

FY 2012 STRATEGIC PLAN

Local Workforce Investment Area 13

The Workforce Investment Network of Memphis

December 15, 2011

INTRODUCTION

As part of the Tennessee Department of Labor and Workforce Development's (TDLWFD) annual planning cycle, LWIA 13 is required to update the previous LWIA 13 strategic plan based on Tennessee Center for Performance Excellence Baldrige Level II application requirements. This document contains revisions to the LWIA 13 strategic plan previously submitted on December 15, 2010.

CONTENTS

Organizational Profile 2

Category 1: Leadership 7

Category 2: Strategic Planning 10

Category 3: Customer Focus 11

Category 4: Measurement, Analysis, and Knowledge Management 13

Category 5: Workforce Focus 17

Category 6: Process Management 18

Category 7: Results 20

Attachments: Organizational Charts 22

SWOT Analysis 24

ORGANIZATION PROFILE

Local Workforce Investment Area 13 (LWIA 13), doing business as the Workforce Investment Network (WIN), is an organization created under the Workforce Investment Act (WIA) and the regulations that guide the WIA system. Similar to the local areas throughout Tennessee and the nation, LWIA 13 delivers WIA services to job seekers and employers. LWIA 13's service delivery area is within two counties located in southwest Tennessee: Shelby County, including the City of Memphis, and Fayette County.

Like other workforce investment organizations, WIN serves three distinct groups: adults (over 18), dislocated workers (those who have lost a job through no fault of their own), and youth (14-21). WIN provides a range of core and intensive services tailored to the needs of these customers. In addition, WIN works with local employers to serve their unique hiring needs.

Services for adults and dislocated workers range from educational and job readiness skills through job search and placement efforts, career counseling, case management, skills assessment, and National Career Readiness Certificate (NCRC) testing. In addition, WIN provides funding for occupational skills training to eligible participants in the form of (i) individual training vouchers (ITAs), (ii) customized training, (iii) on-the-job (OJT) training, (iv) apprenticeship programs, (v) incumbent worker training, and (vi) other custom services.

WIN also serves WIA eligible youth, both in-school and out-of-school, between the ages of 14 and 21 through two primary programs: year round training, academic credential attainment, and job placement; and summer youth employment. Programs are managed by local subcontractors selected through a competitive process. In 2011, ten experienced providers – such as Fayette County Schools, Memphis City Schools, and the RISE Foundation – work to increase the basic skills and job readiness of 816 year round youth. In summer 2011, WIN funded employment for [435] youth. Youth providers also offer an entire array of support services based on the WIA required ten elements to ensure success for youth participants.

As part of its charge, WIN strives to serve underserved populations such as veterans, ex-offenders, foster children, the homeless and individuals with disabilities. For area employers, WIN offers customized recruitment services and NCRC testing to assist in targeted hiring efforts. WIN also assists the TDLWFD with Rapid Response meetings in the event of a mass layoff.

WIN's relationships with its partners in delivering services are the key to its success. Management is continually working to align and leverage WIN's services with its partners' functions to improve services to all customers. WIN continues to partner with

those mandated by WIA and those connected to local conditions and customers here in southwest Tennessee.

Thus, WIN works with the Department of Human Services, Employment Services, Vocational Rehabilitation providers, Memphis Housing Authority and other key City and County agencies, as well as community partners such as Bridges for youth, Meritan for seniors, and the Second Chance program, which assists ex-offenders in finding employment. WIN management continues its work to implement standard policies and procedures with training providers and youth subcontractors to assure that these relationships are based on performance and accountability to WIN's customers and stakeholders.

Oversight of LWIA 13 staff and operations is provided by a 33 member board of directors appointed by the Mayor of Memphis. The board is comprised of a majority of private sector members as required by WIA. The board also includes WIA prescribed members of education, labor, economic development and community based organizations. To accomplish its work, the board appoints the following standing committees:

- Executive – acts on behalf of the board of directors between meetings
- Finance – interfaces with fiscal management and reports to the board
- Nominating – works on board development
- Youth Council – sets policy and programming for youth services
- Performance and Accountability (PAC) – evaluates training providers and programs.

WIN's management team and administrative personnel work at the WIN administrative office located at 22 North Front Street in Memphis. These staff members handle organizational administration including executive management, fiscal management, contracts, program monitoring, performance, human resources and compliance. The administrative staff interacts primarily with training providers, youth subcontractors, vendors, City of Memphis divisions, WIN's board and committees, and TDLWFD staff overseeing workforce system policy and compliance.

WIN staff offer comprehensive services at the One Stop Center located at the Memphis Area Career Center at 444 North Main in Memphis. WIN also maintains 7 satellite career centers located in geographically dispersed locations throughout Memphis, Shelby County and Fayette County. A total of 42 WIN personnel work in administration, Career Center, and satellite operations. Since FY2011, WIN has been forced to restructure to address significant reduced funding. In July 2011, eleven employees' position were eliminated.

WIN Staff Demographics (All staff as of December 1, 2011)		
Male	7	17%
Female	35	83%
African American	34	81%
Caucasian	8	19%
College educated	34	81%

Career Center staff interact with adult, dislocated worker and youth participants enrolled in the WIN system as well as businesses and employer customers. All WIN employees that work in Shelby County are employees of the Executive Division of the City of Memphis and are appointed by the Mayor of Memphis. The appointed status of WIN employees allows for hiring flexibility and performance accountability. Fayette County Career Center employees are contracted through the Fayette County School System.

LWIA 13 is one of the largest of the thirteen workforce investment areas in the State of Tennessee with a population of 966,057 (2010) and a total civilian labor force as of August 2011 of 461,940, of which 413,850 are employed and 48,100 are unemployed. WIN receives approximately 11% of the State's allocations of WIA funding. WIA formula funds are allocated to LWIA 13 annually by means of contracts entered into by the TDLWFD and WIN's fiscal agent, the City of Memphis. The Memphis City Council accepts and appropriates the grant funds into the City's operating budget for use by WIN.

