

PEP Final Report

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I. Introduction and Background

Co-contractors Public/Private Ventures (P/PV) and Social Policy Research Associates (SPR) began implementation of the Performance Enhancement Project (PEP) for ETA in October 2002. The two primary goals of the project are to diagnose causes of poor performance and to develop the necessary tools to assist states and local WIBs to become more successful in operating outcome-oriented WIA youth, adult and dislocated worker programs. Technical assistance is provided in three primary ways: targeted assistance to help states or local WIBs improve specific performance problems, face-to-face workshops to increase knowledge in key areas related to long-term success, and online resources, including tutorials, to provide an in-depth understanding of the WIA measures.

During the first couple of years of the project we used a tiered technical assistance structure to work first with the states having the most serious problems based on guidance from the National and Regional Offices. We talked to or visited administrators of those states, meeting when possible with local WIB officials where the problems were most acute. In some cases we identified a problem that could be easily corrected. For example, one state was not aware that younger youth who had exited WIA services before graduation but were still in school were excluded from the younger youth diploma measure. In many other places we found it necessary to engage in a diagnostic process to determine the specific nature of the problem and the appropriate focus for technical assistance. Early on we often learned that poor performance was related to the fact that state and local WIB officials and staff did not understand the calculation of a measure or have appropriate activities in place to meet the requirements of the measure. We provided a significant amount of targeted technical assistance to address these problems. From this process, we identified common themes and prepared a set of training and technical assistance tools that we delivered over the course of the project. Many of these tools can be found in the appendices of this report.

Throughout the project, our focus has been to help WIA staff understand the measures and the calculations behind them, and also to understand the importance of using funding to make investments by adding value to dual customers—WIA participants and employers. We have progressively provided technical assistance designed to improve WIA outcomes by working with states and local WIBs to strengthen the links between program design, delivery and outcomes. Over time, our activities shifted away from focusing exclusively on states with serious performance issues and our project team incorporated more assistance of a programmatic nature to help states and local areas

implement strategies that would improve outcomes as well as decrease chances of a future deterioration in outcomes.

II. Technical Assistance and Training Provided

The technical assistance provided through the PEP project can be broken into two distinct phases. Phase I ran from March 2003 when we began with training and technical assistance to states and local areas through November 2005 (when we provided a major briefing on our progress up to that point). Phase II ran from June 2006 through December 2007.

Face-to-Face Training

During phase I, P/PV and SPR trained WIB staff, policymakers, program managers, MIS staff, providers and frontline workers from 42 states and territories. We conducted 77 workshops ranging from 90-minute conference presentations to full-day and multi-day workshops with more than 3,800 participants.

Table 1 summarizes the results of these workshops.

**Table1:
Training Workshops Delivered March 2003–Nov. 2005**

Type of Workshop	Number of Workshops Provided	Number of Participants
Adults/DW Performance Measures	20	1,113
Youth Performance Measures	29	1,505
Implementing Common Measures	3	113
Essentials of Credentials	11	449
Follow-Up and Retention	5	181
Job Development and Essentials	3	114
Earnings Change	2	168
Analyzing Performance	4	170

Type of Workshop	Number of Workshops Provided	Number of Participants
Totals	77	3,813

In the most recent round of PEP (June 2006–December 2007), P/PV and SPR conducted 56 workshops with more than 2,900 participants. Table 2 summarizes the types of workshops that were provided and the number of participants.

The workshop evaluations during both phases were overwhelmingly positive. The most frequent comments indicated that these workshops provided the most useful information participants had received on the WIA performance measures, and many participants suggested having more regular performance-related training at the state and local level. A majority of participants also said that they would make program improvements as a result of their workshop participation. In a number of states, state program leads established ongoing performance training series, roundtables and expert groups to help stakeholders focus fully on outcomes. Summaries of the face-to-face trainings are provided in appendix A and selected handouts are provided in appendices B-H. Relevant training materials and PowerPoint slides can be found on the PEP project website at www.spra.com/PEP.

Table 2
Training Workshops Delivered June 2006 – December 2007

Type of Workshop	Number of Workshops Provided	Number of Participants
Common Measures	17	758
Essentials on Credentials	6	262
Managing for Performance	15	925
Serving the Business Customer	3	120
Youth Program Design & Management	4	245
Serving At-Risk Youth	5	145

Type of Workshop	Number of Workshops Provided	Number of Participants
Shared Youth Vision Tools	6	480
Totals	56	2,935

Online Training

Based on workshop materials that had been jointly developed by P/PV and SPR, SPR produced a series of five narrated online tutorials consisting of a total of 39 individual lessons, which came on line in November 2004 and were updated in June 2006 to reflect the most recent performance guidance of TEGL 17-05. The tutorials provide narrated PowerPoint presentations that are available on the PEP website for easy access. The tutorials were immediately popular and have continued to attract a steady stream of users. The most common feedback we get is that users wish it had been available sooner and that they particularly appreciate that it is available around the clock. Policymakers, managers and staff reported that they used the online reference tools, staff training sessions and content for brown-bag lunches to build organizational capacity. Table 3 summarizes the usage of the three online tutorials as well as the series of nine webinars that were provided. We conducted a series of webinars for Michigan, Missouri, and Wyoming on performance diagnostics and action planning. This webinar series is described in appendix N; the tools for the series are provided in appendices O and P. We also conducted a webinar series on the Shared Youth Vision, described in appendix Q. The tools for the series (and other documents specific to the Shared Youth Vision) are presented in appendices R through V.

Table 3
PEP Online Tutorials Usage Statistics

	Adult/DW	Youth	W-P/VETS Common Measures	Webinars	Totals
	Cumulative	Cumulative	Cumulative		
Website Page Views	40,122	28,756	10,553	N/A	79,431

	Adult/DW	Youth	W-P/VETS Common Measures	Webinars	Totals
	Cumulative	Cumulative	Cumulative		
Course-Takers	10,357	6,874	1,515	1,432	20,178
Available Since	Nov. 2004	Nov. 2004	Sep. 2005	Feb. 2007	

Targeted Technical Assistance

We have also provided a significant amount of targeted technical assistance. In addition to reviewing and commenting on hundreds of RFPs and data reports, and problem-solving with states and local WIBs through countless phone calls, we have visited dozens of locations to help states and local areas diagnose performance issues and develop a set of corrective-action recommendations. The visits typically lasted one to two days and often involved regional and state staff, program managers, representatives of service providers and other relevant stakeholders. States and local areas reported that they are implementing changes in policies, procurement procedures, design of services, reporting systems and management practices in response to the corrective actions that we jointly developed.

III. Challenges and Strategies

PEP was designed to work with states and local areas needing assistance to improve performance. We used a diagnostic and query process to understand performance issues and challenges, and used this information to shape the type and approach of technical assistance we could provide. We resisted a “one-size-fits-all” approach, as we believed it critically important to shape the assistance to address specific problems and issues within state and local operations.

We found that by closely examining a state or local area’s annual and quarterly report data and any real-time data available (a rare occurrence) we could engage state and local officials in an analytical process that helped “peel back” and reveal the essential features of program operations. Keeping in mind the effect of the time delays on outcomes measurement, we found it useful (as did Regional Offices, states and locals) to “drill down” to identify factors potentially influencing negative performance. As we identified

the issues, we worked with the state or local area to problem-solve and identify possible strategies to improve performance. Our recommendations often came from the experience of working with other states through PEP, related work of our organizations, background research, or brainstorming solutions with the groups we were assisting. We then developed and shaped our technical assistance efforts—workshops and one-on-one assistance—based on this information.

There were similarities to the challenges that state and local areas faced. Below we have summarized the predominant challenges we encountered, as well as ideas and strategies that we recommended to states, local areas and providers to help improve performance.

Our work over the past five years focused on two core areas: performance measurement and the design, delivery and management of programs.

A. Performance Measurement

In this section we discuss the challenges associated with staff knowledge of the performance measurement system, reporting issues and issues associated with real-time performance measurement.

1. Knowledge of Performance

a) At the beginning of the project, the knowledge level of the performance measurement system overall was limited. Today the challenge is to sustain that knowledge in the face of ongoing staff turnover.

Our initial work with the regional and state offices in the fall of 2002 revealed that despite the issuance of TEGL 7-99 and several workshops on the WIA measures, the depth of understanding of the performance measures and the overall operations of a performance management system was limited. Many program staff did not understand the specific parameters of the measures, such as how and when participants were accountable for achieving outcomes, nor did they fully understand the factors that might influence performance. A prime example is that we found staff at all levels who failed to understand that the Older Youth Credentials measure required the achievement of essentially two outcomes (employment and a credential) for a positive outcome and that the measure applied to all older youth enrolled in a WIA program. Without this understanding, it was very difficult to help programs analyze their performance problems.

Concomitant with the lack of in-depth knowledge of the measures was the limited experience adapting existing Management Information Systems (MIS) to enable tracking and reporting on the new measures or deploying new MIS. We found that staff developing the systems did not understand WIA operations well, and that those in operations were not well prepared to utilize newly adapted or developed systems.

The PEP team realized that we could not provide assistance on the measures assuming that staff understood the overall performance measurement system. As a result, our initial training and technical assistance visits usually included basic training on the performance management system. In most instances, we worked closely with state officials to include their performance measurement systems specialists in our work. We also often used a training approach that addressed the specifics of the measures and the way data elements were tracked in a given MIS in tandem.

We developed workshops and materials to help state and local areas understand the adult and youth core measures (and—since their implementation—the common performance measures). Between July 2006 and December 2007, the workshops were provided to more than 3,000 individuals, as noted in the section above. Based on these workshops, online tutorials were developed and posted on the PEP website, and more than 20,000 individuals took one or more of the tutorials. We encountered many examples of states and local areas using our slides from the workshops and/or the tutorials for ongoing staff training. Examples include:

- Requiring staff to review PEP tutorials prior to participating in an on-site training event.
- Convening staff meetings or staff development gatherings to review tutorials and discuss implications for performance.
- Creating a state or local intranet link to the PEP website and encouraging staff at all levels to view the tutorials.
- Requiring all new staff to complete the tutorials.
- Requiring bidders for youth services to demonstrate knowledge of performance by completing the online PEP tutorial prior to bidding.

We believe that PEP's numerous face-to-face workshops and online tutorials to help state and local officials (from directors to frontline workers) understand performance measurement contributed to a much-improved understanding of performance across the WIA system. Today, officials at all levels appear to have a solid grasp of the specific measures and the overall performance measurement system. This is no longer a major challenge to effective WIA performance.

Still, the issue of performance knowledge requires ongoing attention. Staff turnover, particularly among frontline workers, is a persistent problem, especially in provider organizations. State and local areas need to find consistent ways to address this challenge and have the ability to access effective information to assist them.

A viable approach to address this issue is Florida's practice of encouraging and facilitating local areas to educate and certify WIA staff in key workforce development service competencies (an approach other states are considering). These competencies, as reflected in workforce training programs identified in Florida, can include knowledge of performance measurement systems and the specifics of performance measures. ETA might consider modeling such a practice to ensure that all federal WIA staff have tested and documented knowledge of the performance measures.

b) Implementing common measures for youth programs.

The move to common measures initially provoked anxiety about learning and applying a new set of metrics for the WIA program. Change is often not welcomed or easy. Among operators of adult and dislocated worker programs, this concern was short-lived, as it was recognized that changes to their performance measures were minimal. Today the move to common measures for the adult and dislocated worker programs is essentially complete and not a cause for concern.

The situation is far different for the youth program. There is continuing dialogue among state and local officials about the move from youth core to common measures. Understandably, some program operators in states that do not have waivers allowing them to implement only common measures appear confused about when they will be held accountable for the new measures. This is true for both state and local staff.

We have developed and modified PEP material to help states and local areas sort out the misunderstandings and have conducted workshops to help. Our trainings often address both the core and common measures; they also clarify what is required to meet

performance goals and for collecting data. Despite these efforts, we believe the situation remains challenging for several reasons.

First, programs operating in states without a waiver are faced with operating a program that is required to meet the old measures while simultaneously shifting strategies to be ready to meet the new objectives. This diverts attention away from identifying and applying best practices at a time when many youth programs are still searching for the best ways to address the needs of their participants.

Second, achieving the youth common measures, particularly the literacy/numeracy measure, represents a major departure from the past measures. Local programs are hungry for specific and detailed knowledge on how best to help at-risk youth improve their literacy, and they want this information tailored to the circumstances of their local community. Such information is not readily available, and it does not appear that many state officials are yet well prepared to offer assistance on this matter.

c) Implementing the literacy/numeracy measure and related program strategies.

Though the basic understanding of the literacy/numeracy measure has improved, many providers still struggle to understand the testing requirements. In addition, the complexity of the definition of “Out-of-School Youth” is causing confusion about who is included in the measure. Furthermore, some providers do not understand what kind of tests need to be administered, are not properly administering pre- and post-tests, and have no staff qualified to administer the correct tests.

We also found that states and locals need help identifying strategies to achieve positive literacy/numeracy outcomes. Helping at-risk youth overcome basic skills deficiencies, particularly at the increments and in the time frame required under common measures, can be a daunting task. Local programs are hungry for information on how best to do this. Providers have reported to us that they have little confidence that the adult education system has a strong track record of effectively addressing this population.

d) Many state and local areas are confused about what are countable certificates or credentials.

TEGL 17-05 helped clarify which credentials do not count. However, questions still remain about what does count and how states and locals might organize their Eligible Training Provider List (ETPL) or other systems to help provide guidance for locals on this matter.

The PEP project developed and delivered a workshop focused on credentials and used it primarily to address the issue in the youth program. The workshop covered the new definition and provided examples of credentials that count, customizing the information as much as possible for the state. We also encouraged the states to develop a more specific policy or a process to help locals make decisions about what counts and what does not count, and encouraged the states to deliver the message to locals that a legitimate credential is essential for long-term success in the labor market.

A few states have developed their own policies based on federal guidelines, such as New Hampshire, Montana, Wisconsin and New Jersey, while others are asking locals to submit questionable credentials to the state for approval. Many other states are leaving the decisions as to what “counts” to local areas. One idea that merits attention is the approach in Massachusetts of requiring local programs to identify which new and already approved ITA courses meet the new certificate definition. The state also developed a process for reviewing each certificate program and trained vendors on its use.

e) Changes in the rules for counting participation and determining exit are not being applied uniformly.

Performance is strongly tied to the enrollment and exit of participants. TEGL 17-05 tried to clarify and bring a common approach to both enrollment and exit practices. Although this was not a major focus of our work, we observed and experienced that the approach to implementing the new policy and procedures varies significantly from place to place, resulting in a wider array of customer being include in the measures. One example can be seen with the approach to co-enrollments. Co-enrollments in WIA and Wagner-Peyser now range from almost 100 percent in some states to no change in practice in others. This has the potential to affect any state’s count of customers and thus present different accounts of who and how many are being served. Of particular note is the action of one large state that is co-enrolling almost all WIA and WP participants, thus impacting overall national participation numbers and potentially skewing performance outcomes.

2. Reporting

In this section we present some of the most common challenges associated with performance measurement that states and local areas face. We also share methods by which the PEP team assisted programs and staff to address these challenges, and report what notable practices we found.

a) Poor performance is highly correlated to poor or untimely data entry.

Poor data entry was particularly prevalent in poorly performing states in the early phases of the PEP project and has abated significantly since then. There were several permutations of this problem. In some cases, staff responsible for entering data about customer services and outcomes were not the ones actually providing the services. In other cases states or local areas did not have or enforce a reasonable policy of timely data entry: for example, recording services within two weeks of their occurrence. PEP assisted states and locals in resolving their data-recording issues and encouraged them to locate responsibility for data entry with the staff providing the services and/or creating policies pertaining to timeliness. There has been much improvement in this area, with the only potential remaining challenge being in the youth program between contracted providers and local youth administrators. The PEP team’s coined phrase on this subject became that, from a program performance perspective, “If it isn’t recorded, it didn’t happen.”

b) In the early phase of PEP, states cited faulty state or local management information systems as a cause for poor performance.

As system improvements have been developed, the PEP team has played a role in helping some of the states identify the items related to system design or reporting that needed to be addressed by MIS contractors and has helped identify data cleanup issues. We also worked with locals to catalog MIS issues so that local staff could work with the state to address the issues. States that have recently undergone or are currently undergoing a switch in MIS systems are still experiencing reporting problems as a result.

c) During our on-site and web- or phone-based trainings and technical assistance this year, we have continued to encounter front-line staff and managers who are confused about key aspects of their MIS.

As long as confusion continues about how to use the state or local system—including what screens to use for different activities to link to reports or alerts—reporting will continue to be problematic. In our experience there is an ongoing need among frontline staff to have trainings where performance management information and data-entry instruction are offered side-by-side. On many occasions this has helped staff address the problem. In some instances states have taken the issues under consideration and have followed up with additional guidance and training. In a number of states (WY, NM, OH) the most effective method to address this issue proved to be a joint presentation between the PEP team and the state’s MIS specialists. The presentation covered the performance

measures and demonstrated—preferably on a live MIS data-entry screen—where data entry was to occur for each data element that was relevant for a given measure. This approach allowed frontline staff to have their questions addressed in real time and also helped state MIS staff understand where their systems needed improvements.

d) Some systems continue to lack functions that facilitate accurate reporting.

Many systems lack edit checks or “ticklers” that could prevent inaccurate data entry and could force—or at least encourage—improved data accuracy. For example, many systems still do not alert staff when critical enrollment anniversaries or other milestones have been reached that have implications for performance calculations. Through its data validation framework and tools, ETA is helping states ensure the accuracy of aggregate reports on program activity and performance outcomes and also the accuracy of individual data elements. In addition, PEP has played an important role in supporting state and local staff to identify extant system problems and address them with MIS staff.

A number of states have made significant progress in this area. Notable examples include Ohio and New Jersey, a state that uses an outside vendor to regularly analyze and develop data reports.

e) Many states lack integrated reporting systems that include WIA, Wagner-Peyser, TAA and VETS—all programs held accountable to the common measures.

With the advent of the common measures, a new set of reporting challenges took the place of the initial problems. States now have to decide whether to build integrated systems or to design crosswalks between program-specific systems in order to extract relevant information for reporting purposes. These linkages are critical to ensure that systems (and the staff who use them) are communicating information about shared clients—of primary importance when the services and activities of customers in one program have bearing on performance outcomes of another program.

PEP dedicated a number of training and technical assistance hours to helping state and local staff deal specifically with common measure implementation challenges. Often this involved identifying promising practices in the area of service integration and sharing them with struggling states. On other occasions PEP supported states and local areas by simply rectifying misperceptions or misunderstandings about specific common measure definitions or specifications.

There are a number of promising reporting practices to address this issue. They range from building fully integrated MIS to integrating only the reporting side while the MIS remains separate.

New York, for example, maintains an integrated system with common identifiers used across WIA Title IB, Wagner-Peyser, VETS and TAA programs so that a common date of participation and exit can be established and performance outcomes evaluated.

