed.
- Written policies exist for procurement, fiscal processes, cost allocation procedures, and travel reimbursement.
- The by-laws included attendance expectations and a process for removing members who do not attend meetings.
- Nominations for board members presented to the chief elected official include a rationale for member appointment based on sectors, geography, leadership skills, community influence, and connection to the strategic plan.
- Committee chairs make reports to the full board, not staff.
- There is a written process for how board meeting agendas are developed (as contained in the by-laws or other documents).
- Board members have been given opportunity to provide input for the agenda.
- There is evidence that the chair and/or executive committee approved the agenda before it was sent to all members.
- The by-laws or committee charges outline the authorities of the committee.
- The by-laws address that the WIB can take action between regular meetings (e.g., option for special meetings to be called, options for executive committee to act on behalf of the full board).
- The executive director job description reflects responsibility for carrying out the mission/strategic plan of the board.

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- The executive director evaluation tools include assessment of how well the executive director carries out the strategic plan of the board.
 - Information needed for meetings is distributed to board members at least one week prior.
 - There is a formal process for how the WIB has input into the executive director's evaluation.
 - The organizational chart clearly shows the executive director reporting to the board.

Appendix D: Crosswalk – Original & Revised Standards & Criteria

Strategic Planning and Implementation		
Original Criteria	Revised Criteria	Notes
1. Criterion: There is a strategic plan that is goal oriented and goes beyond the scope of WIA funded activities.	Criterion 1: There is a strategic plan that is goal oriented and goes beyond the scope of WIA funded activities and performance measures.	
1.1 The objectives are clearly articulated and strategic.	1.1 The objectives are clearly articulated and strategic.	
1.2 The objectives reflect community objectives, beyond measures of WIA or one-stops.	2.2 The strategic plan was guided by public and private sector input (board members and non-board members) from critical sectors of the region. 2.3 It is evident that the board’s strategic plan aligns with the plans of relevant stakeholder organizations in the region, as well as the goals of the Kentucky Workforce system.	
1.3 Objectives are based on a stated level of improvement over an identified baseline condition.	8.1 The board tracks the progress of strategic board-led initiatives from inception through collection and analysis of outcome data.	
1.4 Attainment of the objectives will clearly produce benefit for both employers and job seekers.	8.1 The board tracks the progress of strategic board-led initiatives from inception through collection and analysis of outcome data to determine whether it is getting the appropriate return on its investments	



Strategic Planning and Implementation		
Original Criteria	Revised Criteria	Notes
1.5 The plan explains how the level of improvement will be measured/quantified.	1.3 There are clear, measurable and broadly agreed upon outcomes/metrics included in the plan. 3.3 The board tracks progress on their strategic plan, makes adjustments accordingly, and communicates progress to stakeholder and partners.	
1.6 There is an action plan related to the objectives.	1.2 There is an action plan related to and sufficient to meet the goals that go beyond WIA metrics.	
1.7 The action planned is sufficient to meet the objectives.	1.2 There is an action plan related to and sufficient to meet the goals that go beyond WIA metrics.	
2. Criterion: The strategic plan emerged from a broadly inclusive process.	Criterion 2: The strategic plan emerged from a broadly inclusive process, reflecting the participation of economic development, employer, human service, education, and other relevant stakeholders.	
2.1 Surveys with (minimally) economic developers, educators, and employers on the board demonstrate that they feel they were listened to and were able to fully participate in the planning process to the extent they desired.	2.2 The strategic plan was guided by public and private sector input (board members and non-board members) from critical sectors of the region	Let the boards decide how to demonstrate they use an inclusive process.

Strategic Planning and Implementation		
Original Criteria	Revised Criteria	Notes
2.2 Surveys with (minimally) economic developers, educators, and employers beyond those that are WIB members demonstrate that they feel they were listened to and were able to fully participate in the planning process to the extent they desired.	2.2 The strategic plan was guided by public and private sector input (board members and non-board members) from critical sectors of the region	Let the boards decide how to demonstrate they use an inclusive process.
2.3 The WIB can document all efforts it made to obtain input from employers, educators, and economic developers (e.g., surveys, meeting invitations, meeting minutes and summaries showing attendance and active participation, summaries of interviews, etc.).	None	This requirement seems redundant and unnecessary, given the two (combined as one) above. Documentation for documentation's sake feels like make-work. The desire is for WIBs to be strategic/work strategically, not to have staff spend time proving their strategic activity.
2.4 There are references in the board's strategic plan to the plans of other organizations	2.3 It is evident that the board's strategic plan takes aligns with the plans of relevant stakeholder organizations in the region, as well as the goals of the Kentucky Workforce system.	Let the board decide how to demonstrate consideration of the plans of other organizations.
3. Criterion: the board has adopted a sector approach to workforce development.	Criterion 4: The board has adopted a sector strategy approach to workforce and economic development.	
3.1 Target sectors are identified using data	4.1 Target sectors are identified using the most currently available regional labor market data.	