Thus, LWIA 13 is a significant force in the Tennessee workforce system. It is vital that WIN's board and staff are careful stewards of WIA funding allocated to LWIA 13.

Key challenges for WIN include the low educational attainment level and high poverty rates of those served by WIN, the flat population growth in the Memphis Metropolitan Statistical Area, and continuing difficult economic conditions. In Memphis, the recent recession exacerbated the already stagnant economy of the local area and raised unemployment rates in the Memphis MSA to 10.4% as of August 2011.

Serving WIA eligible youth and assisting them in credential attainment is challenging given the culture of generational poverty and the societal issues that result: low educational attainment, teen pregnancy, lack of work, lack of training, and lack of opportunities.

This year has been a significant reduction in ITA vouchers due to reduced formula funds. Last year (FY 2010), WIN spent over \$4 million in ITA support; this year that number was cut by 7.5%. WIN received overall 14% less in formula funding for FY 2012 than for FY 2011. Adult formula funding was decreased by 20%, and first quarter FY 2012 fiscal

grants were historically small. Based on Congressional gridlock, coupled with an intense focus on deficit reduction through decreased domestic spending, WIN's management believes that continued decreases in formula funding amounts are likely. Funding threats are a significant challenge to WIN's current and future delivery of services to those in need.

The primary objective measure of LWIA 13's success is the determination of the nine common performance measures WIN negotiates annually with the TDLWFD. In the past, LWIA 13 has not been a strong contributor to the achievement of the State of Tennessee's performance goals because LWIA 13 has failed to meet a number of these performance measures. Given WIN's volume of WIA participants and funds, this failure to achieve negotiated measures has had an adverse effect on the State's achievement of its performance measures negotiated with the U.S. Department of Labor.

WIN's board and management, in conjunction with and with the assistance of the TDLWFD, has taken steps to improve the performance of LWIA 13 significantly. For example, WIN youth services staff, monitors, and program partners work collaboratively to improve the process of determining youth eligibility. In 2010, management, case managers, and staff exited thousands of old inactive participant files to improve assessment and management of new caseloads and increase performance.

In the past, LWIA 13 has had a history of not fully expending its grant awards. Due to findings of disallowed costs, on several occasions City of Memphis taxpayers have been required to repay sums unallocated in WIN operations. WIN management has overcome these past challenges with effective fiscal and program management.

In recent years, WIN has experienced serious chronic challenges in achieving compliance with WIA and TDLWFD requirements and policies. As a result of previous poor fiscal management and expenditure rates, non-compliant WIA programming, lack of collaboration among WIN management, and lack of understanding by staff of functions across the organization, WIN faced the real threat of TDLWFD takeover of LWIA 13 operations. However, following recent significant changes in WIN management, this challenge is no longer a threat to WIN.

In May 2010, in an effort to repair and rebuild LWIA 13, the Mayor of Memphis appointed a new executive director for WIN, Desi Franklin. Within weeks of her appointment, Ms. Franklin appointed a deputy director with significant experience in the workforce system. Since then, Ms. Franklin has also replaced WIN fiscal, contracts, business services, youth services, and Career Center managers.

LWIA 13's management transition resulted in a new and consistent commitment to an organizational culture of competency, continuous improvement, and personal

accountability. Current management has created fundamental organizational culture change by communicating new performance expectations with staff and self modeling desired performance standards.

An example of this shift in management and fundamental operations is in fiscal management. Through an examination of functions and efficiency, the fiscal staff was reduced from six to three. For the first time in recent history, the fiscal department has generated a budget and works closely with the Board's renewed Finance Committee to track, compare, and project expenditures through the year.

WIN has embarked on an internal strategic planning process. Input and feedback from staff regarding process improvements have been actively sought and have already been implemented where practicable. A significant continuing goal is designing, implementing and training staff on new written policies and procedures to assure that program and fiscal operations are fully compliant with WIA requirements, TDLWFD policies and, City of Memphis policies. Senior management continually reviews the fundamentals of WIN operations: program design and delivery, administration and compliance, and partners and performance to assure that the significant improvements to date continue and serve as the foundation for enhanced value to LWIA 13 stakeholders.

Category 1. Leadership

Policy, oversight, and goals for LWIA 13 staff and operations are provided by an active and involved board of directors. The board is comprised of a majority of private sector members as required by WIA. The board also includes WIA prescribed members of education, labor, economic development and community based organizations. All of these members are appointed by the Mayor of Memphis.

The commitment of Memphis Mayor A C Wharton, Jr., led to the appointment of Desi Franklin as Executive Director for WIN. Mayor Wharton's charge to Ms. Franklin was to remake the organization into a model workforce development organization and to assure that LWIA 13 is viewed as the highest quality local workforce area in Tennessee.

The City administration has shown an unwavering commitment to treat WIN as a high priority asset to the community. Ms. Franklin attends weekly meetings of the Mayor and City Division directors. Support from both the City administration and the Memphis City Council for enhancements in City processes that affect WIN has resulted in many process improvements and efficiencies. For example, the process for the City Council's appropriation of WIN's grant funds has been shortened from six weeks to two, allowing for better cash management. WIN management and the City's purchasing department have completed a revised protocol for contract execution, including a tracking system that has resulted in significantly shortened timeframes for WIN contract execution. During the coming year, a new policies and procedures manual for WIN employees will be completed to ensure compliance with regulations, efficiency in daily operations, and a roadmap for future employees.

Ms. Franklin's appointment of two key deputy managers has brought years of workforce experience into the WIN organization. Henry Lewis, the Deputy Director for Training and Education, is a 26 year veteran of LWIA 12 where he previously worked as executive director. Vivian Alexander, Career Center manager, is the former Career Center director in Cincinnati, Ohio.