Pennsylvania also has adopted a single-system approach, though with separate modules (program-specific areas within an MIS). Thus, the state is able to establish common dates of participation by providing common identifiers for new customers. The creation of a new customer identifier alerts staff from other programs when they begin the process of enrollment by showing that the customer has already received a “value-added” service from another workforce program. In addition, staff from all programs can see a common measures program activity log that helps them coordinate services and expected outcomes across programs.

In contrast, Texas decided that while integrating its various systems was not feasible, integrating reporting was. The reporting system—using common identifiers across the various MIS—queries data from the systems in order to create reports that provide information about multiple programs.

f) Youth literacy and numeracy gains common measure has been a particular challenge for states and local areas as far as reporting is concerned, in part because the measure differs to a greater degree than other statutory WIA measures.

Most states took advantage of the option to delay reporting on this measure until PY 2006. Thus, when PEP IV began, most states had just begun reporting on the literacy and numeracy gains of their out-of-school, low-basic-skills youth participants. We discovered some deficiencies. In one case, the state MIS provider had developed a literacy/numeracy alert to prompt staff to confirm that participants’ educational functioning level gains had been evaluated and had increased by at least one level. However, the alert actually came too late to be useful.

Preliminary data analysis based on the PY 06 annual report shows that most states with negotiated performance goals for this measure met or exceeded it. However, reporting among states that did not have negotiated performance goals was spotty, with 11 states not reporting any positive outcomes and another 10 reporting fewer than 20 positive

outcomes. The validity of the reported data has not been fully ascertained; thus, these preliminary results are to be treated with some caution.

3. Real-time Performance Management

In the context of managing performance, real-time reports provide information about customer activities and outcomes as they occur, rather than after the fact. Because WIA quarterly and annual performance reports are based on calculations of cohorts of exiters that generally participated in the program some 2 to 18 months prior to when the reports are due, they are generally not useful to manage program performance in a real-time fashion. Yet programs need information to help them usher their participants toward the performance outcomes they will eventually be required to attain. This includes participant services, activities and outcomes as they happen to help decide when participants are ready to be exited from the program and how staff can intervene to assist exited participants to obtain necessary outcomes before the performance measures are calculated. Without this information, their ability to manage their programs to achieve high performance is compromised.

Demand for promising practices is strong in this area. Demand was high at the national conference and during the webinars when PEP presented on the subject. Many PEP trainings featured real-time measurement or had it as a component of technical assistance provided. These trainings focused on accomplishing the following: helping managers and staff to 1) understand their system capacity; 2) understand the reports that would be most useful for performance management; 3) know how to interpret those reports; and 4) know what to do based on the findings. In addition, a webinar hosted by DOL about using real-time data to manage for performance was well attended and enthusiastically reviewed. Yet, our sense remains that states and local areas have a long way to go in making optimal use of real-time reporting for program management purposes.

a) Despite the clear need for real-time reports, many states and local areas lack the technical capacity to track real-time performance.

We worked with state and local providers in several capacities to help improve real-time performance management. In some cases, however, the state or local MIS does not capture the real-time data necessary for performance management. We provided training on real-time measures that included a focus on generating data collection and reporting techniques to capture real-time data. On many occasions these trainings turned into workshops where we elicited information from MIS staff and program managers to 1)

identify the data that needs to be collected in order to analyze performance in real time; 2) catalog the fields that are currently available in the MIS to collect this data; 3) review the reports that currently exist and analyze their capacity for real-time reporting; and 4) develop a checklist of and timeline for creating new fields and new reports based on staff feedback.

In many instances, ideas for new fields and reports were generated by training attendees through exercises that we included as part of the training. For example, in one exercise participants are asked to identify the pieces of information necessary for measuring real-time performance on a specific performance measure. During one such exercise we found that program participants did not have places to record whether participants have attained a certificate—either during program participation or after exit. Other systems lacked fields to indicate employment status at program entry, which would inform staff working with the participants that they are excluded from the entered employment measure. Still others lack places for staff to record self- or employer-reported wages at placement, a critical piece of information for programs to manage their performance in a real-time fashion.

In situations in which it was not feasible to make modifications to the state MIS, we worked with local managers or frontline staff to identify temporary ways to track real-time data. For instance, some staff have created their own systems, often built using a fairly basic program like Excel, to generate real-time information for their programs.

b) Even when MIS have the capacity to report real-time data, staff at the manager or frontline level may not use the data.

There are several reasons for this: Staff may not know what data are available; they may not know how to use the system to generate reports; or they may not understand what information or reports would be useful in managing their programs and case loads.

An example to illustrate this issue: In providing technical assistance to a local area youth provider, the PEP team noticed that the MIS was able to produce “exit warning” reports alerting staff that a certain number of days had passed without the participant receiving a service. Exit warning reports are helpful real-time reports because they allow staff to assess whether the customer is in need of additional services to attain good outcomes or whether they are ready to exit the program. However, in this instance, the youth provider staff were not reviewing the exit warning reports because they did not understand their significance—that youth were exiting the program without staff knowledge, possibly hurting their performance in the process. After our visit and guidance, the provider

instituted a practice of reviewing these reports weekly. During another training, in which participants were reviewing examples of “real-time” reports and learning how to interpret them, we discovered that there was significant confusion among frontline staff about how to interpret the report’s credential rate—another cause for further intervention.

c) Some state systems have the capacity to track real-time performance but the software is complicated and requires specialized skills to run and read reports.

In our work with states in preparation for conducting on-site training or targeted technical assistance, we have sometimes discovered that the state does have access to real-time reports, but that staff capacity to generate and interpret them is limited to a few particularly tech-savvy state- or local-level MIS staff.

In our work with these states, we have tried to emphasize the importance of making real-time reports accessible to program managers and frontline staff. In Wisconsin, a state the PEP team has worked with repeatedly over the course of the PEP project, we discovered that the state was supporting the development, at the local level, of a reporting system that is touted as being easy to use, accurate and real-time. The system draws its data from the state MIS and also ties in the state fiscal system to enable local staff to do cost-per-participant reports. During a state-sponsored performance summit earlier this year, the PEP team and the new reporting system’s designers worked together to design activities that allowed attendees to identify the reports that would be most beneficial for them in managing their programs for high performance.

d) Once real-time performance problems are identified, some state or local staff are unable to implement response strategies.

The training we often used to introduce the concept of using real-time data to manage for performance moved through key topics that included 1) defining what information needed to be collected, 2) identifying where in the system that information should be recorded, 3) designing the real-time reports that would be most helpful for management and 4) making changes based on issues identified after the first three items have been implemented—that is, after real-time data are available and have been analyzed. We often found that our audience struggled most to identify what they would do at the individual or program level to improve performance based on the analysis of real-time data.

A critical skill for staff in managing programs for performance is to be able to interpret reports and make appropriate policy, procedural and program design changes or changes

to the service strategy of individual customers. For example, program staff might decide, based on findings that many individuals are exiting without staff knowledge, to institute a practice of reviewing exit reports routinely, as in the youth provider example above. If program staff find that, among a particular cohort of exiters, numerous participants have yet to attain a certificate even as their third quarter after exit approaches, they might be able to intervene, offering robust follow-up assistance to help them complete a credentialed program in time. In addition to lacking the preceding skills (the ability to know the system capacity and to generate and interpret reports), many states and local areas remain in need of this last skill—taking positive action in response to real-time findings.

As mentioned above, during several of our real-time performance trainings we realized that state and local staff really needed to participate in a facilitated discussion rather than listen to a training. We adjusted our trainings and allocated more time for exercises that organized participants into small working groups where they were asked to accomplish four goals: identify information needed to track a specific performance measure in real time; generate a “wish list” of reports to organize this data; interpret sample reports; and develop a response strategy. Not only did these exercises provide a much-needed venue for brainstorming but they also provided the state staff and PEP team with an important diagnostic tool, allowing them and us to pinpoint the exact nature of the real-time challenge. We worked with training participants to develop suitable responses to the sample problems raised in the exercises, and scheduled additional TA when strategizing seemed difficult. But for many states, identifying the source of the real-time challenge was half the battle.

B. Design, Delivery and Management of Programs

Helping states and local areas understand the performance measures—the associated calculations, the reporting requirements, recording successful achievement of outcomes, collecting and analyzing performance data, tracking performance in real time and using the data to make informed decisions—has been an area of continual focus in PEP. As states and local staff became more knowledgeable about performance, their focus has switched to want more specific information and technical assistance on how best to design, deliver and manage WIA programs. While there are common elements associated with designing, delivering and managing adult, dislocated worker and youth programs, the challenges differ. Therefore, we report on them separately.

1. Design, Delivery and Management of Adult Programs

Common measures have generally been implemented without significant problems in Adult and Dislocated Worker programs.

a) Some states are still struggling with managing exits for co-enrolled customers.

A common date of exit must be established for a customer being served by more than one federal employment and training program in order to calculate the common performance measures; in fact, common exit dates are required by the statute. States and local areas have been reporting concerns about WIA participants whose program outcomes have been achieved and who receive their last presumed service of a participation cycle and are therefore expected to exit from WIA after 90 days. If those participants then have non-intensive contact with a Wagner-Peyser program (for example by periodically checking for job leads on the state labor exchange), program enrollment is extended, or rather, the exit from WIA is deferred. Indeed, it might be deferred continuously for as long as participants continue to access the online system and look for further job referrals. Thus, WIA program staff may be uncertain about whether their customer has actually exited the program and whether follow-up services should be provided according to a schedule established by their presumed exit date. Some programs have even gone so far as to instruct their participants not to access Wagner-Peyser services for 90 days after a presumed last WIA program service to avoid an extension of services – obviously far from the intended integrated, customer-driven system so strongly encouraged by USDOL.

We helped address this challenge by recommending a number of strategies to state and local staff. First, we offered training sessions with state and local staff to identify concerns and clear up misperceptions about coordinating common exits with other programs. Second, we proposed that the state add a notification screen to ensure that WIA staff are alerted that such a program extension is taking place. The broader question of how to avoid the unintended dis-integrating effects of this common exit policy was referred to ETA.

b) Complications also occur at the front-end of the services spectrum, particularly in regard to the integration of WIA and Wagner-Peyser.

One level of complication involves the integration of staff into a coherent group providing complementary services to all participants entering the One-Stop. This requires determining staff roles and responsibilities with an eye toward eliminating service duplication. This complication extends to local efforts to become more demand-

or business-driven, as local systems must determine which staff will be working with businesses.

On another level, this complication impacts on participants included in the performance measure calculation. For example, non-intensive staff contact in the resource room of a One-Stop Career Center is considered a “countable” Wagner-Peyser service—meaning that it makes customers subject to performance measures—but not a countable WIA Title IB one. (The two programs also have different definitions and practices around the provision of follow-up services, described below.) The difference in these definitions appears to have a chilling effect on program integration. Again, one way some local areas are considering addressing this issue is by “dis-integrating” services at the front end to ensure that all participants first have contact with only one or the other program. Such a strategy is likely to be counterproductive and not in the customer’s interests. Through facilitated discussions with state and local staff we have uncovered the specific instances where staff feel compelled to steer their clients away from other programs. We reported this issue to ETA for additional clarification and proposed possible alternative options. One strategy we recommend is a review of the types of services that require inclusion in the performance calculation for WIA and Wagner-Peyser/VETS participants and can be modified to align with definition of service.

c) Common exit poses additional challenges due to variation among partner programs in the definition of follow-up.

While WIA defines follow-up as a “non-service” that does not extend an exit, Wagner-Peyser has no such provision. As a result, individuals who receive “follow-up-like” services by Wagner-Peyser, such as job referrals, have their exits unintentionally extended. This occurs even if WIA staff have decided that participants have achieved their in-program goals and should be allowed to exit, and have informed these customers of the availability of follow-up services. Although staff and program managers feel that the different definitions of follow-up create an unhealthy uncertainty and tension between staff of different programs, we have worked with program staff to encourage communication with partner programs about customer status. For example, if a WIA case manager believes a customer has accomplished his or her in-program goals and is ready to achieve the post-program performance outcomes, she might contact her Wagner-Peyser counterparts or enter a case note about the exit from WIA.

Additionally, we have worked with state staff and local managers to identify methods for developing more formal modes of information-sharing across programs, including team service provision, weekly meetings among staff members working with specific clients,

the reallocation of caseloads and MIS modifications. For instance, a local area in Hawaii has used a “common needs” form among all its partners for the last year and is considering a common intake form to be used by all partners. Missouri has redesigned its MIS to facilitate common exit. In a more wide-ranging example, New York requires co-enrollment of all Wagner-Peyser customers in WIA Title IB. Because the New York system is fully integrated, WIA staff are aware that their customers are also being served by Wagner-Peyser, and can plan exits accordingly.

d) Partners such as Vocational Rehabilitation, Food Stamps, and the Housing and Urban Development Employment and Training programs usually have only loose ties to the OS system.

To support states wanting to address this challenge, we have initiated statewide trainings of One-Stop partner programs focusing on performance or other relevant issues. At a series of trainings in Washington, One-Stop partner programs were invited to trainings that were designed primarily with WIA Title IB and Wagner-Peyser staff in mind. We also conducted trainings for the island of Hawaii’s local area, Big Island, and invited all One-Stop partners, including the Senior Community Service Employment Program, and Indian and Native American programs.

Other states have taken a more systemic approach. Utah, a single-area state, in 1996 consolidated into one Department of Workforce Services five former state agencies that included the Employment Service, Unemployment Insurance, Veterans programs, TANF, Food Stamps, all job training programs, including WIA Title IB, and child-care programs. The state then led a community planning process to redesign its One-Stops that included all partner programs (as well as other interested parties such as county commissioners, city staff, advocacy groups, the state disabilities coordinating council, etc.) and created buy-in and support from all sides.

e) Becoming more business- or demand-driven requires both a recognition of “business as customer” and fundamental changes in local operations and culture.

A number of local areas now acknowledge business as a key customer of the WIA system. Only a handful of places, however, have taken major actions to transform their local operations and culture accordingly. The types of changes that must occur include reallocating staff and resources to work with businesses to both identify their needs and find ways to address those needs. It also involves changing the culture or attitude of frontline staff to understand that businesses are not simply entities that exist to hire WIA or Wagner-Peyser participants, but entities with a wide range of human resource needs that extend beyond needing new hires. Maine is an example of a state that has taken

direct action to train the One-Stop staff (both WIA and Wagner-Peyser) to become more business-focused.

2. Design, Delivery and Management of Youth Programs

Since the beginning of the project, local areas have had considerable difficulty with designing and delivering programs for younger and older out-of-school youth—especially recruiting and retaining older youth, procuring adequate providers, and effectively engaging employers. As more states moved to the common measures and DOL articulated its policy on serving more at-risk youth, the need for effective strategies to serve out-of-school youth became even more central.

a) Staff capacity and expertise for youth programs remains a critical challenge to effective program design and implementation.

The PEP team has observed that in a number of sites where we have been active, the WIA youth program appears to have been the “poor stepchild” to the adult and dislocated worker program in the WIA system. The PEP team noted that staff capacity and expertise at both the state and local level of operations is often wanting. Several states have few, if any, staff with substantive expertise on youth program issues and strategies. This problem was mirrored at the local level, where sometimes local programs assigned staff only on a part-time basis to oversee the youth program. Further, they often assigned the oversight of youth programs to procurement or performance staff who often were not knowledgeable about youth issues, sensitive to youth needs and/or dedicated to being experts in the field of youth development.

The PEP training emphasized the need for hiring staff who had the responsibility of managing the youth programs and had an interest in developing substantive program knowledge. Fortunately, we saw an increase in the number of states and local areas that assigned dedicated staff to the youth programs as well as an increase in specific youth conferences and trainings for their WIA youth staff. In this context, the state of Massachusetts is a notable example. The state has numerous staff assigned to work on youth issues and they are expected to be knowledgeable (if not experts) on youth program strategies. It has also allocated additional resources to complement WIA youth funds to serve at risk youth—Pathways to Success by 21. This level of commitment appears reflected in the operations of local WIA programs, where in our training we encountered local programs focused and dedicated to developing and deploying the best possible strategies for their youth programs.

b) Serving at-risk, out-of-school youth is a major challenge, starting with some local areas having difficulty recruiting participants for their program.

Recruitment of out-of-school youth was a serious challenge at the beginning of the project. While we have seen improvements in some places, this will remain a challenge, particularly if local programs are encouraged to serve more at-risk, out-of-school youth.

Two important factors contribute to this challenge. First, in some places it was not clear who was responsible and accountable for recruitment between the local program administrator and the contracted providers (or everyone was responsible so nobody was). Second, knowledge about strategies and techniques for recruitment was limited.

We developed training to address this issue often in the context of a broader workshop that covered other youth issues as well. We also facilitated brainstorming discussions in statewide training sessions. We learned that this is a good way to surface innovative and promising practices and to have groups learn from one another. Finally, we conducted research to gather additional information on techniques for recruitment. We have included a list of good ideas in Appendix J. One notable discovery is a training program on recruitment that was developed by the California state WIA system.

c) Providing adequate in-program and post-exit retention/follow-up services has been a persistent challenge for most state and local areas throughout the project and is a major concern in serving more at-risk, out-of-school youth.

The PEP project came to think of retention in two ways: in-program retention and post-exit retention and follow-up services (activities that go beyond tracking and follow-up phone calls). The recent push to give more attention to at-risk, out-of-school youth has elevated concern about in-program retention among local WIA program and providers. The US DOL's *Tool Kit for Effective Frontline Services for Youth* provides useful additional resources to illustrate the strategies we included in our workshops.

When we first started addressing post-exit retention efforts, state and local areas had difficulty. At first, we encountered places where officials would not fund post-exit retention and follow-up services. We immediately began including a statement from the National Office about the requirement for 12-month retention in our training and slides. We did not encounter this difficulty again.

Second, many local WIBs did not specify post-exit retention services in their contracts. The PEP team reviewed RFPs and contracts and provided guidance for incorporating this essential element into the local program design. Several WIBs let us know that they changed RFPs to emphasize retention.

Third, even for places that required retention services in their contracts, local WIBs often only issued 12-month contracts. This prevented providers from following up with participants when their contracts ended. We then began emphasizing the need for longer contracts or mechanisms so that retention services were included, and raised the importance of being clear about who would be responsible for specified retention services (e.g., the service provider or another vendor or entity).

Fourth, many local areas viewed retention as only a follow-up and tracking activity, happening only after exit, and involving phone calls alone. Our mantra became “What happens before exit is as important as what happens after exit.” To reinforce our mantra, we included specific strategies for improving retention services in our slides, and for some states we devoted entire workshops to retention. We emphasized that retention begins on day one and stressed that retaining youth is about having services that add value—for example, programs must be able to help young adults get a job that they cannot get on their own. Retention is also about having services that are engaging and appealing to youth, such as rewarding academic achievements with a trip to a music studio where they can make a CD. And retention is about having a place where youth feel comfortable being with staff who are genuinely interested in them. In addition to providing services and activities that resonate with youth, we also offered ideas for developing intentional post-exit retention activities, starting with a retention plan and including such services as support groups, job advancement and replacement, help with income taxes and incentives for employment or education achievements.

