

# Welfare-to-Work Local Plan

## Cover Page

SDA(s) Sonoma County Private Industry Council  

---

---

---

---

County(ies) Sonoma County  

---

---

---

---

## Welfare-to-Work Grant Program Local Plan Table of Contents

<b>WtW Local Plan</b>	<input checked="" type="checkbox"/> Initial 1999 Modification <input type="checkbox"/> Other Modifications	Mod. No. _____
Service Delivery Area	Sonoma County	Date 5/28/99

	Included "X"	Page
Cover Page	x	1
Table of Contents	x	2
Signature Pages	x	3
<b>Part I</b>		
<b>Responsible Entities</b>		
Sec. A	x	4
Sec. B	x	18
<b>Part II</b>		
<b>Eligibility</b>		
Sec. A(1)	x	5
A(2)		
Sec. B(1)		
B(2)	x	6
Sec. C(1)		
C(2)		
<b>Part III</b>		
<b>Allowable Activities</b>		
Sec. A(1)	x	7
A(2)	x	8
Sec. B(1)		
B(2)		
B(3)		
B(4)		
<b>Part IV</b>		
<b>Coordination</b>		
Sec. A(1)		
Sec. B(1)	x	12
B(2)		
<b>Part V</b>		
<b>Performance and Oversight</b>		
Sec. A(1)		
Sec. B(1)		
<b>Part VI</b>		
<b>Financial Management System</b>		
Sec. A(1)		
<b>Part VII</b>		
<b>Expenditure and Participant Planning</b>		
Sec. A	x	15
	x	16
Sec. B	x	17

## Welfare-to-Work Standard Signature Page

<b>WtW Local Plan</b>	<input checked="" type="checkbox"/> Initial 1999 Modification	<input type="checkbox"/> Other Modifications	Mod. No. _____
Service Delivery Area <u>Sonoma</u>		Date <u>5/28/99</u>	

The undersigned Private Industry Council (PIC) Chair, the Chief Elected Official (CEO) for the above named Service Delivery Area (SDA) have approved the attached local Welfare-to-Work (WtW) Plan and agree to operate or cause to be operated programs pursuant to this plan. Additionally, the County Board(s) of Supervisors has approved the attached local WtW plan as evidenced by signature below or the attached Board Resolution. It is expected that the local plan has been developed jointly between the PIC and the County Welfare Department (CWD), and that the County Board of Supervisors considered the input of the CWD when board action was taken. The undersigned certify that they concur with the contents of this plan and agree that this plan shall be funded through subgrants executed between the named subgrantee and the State of California and that no such subgrant shall be executed without their concurrence. This plan and any modification consists of the Table of Contents, and all the sections indicated by an "X" on the Table of Contents.

<p>Approved for the PIC:</p>  <p style="text-align: center;">_____ (Signature)</p> <p style="text-align: center;"><b>Dianne M. Edwards</b> (Name)</p> <p style="text-align: center;"><u>Director of Human Services</u> (Title)</p> <p style="text-align: center;">_____ (Date)</p>	<p>Approved for the CEO:</p>  <p style="text-align: center;">_____ (Signature)</p> <p style="text-align: center;">_____ (Name)</p> <p style="text-align: center;"><u>Chair, Sonoma County Board of Supervisors</u> (Title)</p> <p style="text-align: center;">_____ (Date)</p>
--	--

<p>Approved for the County Board of Supervisors in <u>Sonoma</u> County</p> <p><input type="checkbox"/> Board Resolution attached (not required if signed)</p>  <p style="text-align: center;">_____ (Signature)</p> <p style="text-align: center;"><b>Dianne M. Edwards</b> (Name)</p> <p style="text-align: center;"><u>Director of Human Services</u> (Title)</p> <p style="text-align: center;">_____ (Date)</p>	<p style="text-align: center;"><b>For state use only:</b></p> <p><b>Approved for the State of California:</b></p>  <p style="text-align: center;">_____ (Signature)</p> <p style="text-align: center;">_____ (Name)</p> <p style="text-align: center;">_____ (Title)</p> <p style="text-align: center;">_____ (Date)</p>
--	--

**WtW Local Plan**  Initial 1999 Modification  Other Modifications Mod. No. \_\_\_\_\_

Service Delivery Area Sonoma Date 5/28/99

**PART I SECTION (A) ADMINISTRATIVE AND FISCALLY RESPONSIBLE ENTITIES**

If the Private Industry Council will accept the responsibility for administering the program, please provide the following information.

1. Complete the following information for the local entity that will administer the Welfare-to-Work Grant Program within your Service Delivery Area (SDA).

Sonoma County Human Services Department  
Administrative Entity  
2245 Challenger Way  
Number and Street  
Santa Rosa, 95407  
City and ZIP Code  
(707) 565-5560 Fax (707)565-5655  
Phone Number and FAX Number  
Al Redwine  
Contact Person

2. Complete the following information for the local governmental entity which will accept fiscal liability for Welfare-to-Work Grant Program funds within your SDA.