Senior management of WIN provides staff training and invites staff ownership in WIN's results. One example of this new approach includes the recent assignment to the Business Services staff of complete responsibility for the incumbent worker training (IWT) grant awards process.

Business Services holds meetings with a board committee formed to review the applications, provides technical assistance to applicants to assure that grant applications are complete and in compliance with State directives, follows up with grantees to finalize paperwork, submits the necessary forms and correspondence to the TDLWFD regarding the recommended grantees, finalizes the grant and contract process, and works with WIN's performance unit to assure eligibility and enrollment of all IWT participants.

Managers for WIN (December 1, 2011)

(indicates new manager)*

Performance & Quality Assurance

Manager	Martha Dickerson
Deputy Director (Business Services)	Laura Hine*
Executive Director	Desi Franklin*
IT Manager	Eugene Horton
Contracts Manager	Jim Kovarik*
Deputy Director (programs)	Henry Lewis*
Disability Program Navigator	Gwen Porter
Fiscal Officer	Mike Donato*
Career Center Manager	Vivian Alexander*

Throughout this process, senior management has communicated with Business Services, provided feedback, empowered Business Services staff to handle all necessary actions, and monitored these actions for timeliness and technical compliance.

Regular monthly staff meetings are held at which staff share information learned from training or from on the job experiences such as the IWT process described above. The executive director has invited staff input into process improvements, and the staff nominated three respected peers to serve on the WIN strategic planning committee.

Senior management at all times shows respect for lines of authority and does not tolerate end runs, but at the same time communicates to staff an open door policy. A staff committee was authorized to determine the criteria (professionalism, customer service, team player, cooperation, quantity, integrity and acts of kindness) for the Larry Perry Employee Recognition Award. This award is named in honor of a deceased WIN employee who, according to his peers, exemplified a “team player.” This recognition is awarded quarterly based on staff input.

Regular management staff meetings have been implemented. At these meetings, operational reports are reviewed, including information regarding customer flow and volume, ITA issuance, fiscal status, program monitoring, and current employer initiatives.

Senior management strives to be positive role models for a culture of competency and continuous improvement, a high level of performance excellence and personal accountability. For instance, since May 2010, Executive Director Franklin has

- Embarked on a re-visioning of WIN's youth services;
- Made tough choices in many areas as a result of funding decreases;
- Designed and implemented written processes for the WIN contracts manager and City of Memphis purchasing department to ensure smooth and speedy contract execution; and
- Worked hard to assure that all interactions with staff, board members and other internal and external customers are productive and respectful of the needs of such persons.

The Deputy Director of Training (Henry Lewis) has

- Conducted field trips to other state WIAs for staff training,
- Held technical assistance meetings with all youth providers to explain program changes and expected performance results, and
- Brought in consultants and state experts to conduct training sessions on areas such as case note entry in ECMATS.

The newest member of management, Career Center Manager Vivian Alexander, has

- Collaborated with the Performance and Monitoring unit to conduct a full file audit of all hard copy files of the WDS staff,
- Re-vamped the orientation process introducing new methods of assessment, and
- Renewed the emphasis for all staff on improving core and intensive services and their personal accountability to clients

The overriding purpose of these changes is to create a culture in which the focus in all instances is identifying and serving the needs of the customer, whether that customer be internal – another WIN staff member whose results depend on their peer's performance – or external, including job seekers, employers, the City of Memphis, LWIA 13 board members, training providers, the TDLWFD, mandatory partners or community stakeholders. Responsiveness and customer driven results are a constant emphasis.

In order to inspire these results and track WIN's personnel progress, WIN management has been trained in the City's new Performance Outcome software. All WIN employees will be evaluated by the end of the fiscal year by their manager. The software allows management to chart employee progress during the entire year. WIN has already started this process as all employees have had to submit a performance report from their side of the desk. This self evaluation will be used in conjunction with the progress report when the employee meets with their manager at year's end.

WIN's aim is to help people prepare for economic success. A chief concern voiced by companies looking to relocate or expand in the Memphis MSA is the quality of the local workforce. Many years of generational poverty, economic inequality, and stagnant economic growth locally have all contributed to this issue.

The core purpose served by WIN is one of the most important functions to turn the tide and help achieve both community and individual prosperity in the Memphis MSA. WIN management is committed to providing WIA services to those in need, including:

- Hard-to-serve populations – we are currently working on two projects to assist with prisoner re-entry and ex-offender job attainment, and
- Dislocated workers affected by the current recession – we are designing and implementing Jjob Clubs to serve dislocated workers, and enhancing our services at Rapid Response meetings to reach more dislocated workers.

By focusing on such initiatives as well as internal process improvements, WIN leadership intends to make LWIA 13 a model local area in the State and the “go to” resource for workforce development in our region.

Category 2. Strategic Planning

As stated above, LWIA 13 has experienced significant management changes during 2010. FY 2011 has been necessarily a transitional year as WIN’s new management has worked to improve the organization within the constraints of inherited fiscal and programming structures. WIN management held a series of meetings of appropriate stakeholders in early 2011 to develop WIN’s short term and long term strategic plan.

A board committee managed the process, with input from management, staff and other WIN stakeholders such as mandated partners, City of Memphis representatives, and the TDLWFD. As part of the process, critical data and information was researched, compiled and reviewed.

WIN and its mandated partners met recently to update LWIA 13’s S.W.O.T. (strengths, weaknesses, opportunities, threats) analysis previously prepared in 2010 (see Attachments). LWIA 13’s updated S.W.O.T analysis will serve as an additional tool and will be considered in developing WIN’s strategic plan.