Strategic Planning and Implementation		
Original Criteria	Revised Criteria	Notes
3.2 The sector approach is clearly reflected in the goals and actions of the strategic plan (whether to enhance existing sector strategies or to create them with definitive steps and timelines).	4.2 The sector strategy approach is clearly reflected in the goals and actions of the strategic plan and in alignment with the 7 critical factors of sector partnerships.	
3.3 The WIB gives clear direction to the one-stop operator regarding sectors to be targeted through contract requirements, local plan requirements, business plan requirements, MOUs, or similar means.	4.5 The board gives clear direction to the one-stop operator regarding industry sectors to be targeted, including quantified expectations and targeted service and training resources for addressing sector needs.	
3.4 The WIB sets quantified expectations for the one-stop for addressing the needs of target sectors.	4.5 The board gives clear direction to the one-stop operator regarding industry sectors to be targeted, including quantified expectations and targeted service and training resources for addressing sector needs.	
3.5 Sector partnerships, whether existing, or planned, included key employers in the sectors (or if planned, key employers to invite as members have been identified) as demonstrated through meeting summaries, e-mails, etc.	4.4 Industry partnerships include key employers in the sectors who are driving the initiative forward.	

Strategic Planning and Implementation		
Original Criteria	Revised Criteria	Notes
3.7 Sector partnerships are employer driven, as demonstrated by meeting summaries, e-mails, etc.	4.4 Industry partnerships include key employers in the sectors who are driving the initiative forward.	
4. Criterion: The strategic plan is part of a continuous improvement process; the plan is a living document.	Criterion 3: The strategic plan is a “living” document; it is part of a continuous improvement process.	
4.1 The strategic plan describes the timeframes and mechanisms for updating the plan.	3.1 The strategic plan describes the timeframes and mechanisms for updating the plan.	
4.2 WIB meeting summaries demonstrate that progress on the plan is discussed at every board meeting.	3.3 The board tracks progress on their strategic plan, makes adjustments accordingly, and communicates progress to stakeholder and partners.	
4.3 Evidence is provided showing how the WIB sought feedback on the plan from stakeholders through interviews and/or surveys and/or focus groups.	3.2 The board periodically seeks input on their strategic plan from non-board member stakeholders. 3.4 As a means of continuous improvement, the board updates their strategic plan based on stakeholder input, changing economic conditions, and developing opportunities and challenges.	

Developing and Managing Resources		
Original	Revised	Notes
5. Criterion: Staff develops the budget under the direction of the WIB.	Criterion 5: The board has reviewed and approved an annual budget with fiscal integrity that aligns with the goals established in its strategic plan.	
5.1 A process is in place for the board to provide direction for development of the budget and for the chief elected official to be involved.	5.1 There is a process in place for the board to be involved and provide clear direction for developing budget priorities in consultation with the Chief Elected Official.	
5.2 Interview or survey with the chief elected official confirms that s/he was consulted in budget development.	None Incorporated above in 5.1	
5.3 Minutes of the budget or finance committee or executive committee or full board reflect discussion of the connection between the strategic plan and the budget.	5.2 The WIB discusses the budget within the context of the strategic plan and makes appropriate adjustments to both budget and strategy as necessary.	
5.4 Clear direction is provided to the one-stop operator on targeting service and training resources to promote and develop skills in high priority occupational areas as demonstrated in contract requirements, local plan requirements, business plan requirements, MOUs, or similar means.	4.5 The board gives clear direction to the one-stop operator regarding sectors to be targeted, including quantified expectations and targeted service and training resources for addressing sector needs.	