Sonoma County Board of Supervisors  
CEO  
575 Administration Drive, 100A  
Number and Street  
Santa Rosa, CA 95403  
City and ZIP Code  
(707) 565-5881 Fax (707) 565-5890  
Phone Number and FAX Number  
Bill Wilson  
Contact Person

**WtW Local Plan**  Initial 1999 Modification  Other Modifications Mod. No. \_\_\_\_\_  
Service Delivery Area Sonoma Date 5/28/99

## NARRATIVE FORMS

### PART II — ELIGIBILITY

#### Part II — Section A (1) Eligible Populations

*Describe your target populations that will receive services. Include information about how you will ensure that at least 70 percent of the funds will be used to serve CalWORKs recipients who demonstrate the required characteristics of long-term welfare dependency. Describe what percentage of funds (up to 30 percent) will be used for other individuals who are eligible under the 30 percent provision. Provide information on targeting services to noncustodial parents.*

All eligible populations under the 70% category as described in Title 20CFR 645.212 will be served with specific targeting to the homeless, those in need of legal aid services and those in need of post employment services. Under the 30% provision described in Title 20 CFR 245.213 and 645.214 noncustodial parents and SonomaWORKS participants who meet the specified characteristics will be served. Noncustodial parents are referred to the program through an agreement with the Sonoma County District Attorney Family Support Division.

Participants will be screened for WtW characteristics and identified by Employment and Training Division staff as part of the SonomaWORKS intake and assessment processes. A screening tool has been developed and is currently in use. (See Attachment I.) This screening tool identifies characteristics that apply to the 70% and 30% categories. Participants are identified as either 70% or 30% prior to services. A roster identifying the number of participants in each category is prepared by MIS staff on a monthly basis. Costs are allocated using this census when claims are submitted by subcontractors. Fiscal staff and MIS staff monitor the use of funds to ensure adherence to cost categories.

#### Part II — Section A (2) Targeting Strategy Coordination with CWD

*Describe the process used to determine your local targeting strategy and how that strategy complements local CalWORKs plans.*

No change from original plan.

**WtW Local Plan**  Initial 1999 Modification  Other Modifications Mod. No. \_\_\_\_\_

Service Delivery Area Sonoma

Date 5/28/99

### **Part II — Section B (1) Additional Characteristics**

*List any additional characteristics of long-term welfare dependency you intend to use in your local areas within the 30 percent eligibility provisions.*

Additional characteristics will include:

- Homelessness
- Monolingual other than English
- Limited work place skills
- Limited life skills (e.g., time management, personal finance, parenting skills)
- Legal barriers

### **Part II — Section B (2) Additional Characteristics Coordination with CWD**

*Describe how the identification of additional characteristics was coordinated with the local CWD.*

No change from original plan.

### **Part II — Section C (1) Participant Eligibility Determination**

*Describe how you will coordinate with CWD(s) to determine eligibility for the populations served, including the determination of eligibility for noncustodial parents.*

No change from original plan.

**WtW Local Plan**  Initial 1999 Modification  Other Modifications Mod. No. \_\_\_\_\_

Service Delivery Area Sonoma

Date 5/28/99

### Part II — Section C (2) Coordination for Assessment and Case Management

*Describe how you will coordinate with the CWD(s) for the assessment, individual responsibility plan development, referral, and case management of WtW Grant Program participants. This must include a description of the respective roles of both agencies as they relate to CalWORKs participants and noncustodial parents.*

No change from original plan.

### PART III — ALLOWABLE ACTIVITIES

#### Part III — Section A (1) Planned Employment Activities

*Check the planned employment activities that you will provide under the WtW Grant Program. Also describe any limitations you will place on the use of these services.*

- Community Service
- Work Experience
- On-the-Job Training
- Job Creation through public or private wage subsidies (if you will provide this activity, describe below.)

Community Service as described in the 1998 plan will not be offered using WtW grant funds. Work experience will be provided for homeless participants who need to develop workplace skills or require more employment experience to become employed. Workshops on life skills, personal finance management, and workplace expectations will be provided.

**WtW Local Plan**  Initial 1999 Modification  Other Modifications Mod. No. \_\_\_\_\_

Service Delivery Area Sonoma

Date 5/28/99

**Part III — Section A (2) Additional Planned Services**

*Check the services that you will offer and provide a description of each service including any limitation you will place on the use of these services. Also identify whether job readiness, job placement, or post-employment services will be provided through vouchers or contracts or offered by the operating entity under a comprehensive program.*

	Planned Services	Vouchers	Contracts	Operating Entity
1. Job Readiness	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
2. Job Placement Services	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
3. Post-Employment Services	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
4. Job Retention and Support Services	<input checked="" type="checkbox"/>			
5. Individual Development Accounts	<input type="checkbox"/>			

1. Job Readiness: Job readiness services will include workshops on life skills education and workplace expectations and will be offered as part of the comprehensive services by service providers for WtW services.

2. Job Placement Services: As part of the homeless services program, participants will receive assistance with labor market information, resume development and marketing their skills to employers.

3. Post-Employment Services: Post employment services will include mentoring services, job retention workshops, additional skills training as necessary, and career advancement.

4. Job Retention and Support Services: Job retention is included in post employment activities offered. Support services include referral to legal services to assist participants to overcome legal barriers to employment. Additional supportive services provided by this grant are: After school activities for participant's teenage children; short term housing assistance; and life skills education (e.g., personal finance management, parenting skills).

Individual Development Accounts

N/A

**WtW Local Plan**  Initial 1999 Modification  Other Modifications Mod. No. \_\_\_\_\_

Service Delivery Area Sonoma

Date 5/28/99

**Part III — Section B (1) Overall Service Strategy**

*Describe the overall service strategy which will be used for the targeted populations and how it will support the local CalWORKs plan.*

No change from original plan.

**Part III — Section B (2) Service Determination**

*Describe how the PIC and the CWD will determine appropriate services for the individual participants.*

No change from original plan.