In a few states—Connecticut, Delaware, California, Wyoming and New Hampshire—we provided a daylong retention workshop; pertinent slides are posted on the PEP website. We also included a retention section in many of our workshops for youth, regardless of the topic. A list of the strategies we emphasized is included in Appendix K.

d) Procuring adequate providers.

Many local areas have serious challenges getting local providers who are knowledgeable and truly interested in working with youth, especially out-of-school youth, for a number of reasons. In many rural communities there simply are no providers, let alone adequate ones. Where there are providers, we encouraged WIBs to increase their capacity-building and staff-training efforts.

We also encouraged WIBs to be more direct in what they expected from their providers. Specifically, we advised WIBs to develop and issue RFPs that required local areas to adequately describe the design and delivery of services and activities that would lead to

the positive performance outcomes. As noted earlier, we provide direct technical assistance to local WIBs by reviewing and commenting on how their RFP could be revised.

Increasingly we observed states and local areas providing youth services through their One-Stop Career Centers. While many states and local areas conducted intake and eligibility services from the beginning of WIA, designating the One-Stop as the youth provider became a more common practice over time. Since, from our observations, most One-Stop centers were not designed to serve youth, we encouraged local areas to find ways to train their staff and adjust the culture and environment to make them more youth-friendly so their services would be effective. This is an area, we believe, that warrants more attention and guidance from the National Office.

e) Designing activities and services that lead to countable credentials for out-of-school youth, especially older youth, has been a persistent challenge throughout the initiative.

The credential/certificate measure has relevance to program design and implementation for multiple reasons. When we first started the initiative, we found many local areas that had not procured providers with training leading to a countable credential. Frequently states and local areas set policies to enable local boards to approve all kinds of credentials and certificates—from work readiness to driver’s licenses. Of course, that all changed with the new definition.

The PEP project has continually focused on helping states and local areas improve the design and delivery of credential offerings by providing options that are delivered in nontraditional ways, such as GED taught in the context of work, supervised online credentials training and “boutique” training programs similar to the Youth Build model.

We increasingly found examples of innovative credentials programs. Some local areas (e.g. Metro Southwest, Massachusetts, and Westwood Technical, Georgia) offered accelerated GED programs for individuals at or above eighth grade, which they felt were successful. Others were experimenting with online GED programs such as Millennium GED, which seemed particularly practical for rural areas. Atlantic County Community College has developed an innovative “boutique” program for several health care credentials that includes GED taught in the context of work, hands-on short-term occupational training in several areas, internship, tutoring, support services and incentives (see Appendix M for a case study of the training). A local WIB in New York spoke of developing a career pathway initiative that developed occupational-focused GED programs that linked with the occupational courses of the local community college.

In Georgia, we heard of an effort to build a new apprenticeship program between a local area and Georgia Power and Light. Finally, we noticed more states obtaining ITA waivers for older out-of-school youth—a practice we advocated from the first credentials training we conducted in Georgia in 2003.

f) Designing activities and services that lead to positive literacy/numeracy outcomes is a significant challenge.

As the youth common measures have been implemented in states with a waiver, the most challenging issue, as noted earlier, is the achievement of the literacy/numeracy measure. Many local areas do not feel they have the expertise at hand or nearby to implement the type of strategies or program actions that will lead youth to positive basic skills outcomes. Although there is concern about failing the measure, that concern is somewhat abated by low negotiated goals or standards and is overshadowed by the concern of putting youth in a situation where the majority is destined for failure.

3. Shared Youth Vision

During the final phase of the PEP project, we were asked to provide support to the National and Regional Offices to support the implementation of the Shared Youth Vision. We provided this support in three primary ways. Initially, during September 2006 we attended the federal partners meetings in Atlanta, Georgia, scheduled to provide advanced technical assistance to 16 pilot states. We were asked to participate and help develop process outcomes for their work. We developed Appendix V Outcome Matrix, a draft of the partnership outcomes.

As the partnership progressed and the Shared Youth Vision (SYV) pilot states advanced their efforts, we were asked to assist with several technical assistance efforts to help states implement the SYV. Working with the National and Regional Offices, we developed a set of assessment tools to help states and local areas identify key outcomes and indicators to measure their progress toward meeting stated goals and objectives for the SYV. The tools include:

- **A Logic Model** that describes the broader relationships between potential interim and long-term outcomes of a state or local initiative, including the roles and responsibilities of the Collaborative, activities and expected youth outcomes.
- **A State Checklist** to help state officials identify and prioritize actions to support local success the checklist identifies sample action items for each

phase of implementation of a SYV: initiation phase, planning phase, implementation phase and sustain/enhance phase.

- **A Local Assessment Tool** to help local areas identify and prioritize sample outcomes toward building, operating and integrating a SYV Collaborative. This tool includes relevant indicators to measure those outcomes.
- **A Shared Youth Vision Outcome Indicators Worksheet** to help state and local Collaboratives identify participant outcomes that are relevant to core federal partners involved in the Shared Youth Vision initiative.

The tools are intended to be used as examples, and state and local collaboratives have been encouraged to adapt them according to their own implementation strategies by adding, modifying and/or deleting indicators and outcomes as needed.

In June 2007, we provided workshops at six regional SYV forums to orient states and local areas to the tools and obtain their input on needed revisions. The tools were well received, and we were given many helpful suggestions to improve them. In September 2007, we completed the tools, which can be found on the PEP website (and in Appendix R).

Massachusetts has modified the local self-assessment tool to collect baseline and follow-up information from its sixteen workforce investment regions. The state uses the tool to track local areas' strengths and progress structuring partnership activities of the local Youth Council or Pathway 21 Regional Team (in many regions they are one and the same) to serve at risk youth. Councils have been given \$20,000 for planning these efforts; the state will collect the completed tools at mid point and end of FY2008 (December and June) to track their return on investment. They also hope to understand the strength and capacity of the teams as collaborative groups and identify opportunities for peer-to-peer learning.

During fall 2007 we developed and provided three webinars on the tools—the first was held on October 23 to present the final tools, describe how they could be used and provide examples of Iowa's collaborative efforts and Massachusetts' use of the local tool. In November we provided a webinar on collaboration during which Florida discussed its collaboration for reentry youth; Connecticut presented its collaborative efforts for youth with disabilities; and Philadelphia's Youth Network provided information on Project U-

Turn for dropout youth. The final webinar, in December, included information on resource mapping, with Minnesota and San Diego presenting their related work. Appendix U also includes a resource paper we wrote as a background piece to support the webinar on collaboration.

During our workshops at the Shared Youth Vision Forums and throughout the webinars, we heard that state and local areas needed assistance implementing and operating collaborative efforts. We developed two additional tools to accompany the Shared Youth Vision Local Assessment Tools and help local agencies, organizations and community members begin the complex process of developing an initiative and building a strong, effective collaborative to serve youth most in need. Tool 1: Getting to Know One Another outlines a mechanism for collaborating members to share information about their own organizations, their expectations and the resources they are willing to contribute and provides examples of what might be shared. Tool 2: Getting a Good Start includes a Process Organizer with questions and resources to help collaborations identify their targeted youth, desired outcomes and resources and begin developing and implementing their initiative as well as planning the collaboration. The tools can be found in Appendices Q-T.

IV. Recommendations

As project needs shifted, the PEP training workshops and targeted assistance shifted with them. The evolution of the WIA system to a more demand- and performance-driven system necessitates concerted efforts to compel and assist state and local partners to modify and strengthen their systems and operations accordingly. This type of systemic change does not come easily or quickly. A significant number of states will need assistance to help local WIBs strengthen their programs if they are to effectively continue on their path toward improved performance while addressing the needs of local businesses and workers. This assistance should be devised and delivered in such a manner that the “WIA family” of federal, state and local officials and staff are fully involved and benefit from the efforts.

Delivery Methods

Addressing technical assistance needs requires a variety of delivery formats and channels to ensure that all target audiences are reached. There are advantages to each modality of TAT delivery. It is most important that the delivery mode matches the targeted need.

Participants in face-to-face training sessions indicated that they wanted continued access to such trainings and targeted technical assistance (in particular after accessing online tutorials). Having access to both allows them to focus their questions to trainers and to apply their knowledge and plan performance improvement strategies jointly.

Participants of webinars indicated overwhelmingly that they were looking for more webinars for easy accessibility from their desktop. Webinars also have the big advantage that—especially if they are tailored to a specific state (as provided recently to MI, MO and WY)—they can reach virtually every frontline staff person in that state and thus can penetrate a delivery system more comprehensively and cost effectively than a typical face-to-face-delivery would.

Users of the PEP online tutorials indicated that they wanted to make sure they remain up-to-date.

Training and Technical Assistance Topics

Some key challenges remain, and these require a concerted effort to avoid slippage on the performance orientation of state and local programs, in particular as the performance measurement system evolves and some program objectives shift. Our recommendations for the system fall into two major categories. The first is about ongoing management for performance and the second focuses on enhanced program strategies.

1. Managing for Performance

After five years of training and technical assistance through the PEP project and other DOL activities, which have resulted in significantly improved understanding of performance measures, the primary objective is now to sustain and even further enhance the level of awareness among staff despite frequent turnover. To achieve this, we recommend the following:

- Maintain the PEP online tutorials. Continue to keep current and accessible the online tutorials and related materials on the PEP website. Make the workforce community aware of the tutorials on an annual or semiannual basis.
- Offer periodic webinars to highlight specific topics in the area of managing for performance, including presentations on performance

measures that states and local areas are struggling with, such as the certificate and the literacy and numeracy measures.

- Develop the framework and infrastructure for a real-time performance measurement system. Some states and local areas have done admirable work in the area of real-time performance measurement and management. However, it is still in its infancy in most areas. This appears to be an area where states and local areas need a comprehensive framework and tracking system to help close the gap between reported outcomes and program improvement decisions.
- Harmonize some key performance issues that continue to be obstacles to further integration: For example, we recommend that ETA reconcile the common entry/common exit issues between WIA and Wagner-Peyser/VETS programs to help speed up program integration between the two.

2. Enhance Program Strategies

We think that an important component of enhancing program strategies is building the substantive program knowledge and expertise of WIA staff at all levels of operation. By giving more attention to the substantive aspects of basic WIA program operations and services, ETA can further strengthen the system and achieve even better positive outcomes for participants. From our observations, there are three areas where programs could especially benefit from additional program enhancement strategies:

- Move organizations toward serving youth most in need/out-of-school youth. Our work has found that local WIBs tend to struggle with their services for youth, especially older out-of-school youth and other youth most in need of services. The Shared Youth Vision provides a useful framework for the development of program strategies that strengthen overall youth services and activities, such as recruitment and retention, employer engagement and linkage with One-Stops. Development of strategies for targeting and engaging specific at-risk youth populations are also very much needed. However, the Shared Youth Vision is still not widely known and understood. A recent webinars poll showed that nearly a third of the audience was learning about the SYV for the first time (29%) and that another fifth had only progressed as far as talking about getting together (22%). Programs especially need assistance in addressing the

- requirements to meet literacy and numeracy goals under common measures.
- Strengthen performance measurement and service integration of Wagner-Peyser/VETS employment services and WIA services as well as other partners at the One-Stop centers. The implementation of common measures for Adult and Dislocated Worker programs as well as for Wagner-Peyser/VETS programs presents a new opportunity to help integrate programs at One-Stop centers, as they are now held to a similar set of outcomes. This integration has also brought to the forefront some new challenges that require intervention from the National Office and a concerted effort for states and local areas to integrate program flow in a way that acknowledges the common program goals and outcomes. States and local areas need promising practice examples and some simple training tools to help them integrate program flow toward such an outcome.
 - Become more employer-driven in designing programs, especially for youth. The effort to establish a WIA system that is demand-driven—meeting the employment and skill needs of business—is just getting underway in many places and is still largely absent from youth services. The use of quality local labor market information to address the needs of business and help WIA participants make important career decisions is very inconsistent across the country. This is particularly true for youth, where information regarding employers who hire young people is typically not available and the connections to local One-Stops are often weak at best. In addition, youth providers rarely design their program services with the idea of responding to the employment needs and opportunities of local businesses.

Appendices

Appendix A Training Workshops

The following represents a selected list of workshops that were provided as part of the PEP project.

- **Enhancing Performance Outcomes for WIA Adult and Dislocated Worker Programs** covers the WIA Performance measures basics, key performance issues and program design and delivery issues for Adult and Dislocated Worker Programs.
- **Enhancing WIA Performance Outcomes for WIA Youth Programs** covers the WIA Performance measures basics, key performance issues and program design and delivery issues for WIA Younger and Older Youth Programs.
- **Contracting for High Performing Youth Services** provides an overview of the development of RFPs that focus on youth development-driven results and developing program performance measures for contract monitoring.
- **How to Design Follow-up and Retention Services** covers how WIA programs can create a culture of retention and follow-up among staff and participants that will improve participant success and program outcomes.
- **Knowing How Your Program is Doing, Sooner: Using Real-Time Measures for Quality Services** covers how WIA programs use interim indicators to help strategically manage programs and project long-term program outcomes based on in-program and exit information.
- **Essentials of Credentials** provides practical advice on ways to provide training leading to credentials/ certificates that will fulfill WIA performance goals.
- **Diagnosing Performance Issues** takes participants through a diagnostic process to identify issues that contribute to poor performance and then helps them create strategic action plans to address those challenges.
- **Contracting for High Performing Youth Services** helps WIB/Youth Council members and staff, program managers and contract staff to develop methods for negotiating contracts with service providers that reflect the WIA performance benchmarks they are required to meet.
- **Strengthening WIA Youth Programs: Focus on Job Development and Retention Services** covers strategies to enhance the skills of frontline workers responsible for delivering job development and retention services for youth programs. It can easily be adapted to workers serving adult populations.
- **Becoming More Employer and Demand Focused** provides an overview of fundamental strategies for One-Stop career center staffs' effective interaction and communication with business customers.

**Appendix B
WIA Adult and Dislocated Worker Performance Measures**

Adults	Definition	Timing Requirements for Attainment	Exclusions**
Entered Employment Rate	Percentage of customers employed soon after exit.	During 1st quarter after exit.	Customers who are employed at the date of participation.
Employment Retention Rate	Percentage of customers employed several months after exit.	During 2 nd and 3 rd quarters after exit.	Customers not employed in 1 st quarter after exit.
Average Earnings	Post-program earnings.	Earnings in the 2 nd and 3 rd quarters after exit.	1) Customers not employed in 1 st , 2 nd , or 3 rd quarters after exit. 2) Customers whose employment in 1 st , 2 nd , or 3 rd quarter was verified through supplemental data
Credential Attainment	Customers who: 1) Were employed AND; 2) Received a credential. ➤ Not employed during the appropriate time period means this measure is not attained.	1) Customer must be employed during 1 st quarter after exit; 2) Credential must be attained by the end of the 3 rd quarter after exit.	Customers who do not receive WIA training services.

**Note: Only customers who have received a countable service and therefore have a ‘date of participation’ are included in performance measures; If a participant becomes institutionalized or incarcerated, is receiving medical treatment or caring for a family member, is a reservist who is called to active duty, will not voluntarily provide a SSN, or dies, up through the 3rd quarter after exit, then he/she may be excluded from the performance measures.

Appendix C
Key Definitions for Adult and Dislocated Worker Performance Under Common Measures

General Definitions	
Adult	A customer who is 18 years or older at the date of participation. To be eligible for the Adult program, customers must be unemployed and in need of services to find employment, or employed, but in need of services to retain or obtain employment that allows for self-sufficiency. In addition, if funds are limited, low-income customers must receive priority for services.
Certificate	Awarded in recognition of an individual's attainment of measurable technical or occupational skills necessary to gain employment or advance within an occupation. These technical or occupational skills are based on standards developed or endorsed by employers. Certificates awarded by workforce investment boards or for generic pre-employment or work readiness skills are NOT included. Awarding entities include state educational agencies; college, tribal college, or proprietary school; professional, industry, employer organization; public regulatory agency; registered apprenticeship program; Job Corps; or education and training program approved by Dept. of Veterans Affairs.
Credential	Nationally recognized degree or certificate or State/locally recognized credential. Credentials include, but are not limited to a high school diploma, GED or other recognized equivalents, postsecondary degrees, recognized skills standards, licensure, apprenticeship or industry recognized certificates. States should include all State Education Agency recognized credentials. In addition, States should work with local Workforce Investment Boards to encourage certificates to recognize successful completion of the training services listed above that are designed to equip individuals to enter or re-enter employment, retain employment, or advance into better employment. For customers who enter on July 1, 2006 and after, the certificate definition replaces the credential definition.
Dislocated Worker	Laid off customer or customer who has received notice of layoff (could be under 18), displaced homemaker, former self-employed person unemployed due to economy or natural disaster.
Date of Participation	Represents the first day, following a determination of eligibility, that the individual begins receiving a service funded by the WIA program.
Employed at Participation	An employed individual who, at the date of participation, did any work at all as a paid employee, in his or her own businesses, profession or farm, or works 15 hours or more per week as an unpaid worker in an enterprise operated by a member of the family, or is one who is not working, but has a job or business from which he or she was temporarily absent because of illness, bad weather, vacation, labor-management dispute, or personal reasons, whether or not paid by the employer for time-off, and whether or not seeking another job. Note: This information is to be collected from the individual at intake and on the date of participation, not from wage records.

Employed in quarter after exit quarter	The individual should be considered as employed if wage records for the quarter after exit show earnings greater than zero. Wage records will be the primary data source for tracking employment in the quarter after exit. When supplemental sources are used, individuals should be counted as employed if, in the calendar quarter after exit, they did any work at all as paid employees (i.e., received at least some earnings), worked in their own business, profession, or worked on their own farm. This definition also applies to "Employed in the second and third quarters after exit quarter" except that the period to which wage records or supplemental data refer is the second and third quarters after exit.
Exit Quarter	The calendar quarter containing the exit date.
Exits	Exit Date Date of last WIA Title 1B funded or partner service, excluding follow-up services. Exit Customer does not receive a WIA Title 1B funded or partner service for ninety days, and is not scheduled for services other than follow-up. Planned gaps in service due to a health/medical condition, delay before entry into training, or temporary move from the area should not cause an exit, but must be documented.
Institutionalized	The participant is residing in an institution or facility providing 24-hour support such as a prison or hospital and is expected to remain in that institution for at least 90 days. Individuals with disabilities residing in an institution, nursing home, or other residential facility <i>cannot</i> be excluded under this definition.
Military Service	Reporting for active duty.
On-the-job Training	Training by an employer that is provided to a paid participant while engaged in productive work in a job that: A) provides knowledge or skills essential to the full and adequate performance of the job; B) provides reimbursement to the employer of up to 50 percent of the wage rate of the participant, for the extraordinary costs of providing the training and additional supervision related to the training; and C) is limited to the period of time required for a participant to become proficient in the occupation for which the training is being provided.
Occupational Skills Training	An organized program of study that provides specific vocational skills that lead to proficiency in performing actual tasks and technical functions required by certain occupational fields at entry, intermediate, or advanced levels. Such training should: 1) be outcome-oriented and focused on a long-term goal as specified in the Individual Service Strategy, 2) coincide with exit rather than short-term training that is part of services received while enrolled in ETA-funded youth programs, and 3) result in attainment of a certificate.
Quarter	A calendar quarter is a three-month period within a calendar year. There are four calendar quarters: January through March, April through June, July through September, October through December.
Quarter after Exit	The quarter after the exit quarter.