In early 2011, LWIA 13 held a strategic planning retreat to work on identifying WIN’s mission, vision for the future, core values, and short and long term S.M.A.R.T. (specific, measurable, attainable, realistic, and timely) goals. The goals identified were: (i) building partnerships and a grant strategy; (ii) assessing potential locations and an ideal design for one-stop center and satellites; (iii) developing a board succession plan; (iv) researching 501(C)(3) structural strategy; (v) enhancing existing web-based job seeker services and removing barriers to access; and (vi) marketing WIN services to employers and creating a feedback loop for repeat business. WIN’s strategic planning work has been integrated into WIN’s operations, including continued technical assistance for WIN ITA training providers and youth subcontractors, the re-visioning work to develop the RFP for FY 2013 youth services. All WIN activities for FY 2012 are guided by these strategic principles.

WIN is working to communicate related tasks and actions, from the standpoint of (i) the entire organization, (ii) each functional unit, and (iii) an individual employee basis, that reflect and further LWIA 13's strategic plan and goals. An additional benefit of this planning process has been the ability to build a FY2012 budget to allocate resources to support defined strategic plans and goals. This also assists WIN in designing program changes and new innovative projects.

The LWIA 13 board, management and staff will measure the success of tasks and actions against WIN's strategic plan and goals.

Category 3. Customer Focus

LWIA 13 exists to serve two primary types of customers: job seekers and employers. This is the mandate of WIA. Job seekers include unemployed and underemployed persons, dislocated workers, and WIA eligible youth.

LWIA 13's service offerings are designed to serve the needs of these WIA prescribed customers. For adults and dislocated workers, current service offerings include the full range of WIA services, from core services for all who walk through the door to funding for occupational skills training to eligible participants. Training services come in the form of individual vouchers (ITAs), customized and apprentice programs, and on-the-job (OJT) and incumbent worker (IWT) partnerships.

Incumbent Worker Training WIN (Allocations for FY 2011)	
<u>Company Name</u>	<u>Proposed Award</u>
Johnson Bryce	\$50,000
Rich Products	\$25,000
UGL UNICCO (1)	\$15,771
UGL UNICCO (2)	\$9,229
Totals	\$100,000
LWIA 13 IWT Funds	\$100,000

Historically, LWIA 13 has been challenged to expend all of its dislocated worker formula funds. Given the historic unemployment rates generated during the recent deep recession, WIN has identified and is implementing innovative service offerings to meet the needs of

dislocated workers. Dislocated worker services provide career counseling and case management, resume and interview skills training, job club, credential enhancement, soft skills and occupational skills training, job development and other services to this group. WIN serves eligible youth between the ages of 14 and 21 through the competitive procurement of the services of ten (10) in-school and out-of-school youth subcontractors.

WIN has historically funded summer youth employment programs that have provided thousands of youth with work readiness experiences. In 2010, WIN successfully funded summer employment for 840 youth, expending a total of \$1,521,672 in ARRA youth funds and \$253,025 in WIA youth formula funds for a total program of over \$1.7 million.

In summer 2011, WIN managed to re-direct sufficient formula funds to conduct a smaller summer employment program. WIN provided 435 youth with jobs at over 140 sites throughout Shelby and Fayette Counties. Youth worked up to 7 weeks at \$8.00 an hour. The entire program was conducted for \$922,000. Based on decreased funding, it appears unlikely that LWIA 13 will be able to conduct a summer youth employment program in 2012.

AGENCY NAME	# OF PARTICIPANTS	ALLOCATION
<i>In-School Youth Proposals</i>		
Youth Visions	20	\$37,230
Operation Hope	30	\$37,961
Fayette Ware HS	75	\$341,717
MCS -- Gang Awareness	50	\$139,176
RISE Foundation	50	\$182,611
Memphis City Schools	200	\$291,509
Subtotal	425	\$1,030,204
<i>Out-of-School Youth Proposals</i>		
JIFF	21	\$70,000
OSY YWCA & MHA	30	\$130,572
Ross	60	\$200,000
Memphis City Schools	105	\$352,500
Subtotal	216	\$753,072
Total	641	\$1,783,276

LWIA 13 has recently instituted upgraded technical assistance offerings for youth subcontractors that provide hands-on assistance with youth eligibility and enrollment, budget feedback and compliance with WIN's performance measures. As a result of feedback received at these meetings, in 2011 WIN has implemented, for youth subcontractors that are proficient in ECMATS, the State's participant software database, the ability for them to maintain their case notes electronically.

WIN partners with other internal and external stakeholders to serve its customers. WIN is able to leverage existing relationships WIN's management maintains with the TDLWFD, other local areas, elected and business leadership of the City of Memphis, Shelby County and Fayette County, business and economic development agencies, and community based organizations to improve the services it provides its core customers.

WIN management responds to each request for information and each complaint received on a timely basis. Complaints are viewed as an opportunity for constructive feedback and to examine whether current processes are serving the intended purpose of providing high quality service to WIN's customers. Through the use of mystery shoppers, management observation, customer surveys, and consultations with The Center for Workforce Learning, WIN has assessed the effectiveness of job seeker service offerings and in FY 2012 has made significant changes to customer flow and services to discontinue the former "one size fits all" approach and provide services customized to the needs of each client.

To this end, WIN funded an extensive study, facilitated by the Greater Memphis Chamber, of the workforce community and its needs in the emerging labor markets of the tri-state region. Information gained from these activities has been used to analyze needed improvements and innovations in service offerings. The focus in all instances is to identify and serve the needs of the customer.

Category 4. Measurement, Analysis and Knowledge Management

Performance in the Tennessee workforce investment system is measured annually by the TDLWFD by determining whether each local workforce investment area meets or exceeds specific performance measures. The measures are determined for each state by the United States Department of Labor, and for each local workforce investment area in Tennessee by negotiation with the TDLWFD. Local areas that meet or exceed their negotiated performance measures are eligible to receive incentive awards, to the extent of available State funding, and failure to achieve the required performance measures can result in sanctions.