**WtW Local Plan**  Initial 1999 Modification  Other Modifications Mod. No. \_\_\_\_\_

Service Delivery Area Sonoma

Date 5/28/99

### **Part III — Section B (3) Service Strategy Results**

*Describe how this strategy will result in placement/retention and will lead to long-term self-sufficiency. Include a description of your labor market, how your service strategy helps meet local labor market needs, and how you will involve employers in meeting your objectives.*

No change from original plan.

### **Part III — Section B (4) Job Retention and Support Services**

*Describe the process you will use to ensure that job retention and support services are not otherwise available to WtW Grant Program participants, and that these services are coordinated with the CalWORKs program and other local entities.*

No change from original plan.

**WtW Local Plan**    Initial 1999 Modification    Other Modifications   Mod. No. \_\_\_\_\_  
 Service Delivery Area   Sonoma   Date 5/28/99

**PART IV — COORDINATION**

**Part IV — Section A (1) Coordination with Local Partners**

*Check the local partners and describe your efforts to coordinate planning and service delivery including the role each partner will play and the specific agreements reached.*

- |   |   |
|---|---|
| 1. <input type="checkbox"/> CWDs  | 10. <input type="checkbox"/> Housing agencies                           |
| 2. <input type="checkbox"/> JTPA programs   | 11. <input type="checkbox"/> Transportation agencies                    |
| 3. <input type="checkbox"/> Education institutions, including those which administer the Child Care Development Block Grant | 12. <input type="checkbox"/> County Alcohol and Drug Treatment Agencies |
| 4. <input type="checkbox"/> Community Colleges  | 13. <input type="checkbox"/> The business community                     |
| 5. <input type="checkbox"/> One-Stop Career Centers   | 14. <input type="checkbox"/> Faith-based organizations                  |
| 6. <input type="checkbox"/> EDD's Job Service   | 15. <input type="checkbox"/> Economic development entities              |
| 7. <input type="checkbox"/> The local Labor Market Information representative   | 16. <input type="checkbox"/> Foundations                                |
| 8. <input type="checkbox"/> WtW Governor's 15 Percent subgrantees   | 17. <input type="checkbox"/> Community-based organizations              |
| 9. <input type="checkbox"/> WtW DOL Competitive 25 Percent subgrantees  | 18. <input type="checkbox"/> Others (Please list)                       |

No change from original plan.

**WtW Local Plan**  Initial 1999 Modification  Other Modifications Mod. No. \_\_\_\_\_

Service Delivery Area Sonoma

Date 5/28/99

**Part IV — Section B (1) Leveraging WtW Resources**

*Describe your efforts to use the WtW Grant Program funding to leverage other local resources.*

As part of the homeless services program, a local service provider makes available additional resources valued at \$235,772. These resources provide staff, rent and other associated costs.

**Part IV — Section B (2) Leveraged Resources Qualified as State Match**

*Identify any of the leveraged resources you have generated or for which commitments have been made, including the source, amount and type (either cash or in-kind), and whether such resources could be counted in meeting future federal match requirements. Describe how these resources will be used to support the local WtW Grant Program.*

No change from original plan.

**WtW Local Plan**  Initial 1999 Modification  Other Modifications Mod. No. \_\_\_\_\_  
 Service Delivery Area Sonoma Date 5/28/99

**PART V — PERFORMANCE AND OVERSIGHT**

**Part V — Section A (1) Performance Goals**

**FY 1998**

<b>Performance Goal</b>	<b>Planned Statewide Goal</b>	<b>Overall Planned SDA Goal</b>	<b>Description of How the SDA Goal is Derived</b>
Entered Unsubsidized Employment	45%	45%	Supports State Goal
Job Retention at six months	70%	70%	Supports State Goal
Increase in Earnings Rate	10%	5%	PIC & SDA consider 5% a more achievable goal

**FY 1999**

<b>Performance Goal</b>	<b>Planned Statewide Goal</b>	<b>Overall Planned SDA Goal</b>	<b>Description of How the SDA Goal is Derived</b>
Entered Unsubsidized Employment	45%	45%	Supports State Goal
Job Retention at six months	70%	70%	Supports State Goal
Increase in Earnings Rate	10%	5%	PIC & SDA consider 5% a more achievable goal

**WtW Local Plan**  Initial 1999 Modification  Other Modifications Mod. No. \_\_\_\_\_

Service Delivery Area Sonoma Date 5/28/99

**Part V — Section B (1) Oversight Plan**

*Describe your oversight plan for the WtW Grant Program, including a description of the oversight activities of the PIC and the CEOs. The plan should include monitoring strategies, policy development, and program evaluation.*

No change from original plan.

**PART VI — FINANCIAL MANAGEMENT SYSTEM**

**Part VI — Section A Financial Management System**

*Describe your financial management system for accounting for and reporting WtW Grant Program funds in accordance with the appropriate federal requirements. Include a description of how that system meets allowable cost principles and how it will report WtW expenditures and program income on the accrual basis of accounting. In addition, describe your procurement policies and procedures for awarding WtW Grant Program funds to subrecipients, and include elements such as competitive bid procedures, conflict of interest, code of conduct, and debarment and suspension.*

No change from original plan.