Developing and Managing Resources		
Original	Revised	Notes
5.5 Board meeting or copies of e-mails demonstrate that staff has the WIB review shared full findings from independent audits with the WIB, and that any fiscal findings are being addressed.	None	Made part of “Standard WIA-based and/or Administrative Criteria” requirements.
5.6 Understandable fiscal reports are provided to the WIB on a regular basis as demonstrated by meeting handouts or e-mails.	5.3 Understandable fiscal reports are provided to the WIB and the Chief Local Elected Official on a timely and regular basis.	
5.7 Written policies exist for procurement, fiscal processes, cost allocation procedures, and travel reimbursement.	None	Made part of “Standard WIA-based and/or Administrative Criteria” requirements.
6. Criterion: Resources and assets are coordinated and leveraged from other workforce, economic development, and educational organizations/agencies.	Criterion 6: Resources and assets are coordinated and leveraged from other workforce, economic development, human services and educational organizations/agencies.	
6.1 The board has an asset map.	6.1 The board has completed a community audit, asset map or similar plan to identify existing revenue resources and infrastructure in the region that go beyond WIA formula funds.	

Developing and Managing Resources		
Original	Revised	Notes
6.2 Board meeting or committee summaries demonstrate that the asset map has been discussed and is being used as a tool for planning.	6.3 All revenue development objectives, regardless of source, are aligned with the board's strategic plan.	
6.3 1 st year: there is as least a solid plan in place for leveraging resources, including steps and timeframes, and desired results. 2 nd year: resources have been successfully leveraged.	6.2 The board leverages partnerships with employers, educational institutions, and other relevant state and regional stakeholders to capitalize on funding opportunities.	
6.4 1 st year: a quantified goal has been set for leveraging non-WIA allocated resources. 2 nd year: There is a documentation tool for determining the amount of resources leveraged, which is included in reports to the WIB.	Criterion 6: Resources and assets are coordinated and leveraged from other workforce, economic development, human services and educational organizations/agencies.	
7. Criterion: WIBs are fiscally responsive to shifts in trends and economic conditions.	5.2 The WIB discusses the budget within the context of the strategic plan and makes appropriate adjustments to both budget and strategy as necessary.	
7.1 There is a written process for reallocating resources based on economic shifts (outlined in the strategic plan, the plan of services, by-laws, or other location).	5.2 The WIB discusses the budget within the context of the strategic plan and makes appropriate adjustments to both budget and strategy as necessary.	Recommend against requiring specific written plans.

Developing and Managing Resources		
Original	Revised	Notes
7.2 WIB or WIB committee meeting minutes reflect discussion of the impact of changing economic trends, new developments and opportunities, or new challenges and whether those changes should also change the budget; adjustments are made as determined necessary.	3.4 As a means of continuous improvement, the board updates its strategic plan based on stakeholder input, changing economic conditions, and developing opportunities and challenges. 5.2 The WIB discusses the budget within the context of the strategic plan and makes appropriate adjustments to both budget and strategy as necessary.	
8. Criterion: The board is diverse, connected to the community, and business driven.	Criterion 7: The board is diverse, connected to the community, and business driven	
8.1 The by-laws define a quorum of business members necessary to have a meeting.	None	Made part of "Standard WIA-based and/or Administrative Criteria" requirements.
8.2 The by-laws included attendance expectations and a process for removing members who do not attend meetings.	None	Made part of "Standard WIA-based and/or Administrative Criteria" requirements.
8.3 There is a written board member recruitment plan that is linked to sector priorities, geographic diversity, and the need for community opinion leaders.	7.1 The board is representative of area employers in target sectors and includes other community leaders.	

Managing the Work of the Board		
Original	Revised	Notes
8.4 Nominations for board members presented to the chief elected official include a rationale for member appointment based on sectors, geography, leadership skills, community influence, and connection to the strategic plan.	None	Made part of “Standard WIA-based and/or Administrative Criteria” requirements.
8.5 Committee chairs are all from the private sector.	None	Made part of “Standard WIA-based and/or Administrative Criteria” requirements.
8.6 The Executive Committee is majority private sector.	None	Made part of “Standard WIA-based and/or Administrative Criteria” requirements.
8.7 Committee chairs make reports to full board, not staff.	None	Made part of “Standard WIA-based and/or Administrative Criteria” requirements.
9. Criterion: WIBs are measuring success using locally relevant outcomes beyond the mandatory WIA performance standards.	Criterion 8: The board measures both the board's effectiveness and the effectiveness of the local workforce system in meeting their stated strategic goals.	As stated in Criterion 1, the strategic plan's goals go beyond the scope of WIA funded activities and performance measures.
9.1 The board has identified tools to measure its desired outcomes and results.	8.1 The board tracks the progress of strategic board-led initiatives from inception through collection and analysis of data to determine whether it is getting the appropriate return on its investments.	