There are three common measures for each of the three customer groups. For adults and dislocated workers, the measures are entered employment, employment retention and wage rate. For youth, the measures also include credential attainment and gains in

literacy and numeracy. WIN's negotiated performance measures for the three common measures and the three types of customers for PY (regression adjusted) appear below. WIN's negotiated levels for PY 2010 and actual performance measures appear in the Results section.

Quarterly performance data is provided by the TDLWFD via its Dolce Vita software system. However, the performance data is aged and reflects past time periods, making it difficult to manage performance versus current operations by use only of Dolce Vita data. LWIA 13 is currently identifying methods to implement an internal tracking system to manage performance on a real time basis. Negotiated performance measures for PY2010 are based on a USDOL-led regression model that takes into account individual participant and community characteristics, and which encourages local workforce areas to serve harder to serve customers.

LWIA 13 Performance Metric	LWIA 13 Negotiated Targets PY 2011	LWIA 13 Regression Adjusted Targets PY 2011
Adult Measures		
<i>Entered Employment</i>	70%	60.34%
<i>Employment Retention</i>	84%	84.93%
<i>Average Earnings</i>	\$13,800	\$16,352
Dislocated Workers		
<i>Entered Employment</i>	74%	67.29%
<i>Employment Retention</i>	84%	79.90%
<i>Average Earnings</i>	\$14,256	\$18,210
Youth Measures		
<i>Placement</i>	61%	45.68%
<i>Attainment</i>	63%	47.76%
<i>Literacy/Numeracy</i>	40%	21.69%

To these ends, **nine** WIN employees continue in Lean Six Sigma Green Belt training. They are finalizing projects for their own certification that will directly and positively affect WIN by tackling problems affecting performance. WIN is providing additional coaching resources for these employees or the successful completion of these projects.

Other internal efforts that are creating a culture of competency and continuous improvement include:

The re-organization and empowerment of the Business Services Unit. With a new manager and experienced team, the BSU is responding to the pressing needs of new

employers coming to LWIA 13 and forging new relationships with economic development entities such as the state's Department of Economic and Community Development. Business services is also in the process of building its job development services by hiring job developers to work on targeted projects and to assist placement of WIA participants.

Youth staff training and increased collaboration with providers and clients. Youth services staff training has improved understanding of youth eligibility resulting in better technical assistance to subcontractors. Through several meetings (with providers, consultants, partners, the Youth Council and graduates of the program), the youth staff are learning methods to improve their outreach. In the future, the staff will be encouraged to spend more time in the field examining youth programs and activities.

Management review and collaboration. Drawing on the experience and talent among members of the management team, WIN has adopted a team approach to key decisions and accompanying tasks. Management conducted a careful review of youth subcontractors during the FY2011 selection process and continues with a re-visioning process in preparation for the spring RFP, which will include increased performance targets and additional reporting requirements for providers who will be selected by late spring 2012.

Continuing efforts are under way to provide technical assistance to training providers regarding LWIA 13 performance expectations and to implement requirements that training providers regularly transmit participant level information to WIN regarding program completion, placement, retention and wages.

For FY 2011, as part of revised processes related to youth subcontractors, WIN has closely negotiated with subcontractors during contract completion to ensure that goals meet or exceed WIN's negotiated performance measures. WIN has conducted two technical assistance meetings to further these ends.

WIN has engaged in a six month re-thinking of ITA policies. In September 2011, the Board approved a sector approach to the training of WIA participants. To this end, WIN has communicated throughout this period to keep eligible training providers apprised of changes and to solicit their responses to proposed changes. A meeting of all training providers was held in Memphis on November 15, 2011 to announce the new strategy. Dr. Roosevelt Noble, state director of training providers, attended this meeting to support and second WIN's efforts.

LWIA 13 management has implemented strong policies and procedures, as well as process improvements, in fiscal functions. New senior management was added in

January 2011. As a result of functional improvements, WIN's fiscal staff has been reduced from six to three. Existing staff raised the bar significantly.

In FY2011, LWIA 13 did not meet its negotiated performance measures for adult and dislocated worker entered employment and retention due to LWIA 13's exits of 3,149 participant files that had remained in the ECMATS system despite no current participant activity for years. This effort was undertaken under the guidance and direction of the TDLWFD as a corrective action in order to allow LWIA 13 to effectively manage future performance as well as case manager caseloads.

In 2011, WIN senior management decentralized data entry into ECMATS to allow case managers to input enrollment and eligibility information as well as case notes for their managed participants. This is a change from previous practices and has eliminated redundant paper files and has enhanced case notes.

The performance staff regularly audits quality control samples of each case manager's data entry for accuracy. Problems require follow up corrective action for exceptions. Case managers are able to access participant data on ECMATS quickly, which allows them to improve case note entries. It also prevents instances in which a WIN participant later presents for another activity and a duplicate file is created.

In its service re-design, WIN has instituted two other checks on quality control and information management. File control will become the single focus for one employee who will manage, track, and maintain all files in audit ready condition. In the case of ITA vouchers, one employee on the quality assurance team will track and manage all voucher transactions to provide real time information on obligations, payments, and balances.

In addition to tracking WIN's performance by means of negotiated performance measures, the TDLWFD performs periodic Performance Accountability Review (PAR) audits, which monitor for program and fiscal compliance by WIN and check ECMATS for data validation purposes. Errors are noted in a formal report, and WIN is required to respond with its corrective action plan.

LWIA 13 information technology is supported by one full time employee that maintains all computer hardware and software. WIN enjoys the technical support of the City of Memphis information technology department. All computer hardware and information technology systems are subject to the City of Memphis' information security, disaster planning and computer upgrade policies and procedures. All email and participant information contained in ECMATS is password protected, and all WIN premises are kept locked after business hours. Written policies are in place prohibiting participant information from leaving the business facilities of WIN.

Category 5. Workforce Focus

LWIA 13's senior management believes that our workforce is our single greatest asset in developing WIN into a model area in the State and the "go to" resource for workforce development in this region.