**WtW Local Plan**  Initial 1999 Modification  Other Modifications Mod. No. \_\_\_\_\_

Service Delivery Area Sonoma

Date 5/28/99

## FISCAL YEAR 1998 EXPENDITURE PLAN

### Part VII – Section A (1) Expenditure Plan

		Total
A. Total FY 1998 Allocation		\$940,612
B. Planned Total Expenditure for 70% Eligibles	\$658,428	
C. Planned Total Expenditure for 30% Eligibles	\$282,184	
D. Planned Total Administration	\$122,280	
E. Planned Total Information Technology	\$0	
F. Planned Total Program	\$818,612	
G. Planned Cumulative Expenditures		
1. First year-June 1998 through June 1999 expenditures		
2. Second yr.-quarter 1 (July 1999 – Sept. 1999)		\$640,520
3. Second yr.-quarter 2 (Oct. 1999 - Dec. 1999)		\$825,750
4. Second yr.-quarter 3 (Jan. 2000 - Mar. 2000)		\$940,612
5. Second yr.-quarter 4 (April. 2000 – June 2000)		\$
6. Third yr.-quarter 1 (July 2000 - Sept. 2000)		\$
7. Third yr.-quarter 2 (Oct. 2000 - Dec. 2000)		\$
8. Third yr.-quarter 3 (Jan. 2001 - Mar. 2001)		\$
9. Third yr.-quarter 4 (April 2001 - June 2001)		\$

### Part VII – Section A (2) Planned Expenditure by Activity

Activity	Total Planned Expenditure
A. Job Readiness	\$122,791
B. Job Placement	\$16,372
C. Post Employment	\$171,908
D. Community Service	\$0
E. Work Experience	\$81,863
F. Job Creation Wage Subsidies	\$0
G. On-the-Job Training	\$0
H. Job Retention and Support Services	\$425,678
I. Individual Development Accounts	\$0
<b>J. Total</b>	<b>\$818,612</b>

**WtW Local Plan**  Initial 1999 Modification  Other Modifications Mod. No. \_\_\_\_\_

Service Delivery Area Sonoma

Date 5/28/99

## FISCAL YEAR 1999 EXPENDITURE PLAN

### Part VII – Section A (1) Expenditure Plan

		Total
A. Total FY 1999 Allocation		\$804,358
B. Planned Total Expenditure for 70% Eligibles	\$563,051	
C. Planned Total Expenditure for 30% Eligibles	\$241,307	
D. Planned Total Administration	\$104,567	
E. Planned Total Information Technology	\$0	
F. Planned Total Program	\$ 699,791	
G. Planned Cumulative Expenditures		
1. First year- quarter 1 (July 1999 - Sept. 1999)		
2. First year- quarter 2 (Oct. 1999 - Dec. 1999)		\$0
3. First year- quarter 3 (Jan. 2000 - Mar. 2000)		\$ 50,614
4. First year- quarter 4 (April 2000 - June 2000)		\$320,750
5. Second yr.- quarter 1 (July 2000 - Sept. 2000)		\$590,614
6. Second yr.- quarter 2 (Oct. 2000 - Dec. 2000)		\$804,358
7. `		\$
8. Second yr.- quarter 4 (April. 2001 - June 2001)		\$
9. Third yr.- quarter 1 (July 2001 - Sept. 2001)		\$
10. Third yr.- quarter 2 (Oct. 2001 - Dec. 2001)		\$
11. Third yr.- quarter 3 (Jan. 2002 - Mar. 2002)		\$
12. Third yr.- quarter 4 (April 2002 - June 2002)		\$

### Part VII – Section A (2) Planned Expenditure by Activity

Activity	Total Planned Expenditure
A. Job Readiness	\$259,921
B. Job Placement	\$ 20,994
C. Post Employment	\$103,969
D. Community Service	\$0
E. Work Experience	\$ 48,987
F. Job Creation Wage Subsidies	\$0
G. On-the-Job Training	\$0
H. Job Retention and Support Services	\$265,920
I. Individual Development Accounts	\$0

<b>J. Total</b>	<b>\$699,791</b>
-----------------	------------------

**WtW Local Plan** Initial 1999 Modification Other Modifications

Mod. No. \_\_\_\_\_

Service Delivery Area SonomaDate 5/28/99**FISCAL YEAR 1998-1999 PARTICIPANT PLAN****Part VII Section B (1) Quarterly Participant Plan**

	Fiscal Quarter Ending Date											
	Sept. 1998	Dec. 1998	Mar. 1999	June 1999	Sept. 1999	Dec. 1999	Mar. 2000	June 2000	Sept. 2000	Dec. 2000	Mar.2 001	June 2001
A. Total participants served	0	0	76	193	459	722	903	1045				
1. Required beneficiaries (70% eligibles)			53	135	321	505	632	732				
2. Other eligibles (30% eligibles)			23	58	138	217	271	313				
B. Total participants placed in unsubsidized employment			0	15	30	45	60	75				
C. Total participants retained six months in unsubsidized employment			0	0	0	7	13	18				
D. Total participants terminated			0	0	3	30	60	90				

**Part VII Section B (2) Planned Enrollments by Activity**

Activity	Total Planned Participants*
A. Job Readiness	182
B. Job Placement	24
C. Post Employment Services	255
D. Community Service	0
E. Work Experience	122
F. Job Creation Wage Subsidies	0
G. On-the-Job Training	0
H. Job Retention and Support Services	631
I. Individual Development Accounts	0

\*Note: Participants may be enrolled in multiple activities. Therefore, this column will not sum to total participants served.

Placeholder for attachment A.