Supplemental Data	Data collected to provide employment information for workers who are not found in UI wage data. It may be used for all Adult and Dislocated Worker measures except Earnings Increase. Employment "uncovered" by UI wage data typically includes Federal employment, postal service, military, railroad, self-employment, some agricultural employment, and employment where earnings are primarily based on commission.
Total Earnings from wage records	For the 2 nd and 3 rd quarters before participation and for the 2 nd and 3 rd quarters after exit for Adult/Dislocated Worker Earnings Increase measure, the total earnings in the quarter in question as determined from the wage records. Note: Supplemental data cannot be used for this measure.
Training	Occupational skills training; on-the-job training; programs that combine workplace training with related instruction; training programs operated by the private sector; skill upgrading and retraining; entrepreneurial training; job readiness training; adult education and literacy activities in combination with other training; and customized training conducted with a commitment by an employer or group of employers to employ an individual upon successful completion of the training. Users of Individual Training Accounts are limited to programs on the State Eligible Training Provider list. Stand-alone basic skills instruction is NOT considered training.
UI Wage Data	Unemployment Insurance (UI) wage data is information on wages collected by state UI systems in which records are kept for all individuals working in UI covered employment. At a minimum, information in the record includes employee name, SSN, address, and total earnings paid, listed separately by each employer, for all such employers in the quarter.

**Appendix D
WIA Youth Performance Measures**

Younger Youth (14-18 at date of participation)	Definition	Timing Requirements for Attainment	Exclusions
Skill Attainment	Percentage of skill goals attained by all in-school youth and out-of-school youth assessed to be in need of basic skills, occupational skills and work readiness skills. *At least one (and a maximum of three) goals must be set each year. **If a customer is assessed basic skills deficient, a basic skill goal must be set.	1) Within 12 months of setting the goal AND; 2) Before customer exits.	1) Out of school youth not in need of basic skills, occupational skills and work readiness skills.
Diploma Attainment	Percentage of customers who attained a secondary school diploma or equivalent during the program or soon after exit.	During program participation through 1 st quarter (1-6 months) after exit.	1) Youth who already have a diploma or equivalent upon entry into WIA; 2) Youth in secondary school at exit (if these youth receive a diploma during the 1 st quarter after exit, the customer receives credit for attaining the measure).
Retention	Several months after exit, percentage of customers in any of the following: 1) Post-secondary education; 2) Advanced training; 3) Employment; 4) Military service; 5) Qualified apprenticeships.	During 3 rd quarter (6-12 mos) after exit.	1) Youth in secondary school at exit.

**Note: Any customers institutionalized/incarcerated or relocated to a mandated residential program at exit, customers exited for health/medical reasons or deceased, and customers called up for active duty who do not return to WIA are excluded from all performance measures.

Older Youth (19-21 at date of participation)	Definition	Timing Requirements for Attainment	Exclusions
Entered Employment Rate	The percentage of customers who are employed soon after exit.	During 1st quarter (1-6 mos) after exit.	1) Customers employed at the date of participation. 2) Customers who are not employed but are enrolled in advanced training or postsecondary education in 1 st quarter after exit.
Employment Retention Rate	The percentage of customers employed several months after exit.	During 3 rd quarter (6-12 mos) after exit.	1) Customers not employed in 1 st quarter after exit. 2) Customers who are not employed but are enrolled in advanced training or postsecondary education in 1 st or 3 rd quarter after exit.
Earnings Change	Increase in customer pre-program and post-exit earnings	Compares 2 nd and 3 rd quarters before program participation with 2 nd and 3 rd quarters after exit.	1) Customers not employed in 1 st quarter after exit. 2) Customers whose employment in 1 st or 3 rd quarter was measured through supplemental data. 3) Customers who are not employed but are enrolled in advanced training or postsecondary education in 1 st quarter after exit.
Credential Rate	Customers who 1) Were employed or in advanced training or postsecondary education AND 2) Received a credential. ** Not employed or in postsecondary education or advanced training in 1 st quarter after exit means this measure is not attained.	1) Credential must be attained during program participation through 3 rd quarter (possibly up to 12 months) after exit. 2) Employment or enrollment in activity or postsecondary education during 1 st quarter after exit.	

**Note: Any customers institutionalized/incarcerated or relocated to a mandated residential program at exit, customers exited for health/medical reasons or deceased, and customers called up for active duty who do not return to WIA are excluded from all performance measures.

Appendix E
Youth Common Performance Measures

Youth	Definition	Timing Requirements for Attainment	Exclusions
Placement in Employment or Education	Percentage of participants who are in employment, the military, post-secondary education, and/or advanced training/occupational training soon after exit.	During 1 st quarter (1-3 months) after exit.	1) Youth in post-secondary education, employment, or the military at date of participation.
Attainment of a Degree or Certificate	Percentage of participants who are in education who attained a diploma, GED, or certificate several months after exit.	By the end of the 3 rd quarter (6-12 months) after exit.	1) Youth not enrolled in education at the date of participation or at any point during the program.
Literacy and Numeracy Gains	Number of participants who increase one or more educational functioning level within one year of the date of participation.	By the end of one year from the date of participation.	1) Out-of-school youth who are not basic skills deficient. 2) In-school youth.

**Note: Any participants institutionalized/incarcerated or relocated to a mandated residential program at exit, customers exited for health/medical reasons or deceased, and participants called up for active duty are excluded from all performance measures.

Appendix F
Key Definitions for Youth Programs Under WIA and Common Measures

General Definitions	
Advanced Training/ Occupational Skills Training	An organized program of study that provides specific vocational skills that lead to proficiency in performing actual tasks and technical functions required by certain occupational fields at entry, intermediate, or advanced levels. Such training should: 1) be outcome-oriented and focused on a long-term goal as specified in the Individual Service Strategy, 2) coincide with exit rather than short-term training that is part of services received while enrolled, and 3) result in attainment of a certificate (as defined below).
Basic Skills Deficient	The youth computes or solves problems, reads, writes, or speaks English at or below the eighth grade level or is unable to perform these tasks at a level necessary to function on the job, in the individual's family, or in society. States and grantees may develop their own definition, but it must include the language above.
Certificate	Awarded in recognition of an individual's attainment of measurable technical or occupational skills necessary to gain employment or advance within an occupation. These technical or occupational skills are based on standards developed or endorsed by employers. Certificates awarded by workforce investment boards or for generic pre-employment or work readiness skills are NOT included. Awarding entities include state educational agencies; college, tribal college, or proprietary school; professional, industry, employer organization; public regulatory agency; registered apprenticeship program; Job Corps; or education and training program approved by Dept. of Veterans Affairs.
Credential	Nationally recognized degree or certificate or State/locally recognized credential. Credentials include, but are not limited to a high school diploma, GED or other recognized equivalents, postsecondary degrees, recognized skills standards, licensure, apprenticeship or industry recognized certificates. States should include all State Education Agency recognized credentials. In addition, States should work with local Workforce Investment Boards to encourage certificates to recognize successful completion of the training services listed above that are designed to equip individuals to enter or re-enter employment, retain employment, or advance into better employment. For customers who enter on July 1, 2006 and after, the certificate definition replaces the credential definition.
Date of participation	Represents the first day, following a determination of eligibility, that the individual begins receiving a service funded by the program.
Disabled Youth	The definition of a youth with a disability is the same as that for any individual as defined in Section 3 of the Americans with Disabilities Act of 1990: a physical or mental impairment that substantially limits one or more of the major life activities; a record of such an impairment; or being regarded as having such an impairment. Because some youth with disabilities may not be able to improve their basic skills on standardized tests, states and local areas can choose alternative methods for measuring improvement for these youth.

Education	Participation in secondary school, post-secondary school, adult education programs, or any other program of study.
Educational Functioning Levels	The six Adult Basic Education (ABE) and six English as a Second Language (ESL) levels describe sets of skills and competencies that students entering at that level demonstrate in the areas of reading, writing, numeracy, speaking, listening, functional, and workplace skills. Participants are placed in levels based on their performance on standardized tests.
Employed at Date of Participation	An employed individual who did any work at all as a paid employee, in his or her own businesses, profession or farm, or works 15 hours or more per week as an unpaid worker in an enterprise operated by a member of the family, or is one who is not working, but has a job or business from which he or she was temporarily absent because of illness, bad weather, vacation, labor-management dispute, or personal reasons, whether or not paid by the employer for time-off, and whether or not seeking another job. The individual is not considered employed if he or she has received notice of termination of employment or the employer has issued a notice that the facility will close, or if he or she is active duty military and has been provided with a date of separation from military service. Note: This information is to be collected from the individual at intake and the date of participation, not from wage records.
Employed in any quarter after exit quarter	The individual should be considered as employed if wage records for any quarter after the exit quarter show earnings greater than zero. Wage records will be the primary data source for tracking employment in the quarter after exit. When supplemental sources are used, individuals should be counted as employed if, in the calendar quarter after exit, they did any work at all as paid employees (i.e., received at least some earnings), worked in their own business, profession, or worked on their own farm.
Exit	Customer does not receive a WIA Title 1 funded or partner service for ninety days, and is not scheduled for services other than follow-up. The last date of service is the exit date . Planned gaps in service due to a health/medical condition or delay before entry into training should not cause an exit but must be documented.
Exit Quarter	The calendar quarter containing the exit date.
Health/Medical or Family Care	The participant is receiving medical treatment or providing care for a family member that precludes entry into unsubsidized employment or continued participation in the program, and is expected to last for more than 90 days.
Institutionalized	The participant is residing in an institution or facility providing 24-hour support such as a prison or hospital and is expected to remain in that institution for at least 90 days.
Military Status at Date of Participation	If the youth is: 1) currently serving on active duty and has not been provided with a date of separation from military service or 2) a member of the National Guard or one of the Military Reserves and is currently serving in a mobilized status.

Out-of-school youth	An eligible youth who is a school dropout, or who has received a secondary school diploma or its recognized equivalent but is basic skills deficient, unemployed, or underemployed (WIA Sec. 101(33)). For reporting purposes, this term includes all youth except those who are attending any school and have not received a secondary school diploma or its recognized equivalent, and except those who are attending post-secondary school and are not basic skills deficient.
Post-secondary Education	A program at an accredited degree-granting institution that leads to an academic degree (e.g. AA, AS, BA, BS). Does not include programs offered by degree-granting institutions that do not lead to an academic degree.
Post-test	A test administered to a participant at regular intervals during the program.
Pre-test	A test administered to a participant within 60 days following the date of participation. If a youth was tested within 6 months prior to the date of participation, the test results may be used.
Quarter	A calendar quarter is a three month period within a calendar year. There are four calendar quarters: January through March, April through June, July through September, October through December.
Quarter after Exit	The quarter after the exit quarter.
Relocated to a Mandated Residential Program	For youth participants only, the participant is in the foster care system or any other mandated residential program and has moved from the area as part of such a program.
Supplemental Data	Allowable sources of supplemental data for tracking employment-related outcomes include case management notes, automated labor exchange system administrative records, surveys of participants, and contacts with employers.
UI Wage Data	Unemployment Insurance (UI) wage data is information on wages collected by state UI systems in which records are kept for all individuals working in UI covered employment. At a minimum, information in the record includes employee name, SSN, address, and total earnings paid, listed separately by each employer, for all such employers in the quarter. UI wage records will be the primary data source for tracking the employment-related common measures or portions of measures. For additional allowable wage records, see TEGl 28-04, page 17.
Youth	A participant who is age 14-21 at the date of participation and meets all other WIA Youth Program eligibility requirements.

Appendix G
Common Measures for Wagner-Peyser/VETS Employment Services

	Definition	Timing Requirements for Attainment	Exclusions
Entered Employment Rate	Percentage of customers employed soon after exit.	During 1st quarter after exit.	Customers who are employed at the date of participation.
Employment Retention Rate	Percentage of customers employed several months after exit.	During 2 nd and 3 rd quarters after exit.	Customers not employed in 1 st quarter after exit.
Average Earnings	Post-program earnings.	Earnings in the 2 nd and 3 rd quarters after exit.	1) Customers not employed in 1 st quarter after exit. 2) Customers whose employment in 1 st , 2 nd , or 3 rd quarter was verified through supplemental data.

**Note: Only customers who have received a countable service and therefore have a ‘date of participation’ are included in performance measures; If a participant becomes institutionalized or incarcerated, is receiving medical treatment or caring for a family member, is a reservist who is called to active duty, will not voluntarily provide a SSN, or dies, up through the 3rd quarter after exit, then he/she may be excluded from the performance measures.

Appendix H
Key Definitions for Wagner-Peyser/VETS Employment Services Under Common Measures

General Definitions	
Date of Participation	Represents the first day, following a determination of eligibility, that the individual begins receiving a service funded by Wagner-Peyser/VETS employment services.
Service	<p>A "service" includes any of the Wagner-Peyser, VETS or partner funded employment and workforce information services delivered via any of the three tiers of service delivery: self-help, facilitated self-help and staff-assisted. Job seekers who receive services in a One-Stop Career Center or affiliate site, or remotely via the internet are considered participants.</p> <p>Note that the following activities are not considered services: determination of eligibility (if applicable), follow-up services, and regular contact with the participant to only obtain information regarding employment or educational status or the need for support services.</p>
Exits	<p>Exit Date Date of last program-funded service, excluding follow-up services.</p> <p>Exit Customer does not receive a program-funded service for ninety days, and is not scheduled for services other than follow-up. Planned gaps in service due to a health/medical condition, delay before entry into training, or temporary move from the area should not cause an exit, but must be documented.</p>
Institutionalized	The participant is residing in an institution or facility providing 24-hour support such as a prison or hospital and is expected to remain in that institution for at least 90 days. Individuals with disabilities residing in an institution, nursing home, or other residential facility <i>cannot</i> be excluded under this definition.
Quarter	A calendar quarter is a three-month period within a calendar year. There are four calendar quarters: January through March, April through June, July through September, October through December.
Exit Quarter	The calendar quarter containing the exit date.
Quarter after Exit	The quarter after the exit quarter.
UI Wage Data	Unemployment Insurance (UI) wage data is information on wages collected by state UI systems in which records are kept for all individuals working in UI covered employment. At a minimum, information in the record includes employee name, SSN, address, and total earnings paid, listed separately by each employer, for all such employers in the quarter.
Supplemental Data	Data collected to provide employment information for workers who are not found in UI wage data. It may be used for all common measures except for Average Earnings. Employment "uncovered" by UI wage data typically includes Federal employment, postal service, military, railroad, self-employment, some agricultural employment, and employment where earnings are primarily based on commission.

<p>Employed at Participation</p>	<p>An employed individual who, at the date of participation, did any work at all as a paid employee, in his or her own businesses, profession or farm, or works 15 hours or more per week as an unpaid worker in an enterprise operated by a member of the family, or is one who is not working, but has a job or business from which he or she was temporarily absent because of illness, bad weather, vacation, labor-management dispute, or personal reasons, whether or not paid by the employer for time-off, and whether or not seeking another job.</p> <p>Note: This information is to be collected from the individual at intake, not from wage records.</p>
<p>Employed in quarter after exit quarter</p>	<p>The individual should be considered as employed if wage records for the quarter after exit show earnings greater than zero. Wage records will be the primary data source for tracking employment in the quarter after exit. When supplemental sources are used, individuals should be counted as employed if, in the calendar quarter after exit, they did any work at all as paid employees (i.e., received at least some earnings), worked in their own business, profession, or worked on their own farm. This definition also applies to "Employed in the second and third quarters after exit quarter" except that the period to which wage records or supplemental data refer is the second and third quarters after exit.</p>
<p>Average Earnings from wage records</p>	<p>Total Average Earnings from the 2nd and 3rd quarters after exit, as determined from wage records.</p> <p>Note: Supplemental data cannot be used for this measure.</p>
<p>Workforce Information</p>	<p>Workforce Information includes information on state and local labor market conditions, industries, occupations and characteristics of the workforce, area business identified skills needs, employer wage and benefit trends, short and long term industry and occupational projections, worker supply and demand, and job vacancies survey results. It also includes local employment dynamics information such as workforce availability, business turnover rates, job creation, and job identification of high growth and high demand industries.</p>
<p>Military Service</p>	<p>Reporting for active duty.</p>

Appendix I

General Principles for Performance Management

Management Information Systems

Many of the performance-oriented challenges that states and localities confront are rooted in reporting or MIS deficiencies. In general, an effective MIS exhibits some or all of these characteristics:

- **Simplicity:** Simplicity in an MIS suggests an intuitive system—one in which case managers can navigate through the system and easily find the screens they need to enter data at any phase of a customer’s participation in the program. In addition, simplicity entails a system that is devoid of cumbersome requirements to re-enter the same data on multiple screens. For example, a case manager should be able to record the fact that a youth customer had obtained a high school diploma when they sought to enroll in the WIA Youth program, and that fact should populate all other screens that contain a field for diploma attainment.
- **Accessibility:** Case managers should be able to view all information about a customer at every stage of a customer’s participation in the program, so that there is never any confusion about customers’ goals, needs, and service plan. An accessible system should allow users to generate basic reports without special programming skills; it should also allow customization of reports in order for programs staff to generate information about almost anything the system contains in it. In general, information that goes into the system should be able to come out with relative ease.
- **Accuracy:** Systems should reflect back to the user a clear and correct representation of the data that has been entered into it. Accuracy is especially important when it comes to calculating performance measures and producing reports that display customer services and outcomes.
- **Integration:** Systems should be able to generate reports that incorporate information about services and outcomes provided by any workforce program customers are participation in.

Real Time Reports

Management of programs for performance using real-time data can be practiced at a variety of levels of complexity. In order to increase the chances that real-time reports will be used, it can be helpful to have staff identify the reports they would find most useful. Among the potentially helpful real-time reports that we have recommended in our trainings or that attendees have generated during training activities were:

- Enrollment reports

PEP Final Report

- Planned and actual enrollments, to help with case load management
- Exit-based reports
 - Number of exited participants
 - Total quarterly exiters
 - Reason for exit
 - Employed at exit (as a proxy for employment in the first quarter after exit)
 - Exiters with outcomes, such as number currently employed/unemployed, or with other outcomes (e.g. certificate attainment)
 - Projected outcomes, based on current exit data
 - Placement reports, by occupation and sector
- Measure-specific exit reports
 - Youth Certificate Attainment measure report
 - Number of exiters employed in the 1st, 2nd, and 3rd quarters after exit
 - Exiter wages in the 2nd and 3rd quarters after exit (by customer self-report)
- Follow-up reports, including status at 1st, 2nd, and 3rd quarter after exit
- Warning reports
 - Exiters not employed at exit
 - Youth without a diploma or certificate at exit
- Expenditure reports, including planned and actual participant costs
- Reports at multiple levels
 - Real-time reports on the statutory and common measures at the state, local area, provider, and case manager levels

Appendix J

Recruitment Strategies for Out-of-School Youth

Recruitment—Internal actions

- Make marketing materials youth friendly—fun and positive.
- Emphasize the appeal/value of services.
- Involve youth in recruiting others.
- Hold special recruiting events.
- Give incentives for bringing in other youth.
- Train and reward staff for recruitment.
- Conduct youth-friendly registration.