WIN's management has communicated new performance expectations with staff, encouraging open communication, shared information, fact-based decision making, and comprehensive process improvements.

An example of this is the current review of all case manager caseloads and files. Due to the large number of inactive participants that had not been exited and the inability to correctly determine the correct case manager in ECMATS assigned to a participant, WIN management determined that it was not possible to accurately measure and manage caseloads. Following the mass file exit in 2010, the performance unit corrected ECMATS so that management is able to accomplish this analysis. Together with the removal of the continuing burden of having to address old files, this analysis enables management to keep caseloads manageable and to identify staffing needs to ensure superior customer service to WIN participants.

WIN's new Career Center manager, in partnership with WIN's Quality Assurance and Performance Manager, embarked on a review and audit of all paper files held by Workforce Development Specialists, which has resulted in audit ready files, up-to-date and relevant case notes, elimination of redundant client files, and location of previously missing files. WIN's goal is to monitor all client files in complete, thorough, and accurate audit ready condition at all times. This will enhance compliance, performance, and customer service.

Senior management of WIN has also begun to provide staff with internal training as well and to invite staff ownership in WIN's results. Staff has been included in meetings held by the TDLWFD with their peers. Youth services staff were included in the 2011 youth staff meeting held in Nashville. As a result of the sense of ownership created, youth services staff have created and submitted to management profiles of the youth WIN serves, highlighting success stories that they propose to share at other peer-to-peer networking opportunities. Various staff participated in the recent data validation process.

Regular monthly staff meetings provide an opportunity for staff to share information learned in training or on the job learning experiences and to receive important information that affects their work. The executive director has invited staff input into process improvements, and senior management has communicated to all staff an open door policy and a willingness to hear and consider staff issues and concerns. In addition, the following innovations are planned or underway.

- All staff have been advised that performance issues will be reviewed on the basis of the facts, and that consistent procedures for documenting and handling disciplinary issues will be followed prior to any additional action.
- The City of Memphis Human Resources Division has conducted a job and salary equity review of all WIN employees.
- In FY 2012, LWIA 13 is participating in the City of Memphis annual performance evaluation process. This process will serve as the basis for annual personal performance plans, which will be reviewed annually for accountability.
- To the extent allowed by available funding, compensation decisions will be merit based on documented objective criteria.
- WIN senior management is committed to filling staff openings, to the extent possible, with deserving internal candidates to allow capacity for career development.

WIN senior management continues to review all personnel and functions of the organization, with the assistance of the Center for Workforce Learning, so that WIN can ensure that employees' functions are optimally designed to fulfill the goals and tasks of the various units within WIN, all with a focus on providing WIN's customers a superior customer service experience.

WIN staff consistently indicate that the primary motivating factor engaging them in their work is their strong commitment to helping individuals change their lives. They know that they make a difference by helping others attain better jobs and achieve economic stability.

Category 6. Process Management

LWIA 13 is a statutorily established organization governed by the Workforce Investment Act and regulations. As such, WIN provides as its core services, for (i) adults and dislocated workers, job seeker training and assistance, (ii) customized recruiting and training services to employers and (iii) services to WIA eligible youth to help them attain literacy and numeracy skills and educational credentials and to overcome barriers to job readiness.

LWIA 13's work systems are designed around these core competencies. Internally, WIN provides core and intensive services, case management and, where indicated under an individual service strategy, funding for individual training with eligible training providers as well as for youth subcontractor services. WIN recognizes that both the WIA statutory framework and the availability locally of a large diverse supply of adult and youth training providers dictates that WIN outsource training services for adults, dislocated workers and youth.

Youth subcontractors are chosen via a competitive procurement process under which WIN issues an RFP, receives bids and involves staff, the Youth Council and the LWIA 13 board in determining those bidders that merit awards. Recent process improvements in the youth subcontractor selection include:

- ensuring, for existing subcontractors, that fiscal expenditures (timeliness and percentages) and performance outcomes are considered in determining awards; and
- undergoing a re-visioning for youth services that will produce a different model and will inform the FY 2012 RFP and selection process.

ITA training providers are approved through established processes involving due diligence and review by the LWIA 13 Performance and Accountability Committee. PAC recommends to the Executive Committee of the Board who make the final decision on all eligible training providers and programs.

WIN has met with all ITA training providers to provide technical assistance regarding performance measures and requirements for submission of participant level information regarding program completion, placement, retention and wages. Contracts for FY 2012 contain new performance targets and reporting requirements. Additional reporting requirements will be discussed and added to next year's contracts. Further continuous improvement practices include a collaborative effort across WIN functional units to track ITA issuance to assure full accountability and performance in the process from start to finish. Corrective controls and process improvements have been designed and implemented.

All work systems are designed to fulfill WIN's core competencies and tie back to successful achievement of performance outcomes. Other process improvements include:

- fiscal process improvements that have resulted from regular meetings between WIN management and City of Memphis Finance Division management;
- collaboration between WIN's contracts manager and quality assurance/performance manager to integrate systems for maintaining contract information; and
- collaboration among the contracts manager, fiscal staff and City of Memphis Finance personnel to create efficiencies in the contract execution process.

In addition to the process improvements described above, senior management has processed all Career Center work systems and redesigned processes to achieve efficiencies and maximize performance outcomes.

Category 7. Results

Similar to other LWIAs in Tennessee and across the nation, WIN's performance is measured by standards developed by the U.S. Department of Labor. These standards are

then made local through negotiations between the Tennessee Department of Labor and Workforce Development and the individual work force investment areas of the state. LWIA 13's performance measures and results for PY 2010 follow.

In FY 2012, WIN has received mandatory technical assistance from the TDLWFD and has submitted and is implementing a performance improvement plan. LWIA 13 failed to meet 10% of its negotiated regression adjusted target for adult and dislocated worker entered employment. However, average earnings in the Memphis area for our participants are much better than state goals. WIN is committed to improving performance measures.