June 11, 1999

Jim Curtis, Manager  
Job Training Partnership Division  
Employment Development Department  
PO Box 826880, MIC 69-1  
Sacramento, CA 94280-0001

**SONOMA COUNTY'S WELFARE-to-WORK PLAN MODIFICATION**

Dear Mr. Curtis:

Enclosed is the Sonoma County's Welfare-to-Work Plan. A copy of the resolution passed by the Sonoma County Board of Supervisors on May 13, 1998 is included. An original of the document was included with the 1998 Sonoma County Welfare-to-Work Plan. The resolution remains in effect until it is specifically revoked.

If you have any questions, please contact Jerald C. Dufresne Dunn at (707) 565-5599.

Sincerely,

Dianne M. Edwards  
Director

Enclosure

## **PART I – RESPONSIBLE ENTITIES**

The Sonoma County Human Services Department (HSD) has been authorized by the Board of Supervisors to fulfill responsibilities as the county welfare department and to oversee the administration of the Job Training Partnership Act (JTPA) programs. (See Attachment I.) The Employment and Training Division of the HSD provides coordinated employment services to clients of both the CalWORKs, known locally as SonomaWORKS, and the Job Training Partnership Act/Private Industry Council (JTPA/PIC) programs. These two programs are under the supervision of the Employment and Training Division Director who also functions as the SDA Administrator. The SDA Administrator has authority for all JTPA programs and related programs as specified in the PIC-LEO agreement. (See Attachment II.)

### **PART I - Section B: RESOLUTION**

The Sonoma County Board of Supervisors has delegated administrative authority for the Welfare-to-Work (WtW) program to the Director of the Human Services Department or the Service Delivery Area (SDA) Administrator who are authorized by resolution to sign the Welfare-to-Work plan.

## **PART II — ELIGIBILITY**

### **Part II — Section A (1): Eligible Populations**

*Please describe who you will target within the statutorily eligible populations for services under the WtW Grant Program. Include information about how you will ensure that at least 70 percent of the funds will be used to serve CalWORKs recipients who demonstrate the required characteristics of long-term welfare dependency. Describe, as well, what percentage of funds (up to 30 percent) will be used for other individuals who have the characteristics of long-term welfare recipients, including non-custodial parents who are not recipients of aid and recipients, such as school dropouts and pregnant teens.*

All eligible populations under the 70% category as described in Title 20 CFR 645.212 will be served with specific targeting to the homeless, those in need of legal aid services, and non-custodial parents. Under the 30% provision described in Title 20 CFR 645.213 and 645.214, non-custodial parents will be targeted.

Participants will be screened for WtW characteristics and identified by Employment and Training Division staff as part of the SonomaWORKS assessment process. (See Attachment III.) Approximately 77 percent of WtW funding is planned to provide services to those described in CFR 645.212. The SDA intends to track expenditures according to state requirements. However, it should be noted we do not have instructions from the state

regarding those tracking requirements as of this writing. Therefore, a final commitment can not be made until instructions are received.

## **Part II — Section A (2): Targeting Strategy Coordination with CWD**

*Please describe the process used to determine your local targeting strategy and how that strategy complements local CalWORKs plans.*

In the Sonoma County SDA, the HSD conducts JTPA/PIC programs and CalWORKs programs. The Director of the Employment and Training Division of the HSD is also the SDA Administrator. The CalWORKs plan, known locally as SonomaWORKS, was implemented February 2, 1998.

Following SonomaWORKS implementation, five regional community forums were held as part of Sonoma County's effort to determine the needs of the community as they related to potential WtW program services. At the forums, Human Services Department staff presented an overview of WtW and SonomaWORKS and solicited input about the unmet needs in the community. Public comment was invited at Private Industry Council (PIC) and PIC Planning Funding Committee meetings to offer further input and to encourage open discussion with community members. The following needs were the most frequently mentioned:

- Community service for those participants needing to acquire job skills and establish a work history.
- Post employment services to improve job retention (e.g., job counseling, transportation, and job-related expenses).
- Job creation
- Housing
- Absent (non-custodial) parent services
- Assistance with legal services
- Job mentoring/coaching
- Living skills
- Transportation
- Language services, English as a Second Language
- Computer skills

These needs were factored into the program services and strategies outlined in this plan. In many instances these program services will also serve non-WtW eligible SonomaWORKS clients with SonomaWORKS or other available funding.

**Part II — Section B (1): Additional Characteristics**

*Please list any additional characteristics of long-term welfare dependency you intend to use in your local areas for eligibility purposes.*

- Homelessness
- Monolingual other than English or Spanish
- No work place skills
- Limited life skills (e.g. time management, personal finance, parenting skills)
- Legal barriers

**Part II — Section B (2): Additional Characteristics Coordination with CWD**

*Please describe how the identification of additional characteristics was coordinated with the local CWD.*

As previously stated, the Sonoma County Human Services Department is the local CWD.

**Part II — Section C (1): Participant Eligibility Determination**

*Please describe how eligibility will be determined for the populations served, including the determination of eligibility for non-CalWORKs participants.*

Employment and Training staff will screen SonomaWORKS participants for WtW eligibility as part of the SonomaWORKS assessment process. Non-Custodial parents will be identified by the Sonoma County District Attorney Family Support Division and referred for services to the Employment and Training Division.

It should be noted that we are operating under the assumption that the eligibility process and documentation requirements will be similar to the current JTPA process. We have yet to receive state instructions.