Recruitment—External Actions

- Recruit at places where youth spend time—e.g. the mall, sports events, music stores, parks, beaches (where they exist), fast food restaurants, or coffee houses.
- Use radio and TV.
- Make presentations at youth centers and other youth organizations/agencies, including faith-based, and community groups.
- Contact people in top positions: judges, heads of agencies.
- Present services at meetings of referring agencies

Recruitment—Other Ideas

- Get lists of students who did not return to school at beginning of year and send them or their parents/grandparents information on your program.
- Have different recruitment materials for youth and their parents (or others they are close to such as grandparents, friends, or younger siblings who are still in school)
- Adopt a youth mentoring program like Big Brothers--Big Sisters.
- Hold a focus group with out-of-school youth to find out what would entice them to participate.

Resources:

- YCi Youth Practitioners' Network, conference call December 11, 2002, notes from call are available. *The YCI Reporter*, Volume 5, January 2003. www.nww.org/yqi
- Dwight Brydie, Capacity Building Division of CAEDD developed a workshop: “Out—of—School Youth—the WIA Hookup” which addresses recruitment, marketing, and retention of Out of School Youth dbrydie@edd.ca.gov
- Texas Workforce Commission Youth Program Initiative. *Engaging Out-of-School Youth: Customizable Tools for Action*. Training Packet Produced by School & Main Institute. <http://www.twc.state.tx.us/svcs/youthinit/yqi.html>

Appendix K Retention Strategies

1). Build trusting relationships:

- Emphasize retention from day one.
- Provide thorough orientations to emphasize what youth can expect and what is expected of them.
- Hire staff that are retention-minded and work as a team to keep youth engaged.
- Ask open-ended questions and listen to their answers.
- Use approaches that focus on youth strengths and talents rather than deficits.
- Include activities where youth actively assume responsibility for completing their service plans.

2). Provide activities, services and incentives that youth value to keep them engaged:

- Non-traditional instructional approaches.
- Short-term, “hands on” work/learning activities that appeal to youth;
- Group activities that are fun, creative and supportive.
- Incentives that appeal to youth—gift certificates, gas coupons, trips to amusement parks or sports events.
- Substantive career exploration, job shadowing and internships.
- Training that simulates work.
- Access to computers and development of new computer skills.

3). Provide a place/environment where youth want to go and feel comfortable:

- Appealing to youth: dedicated space and staff; their place to “hang.”
- Activities for youth: recreation room with pool tables, video games, Internet access, etc.
- Opportunities for youth involvement and peer-to-peer learning.

5). Help youth establish a work history:

- Provide volunteer experiences when possible.
- Help youth identify their transferable skills.
- Practice with work ethic, job savvy and interpersonal skills.
- Emphasize and teach responsible job leaving.

6). Help youth deal with challenges:

- Help with the transition to work or post-secondary education.
- Identify barriers and needed supports before and after exit.
- Partner with other organizations to provide needed resources and successful referrals.
- Provide a support network – including small groups and mentors.

7). Have intentional post-exit retention services and strategies:

- Develop post-exit plans with youth that includes routine check-ins.
- Have case managers target their risk of influence for intensive follow-up services.
- Provide job club and additional training, if needed.
- Set up tickler systems to keep track of where exiters are and what they are doing during quarters when a positive outcome should be recorded.
- Provide needed services to those who lost their job, need a promotion or have yet to transition to a connecting activity.

8). Staffing retention:

- Dedicated staff and funding to support retention and follow-up services.
- Defined and intentional process for retention and follow-up services in contracts.
- Develop job descriptions for retention services.
- Manage the workload.

9). Manage retention performance:

- Set retention goals and routinely assess if and how outcomes are met.
- Develop sample lists of what documentation is needed and why for youth, case managers & partners.
- Let youth know what documentation is needed, why and how to get it. They are more likely to help with documentation if they have this information.
- Develop a list of needed documentation for case managers and partners to help them know and remember what is required.

Appendix L

Principles for Design and Delivery of Programs: Integration

An evaluation that SPR conducted for the Washington State Workforce Training and Education Board involved a review of workforce development system management practices, including integration, in six states identified as promising.¹ The evaluation revealed several overarching methods of working towards system integration: 1) coordination of the State with local One-Stops, 2) accountability measures at the State and local levels, and 3) common MIS across workforce programs. Some of the most promising steps taken by the six states and their local areas to foster integration are as follows:

- **State devolution of typically state-run workforce programs to local administration—such as Employment Service programs Wagner-Peyser, TAA, and VETS.** To the degree possible, given federal regulations, Michigan, Texas, and Florida have each passed through funds to the local WIBs for the operation of some or all of these programs.
- **State-directed guidance and policies on integration, such as generic customer-flow models for customer processes such as registration, assessment, and training.** Kentucky and Missouri both developed co-enrollment policies and customer flows for co-enrollment of TAA customers with WIA.
- **State provision of technical assistance to locals.** Pennsylvania has offered cross training for all local staff so that program staff are able to serve any customer.
- **One-Stop center certification.** Michigan builds in to its certification process the expectation of an integrated One-Stop environment.
- **Common performance plan that incorporates a wide array of partners.** Pennsylvania included Adult Basic Education, community colleges, corrections, WIA, Vocational Rehabilitation, apprenticeships, Trade, TANF, and other partners into its common performance plan.
- **Cross-program accountability measures that states develop to hold more than one program accountable to the same set of measures.** Cross-program measures can be *common measures* that are discretely applied to each of the funding streams that comprise the workforce system, or *system measures* that

¹ The six states were selected with the help of a panel of national experts. See “Strategies for Integrating the Workforce System: Best Practices in Six States” Social Policy Research Associates. September 2006.

assess the combined performance of all the elements.² Both Pennsylvania and Oregon have developed performance measures across multiple federal and state workforce programs.

- **Scorecards and dashboards that report out on cross-program accountability measures.** Florida’s Red and Green Short-Term reports evaluate regional boards on WIA, TANF, and Wagner-Peyser measures. Texas also has a scorecard system, and Minnesota has dashboard reports that show local area performance by measure and how it contributes to state performance
- **Common management information system.** Some states, such as Texas and Michigan, have MIS that house multiple workforce programs. Some of these states are developing ways to for their primary workforce system to interface with other partner programs’ systems, such as TANF.

² Ibid. See also “Non-federal Workforce System Performance Measures in the States: Overview” Ray Marshall Center for the Study of Human Resources. December 2003.

Appendix M
Case Study One
Atlantic Cape Community College (ACCC)

In partnership with the local one stop, ACCC has created the Allied Health Advancement Program (AHA) to enable older, out of school youth to attain both a GED and/or national certifications for EKG technician, phlebotomy or basic life support. ACCC is responsible for marketing, recruitment, program implementation and making employer connections. Job Connection, the local One Stop operator, provides eligibility and case management.

Designed by a team of employers and community college staff, training includes over four months of job readiness/life development, computer application, allied health curriculum: medical terminology, anatomy, physiology, medical ethics, patient care, phlebotomy, EKG core skills, CPR and first aid. A six week, 40 hour per week clinical internship with employer partners is included.

ACCC 's radio advertisements and direct mailings attract many youth to open house/orientations held throughout the county. During the orientation, staff members outline the expectations for those who want to enroll; explain class responsibilities, hours of participation, and the challenging curriculum; and offer a realistic look at the nature of the work. After orientation, many individuals decide against applying. Eligibility requirements and assessments further reduce the number as does drug testing and criminal backgrounds checks. Successful applicants must sign an agreement to adhere to attendance and behavior requirements.

Along with job-specific training and the internship, four modules of job readiness training are provided, including topics such as setting goals, the work environment, and identifying transferable skills. Because employers usually require a high school diploma or the equivalent, those needing the GED attend classes for three hours per week over a seven-week period. GED instruction is aligned with content in occupational classes as much as possible. Case managers visit the classroom to build relationships and provide services and referrals. Services include childcare, transportation, uniforms and textbooks. A stipend of \$2.50 an hour is also given to participants with a raise of \$1.00 an hour after they've completed the first month of training. Instructors are experts in the health care field, but are also sensitive to the needs of disadvantaged and at risk youth by paying attention to each participant and accommodating differing learning styles when possible. During internships, employer mentors coach the participants. ACCC provides a full-time program coordinator and a staff member responsible for employer services.

After participants exit the program, staff provide employment retention support for one year, staying in touch by meeting with graduates at their workplaces where they have agreements to visit their supervisors. In addition to retention services, staff continue to help individuals with goals such as completing the GED.

Appendix N

Diagnostic Webinar Series Overview

What follows is an overview of the guidelines for using the webinar series to conduct state or local area diagnostic planning. Listed below are the topics and activities in each webinar in the three-part Webinar Series.

- This series of three webinars is a pilot project that is designed to take a face-to-face workshop that has been used to diagnose program performance and design issues and develop action plans and adapts it to an online collaborative process. To do this:
 - State and local staff from all local areas will be invited to participate in all three webinars. To the best of the local area's ability, all local staff should gather in one location (one location per LWIA) to view the webinar and conduct group activities. Each local area will appoint a facilitator who will lead group activities on site.
 - Prior to attending the first webinar, All participants will be asked to complete the PEP Youth Common Measures on-line training, found at <http://www.spra.com/PEP/youth.shtml>
 - The webinars are intended to have local area teams collaborate in diagnosing program performance and design issues and make changes to their program designs based on the implications of common measures and challenges they are dealing with/expect to deal with when that transition is complete.

Webinar #1

- Brief overview of whole series and overview of navigating the webinar webspace.
- Review of key program design implications of common measures, promising practices for dealing with those implications, and how the diagnostic process can help participants to troubleshoot challenges associated with implications and ultimately craft solutions.
- Activity: develop and prioritize list of issues facing the local area. Brief report-out of most pressing or common issues.
- Discussion of categorization and prioritization of issues.
- Introduce diagnostic concept and fishbone diagram. Share slide of fishbone diagram.
- Homework assignment: fill out fishbone diagram for 2 or 3 of most pressing issues in the local area. Prepare to report out at next webinar.

Webinar #2

- Presentation of key challenges and promising practices associated with serving youth in rural areas.

PEP Final Report

- Report out on fishbone diagramming activity. Three local areas present their fishbone diagrams, and answer questions and receive suggestions from other local areas and the SPR moderators.
- Discussion of categorization and prioritization. Example provided using one LWIA diagram.
- Introduce action planning with blank action plan slide, sample action plan, and handout.
- Homework assignment: fill out an action plan to deal with one or two of the contributing factors identified during the fishbone diagram exercise, targeting the most actionable contributing factors.

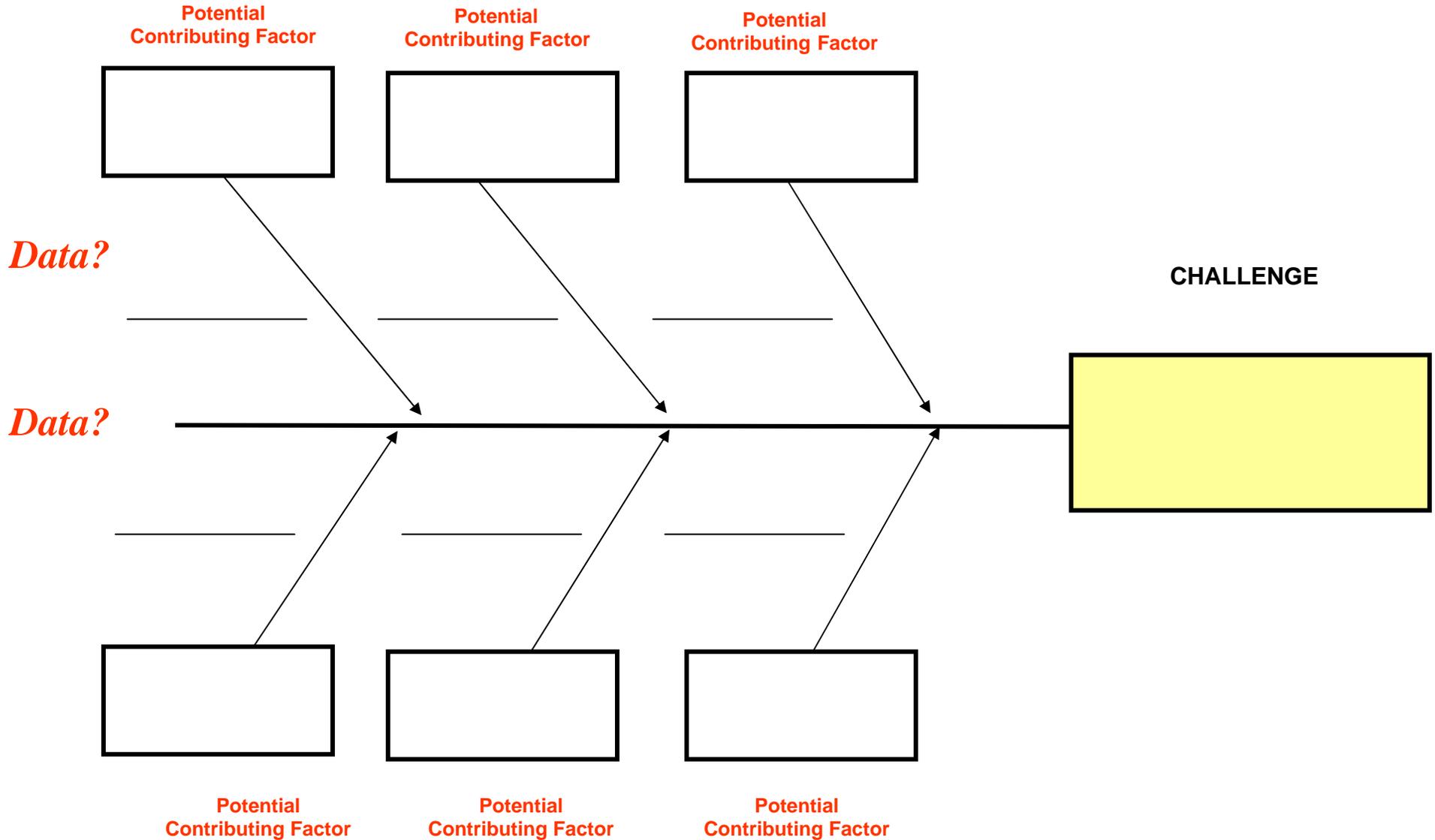
Webinar #3

- Review of the relationship between challenges, contributing factors, strategies, and action steps.
- Activity: rank contributing factors for two top challenges identified on submitted action plans. Brief report out to share results.
- Activity: develop strategies for each of 4 top contributing factors. Brief report out to share results.
- Report out on action planning homework. Two local areas present their action plans, and answer questions and receive suggestions from other local areas and the SPR moderators.
- Presentation of plan improvement loop and what it takes to make effective use of the diagnostic process.

Appendix O
Fishbone Diagram Diagnostic Activity: Directions for Facilitators

1. Start with an at-large brainstorming activity: ask participants to identify as many challenges to performance as they can think of and write them down on a flip chart. Group and prioritize those challenges as appropriate – based on the objectives of your workshop.
2. Divide into groups of 6-10 each. Ask each group to pick three challenges they will work on.
3. Ask each group to brainstorm potential contributing factors to each identified challenge. For example, if the challenge is that it is “difficult to meet certificate measure” a contributing factor might be a “lack of training programs that lead to countable certificates.”
4. During the brainstorming, it is not necessary to be sure whether or not a given contributing factor is a major or a minor contributor to a given challenge. However, it is helpful to identify data sources that could assist in making such a determination upon closer examination.
5. Once the brainstorming for contributing factors for a given challenge is exhausted, turn to the next challenge and fill in another fishbone diagram.
6. Once all known contributing factors and possible data sources are identified, the group can decide how to obtain the additional data that will help determine which contributing factors most significantly contribute to the challenge.
7. Once a determination is made, which contributing factors most significantly contribute to a given challenge, the group can then go about developing action plans to address each of those factors. (See Action Planning Table in Appendix P)

Fishbone Diagram Diagnostic Activity



**Appendix P
Action Planning Table**

Contributing

Factor: _____

(Challenge: _____)

Priority	Strategies	Action Steps	Owner	Supporters	State Supporter	Time Frame		
		a) _____ b) _____ c) _____						
		a) _____ b) _____ c) _____						
		a) _____ b) _____ c) _____						
		a) _____ b) _____ c) _____						

Appendix Q

Shared Youth Vision Webinar Series Overview

This series of three Webinars built on the Shared Youth Vision Regional Dialogue meetings that took place in all six regions in June of 2007. The Webinars were designed to meet the need for additional implementation ideas for regional, state and local leads of Shared Youth Vision collaboratives. The archived Webinars and other SYV related resource materials are available at <http://www.spra.com/PEP/syv.shtml>.

- Webinar #1 – **Shared Youth Vision Self Assessment Tools:** This Webinar (held October 23, 2007) presented the final Shared Youth Vision Self Assessment Tools for states and local collaboratives and described how they can be used to set goals and track implementation accomplishments.
- Webinar #2 – **Collaborative Approach to Serving Youth Most in Need:** This Webinar (held November 13, 2007) highlighted promising practices on how to engage a wide range of federal, state, and local partners to serve youth most in need. The Webinar drew on the positive implementation experience of both the pilot and non-pilot states.
- Webinar #3 – **Resource and Gap Mapping:** This Webinar (held December 11, 2007) provided an overview of the most commonly used resource/ asset/ and gap mapping methods and how they can be applied to help a collaborative set the stage for a Shared Youth Vision. It featured examples from the State of Minnesota and from San Diego County.

APPENDIX R IMPLEMENTING A SHARED YOUTH VISION: SELF-ASSESSMENT TOOLS

Overview

To assist states and local Collaboratives³ implement a Shared Youth Vision⁴, the U.S. DOL has commissioned the development of a set of self-assessment tools. The purpose of these tools is to help states and local areas identify key outcomes and indicators to measure their progress

toward meeting stated goals and objectives for a Shared Youth Vision. These tools are not monitoring tools, nor do they describe a mandated or preferred path of implementation. In fact, states and local

Collaboratives are

encouraged to modify these tools according to their own implementation strategies by adding, modifying and/or deleting indicators and outcomes as needed. Four tools are available to help states and local areas track their progress toward a Shared Youth Vision. These tools are:

The mission of the Shared Youth Vision Partnership is to serve as a catalyst at the national, state and local levels to strengthen coordination, communication and collaboration among youth-serving agencies to support “youth most in need” and their healthy transition to successful adult roles and responsibilities.