Financial performance and outcomes are top priorities for WIN. Management has put in place improved fiscal processes and drawn on the expertise of new hires who bring many years of experience in private industry and the workforce system. Unlike previous years, WIN is on track to expend more than 70% of its grant allocations for FY 2012.

Performance Metric	LWIA 13 Regression/ Adjusted Targets PY 2010	LWIA 13 Performance Measures Ending 4th quarter 6-30-11
Adult Measures		
<i>Entered Employment</i>	75%	63.2%
<i>Employment Retention</i>	83%	86.4%
<i>Average Earnings</i>	\$11,916	\$13,747.34
Dislocated Workers		
<i>Entered Employment</i>	84%	66.2%
<i>Employment Retention</i>	89%	89.8%
<i>Average Earnings</i>	\$12,778	\$16,741.16
Youth Measures		
<i>Placement</i>	58%	75.8%
<i>Attainment</i>	53%	75.5%
<i>Literacy/Numeracy</i>	31%	42.1%

LWIA 13 has already exceeded certain outcomes by placing adults and dislocated workers in higher earning jobs. WIN will continue to support the WorkKeys system and the achievement of Career Readiness Certificates. Although funding for these items has been cut, WIN will continue to emphasize and fund CRC certificates through a collaborative effort with Southwest Community College.

Building on the potential offered in this urban labor market, WIN has adopted a new sector based strategy in regard to eligible training programs. Over a six month period (April – September, 2011), WIN conducted an extensive study of labor information

including local market conditions, high demand industries, occupational skill gaps, and training program gaps. The Board has approved funding training in four key sectors: health care, logistics/transportation, business services, and advanced manufacturing. In addition, certain other programs will be considered for special approval based on targeted populations or community programs. These efforts are an attempt to increase a participant's job potential, improve WIN's performance outcomes, and serve the needs of growing industries.

In an effort to improve staff results, two other efforts are on the horizon. A salary equity review has been conducted by the City of Memphis, and similar to the City, WIN has begun participation in the City of Memphis performance evaluation process of all staff in 2011.

WIN continues to improve its process-focused outcomes. No longer satisfied with business as usual in LWIA 13, management continues to examine, re-think, and re-tool most every process that WIN performs. This approach has led to improved times for turning around contracts, paying invoices, and qualifying applicants. Additional innovations are being envisioned and designed. Much of this work relies on the process improvements identified and solved by WIN employees themselves.

Management at WIN continues to focus on improving all aspects of the organization that have been mentioned in a variety of past documents: the state's past monitoring report, performance measures, and City audits. Fiscal management has improved markedly with the addition of talented staff and improved processes. With an emphasis on process improvement, WIN's operations are now more transparent, more efficient, and more productive.

Successful results in the future will center on exceeding common measures and the expectations of our customers. Through the strategic use of allocated dollars, WIN is beginning to build a better workforce system for Memphis. This year saw the start of two efforts in this regard. Through a state incentive grant, the South Memphis Opportunities program will connect area industries with community agencies in efforts to employ targeted groups of residents. As a partner in the successful H1-B grant received by Memphis Bioworks Foundation, WIN will recruit, train new workers for identified careers in health care.

WIN's commitment to these improved results holds promise for all those in the greater Memphis community and region. The role of WIN as merely a provider of ITAs is changing. WIN is now a convener and partner in community efforts, especially in targeting those most hard to serve. As a team, managers, workers, and volunteers of LWIA 13 are dedicated to employee development, business development, job creation, and increased prosperity for the whole community.

LWIA 13 SWOT Analysis FY 2012

Strengths	Weaknesses
1. Innovative leadership and programming resources available from Center for Workforce Learning	
2. Funds for supportive services (transportation, childcare, soft skills training)	Reduced overall funding impacts supportive services
3. Improved integration and alignment with Rapid Response team	
4. Large diversified employer base	Lack of available jobs for large pool of applicants; high local unemployment. Open positions in manufacturing but lack of qualified applicants
Increased interaction with business community and employers	
An established performance record of delivering quality business services to diverse local companies	Need to expand awareness and provision of WIN services to more employers
Excellent working relationship with Memphis area economic development entities	
Increased collaboration with mandated partners; Increased awareness and exploration of productive WIA compliant partnerships	Goals and objectives may differ; partnerships have to align goals for mutual benefits
Committed and dedicated volunteers on Youth Council	
New Sector Strategy	
Participation in community based initiatives	Need to clarify procedures and practices for unique or discretionary initiatives

Committed and dedicated LWIB members and LWIB committees	Need to revise by-laws to have less restrictive quorum requirement; enforce attendance and determine term limits
Strong support for the disabled, continued funding for Disability Navigator position	Difficulty in placing disabled individuals in employment
Multiple training providers providing a diverse choice of careers	Difficulty with employment placement due to the weak economy; need more improved career assessments to target training to aptitude
Decentralized management information system data entry to allow case managers and subcontractors to input into ECMATS; need to provide continuing training and accountability of staff to increase performance and ECMATS data entry	Case management needs improvement in files, client interaction; filing system for participant information needs to be centralized with a tracking system;
Focus on staff development	Continued need for capacity building to increase skills and knowledge
Commitment to providing technical assistance to youth subcontractors and communicating expectations for accountability	
Current effort underway to develop comprehensive written policies and procedures	Lack of comprehensive written policies and procedures
Improved collaboration with TNDLWFD, including significant support for organizational and process improvements	
Process in place for determining and administering incumbent worker training grants	Need to streamline IWT contract process (work in progress)
	Need to build apprentice programs through partnerships, communication , and development
Implementation of regular staff meetings where key information is shared among staff	