**Part II — Section C (2): Coordination for Assessment and Case Management**

*Please describe how you will coordinate with the CWD(s) for the assessment, individual responsibility plan development, referral, and case management of WtW Grant Program participants. This must include a description of the respective roles of both agencies as they relate to CalWORKs and non-CalWORKs participants.*

WtW participants will be identified as part of the SonomaWORKS assessment. (See Attachment III.) If a potential WtW participant is identified at SonomaWORKS intake or through the District Attorney Family Support Division, the client will be referred to the next SonomaWORKS assessment. During assessment, the Welfare to Work (W2W)

plan will be developed, which shall also serve as the Individual Responsibility Plan. Employment and Training staff will provide case management services for WtW participants.

### **PART III — ALLOWABLE ACTIVITIES**

#### **Part III — Section A (1): Planned Services Defined in CalWORKs**

*Please list those services (which are defined in CalWORKs) that you will provide under the WtW Grant Program. The CalWORKs definitions of these services are included in the state WtW Grant Program plan. Please also describe any limitations you will place on the use of these services.*

The planned services are described below and outlined in the summary matrix. (See Attachment IV.) Service providers selected through a request for proposals (RFP) process will provide services. RFPs are scheduled to be issued in August 1998. Contracted services are scheduled to begin November 1998.

- **Work Experience**

Paid work experience will be offered as a service to homeless clients to develop workplace skills and to provide additional income until unsubsidized employment can be found. This activity will comply with anti-displacement provisions contained in state law and with the Fair Labor Standards Act (FLSA) guidelines issued by the U.S. Department of Labor. The employer of record will be required to pay workers compensation benefits for clients participating in work experience.

#### **Part III — Section A (2): Planned Services Defined Locally**

*Please list those services (which are **not** defined in CalWORKs) that you will provide under the local WtW Grant Program, and provide the locally agreed-to definitions for them. Please also include any limitations you will place on the use of these services.*

##### **A. Post Employment Services**

Recipients who are employed but whose wages are not sufficient to terminate them from aid and those who are off aid and in transition to self sufficiency may need additional job retention services. Planned services include life skills education, job retention skills, work place expectations, and information on career advancement. Service providers selected to deliver Post Employment Services will coordinate activities with Sonoma County's Family Preservation and Support Program (FPSP). (See Attachment V.) Service providers will work with SonomaWORKS eligibility staff and FPSP staff to provide counseling, education and intervention so participants are able to retain employment that will lead to self-sufficiency.

Approximately 40% of the SonomaWORKS caseload resides in school districts served by FPSP. FPSP workers will assist SonomaWORKS staff and the service provider to identify appropriate services. In areas not served by FPSP, the need for services will be self-identified by the client, identified by SonomaWORKS eligibility workers, or through the selected service provider.

**B. Services for Non Custodial Parents**

The Sonoma County District Attorney Family Support Division (DAFSD) has collaborated with the SDA to develop a parenting education and training program for non-custodial parents. These non-custodial parents who are unemployed or have income insufficient to pay child support will participate in parenting classes, skills training, job search activities, and life skills education.

**C. Referral to Legal Aid Services**

SonomaWORKS participants who have barriers to employment resulting from problems with the justice system will be referred to a service provider selected through an RFP process to receive motivational counseling on the benefits of maintaining a crime-free lifestyle and taking personal responsibility for their actions. The service provider may refer the SonomaWORKS participant to organizations that provide legal aid where they may find assistance in resolving their problems. No funds will be used to pay fines or penalties for activities for which the participant is held liable. No legal representation will be provided with these funds. This will not be a stand-alone activity but concurrent with other WtW or SonomaWORKS funded activities.

**D. Homeless Services**

Services include WtW and SonomaWORKS funding for rent subsidies through cooperation with the local housing authority (the Sonoma County Community Development Commission); as well as job search, job counseling, substance abuse treatment through linkages with TANF funded substance abuse services, transportation services and JTPA occupational skills training. As described above, paid work experience also will be offered to give clients current work experience and provide additional income until unsubsidized employment can be found.

**Part III — Section B (1): Overall Service Strategy**

*Please describe the overall service strategy which will be used for the targeted populations and how it will support the local CalWORKs plan.*

Sonoma County's WtW activities are designed to complement SonomaWORKS activities by providing additional comprehensive services. WtW services will be directed towards participants who have multiple barriers to employment. Subgroups of the hard-to-serve

population were identified and services planned to meet needs identified by the community as it related to the SonomaWORKS program.

### **Part III — Section B (2): Service Determination**

*Please describe how the PIC and the CWD will determine appropriate services for the individual participants.*

The SonomaWORKS assessment provided by Employment and Training staff will serve as the basis for determining appropriate WtW services. This comprehensive assessment includes vocational skills and aptitudes, identification of mental health or substance abuse barriers, and the need for supportive services.

### **Part III — Section B (3): Service Strategy Results**

*Please describe how this strategy will result in placement/retention and will lead to long-term self-sufficiency. Please include a description of your labor market, how your service strategy helps meet local labor market needs, and how you will involve employers in meeting your objectives.*

#### **Sonoma County's Labor Market**

The Sonoma County Economic Development Board produced a report, "Analysis of Economic Vitality, Sonoma County, California" in September 1996. The purpose of the study was to assess issues of economic vitality, understand recent developments in the local economy, and identify employment and business opportunities for the future.