1. **A Sample Shared Youth Vision Logic Model** to describe the broader relationships between potential interim and long-term outcomes of a state or local initiative, including the roles and responsibilities of the Collaborative, activities and expected youth outcomes. State and local Collaboratives are encouraged to adapt the model for their own purposes.
2. **A State Checklist** to help state officials identify and prioritize actions to support local success. The checklist identifies sample action items for each phase of implementation of a shared Youth Vision: initiation phase, planning phase, implementation phase and sustain/enhance phase.
3. **A Local Assessment Tool** to help local areas identify and prioritize sample outcomes toward building, operating and integrating a Shared Youth Vision Collaborative. This tool includes relevant indicators to measure those outcomes.

³ “Collaboratives” in this context are defined as partners that have come together to implement a Shared Youth Vision.

⁴ The Shared Youth Vision initiative was developed in response to the White House Task Force Report on Disadvantaged Youth (2003). Since then, partners at the federal, state and local levels have committed to an interagency approach for meeting the needs of the nation’s most vulnerable youth. Guided by a shared “Youth Vision,” these partners have begun to implement innovative approaches to enhance the quality of services delivered, to foster cost-effectiveness and improve opportunities for youth to successfully transition to adult roles and responsibilities. States and local areas can assess their progress in meeting their goals of building and operating a Youth Vision Collaborative (partners that have come together to implement a Shared Youth Vision) and integrating an effective youth service delivery system.

4. **A Shared Youth Vision Outcome Indicators Worksheet** to help state and local Collaboratives identify participant outcomes that are relevant to core federal partners involved in the Shared Youth Vision initiative. As a first step for local use, partners will want to include federal partner representatives as part of the Collaborative, add those that have no federal equivalent and eliminate those that are not part of the collaborative. Use this worksheet in conjunction with the Local Assessment Tool to complete Outcome No. 7.

Steps to Use these Tools

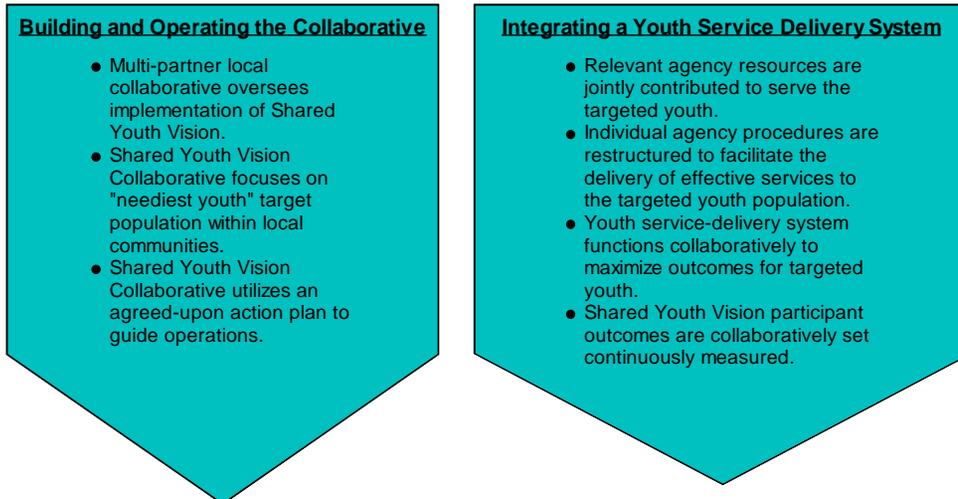
There are several steps to use these tools at the state and local levels:

1. Review tools with your key leadership team.
2. Modify or eliminate State Checklist items or local outcomes/indicators that do not align with your implementation goals and strategies.
3. Add State Checklist items or local outcomes/indicators needed to reflect your implementation goals and strategies.
4. Determine who will complete the tool(s) and whether it will be completed separately or jointly among the partners.
5. If the tool(s) is (are) completed separately, consider how the results will be consolidated, agreed upon and a common assessment determined.
6. Distribute the completed tools among partners to solicit input and gain buy-in.
7. Consider how the tools can be integrated in a continuous improvement and action planning process.

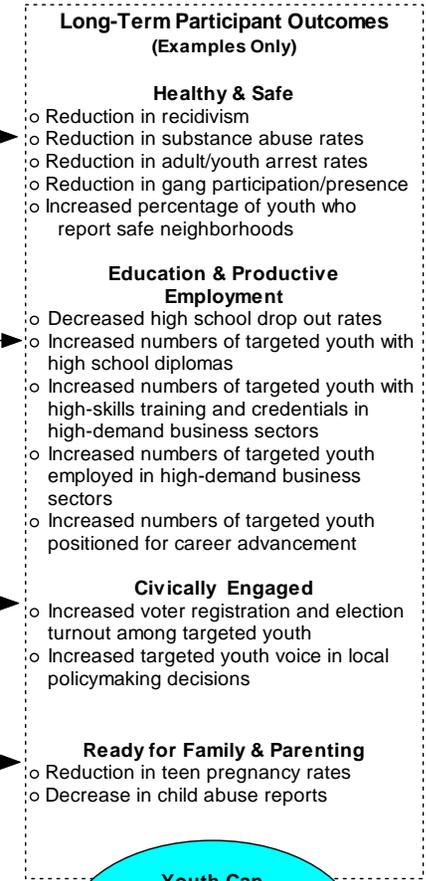
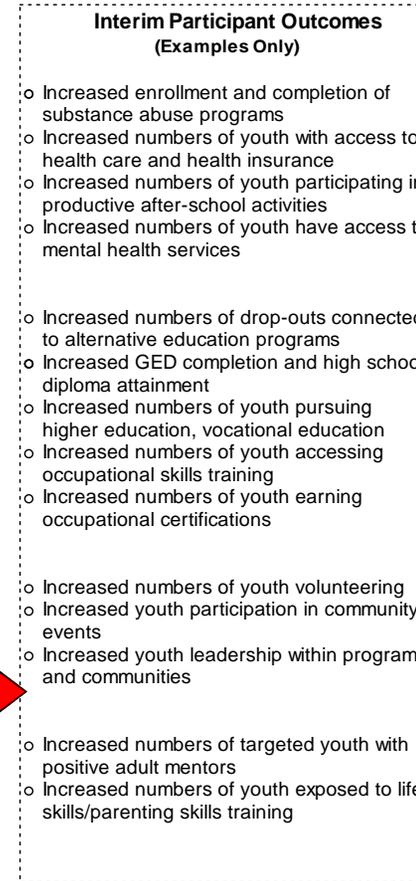
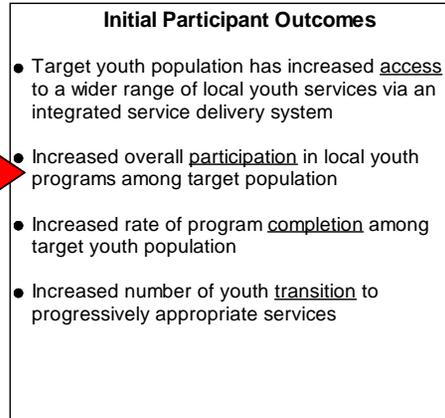
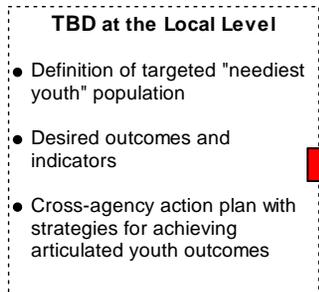
For more information on the Shared Youth Vision, please visit the U.S. DOL's website, <http://www.doleta.gov/ryf/> or contact your U.S. DOL regional office representative.

1. Shared Youth Vision Logic Model: Relationship Between Process & Participant-Level Outcomes

Shared Youth Vision Implementation Outcomes



Outcomes TBD at the Local Level



SHARED YOUTH VISION IMPLEMENTATION: 2. A STATE CHECKLIST

The State Checklist is designed to help state officials consider actions they can take to empower and support local areas to collaboratively implement a Shared Youth Vision. Such actions should be designed to enable local success by (1) forming a state Collaborative to address collaboration issues at the state level and remove regulatory and policy obstacles, (2) taking state actions, including providing technical assistance and (3) providing policy guidance as appropriate. The State Checklist includes suggested indicators for each of these three major action items so states can track their progress implementing a Shared Youth Vision. Tracking the state's progress will enable partners in the state collaborative to identify their successes and gaps moving forward.

Using This Tool

This tool contains suggested action items that states can take to support local success. Modify the suggested action items by adding relevant actions or deleting those that are not relevant. Examine each action item to assess your state's progress toward achieving that action. A four-point scale representing the phases of an ongoing development process is provided to help you assess progress. For each indicator, identify the place on the scale that best reflects your current effort and circle the number. The priority for action on any indicator can be ranked as high, medium or low by circling A, B or C in the far right column.

The four-point scale is based on the following definitions:

1. **Initiation Phase:**
The Collaborative has discussed this indicator but has not started planning.
2. **Planning Phase:**
The Collaborative is engaged in a planning process to agree upon the steps necessary to move forward on this indicator.
3. **Implementation Phase:**
The Collaborative has completed planning and is in the process of implementing strategies to achieve this indicator.
4. **Sustain/Enhance Phase:**
Strategies have been fully implemented. The Collaborative is managing for sustainability and further enhancement of this indicator.

After rating your Collaborative's progress on each of the indicators, develop some goals and/or next steps for making greater progress. The items that you may have flagged as a "priority for immediate action" may guide you in this last step.

Shared Youth Vision Implementation: A State Checklist						
Please indicate what phase of implementation you believe your state to be in regarding each of the actions listed. Also indicate the level of priority for each action. <i>(Add additional indicators or actions as needed.)</i>	Initiation Phase	Planning Phase	Implementation Phase	Sustain/Enhance Phase	Priority for Action	Comments
Forming of State Collaborative						
1. State convenes key agency and other stakeholder leaders who embrace and commit to implementing the Shared Youth Vision (henceforth called the State Collaborative).	1	2	3	4	A B C	
2. State Collaborative seeks the endorsement of the governor for the Shared Youth Vision.	1	2	3	4	A B C	
3. State Collaborative adopts a governing and operational structure that includes staff, resources and authority to take necessary actions to effectively implement the Shared Youth Vision and designates a lead entity for fiscal and administrative matters.	1	2	3	4	A B C	
Action at the State Level						
4. State Collaborative identifies/maps relevant state policies, programs and procedures and commits to adjusting and aligning them as needed to facilitate local implementation of the Shared Youth Vision.	1	2	3	4	A B C	
5. State Collaborative identifies resources from each partner to support operations of the Collaborative and local implementation of the Shared Youth Vision.	1	2	3	4	A B C	
6. State Collaborative provides financial support for planning and piloting local efforts.	1	2	3	4	A B C	

<p>Please indicate what phase of implementation you believe your state to be in regarding each of the actions listed.</p> <p>Also indicate the level of priority for each action. (Add additional indicators or actions as needed.)</p>	Initiation Phase	Planning Phase	Implementation Phase	Sustain/Enhance Phase	Priority for Action	Comments
<p>7. State Collaborative commits to measuring participation and outcomes for targeted youth population; building capacity for public reporting and analysis; measuring progress toward the Shared Youth Vision goals</p>	1	2	3	4	A B C	
<p>8. State Collaborative identifies, establishes or promotes pathways connecting programs and services for targeted youth that enable them to achieve short and long outcomes.</p>	1	2	3	4	A B C	
<p>9. State Collaborative develops and promotes policies that lead to closer coordination of public education from primary through postsecondary levels with social services and workforce and economic development programs.</p>	1	2	3	4	A B C	
<p>State Providing Guidance and Support for Action at the Local Level</p>						
<p>10. State Collaborative assesses baseline performance levels and establishes specific objectives and guidelines for implementing the Shared Youth Vision at the local level.</p>	1	2	3	4	A B C	
<p>11. State Collaborative articulates its expectations and criteria for strengthening and linking youth program services at the local level.</p>	1	2	3	4	A B C	
<p>12. State Collaborative provides for technical assistance and opportunities for peer learning and support: e.g., on-site technical assistance; workshops; and facilitation of cross-site meetings or electronic communications.</p>	1	2	3	4	A B C	
<p>13. State Collaborative rewards successful performance by using incentive funds to motivate improvements and achievement of Shared Youth Vision goals.</p>	1	2	3	4	A B C	

<p>Please indicate what phase of implementation you believe your state to be in regarding each of the actions listed.</p> <p>Also indicate the level of priority for each action. (Add additional indicators or actions as needed.)</p>	Initiation Phase	Planning Phase	Implementation Phase	Sustain/Enhance Phase	Priority for Action	Comments
14.	1	2	3	4	A B C	
15.	1	2	3	4	A B C	
16.	1	2	3	4	A B C	
17.	1	2	3	4	A B C	
18.	1	2	3	4	A B C	
19.	1	2	3	4	A B C	

SHARED YOUTH VISION IMPLEMENTATION: 3. A LOCAL ASSESSMENT TOOL

The following tool was specifically developed to aid members of local Shared Youth Vision Collaboratives assess their progress toward implementing a Shared Youth Vision. By rating progress along a continuum of key implementation outcomes, the intention is to create opportunities for local Collaboratives to self-identify both areas of strength and areas that may require greater focus going forward. State-level partners can also use this tool as a means to identify how best to strategically foster and support progress at the local level.

As captured in the box to the right, the tool focuses on seven key implementation outcomes that address two main themes and overall actions:

- ❖ Building and Operating the Shared Youth Vision Collaborative, and
- ❖ Integrating a Youth Service-Delivery System.

For each of the seven outcomes, several indicators of progress are presented as core actions that indicate progress toward achieving the outcome. These indicators are presented as a suggestive list, and they may be modified or deleted and/or additional indicators may be included to better reflect the specific implementation activities taking place.

**SHARED YOUTH VISION IMPLEMENTATION
OUTCOMES**

Building and Operating the Shared Youth Vision Collaborative

- Multi-partner local collaborative oversees implementation of Shared Youth Vision.
- Shared Youth Vision Collaborative focuses on “youth most in need” target population within local communities.
- Shared Youth Vision Collaborative utilizes an agreed-upon action plan to guide operations.

Integrating a Youth Service Delivery System

- Relevant agency resources are jointly contributed to serve the targeted youth.
- Individual agency procedures are restructured to facilitate the delivery of effective services to the targeted youth population.
- Youth service-delivery system functions collaboratively to maximize outcomes for targeted youth.
- Shared Youth Vision participant outcome goals are collaboratively set and continuously measured.

Using This Tool

To use the following tool, for each outcome, examine each indicator to assess your Collaborative’s progress toward achieving that outcome. A four-point scale representing the

phases of an ongoing development process is provided to help you assess progress. For each indicator, identify the place on the scale that best reflects your current effort and circle the number. The priority for action on any indicator can be ranked as high, medium or low by circling A, B or C in the far right column.

The four-point scale is based on the following definitions:

1. **Initiation Phase:**
The Collaborative has discussed this indicator but has not started planning.
2. **Planning Phase:**
The Collaborative is engaged in a planning process to agree upon the steps necessary to move forward on this indicator.
3. **Implementation Phase:**
The Collaborative has completed planning and is in the process of implementing strategies to achieve this indicator.
4. **Sustain/Enhance Phase:**
Strategies have been fully implemented. The Collaborative is managing for sustainability and further enhancement of this indicator.

After rating your Collaborative's progress on each of the indicators within an outcome, consider whether any *additional* indicators of progress should be included. Then, take a moment to evaluate your Collaborative's overall progress towards achieving the outcome, and develop some goals and/or next steps for making greater progress. The items that you may have flagged as a "priority for immediate action" may guide you in this last step.

**Shared Youth Vision Implementation:
A Local Assessment Tool**

I. Building and Operating the Shared Youth Vision Collaborative

Outcome No. 1:

Multi-partner local collaborative oversees implementation of the Shared Youth Vision.

<i>Indicators of progress:</i>	Initiation Phase	Planning Phase	Implementation Phase	Sustain/Enhance Phase	Priority for Action
1. Relevant agency and non-agency partners identified and actively participating (i.e., government, tribal, nonprofits, private sector, foundations, employers, youth, etc.) with senior leaders/staff involved.	1	2	3	4	A B C
2. Consensus among partners on shared values, principles, focus and mission of the Shared Youth Vision Collaborative.	1	2	3	4	A B C
3. Formal agreements outlining specific roles and responsibilities of each partner and overall governance structure used to guide decision-making and operations.	1	2	3	4	A B C
4. Commitment made to track participant outcomes and to set benchmarks for improvement.	1	2	3	4	A B C
5. Shared funds and/or in-kind resources identified and used to support Shared Youth Vision Collaborative activities (e.g., staffing, branding, marketing, etc.)	1	2	3	4	A B C
6. Shared Youth Vision Collaborative mission embraced by broader community including political, business and community leaders.	1	2	3	4	A B C
	1	2	3	4	A B C

Accomplished to date in this area:

Goals/next steps to accomplish this outcome:

By:

1.

2.

3.					
Outcome No. 2: Shared Youth Vision Collaborative focuses on “youth most in need” target population within local communities.					
Indicators of progress:	Initiation Phase	Planning Phase	Implementation Phase	Sustain/Enhance Phase	Priority for Action
1. Consensus on criteria for defining the “youth most in need” target population.	1	2	3	4	A B C
2. Target population defined and agreed upon based on data-driven analysis-mapping opportunities, barriers and needs.	1	2	3	4	A B C
3. Consensus on key needs and assets of the defined target population, and agreement on service improvements required to better serve population.	1	2	3	4	A B C
4. Additional relevant partners and broader community committed to addressing target population as part of the Shared Youth Vision Collaborative.	1	2	3	4	A B C
	1	2	3	4	A B C
	1	2	3	4	A B C
	1	2	3	4	A B C
Accomplished to date in this area:					
Goals/next steps to accomplish this outcome:				By:	
1.					
2.					
3.					

Outcome No. 3:
Shared Youth Vision Collaborative utilizes an agreed-upon action plan to guide operations.

Indicators of progress:	Initiation Phase	Planning Phase	Implementation Phase	Sustain/Enhance Phase	Priority for Action
1. Identification of existing local delivery system’s assets, barriers, gaps and duplication that affect efforts to serve target youth population (e.g., using process mapping), including state/federal barriers.	1	2	3	4	A B C
2. Consensus by Shared Youth Vision Collaborative on action plan to achieve the effective delivery of services across multiple systems serving the targeted youth.	1	2	3	4	A B C
3. Input and endorsement of Shared Youth Vision Collaborative action plan by community stakeholders, including targeted youth.	1	2	3	4	A B C
4. Resources provided, and timelines and roles/responsibilities established for implementing Shared Youth Vision Collaborative action plan items.	1	2	3	4	A B C
5. Process established for reviewing and assessing implementation of the Shared Youth Vision Collaborative actions.	1	2	3	4	A B C
6. Collaborative has communication channels in place for responding to challenges and/or emerging opportunities related to Shared Youth Vision Collaborative actions.	1	2	3	4	A B C
	1	2	3	4	A B C

Accomplished to date in this area:

Goals/next steps to accomplish this outcome: By:

- 1.
- 2.
- 3.