Active engagement of staff in process improvements and strategic planning	Need for continuous improvement
Experienced staff; state-of-the-art equipment (computers and software); accessible locations; sufficient hours of operation.	Staff and subcontractors need continuous improvement of skills and knowledge; equipment can be out of order; shortage of computers for client use
Funding levels that allow LWIA 13 to serve large volume of participants	Reduced or uncertain funding levels
Relationship with and access to University of Memphis; Lee Grehan (Sparks Bureau) on Board	
Access to public transportation for participants	Need for improved public transportation for certain areas in local area
Website operational and up to date; currently being redesigned leading to improved website and new branding (projected 1 st quarter, 2012)	Website needs to be redesigned; lack of content, confusing; redesign to be implemented ASAP
Significant improvement in financial reporting, budgeting, and fiscal expenditures Strong fiscal staff and active Finance Committee	
Organizational restructuring complete with managers committed to excellence	
Staff positions have been redefined, and changes in management and staff have been made	With all the changes in the organizational chart, staff need to be stabilized and have clarity regarding individual, team and overall roles and responsibilities
A commitment to continuous improvement, a high level of excellence and accountability within the organization and from partners and training providers	
Strong support and encouragement from the CLEOs	
2011 Summer Youth Employment Program	No funding has yet been identified for funding

<p>serving 454 youth was well administered</p>	<p>of a 2012 Summer Youth Employment Program</p>
<p>Internal reporting data has improved, with a commitment to additional improvements</p>	<p>Need to continue internal reporting data improvements for enhanced internal communication and management</p>
<p>Improved process with City of Memphis for timely execution of contracts</p>	<p>Dual systems can impede speedy turnarounds</p>
<p>Increased interaction and information sharing among staff, LWIB and training providers</p>	
<p>Current effort underway to relocate facilities to increase effectiveness of service delivery</p>	<p>Need to relocate Career Center from 444 North Main to a better location and determine best strategic plan for delivering services (anticipated by June 2012)</p>
<p>New rigorous review of youth subcontractors implemented for FY2011 and ongoing redesign underway</p>	<p>Subcontractors need to be held accountable for performance and expenditures; need to adopt promising practices to improve effectiveness</p>
<p>Employee performance reviews/evaluations being implemented for FY 2012; designated EO and HR officer</p>	

LWIA 13

SWOT Analysis

FY 2011 Opportunities	Threats
Need to develop relationships with suburban economic development entities. Enhance collaboration with TDOL, WEOC, and Business Services Unit regarding PR and marketing.	Lack of services, lack of providers in some areas outlying areas.
Develop relationships with business community and key entities like the EDGE Board	Poor relationships or lack of relationships hinder aims of all groups
Finalize and implement rebranding of WIN, including with elected officials, stakeholders and general public	
Continue workforce engagement and staff professional development	Reduced funding
Increased cooperation and information sharing among staff (develop team concept)	
Increase number of disabled participants receiving training funding and that are placed in employment	Poor economy and lack of widespread opportunity (even for well qualified job seekers)
Provide LWIB orientation and training to all new Board members and Youth Council members	
Increase potential to reach and serve more youth, including harder to serve populations	Reduced and uncertain funding levels
Develop new community and corporate partnerships that will be an asset and contribute to LWIA 13 success	Community organizations need sufficient capacity and funds to be contributing partners
Increase Dislocated Worker enrollments	Not connecting to Dislocated Workers and expending all DLW funds
Continue to build on support of City of Memphis Mayor to eliminate past performance barriers	Complex and time consuming systems can slow implementation
Implement annual staff performance appraisals and annual staff personal	

performance plans with objective metrics	
Improve performance analysis including better use of ECMATS to improve timely and accurate enrollments and positive exits	
Finalize implementation of strengthened fiscal policies and procedures including utilization of ECMATS for fiscal management	Not meeting all performance goals and measures
Increase integration and alignment of WIN's services with mandated partners	
Implementing necessary changes to WIN Service design and staffing	Funding uncertainties given WIA re-authorization and tight federal budgets; continued historic demand on WIN's services due to the economy; decrease in formula funding – how to ensure high quality services vs. such circumstances
Relocate Memphis Area Career Center from 444 North Main to a better location and determine best strategic plan for delivering satellite services	Not enough space to accommodate clients and staff; space not conducive to superior performance; underutilization of satellites
Reconsider service delivery of supportive services for better effectiveness	Sustainability of supportive services
Improve relationships between WIN staff and subcontractors; continued enhancement of youth subcontractor selection process to be implemented with FY2012 RFP process	
Process map customer flow for all Career Center services including Business Services as a part of complete service delivery review and redesign	
Ensure fiscal and program monitoring and follow up	
Driving demand for those receiving WIN training funds through a sector strategy adopted by LWIA 13 Board	How to remain agile and responsive to changing environment in view of volatile economic conditions, decreased funding, and changing cast of employers
Ongoing strategic determination of how to serve more hard-to-serve populations (e.g., ex-offenders, public housing residents, etc.)	Employer restrictions on hiring certain populations; lack of collected info or databases on employers sensitive to hard-to-serve- job applicants

Implementing a sector approach to funding of adult and dislocated worker training	Training provider resistance to change and perhaps loss of students
Improvement in meeting performance measures	Meeting entered employment performance measures in current economic climate
Redesign policy and obtain funding for apprenticeship programs and contracts	Reduced funding for apprenticeship programs
Fulfilling Fast Track commitments	Funding and state set aside commitments unable to be fulfilled
Implement scorecard for performance accountability	Decrease in client confidence in Career Center's ability to meet workforce needs
Adapt to needs of an aging workforce	Increasing unemployment among Older Workers; inability to recognize the potential value of Older Workers
Additional training among partners and providers for more complete understanding of career center and WIA processes	
Establish Information Sharing Database specifically for partners	
Establish a collaborative process to decrease duplication of services, meets WIA goals, and improves performance	