The report focuses on specific industries in the economy that can be expected to lead economic growth in Sonoma County in the coming years. Leading clusters, (groups of industries) are defined as those industries that export their production to the rest of the nation and the world, that produce high-tech goods that face increasing demand worldwide, that are highly productive, or that employ an unusually large number of county residents.

The Six Leading Clusters are as follows:

- 1) Agriculture, Wineries, and Food Processing
- 2) Information Technology
- 3) High-Value-Added Manufacturing
  - a) High-tech electronics
  - b) High-tech instruments and optical goods
  - c) Other high value manufacturing
- 4) Tourism

- 5) Professional Services
  - a) Engineering and Research
  - b) Other professional services
- 6) Retail Trade

Sonoma County currently uses a training list geared to the local labor needs to approve training for participant's welfare to work plans. However, training and placement are only a part of the answer. Community forums identified areas needed to aid participants in job retention. In addition to job specific skills, participants also need soft skills such as personal financial management, parenting skills, activities for youth that do not qualify for child care services, and special skills necessary for the workplace. Sonoma County's One-Stop Employment Resource center will provide connection to employers by providing program information and marketing.

### **Part III — Section B (4): Job Retention and Support Services**

*Please describe the process you will use to ensure that job retention and support services are not otherwise available to WtW Grant Program participants, and that these services are coordinated with the CalWORKs program and others, such as local county substance abuse treatment programs, which may make these services available.*

Services will be coordinated through the HSD Employment and Training Division staff. These staff must authorize any services that recipients receive including post employment services, childcare, and substance abuse services, and will utilize WtW funded activities only when other services are not available. In addition, HSD staff are co-located with Mental Health and Substance Abuse staff and alternate child care payment case managers as well as the Job Link (One Stop) center partners who include EDD, State Department of Rehabilitation, Santa Rosa Junior College, and community based organizations.

## **PART IV — COORDINATION**

### **Part IV — Section A (1): Coordination with Local Partners**

*Please specifically describe your efforts, and the specific agreements reached (including the role each partner will play in supporting the local WtW Grant Program), to coordinate planning and service delivery with:*

- *CWD/JTPA/WtW* - In Sonoma County the HSD is responsible for all three programs.
- *Santa Rosa Junior College* provides TANF funded services which will be made available to WtW participants.
- *The Job Service* is collocated with Job Link, Sonoma County's One Stop system.

- *One-Stop Career Centers* are co-located at both SonomaWORKS intake and SonomaWORKS assessment components.
- *The local housing agency*, Sonoma County Community Development Commission, will assist in coordination of services with the homeless population and will administer rent subsidies provided with WtW/SonomaWORKS funds.
- *Transportation agencies* participated through focus groups in the services coordinated in SonomaWORKS.
- *County Alcohol and Drug Treatment Agencies* are coordinated through the Sonoma County Health Services Department. The state provides separate funding for these services for TANF recipients. Counseling staff from Health Services are co-located at the SonomaWORKS assessment site.
- *The business community* is represented through the Private Industry Council, which has provided input into planned services.
- *The Economic Development Board* and the Human Service Department have developed a program to identify job opportunities for SonomaWORKS participants by providing services to businesses that will result in business retention and expansion for the County. A two-person team will assist businesses and coordinate with Sonoma County's One-Stop employment center, as well as community-based organizations providing employment and training services under SonomaWORKS. The Director of Human Services Department serves on the board of the Economic Vitality Partnership.
- *Community-based organizations* contributed in the planning of WtW activities and provide services to SonomaWORKS participants.

Other agencies, including *faith based organizations*, provided input to development of the plan at community forums.

#### **Part IV — Section B (1): Leveraging WtW Resources**

*Please describe your efforts to use the WtW Grant Program funding to leverage other local resources.*

The PIC approved the following principles for providing funding to programs under the Welfare-to-Work grant.

1. WtW funds must be combined with other resources (e.g., SonomaWORKS, JTPA). Using funds in combination will allow a mix of services available under the different sources; provide services as people approach their time limits on aid; and allow more flexibility in administering the program (e.g., contracting for job placement, which may be simpler under SonomaWORKS or JTPA rules than WtW).
2. Resource allocation will be based on needs identified to supplement SonomaWORKS. Services cannot duplicate those already provided in the SonomaWORKS design.

Funding for services will be provided through a variety of sources including SonomaWORKS, JTPA, Title IVD from the District Attorney Family Support Division, Welfare-to-Work and a match required from the provider of services to the homeless.

**Part IV — Section B (2): Leveraged Resources Qualified as State Match**

*Please identify any of the leveraged resources you have generated or for which commitments have been made, including the source, amount and type (either cash or in-kind), and whether such resources could be counted in meeting future federal match requirements. Describe how these resources will be used to support the local WtW Program. This information is requested to indicate an enhanced level of local commitment. There is no intent to monitor local match as identified in this plan.*

No resources for future federal match have been identified at this time.

**PART V — PERFORMANCE AND OVERSIGHT**

**Part V — Section A (1): Planned Performance Goals**

*Please complete the Performance Goals Worksheet included in the forms supplement section of this directive. This worksheet describes your planned performance goals for placements, job retention, and weekly average wage for the WtW Grant Program and how these goals were derived.*

The Sonoma County WtW Plan will adopt the state's performance goals to place at least 45 percent of WtW clients into unsubsidized employment, with 70 percent of those placed employed six months after placement. Sonoma County's goal for wage increase will be set at 5% after six months of employment to reflect actual wage trends in the area.