II. Integrating a Youth Service-Delivery System

Outcome No. 4

Relevant agency resources are jointly contributed to serve the targeted youth.

Indicators of progress:	Initiation Phase	Planning Phase	Implementation Phase	Sustain/Enhance Phase	Priority for Action
1. Relevant agencies prioritize resources, services or slots to serve the target youth population.	1	2	3	4	A B C
2. Cost sharing/allocation plan in place to support improved service delivery.	1	2	3	4	A B C
3. Resources identified and aligned for necessary support services.	1	2	3	4	A B C
4. Community and other local stakeholder resources provided across agency partners to enhance service efforts for targeted youth.	1	2	3	4	A B C
5. Cross-agency efforts coordinated to pursue additional joint grants.	1	2	3	4	A B C
	1	2	3	4	A B C
	1	2	3	4	A B C

Accomplished to date in this area:

Goals/next steps to accomplish this outcome: By:

- 1.
- 2.
- 3.

Outcome No. 5:

Individual agency procedures are restructured to facilitate the delivery of effective services to the targeted youth population.

<i>Indicators of progress:</i>	Initiation Phase	Planning Phase	Implementation Phase	Sustain/Enhance Phase	Priority for Action
1. Intake criteria and procedures coordinated and aligned so that the targeted youth population can access appropriate services regardless of point of entry into the system.	1	2	3	4	A B C
2. Confidentiality restrictions and barriers adjusted to facilitate cross-agency sharing of client-level data.	1	2	3	4	A B C
3. Assessment and individual service plans of targeted youth shared with relevant agencies.	1	2	3	4	A B C
4. Each respective agency's supports and related services made available to partner agencies.	1	2	3	4	A B C
5. Follow-up and transition actions across all partner agencies executed for all target population participants.	1	2	3	4	A B C
	1	2	3	4	A B C
	1	2	3	4	A B C

Accomplished to date in this area:

Goals/next steps to accomplish this outcome: By:

1.

2.

3.

Outcome No. 6:
 Youth service-delivery system functions collaboratively to maximize outcomes for targeted youth.

Indicators of progress:	Initiation Phase	Planning Phase	Implementation Phase	Sustain/Enhance Phase	Priority for Action
1. Unified outreach campaign implemented to inform and connect youth with services across multiple agencies.	1	2	3	4	A B C
2. Service providers are cross-trained to become familiar with the scope of available youth services.	1	2	3	4	A B C
3. Strategies in place for increasing cross-agency referrals and/or co-enrollment.	1	2	3	4	A B C
4. Cross-agency system developed to share individual service plans and/or information on individual client needs and progress.	1	2	3	4	A B C
5. Ongoing communication among cross-agency teams to ensure youth needs are met with the full array of available services.	1	2	3	4	A B C
6. Cross-agency tracking and follow-up to ensure that youth do not fall through the service cracks.	1	2	3	4	A B C
	1	2	3	4	A B C

Accomplished to date in this area:

Goals/next steps to accomplish this outcome: By:

- 1.
- 2.
- 3.

Outcome No. 7:
Shared Youth Vision participant outcome goals are collaboratively set and continuously measured.

<i>Indicators of progress:</i>	Initiation Phase	Planning Phase	Implementation Phase	Sustain/Enhance Phase	Priority for Action
1. Consensus on desired outcomes for targeted youth population.	1	2	3	4	A B C
2. Relevant existing data sources identified (and/or system for collecting additional data developed).	1	2	3	4	A B C
3. Continuous evaluation of progress toward outcomes, with specified timeline for reporting.	1	2	3	4	A B C
4. Strategies in place for improving or adjusting actions and services related to key outcomes and indicators.	1	2	3	4	A B C
	1	2	3	4	A B C
	1	2	3	4	A B C
	1	2	3	4	A B C

Accomplished to date in this area:

Goals/next steps to accomplish this outcome: By:

1.

2.

3.

4. Shared Youth Vision Long-Term Outcome Indicators Worksheet

Measures/Rates →		Civic and Community Engagement				Employment, Higher Education				Safety and Health			Family and Parenting			
		Volunteering	Participation in community events	Voting Registration/turnout	Providing community service	Entered Employment	Literacy/Numeracy	Graduation/ Certificate/ HS Dip//GED	Entered advanced training/ higher ed	Recidivism	Substance abuse	Youth delinquency	Youth in poverty	Permanent placement for foster care youth	Teen birth rates	Age at first marriage
Federal partner	Local partner															
DOL																
DOE (Voc Ed)																
HHS (TANF)																
HHS (SAMHSA)																
DOJ/ OJJDP																
DOT																
SSA																
HUD																
CNS																
DOA																

For a complete list of Federal Partners of the Shared Youth Vision Initiative, see the reverse.

Partial Source: Indicators of Child, Family, and Community Connections; [Office of the Assistant Secretary for Planning and Evaluation U.S. Department of Health and Human Services: http://aspe.hhs.gov/hsp/connections-charts04](http://aspe.hhs.gov/hsp/connections-charts04)

Federal Partners of the Shared Youth Vision Initiative

DOL	<p>U.S. Department of Labor</p> <ul style="list-style-type: none"> • Business Relations Group (BRG) • Indian and Native American Programs (INAP) • Division of Youth Services (DYS) • Office of Disability Employment Policy (ODEP)
DOE	<p>U.S. Department of Education</p> <ul style="list-style-type: none"> • Office of Elementary and Secondary Education (OESE) • Office of Elementary and Secondary Education (OESE), Office of Indian Education • Office of Special Education and Rehabilitative Services (OSERS) • Office of Vocational and Adult Education, Division of Adult Education and Literacy (OVAE)
HHS	<p>U.S. Department of Health and Human Services</p> <ul style="list-style-type: none"> • Administration for Children and Families (ACF) • Substance Abuse and Mental Health Services Administration (SAMSHA)
DOJ	<p>U.S. Department of Justice</p> <ul style="list-style-type: none"> • Office of Justice Programs • Office of Juvenile Justice and Delinquency Prevention (OJJDP), Office of Policy Development
DOT	<p>U.S. Department of Transportation</p> <ul style="list-style-type: none"> • Federal Transit Administration • United We Ride
SSA	<p>U.S. Social Security Administration</p> <ul style="list-style-type: none"> • Office of Program Development and Research (SSA/OPDR)
HUD	<p>U.S. Department of Housing and Urban Development</p> <ul style="list-style-type: none"> • Office of Public Housing Investment, Public and Indian Housing
CNS	<p>The Corporation for National and Community Service</p>
DOA	<p>U.S. Department of Agriculture</p> <ul style="list-style-type: none"> • Cooperative State Research Education, and Extension Service (CSREES) • National 4-H Headquarters

Appendix S Youth Vision Collaborative Assessment Tool

Using this Tool

The following tool was adapted from an assessment tool developed by Public/Private Ventures and Social Policy Research Associates for the U.S. DOL for use at the **local-level**.

By rating progress along a continuum of key implementation outcomes, the intention is to create opportunities for the local Youth Council / P 21 Regional Team to self-identify both areas of strength and areas that may require greater focus going forward.

To use the following tool, for each outcome, examine each indicator to assess your Youth Council / P 21 Regional Team's progress toward achieving that outcome. A four-point scale representing the phases of an ongoing development process is provided to help you assess progress. For each indicator, identify the place on the scale that best reflects your current effort and circle the number. If any indicator suggests a "priority for immediate action," this can be indicated by circling the "P" in the far right column.

The four-point scale is based on the following definitions:

1. **Initiation Phase:**

The Youth Council / P 21 Regional Team has discussed this indicator but has not started planning.

2. **Planning Phase:**

The Youth Council / P 21 Regional Team is engaged in a planning process to agree upon the steps necessary to move forward on this indicator.

3. **Implementation Phase:**

The Youth Council / P 21 Regional Team has completed planning and is in the process of implementing strategies to achieve this indicator.

4. **Sustain/ Enhance Phase:**

Strategies have been fully implemented. The Youth Council / P 21 Regional Team is managing for sustainability and further enhancement of this indicator.

After rating your Youth Council / P 21 Regional Team's progress on each of the indicators within an outcome, consider whether any *additional* indicators of progress towards the targeted outcome should be included that may be unique to your local context. Then, take a moment to evaluate your Youth Council / P 21 Regional Team's overall progress towards achieving the outcome, and develop some goals and/or next steps for making greater progress.

Youth Vision Collaborative Assessment Tool

Multi-partner local Youth Council / P 21 Regional Team oversees implementation of Youth Vision.					
<i>Indicators of progress:</i>	Initiation Phase	Planning Phase	Implementation	Sustain/Enhance	Priority for Action
1. Relevant ⁵ agency and non-agency partners identified & actively participating (i.e., gov't, non-profits, private sector, foundations, employers, etc.) with senior leaders/staff involved.	1	2	3	4	P
2. Consensus among partners on shared values, principles, focus and mission of the Youth Council / P 21 Regional Team.	1	2	3	4	P
3. Formal agreements outlining specific roles and responsibilities of each partner and overall governance structure used to guide decision-making and operations.	1	2	3	4	P
4. Youth Council / P 21 Regional Team mission embraced by broader community including political, business and community leaders.	1	2	3	4	P
5. Target population defined and agreed upon based on data-driven analysis.	1	2	3	4	P
6. Process established for monitoring and assessing implementation of the Youth Council / P 21 Regional Team's actions.	1	2	3	4	P
7. Consensus on desired outcomes for targeted youth population.	1	2	3	4	P
Additional indicators of progress					
Goals/Next Steps to accomplish this outcome:					
1. 2. 3.					

P21 partners include: Workforce Development, Department of Education, Department of Mental Health, Department of Social Services, Department of Transitional Assistance, Department of Youth Services, Mass Rehab Commission, Department of Public Health, Higher Education, Adult Education, vocational technical schools and community based organizations.

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Appendix T
SHARED YOUTH VISION IMPLEMENTATION
TWO TOOLS

Two additional tools accompany the Shared Youth Vision Local Assessment. (See Shared Youth Vision Self-Assessment Tools <www.spra.com/PEP/syv.shtml>). They were developed to help local agencies, organizations and community members begin the process of designing an initiative and building a strong, effective collaborative to serve their youth most in need.

As described below, these tools relate most specifically to the first three outcomes of the Local Assessment Tool, although they could be adapted and used throughout the implementation process.

Shared Youth Vision Implementation: Local Assessment Tool

Outcome 1: Multi-partner local collaborative oversees implementation of the Shared Youth Vision

TOOL 1: Getting to Know One Another

A Member Information Outline to be used by collaborating members as they share information about their own organizations, their expectations and the resources they are willing to contribute.

Outcome 2: Shared Youth Vision Collaborative focuses on “youth most in need” target population within local communities.

and

Outcome 3: Shared Youth Vision Collaborative utilizes an agreed-upon action plan to guide operations.

TOOL 2: Getting a Good Start

A Process Organizer with questions and resources to help collaborations identify their targeted youth, desired outcomes and resources, and begin developing and implementing their initiative as well as planning their collaboration.

Instructions offer options for using the tools and explanations of how to solve problems likely to arise during the collaborative process—as well as “keep in mind” advice. Throughout the process, young people can be especially helpful in identifying barriers that exclude or discourage them from accessing services. Youth input can help ensure that there is “no wrong door” to obtaining the education, training, employment and support needed during their transition to successful adulthood.

TOOL 1: Getting to Know One Another: Member Information Outline

Collaborating changes the way we work by moving from a model based on competing to building consensuses, and from working alone to including others from diverse cultures, fields and sectors. —Michael Winer and Karen Ray, **Collaboration Handbook: Creating, Sustaining and Enjoying the Journey**, Amherst H. Wilder Foundation, 1994.

Instructions: Use this tool during the initial collaboration process by having members complete the outline and share information about their organizations. This information can guide discussion and decisions about the collaboration’s mission, philosophy, goals, resources and gaps. If the collaborative process has already begun, consider using the tool as a means for members to revisit or confirm their knowledge of one another. As the process goes forward, new members can review information from veteran members and complete the tool themselves as an expedient introduction to the group.

Options:

This tool could be:

- Offered as an online survey with results available for all members to review.
- Used as a template for a PowerPoint or other type of presentation by collaborative members during planning meetings.
- Distributed as a form to be completed by members, submitted to a designated compiler and made available as a matrix that offers a snapshot of the group.

Tool as Solution: The outline provides a process to organize learning about one another, focusing the exchange on specific information relevant to forming the collaborative. It can help combat assumptions about the collaboration’s members and facilitate openness and working together toward a shared goal.

To Keep in Mind: While the tool can elicit and organize crucial information, sharing that information and using it effectively requires forethought by those initiating the collaborative effort. To begin, engage an effective facilitator and plan for:

- A first meeting with the goal of getting acquainted and inventorying resources.
- Setting norms that require active participation and discourage lackadaisical, indifferent or “sit back and wait” behavior as well as domination by outspoken members.
- An exploration of members’ understanding of the task at hand, which is organizing an effective collaborative and gathering relevant information as opposed to jumping into a discussion of solutions for the problems of youth most in need.
- Assuming responsibilities that could include preliminary work on the process outlined in Tool 2.

Opportunities for Youth Involvement: Young people from youth-serving organizations can help complete the outline and/or present their organization’s information to the group, as well as take part in discussion and further actions resulting from the information. As a step toward making certain “all doors are the right doors” to access and receive services, youth can give input on their organization’s vision for a more integrated system.

TOOL 1

Getting to Know One Another

Member Information Outline (with examples of how it can be completed)

1. Our Organization/Address/Contact Information
Center for City Youth Dominic Brown, Director 1212 NE Brunner at Interstate Large City, WA 99999 999-999-9999 www.cccy.org dbrown@ccy.org
2. Our Mission
To promote self-sufficiency and lifelong learning by nurturing personal, educational and career development of young people.
3. Our Philosophy for Serving Youth
All youth have the ability to overcome barriers that stand in the way to successful employment. Our approach is to integrate education and employment services.
4. Youth We Serve
High-risk youth ages 14 to 22, including dropouts, teen parents and gang-affected youth.
5. How Youth Are Recruited
Public schools' dropout-prevention counselors, parole and probation, TANF, Housing Authority, Food Bank, and CBOs such as El Programa Hispano, Immigrant and Refugee Community Organization and self-referrals.
6. Our Basic Process for Service Delivery
Youth is referred or refers self to program/receives information from intake counselor & scheduled for eligibility interview/eligibility determination/academic assessment/enrolled for appropriate services such as GED prep/high school completion/parenthood classes/career & life skills classes. We provide active career exploration opportunities, including internships, OJT and placement, and/or post-secondary education counseling, follow-up and support service referrals.

TOOL 1: Getting to Know One Another (page 2)

Member Information Outline

7. Youth Eligible for Our Service
Must read at 6th grade level for GED preparation or have 12 credits toward high school completion. Read at 8th grade level for employment-related services. Income-eligible according to WIA guidelines. Sign a notarized contract agreeing to appropriate behavior, including not using illegal drugs.
8. How We Assess Youth
TABE for reading/math/writing levels Intake interview/counselor assessment of motivation/barriers Weekly caseload review w/teachers/career counselors Biweekly review of ISP between youth/counselor
9. Our Individual Service Plan
Educational Goals/Timeline/Progress Review/Update Behavioral Goals/Timeline/Progress Review/Update Employment Goals/Timeline/Progress Review/Update Personal Goals/Timeline/Progress Review/Update
10. Our Strength for Serving Youth
25-year history of working in the community. Dedicated staff, including those coming from background or circumstances similar to the youth. On-site, certified child care for enrolled teen parents.
11. Our Current Challenges in Serving Youth
Effectively serving youth with multiple barriers, especially drug addiction and other health-related issues. Data and tracking requirements for some funding sources.
12. Our Current Primary Partners
Public School district, federal Department of Labor, the City and the County Juvenile Justice.
13. Our Current Budget:
\$233,813 from funding partners (#12 above), along with private donations. Staff salaries/fringe/travel/development, \$179,172. Rent and occupancy/equipment/supplies/communication, \$29,832. Skills training/other program costs, \$13,372. Support services, include transportation/emergency assistance, \$1,1437.

TOOL 1: Getting to Know One Another (page 3)

Member Information Outline

14. Description of Our MIS and Key Data We Collect
We input and pull data from the WIB's MIS system. Along with basic contact information, we collect the name of the referring agency and others with which the youth is involved, the youth's ethnicity, primary language, last grade completed, last school attended, legal status, income, parenthood status, TANF, involvement/status w/juvenile justice, initial reading/math/writing levels, quarterly gains in literacy/numeracy, # high school completions and GEDs, entering/exiting computer skill level, and follow-up information, including training/post-secondary education and/or job placement.
15. What We Want From the Collaboration
Better access to medical/counseling resources for drug-affected youth, especially those touched by the justice system.
16. Our Vision of an Integrated/More Effective System with Multiple Partners
A system that continuously identifies youth who are likely to leave school, become teen parents or become involved in the justice system and directs a concentrated effort on these young people. Participation from the schools, better information-sharing, including academic assessments and income eligibility to minimize duplication that discourages youth; a fast-track to medical/mental health and other support, not only for youth but for their families.
17. What We Consider Challenging about Collaborating
Time required. Additional record-keeping required. Possible cut back in funding if it goes to the collaborative. Concerned that SYV might turn out to be another effort that requires time/resources and then fades away.
18. Who From Our Organization Would Be Involved in Collaborative Governance, Including Time Available, Degree of Involvement, Ability to Commit/Make Decisions on Behalf of Organization?
Deputy Director, Corrine Hapa Would initially commit 10% of her time. Would confer with Director, and possibly Board of Directors, before committing additional time or resources.
19. What Resources We Are Willing to Contribute
Slots for teen parents, including child care slots for their children. Parenthood training for young fathers, customized for those involved with juvenile justice.
20. Other Important Information Collaboration Members Might Not Know about Us
We serve youth from any part of the city.

TOOL 2: Getting a Good Start: Process Organizer

To a large extent, the practice of collaborating is more formalized and structured than is generally recognized. Collaboratives are not seat-of-the-pants efforts; they require thought and structure to be effective. —Brandon Roberts, “Developing and Operating a Youth Collaborative,” an unpublished report.

Instructions: Use the Process Organizer during the early implementation process as a guide to taking six important actions: 1) targeting youth most in need; 2) identifying desired outcomes; 3) taking stock of resources; 4) articulating the initiative; 5) developing a work plan, and; 6) planning for operating/managing the collaborative itself. During planning sessions, workshops or retreats, introduce each action and pose the questions to stimulate discussion, decisions and further actions that can be organized using the work plan suggested in Action 5.

Options for Use: The tool could be used as:

- Basis for an agenda for planning sessions.
- An advanced questionnaire for members to consider prior to meeting with the group.
- A catalyst for topics/questions that committees could address and later present with their recommendations to the group.

Tool as Solution: The tool can jump-start the initial planning and help minimize time spent on forming questions and making the decisions required to move the process forward.