Managing the Work of the Board		
Original	Revised	Notes
9.2 There is a relationship between the tools and the measures.	None	This is redundant.
9.3 The WIB has a plan for how achievement of outcomes will be made public.	3.3 The board tracks progress on their strategic plan, makes adjustments accordingly, and communicates progress to stakeholder and partners.	
9.4 1st year: plans for sector strategies include a plan for creating measurable outcomes. 2nd year: sector strategies have measurable outcomes.	None	Intended for use in baseline year. For 2nd year, 8.1 and 8.3.
9.5 The WIB has a formal process in place for how to communicate performance expectations with the one-stop operator and gives the one-stop a voice.	4.5 The board gives clear direction to the one-stop operator regarding sectors to be targeted, including quantified expectations and targeted service and training resources for addressing sector needs. 8.2 The one-stop operator communicates to the board their progress on meeting priority targets for service and training.	
9.6 There is a written process for WIB action that will be taken if measures given to the one-stop operator are not being met.	8.3 The board evaluates the effectiveness of one-stop leadership in carrying out the goals identified in the strategic plan. 8.4 The board takes action to mitigate system weakness or poor performance.	

Managing the Work of the Board		
Original	Revised	Notes
9.7 There is a written plan for how the WIB will determine if it is getting the most benefit possible from its investments.	8.1 The board tracks the progress of strategic board-led initiatives from inception through collection and analysis of outcome data to determine whether it is getting the appropriate return on its investments.	
10. Criterion: The board agenda is developed by staff with direction actively sought from the WIB. The agendas demonstrate that the WIB is engaged in Big Picture issues, not minutia.	None	Made part of “Standard WIA-based and/or Administrative Criteria” requirements.
10.1 There is a written process for how board meeting agendas are developed (as contained in the by-laws or other documents).	None	Made part of “Standard WIA-based and/or Administrative Criteria” requirements.
10.2 A survey of the chair and/or executive committee confirm the Board members have been given opportunity to provide input for the agenda.	None	Made part of “Standard WIA-based and/or Administrative Criteria” requirements.
10.3 There is evidence that the chair and/or executive committee approved the agenda before it was sent to all members.	None	Made part of “Standard WIA-based and/or Administrative Criteria” requirements.
10.4 Board time spent on administrivia is minimized.	None	

Managing the Work of the Board		
Original	Revised	Notes
10.5 Outside speakers or organizations who are engaged in work related to the strategic goals are invited to make presentations or have discussions with the board to educate the board members and look for opportunities for leverage, influence, or synergy.	7.4 Non-board members engaged in related strategic work are invited to attend and participate in board meetings.	
11.1 The by-laws or committee charges outline the authorities of the committee.	None	Made part of “Standard WIA-based and/or Administrative Criteria” requirements.
11.2 The by-laws address who the WIB can take action between regular meetings (e.g., option for special meetings to be called, options for executive committee to act on behalf of the full board).	None	Made part of “Standard WIA-based and/or Administrative Criteria” requirements.
11.3 Surveys with board members document satisfaction with staff communications.	None	These requirements were relevant to the baseline year assessments. But in the new frame, it is up to the WIBs to provide evidence of compliance with the standards. Therefore, we recommend removing.
11.4 Surveys with board members demonstrate that board members are satisfied with the quality and quantity of information they receive in order to make decisions.	None	These requirements were relevant to the baseline year assessments. But in the new frame, it is up to the WIBs to provide evidence of compliance with the standards. Therefore, we recommend removing.

Managing the Work of the Board		
Original	Revised	Notes
11.5 The executive director job description reflects responsibility for carrying out the mission/strategic plan of the board.	None	
11.6 The executive director evaluation tools include assessment of how well the executive director carries out the strategic plan of the board.	None	
11.7 Information needed for meetings is distributed to board members at least one week prior, as documented by e-mails or dated copies of hard copy mailings.	None	Made part of “Standard WIA-based and/or Administrative Criteria” requirements.
11.8 There is a mechanism for project management (e.g., an operational plan).	1.3 There is an action plan related to and sufficient to meet the goals. 3.3 The board tracks progress on their strategic plan, makes adjustments accordingly, and communicates progress to stakeholder and partners.	
11.9 There is a written process for how the WIB has input into the executive director’s evaluation.	None	Made part of “Standard WIA-based and/or Administrative Criteria” requirements.
11.10 The organizational chart clearly shows the staff executive director reporting to the board.	None	Made part of “Standard WIA-based and/or Administrative Criteria” requirements.