**Part V — Section B (1): Oversight Plan**

*Please describe your oversight plan for the WtW Grant Program, including a description of the oversight activities of the PIC and the CEOs. The plan should include monitoring strategies, policy development, and so forth.*

Monitoring

A minimum of two onsite visits will be conducted annually for each program operated under contract with the SDA. One of the onsite visits shall be a fiscal review. The PIC Evaluation Committee will monitor program performance and report its finding to the full PIC.

### Program Monitoring

Monthly desk review will be conducted of MIS data on program performance including enrollment and termination levels, number and percent of outcomes and percent of plan achieved for the time period under review. Completeness, accuracy and timeliness of document submission will be assessed.

An onsite review of participant records will be conducted, including time and attendance records, competency certifications and other indicators of participants' progress. Participants and staff may be interviewed to determine if the program is being conducted as planned and to gather input for improvements in program design.

### Fiscal Monitoring

Contract service providers receive annual onsite monitoring and monthly desk reviews of claims for reimbursement. Onsite monitoring consists of the following procedures:

- Trace most recent cost claims back to books of original entry.
- Cost plan review sample backup documents.
- Review payroll tax records.
- Complete Internal Control and Financial Compliance questionnaire.
- To determine revenues in excess of expenditures.

## **PART VI — EXPENDITURE AND PARTICIPANT PLANNING**

### ***Part VI — Section A (1) Financial Management System***

*Please describe your financial management system for accounting for and reporting WtW Grant Program funds in accordance with the appropriate federal requirements. Please include a description of how that system meets allowable cost principles and how it will report WtW expenditures and program income on the accrual basis of accounting. In addition, please describe your procurement policies and procedures for awarding WtW Grant Program funds to sub-recipients and include elements such as competitive bid procedures, conflict of interest, code of conduct, and debarment and suspension.*

- The Sonoma County Auditor/Controller acts as the auditor/controller of the SDA.
- The County Administrator's Office reviews the staff and operational budget of the SDA.
- Funds are deposited with and maintained by the Sonoma County Treasurer.
- Financial records are maintained by the Auditor/Controller and reviewed and approved by the SDA Administrator and/or Fiscal Officer.
- Summaries of cash transactions are prepared monthly by the County's Data Processing Department and include expenditure, revenue, and fund balance ledgers. Ledgers are received by the 5<sup>th</sup> working day of the following month.
- The SDA utilizes an Accrued Expenditure Worksheet to adjust the County's cost accounting records to an accrual basis for reporting and budget comparisons.

- Accrual worksheets are completed by the 15<sup>th</sup> working day of the following month.
- The SDA utilized the Accrual Expense Worksheet to spread the costs of Administration, Training, and Support as well as youth and adult expenditures. As noted above, worksheets are complete by the 15<sup>th</sup> working day of the following month.
- Indirect cost allocation plans are prepared annually by the Auditor/Controller's office and approved by the State Controller's Office.
- Property and equipment purchased with WtW funds are assigned the county's property identification numbers, records of which are maintained by the County auditor. The list is certified annually by SDA staff.
- The SDA required the same controls and documentation for matching costs as it does for cash expenditures.
- At the time invoices are submitted to the Auditor/Controller Claims for payment, they will be recorded in our manual records as reduction to cash.
- At the time funds requested by wire and scheduled to be credited to the SDA account, they will be recorded in the manual records as reductions to cash.
- Each month the cash balance of manual records will be reconciled to the Auditor/Controller's General Ledger. This reconciliation will include the updating of the manual records for previously unrecorded service charges billing that appear on the Auditor's records.
- The manual cash records balance will be used in the analysis of cash needs. Cash needs will be determined by the unpaid claims less current cash balance. In the case of County payroll and needs based support payments, it will be necessary to use estimates for cash needs in advance. In all other cases actual total claims received will be used.
- The Auditor/Controller maintains original source documents for a period of five years. Records generated by the SDA are maintained for five years.
- Records are maintained by the Auditor Controller in both hard copy and computer stored backup. To ensure security and accessibility, hard copy records are kept in a locked file cabinet; backup computer tapes are stored at the Sonoma County Computer Services Department.
- A separate departmental budget unit has been established to function as an Administrative Cost Pool. Costs of this unit will be transferred to the individual grant budget units.

### **Audits**

Auditors under contract to perform the County of Sonoma audit in accordance with the Single Audit Act will conduct the SDA audit. Subcontractors receive agency audits under Circular A133.

### **Debt Collection**

- Resolution of questioned or disallowed costs that occur at the subrecipient level (contracted service providers) is the contractors' responsibility as established in the contracts.
- Subcontractors are aware through the contract process of their liability for disallowed costs. The SDA through its review and monitoring process will determine the ability of the subcontractor to provide sound fiscal management, thereby avoiding the necessity of repaying disallowed cost. The SDA realizes that it in turn is liable for all disallowed costs to the extent established by Federal law and regulations.
- The audit resolution process addresses the repayment process. Any debts, which are not recovered by the Human Service Department, will be forwarded to the Sonoma County Collection office for appropriate legal action.

### **Part VI — Section A (2) Expenditure and Participant Plan**

*Please complete the Expenditure and Participant Plan included in the forms supplement section of these instructions.*

### **PART VII — ASSURANCES**

*The subgrant language will contain the necessary WtW assurances and those assurances will not, therefore, become a part of these planning instructions. The subgrant language is being finalized and will be sent under separate cover for review and final input.*

This plan may require modification when subgrant language is received.