To Keep in Mind: Confused milling about, spinning of wheels, recalling of slights, failures, false starts or other past dark history, casting blame for the plight of needy youth and negative attitudes are not good starts for a collaboration. It’s important to be organized, inclusive and focused on moving forward while thoroughly discussing possible approaches and capitalizing on existing resources. Although the actions in this tool are numbered and seem chronological, be aware that creating a collaborative and implementing an initiative is not a straightforward, linear process. Working on several fronts at once, coming to a consensus, developing detailed strategies coupled with action—all prior to serving the first youth—are necessary. Advanced planning for meetings, an effective facilitator and a sense of humor are key.

Opportunities for Youth Involvement: Youth from youth-serving organizations, the local WIB youth council and programs, schools, juvenile justice agencies and facilities, boys and girls clubs, tribal groups and informal groups can contribute to all actions outlined on the organizer. Youth can help brainstorm—or verify—barriers and identify where doors are closed but might be cracked opened so targeted youth can take advantage of services.

TOOL 2: Getting a Good Start
Process Organizer

ACTION 1: TARGET SPECIFIC YOUTH		
<p>Who in our community should we target? Who are our youth most in need?</p> <p>Example targets:</p> <ul style="list-style-type: none"> • Children of incarcerated parents • Court-involved youth • Youth at risk of court involvement • Homeless/runaway youth • Indian/Native American youth • Migrant youth • Youth who have dropped out of school • Youth at risk of dropping out • Youth in /aging out of foster care ▪ Disabled youth 	<p>To get at an answer:</p> <ul style="list-style-type: none"> • What data do we have? • What does the data tell us? What does our own experience tell us? • What are cost/benefits to the community for serving particular targets? • What do the targeted youth gain by an improved system of services? <p>Example resources:</p> <ul style="list-style-type: none"> • Data from school districts, juvenile justice, state/local human service agencies, tribal/Bureau of Indian Affairs, youth-serving organizations, WIB youth councils • Numbers and characteristics of dropouts and those at-risk of dropping out, youth involved in justice system and foster youth • Research on optimal times/points for intervention <p>Some example targets:</p> <ul style="list-style-type: none"> • Florida (state collaborative): incarcerated young women • New Haven, Connecticut (state collaborative): older foster youth • Philadelphia’s U-Turn Project (local collaborative): out-of-school youth 	<p>Where do we go from here?</p> <p>Once consensus had been reached about targeted youth, identify specific outcomes and resources and begin developing a plan of action for the collaborative’s initiative. Actions 2 through 4 of this tool can help guide the process.</p>

TOOL 2: Getting a Good Start (page 2)
Process Organizer

ACTION 2: IDENTIFY DESIRED OUTCOMES		
<p>What type of services/programs promote a successful transition to adulthood, and how might our collaborative provide these services?</p> <p>Example characteristics that lead to successful adulthood:</p> <ul style="list-style-type: none"> • Physical health • Psychological health • Life skills • Healthy family and social relationships • Education • Career start • Civic engagement • Time spent constructively 	<p>To get at an answer:</p> <ul style="list-style-type: none"> • What have been the collaborative members' goals for youth they serve? • What do other experts say about transitioning to adulthood? • What local services/programs have achieved success for targeted youth? • How do other experts describe effective services/programs for targeted youth? <p>Example resources:</p> <ul style="list-style-type: none"> • Information from Tool 1: Getting to Know One Another • Helping America's Youth www.helpingamericasyouth.gov/ > • National Youth Development Information Center < www.nydic.org> • National Youth Employment Coalition <www.nyec.org> • New Ways to Work <www.nww.org> • Youth Development and Research Fund <www.ydrf.com> 	<p>Where do we go from here?</p> <p>After identifying outcomes for serving targeted youth—and quantifying goals when possible—take stock of resources (see Action 3). Then continue to develop your initiative with desired outcomes in mind (see Action 4).</p>

TOOL 2: Getting a Good Start (page 3)
Process Organizer

ACTION 3: TAKE STOCK OF RESOURCES		
<p>What services/programs do we have—or need—to achieve the outcomes we believe will lead to success for our targeted youth?</p> <p>Example services/components critical for the youth we have targeted:</p> <ul style="list-style-type: none"> • English language skills • Mentoring • Transitional services <p>Some example resources to learn about services for youth most in need:</p> <ul style="list-style-type: none"> • Children of incarcerated parents: <www.e-ccip.org> • Disabled youth: <ncwd-youth.info/> • High-risk youth: <www.ppv.org> • Indian/Native American youth: <www.hud.gov/offices/pih/> • Youth in foster care: <www.aecf.org/> 	<p>To get at an answer:</p> <ul style="list-style-type: none"> • What youth services do we currently have related to the target/outcomes? • What youth services are missing or could be improved? • How well are services integrated? • Do targeted youth have access to needed services? • What changes/adjustments in regulations/policy/or technology would help us attain our outcomes? <p>Example resources:</p> <ul style="list-style-type: none"> • Shared Youth Vision Webinar: Resource and Gap Mapping <www.spra.com/PEP/syv.shtml> • Minnesota’s Resource Connection for Youth, Families, Professionals and Employers <www.c3mn.org/> • New Ways to Work (search site for examples of resource mapping) <www.nww.org/> 	<p>Where do we go from here?</p> <p>Begin to direct resources toward the initiative and plan/take action to fill gaps (see Actions 4 and 5).</p>

TOOL 2: Getting a Good Start (page 4)
Process Organizer

ACTION 4: DEVELOP/ARTICULATE THE INITIATIVE		
<p>What does our local Shared Youth Vision Initiative look like? What is our agreed-upon approach?</p>	<p>To get at an answer:</p> <ul style="list-style-type: none"> • What is our mission? • What are our core beliefs? • Which youth will we target? • What are our desired outcomes? • What will we do to implement specific program functions? • Who are other potential allies, partners and funders? • What is a realistic budget for our efforts? • What are our staffing needs and assignments? (See Action 6.) • How will we evaluate our initiative? <p>Example resources:</p> <ul style="list-style-type: none"> • Department of Labor/Employment and Training: www.doleta.gov/ryf/Resources/TechnicalAssistanceForum.cfm • Texas Workforce Commission: www.twc.state.tx.us/svcs/youthinit/ypi.html 	<p>Where do we go from here?</p> <p>Based on the agreed-upon initiative, plan and put into place a structure for governance and management of the collaboration (see Action 6).</p> <p>Begin developing strategies and taking action to implement the initiative itself (see Action 5).</p>

TOOL 2: Getting a Good Start (page 5)
Process Organizer

ACTION 5: CREATE/BEGIN A PLAN OF ACTION						
<p>What do we need to do to get our initiative underway?</p>	<p>To get at an answer: Given our targeted youth, our current/potential resources and what we want to achieve, what actions should we take to implement our initiative?</p> <p>Example resources:</p> <ul style="list-style-type: none"> • Intermediary Network: www.intermediarynetwork.org 	<p>Where do we go from here? Use an action planner similar to the one below to detail actions necessary to carry out particular components of the initiative; <i>for example, actions that would assist youth reentering the community from juvenile justice facilities.</i></p>				
		COMPONENT: Integrating Services				
		Objective	Action	Outcome	Who	Timeline
		<i>To provide transitional educational opportunities for reentry youth</i>	<i>Identify/develop educational opportunities for youth and make certain these are accessible</i>	<i>A menu of educational options for reentering youth with contacts at all schools/institutions/programs</i>	<i>Todd at Juvenile Justice; Ana at School District; Bart at Comm. College</i>	<i>Initial menu and agreements finalized 05/08</i>
<i>To provide transitional educational counseling</i>	<i>Identify two educational/career counselors currently employed by collaboration partner</i>	<i>Counselors identified/their employers on board to dedicate % of time to initiative</i>	<i>Todd at Juvenile Justice; Holly at Dept. Educ., U of W</i>	<i>Counselors identified/ On board 04/08</i>		

TOOL 2: Getting a Good Start (page 6)
Process Organizer

ACTION 6: PLAN TO OPERATE/MANAGE THE COLLABORATIVE		
<p>How will our collaborative operate?</p> <p>Example resources about collaborating:</p> <ul style="list-style-type: none"> • Search for partnerships at <www.helpingamericasyouth.gov/> • “Real Collaboration: A Guide to Grantmakers,” by David LaPiana <www.lapiana.org/downloads/RealCollaboration.PDF> • <i>The Collaboration Challenge</i>, by James Austin, Jossey-Bass, 2000 	<p>To get at an answer:</p> <ul style="list-style-type: none"> • How will the collaborative be organized? For example, as a separate entity or a coordinated part of our members’ ongoing operations? • What are the roles/responsibilities of those leading the collaborative? • What are the roles/responsibilities of member organizations? • Who will operate/manage the collaborative? • How will decisions be made? • Who will be informed about what? How? • What will be our procedures for identifying problems and methods for resolving them? • How will activities be conducted and our youth served? • What are our benchmarks and timeline for achieving outcomes? • How will our program’s progress be reviewed and reported upon? • How will we measure performance and outcomes? <p>Example resources:</p> <ul style="list-style-type: none"> • Webinar: Collaborative Approach to Serving the Youth Most in Need <www.spra.com/PEP/syv.shtml> • Philadelphia’s Project U-Turn: <www.projectturn.net/partners_orgs.html> 	<p>Where do we go from here?</p> <p><i>Using answers to the questions in the middle column, develop an agreement or memorandum of understanding among the collaborative’s member organizations.</i></p> <p>Example agreements:</p> <ul style="list-style-type: none"> • Youth Net of Greater Kansas City: <www.kcyouthnet.org/implementing.asp> • National Center on Secondary Education and Transition <www.ncset.org/publications/viewdesc.asp?id=3447>

Appendix U

DEVELOPING AND OPERATING A YOUTH COLLABORATIVE

Over the past several years, the Shared Youth Vision Federal Collaborative Partnership has worked to support teams at both the state and local level in addressing a significant national goal: “help the Nation’s ‘youth most in need’ acquire the talents, skills and knowledge necessary to insure their healthy transition to successful adult roles and responsibilities.” As state and local programs have conceived initiatives to achieve this goal, they have formed collaboratives of partners and stakeholders to guide and support their efforts.

Developing a well-conceived collaborative is a critical step in moving forward any program initiative that involves numerous partners. It is equally important to operate and manage a collaborative in an effective and efficient manner. Collaborations, partnerships, strategic alliances—or whatever other term is used—have become much more prominent in the organizational landscape as both private and public entities search for better ways to achieve their strategic objectives.

As James Austin notes in his book, *The Collaboration Challenge*, “the 21st century will be the age of alliances where more organizations find new ways to work together to achieve their goals.”ⁱ Explicit in this statement is the recognition that organizations that choose to partner or collaborate do so not just to share information or coordinate activities, but to undertake new strategic activities that produce identifiable outcomes desired by all involved. This is done with the belief that the efforts and strengths of multiple organizations will bring better results than the effort of any single entity.

A concise definition of collaboration or partnership is provided in the *Collaboration Handbook*, a publication of the Wilder Foundation that is intended to help organizations and their leaders learn about creating, sustaining and enjoying new ways of working together. The authors, Michael Winer and Karen Ray, suggest:

“Collaboration (or partnerships) is a mutually beneficial and well-defined relationship entered into by two or more organizations to achieve results they are more likely to achieve together than alone.”ⁱⁱ

The authors note that collaborations are the “most intense way of working together while still retaining the separate identities of the organizations involved.” Organizations in a partnership must bring their special strengths and functions into a relationship while at the same time recognizing and acknowledging that the other partner organizations also have special features and services that are critical to the collective effort. Given the time and intensive work involved in managing a collaborative, “the investment in collaboration must be worth the effort. This is because collaboration changes the way we work.” The authors also note that such change involves moving from a model based on competing to building consensus and from working alone to including others from a diversity of cultures, fields and sectors.ⁱⁱⁱ

A collaborative should be voluntary and a result of a mutual decision to work together. As such, partner organizations are expected to share “decision-making, investment, risks and rewards.”^{iv} Although each collaborative is necessarily unique, a partnership should have at least the following elements present as they come together:

A belief that both (all) entities will benefit from the relationship;

- A transfer of human resources, financial resources or both;
- A written agreement that establishes a set of objectives and responsibilities and outlines the operating procedures, such as how the entities will communicate with each other; and
- Some evidence that the two organizations intend to collaborate in a manner that reflects the principles of partnership: balance, equity, sharing and transparency.^v

As clearly indicated in the literature, developing and operating a collaborative requires an attitude committed to partnering and knowledge of the fundamental elements and tools that can be used to facilitate and support operations. To a large extent, the practice of collaborating is more formalized and structured than is generally recognized. Collaboratives are not seat-of-the-pants efforts; they require thought and structure to be effective.

Public sector collaboratives or partnerships are typically formed to develop and implement a new program initiative or model. As noted earlier, the concept of a collaborative is based on the idea that more can be achieved working together than alone, which is certainly the primary premise of the Shared Youth Vision. The challenge, however, is that in coming together to implement a new program initiative (such as bringing together an array of resources and services from multiple agencies to craft better ways to serve youth most in need of services), most partners typically have little experience developing and operating a collaborative venture. As such, collaboratives are often started and operated without a clearly identified program initiative and without formalized or structured processes to guide how partners can work together to implement that program initiative. This can lead to groups struggling to put all the pieces together at the outset, thus often resulting in modest outcomes at best.

A collaborative requires a degree of structure and formality so that each partner has a firm understanding of what is to be done and what is expected. Structure and formality provide a framework for considering whether things are progressing as needed and also provides a context for making necessary adjustments. There are several key elements relative to the development of a collaborative that warrant attention.

Developing and Articulating the Program Initiative

The Shared Youth Vision (SYV) provides direction and a foundation for addressing the needs of the nation’s most vulnerable youth. Each state and locality, however, will develop its own program initiative or set of actions to achieve the overall SYV goal. In developing its own program initiative, each collaborative will need to determine and define the mission and strategy of its effort based on state and local circumstances. Each partner has significant knowledge and perspectives to contribute, and each needs to learn and understand about the philosophies and ideas of the other partners. The new program initiative is the vehicle for reconciling and

capturing these ideas. Each partner should participate in its development and recognize that no details are too small for consideration. This is the opportunity to cover the broad and specific array of matters that pertain to the collaborative's agreed-upon approach to serving youth.

The program initiative should be explained through a document that at a minimum covers:

- the mission and strategy for the initiative;
- core beliefs and assumptions about the initiative;
- a targeted audience to be served;
- detailed activities for implementing specific program functions;
- expectations and desired outcomes;
- other potential allies, funders and partners;
- a realistic budget;
- staffing needs and assignments; and
- an evaluation plan and feedback mechanisms.

Each partner needs to approve the initiative document before any specific actions are taken. They also need to fully embrace the philosophies and ideas that underlie the basic program approach.

Operating and Managing the Collaborative

Operating and sustaining a partnership is not easy. David LaPiana, in *Real Collaboration: A Guide to Grantmakers*, notes that

“Real collaboration is painful and difficult to achieve. Most often, there will not be many happy collaborators in the early going. Conflict and stress, because they can be byproducts of engagement, are often healthy signs in a collaborative; they are much preferable to distance and lack of engagement.”^{vi}

Just as a collaborative needs a well-defined program initiative or model to represent its proposed course of action, it also needs a formalized process and plan for how to operate on a collaborative basis. Such a plan should be crafted at the outset and address a number of issues upfront about how the collaborative will operate in implementing the program initiative. There are many ways to craft such a plan. The seven items below are illustrative of the type of matters that should be detailed upfront as clearly as possible.

- A governance structure: who is involved, who is informed and how decisions are made;

- A conflict resolution process: procedures for identifying and agreeing on problems and the methods for resolving them;
- A program activities' framework: determining work roles and responsibilities of collaborative members;
- An activity flow chart: identifying how activities are conducted and how participants will be served;
- A milestone and time schedule: identifying key achievements and due dates;
- A monitoring and communications strategy: reviewing and reporting on program progress; and
- An accountability system: measuring performance and outcomes.

Determining the details of each of these matters will depend on the partnership arrangement. Some collaboratives, particularly in the private sector, create an entirely new organizational entity to carry out the goals and activities of a partnership. This is less common in the public sector as organizations involved in collaboration typically see their efforts as a component of their ongoing operations. Such efforts, however, still require some degree of formalized management and operational processes.

The use of more formalized management processes and tools should involve both the leadership and staff of the collaborating organizations. The staff is important since they are the ones who will be working on a daily basis to implement the activities of the program initiative. The leadership has to be involved as they have ultimate responsibility for achieving the expected outcomes.

As with the program model, the agreed-upon management processes and tools need to be captured on paper. Some call such a document a memorandum of understanding or agreement (MOU/MOA), while others refer to it as an operational plan. No matter which term is used, both groups have to sign off on the contents of the program and agree to conduct activities according to prescribed procedures. Agreeing to what is put on paper, however, does not necessarily result in the desired procedures actually being implemented and followed. Steps must be taken to monitor progress on an ongoing basis and to make adjustments if things are not adequately moving forward.

Other Issues Impacting the Operations of a Collaborative

In any new collaborative arrangement, it takes time to learn about partners and develop effective working relations. This is particularly true with program initiatives serving disadvantaged youth, given the number of issues, needs and opportunities that might emerge. Partners have to develop an effective understanding of both the program initiative and the specifics of working together in a collaborative. This breaks new ground for most collaboratives.

As the ultimate goal of the Shared Youth Vision is to improve outcomes for the most vulnerable youth, the collaborative must think through the details of specific activities and services that will impact youth. Partners, understandably, will bring different philosophies, approaches and even legal requirements to an initiative. The challenge and necessity is to understand and reconcile these differences. At the state level this can be as basic as reconciling different eligibility

requirements in order to pursue an initiative focusing on a targeted group of youth. It is more challenging at the local level where efforts are being taken to provide services to the young people. For example, different agencies and programs that agree to work together may have varying approaches to deal with youth who fail to adhere to participation requirements such as attendance. Some may rely on incentives to encourage positive participation while others may solely use some form of sanctions. Partners must sort through these variances and come to agreement on how they will operate. Consensus and guidance on such matters should be developed early on and reflected in the collaborative's operational or management plan.

As a collaborative develops and moves forward, several important issues deserve specific attention in order to achieve effective project management. These include:

- *Inter-Organizational Communication:* It is important that partners establish routine procedures for sharing information, particularly in local collaboratives that are engaged in directly serving youth. Such efforts should include each organization's executive leadership, program managers and line staff. Obviously, the level of engagement varies according to the degree of involvement in the initiative. It is not unreasonable for line staff to meet weekly to review program efforts, which can include activities such as participant recruitment and performance. This is a chance for each organization's staff to communicate directly and work together to address issues as they arise. Program managers need to stay informed and know how all staff are doing in their basic responsibilities. Monthly or biweekly management meetings may be appropriate. Involving the executive leadership on a periodic basis (e.g., quarterly) is important so they can understand whether the overall initiative is progressing as expected. Their involvement can also help elevate the importance of the initiative and perhaps provide the motivation to move things along in a more efficient and effective manner.
- *Decision-Making:* While partnering organizations are inclined to consult with one another on major issues such as funding and key programmatic functions, joint decision-making on specific matters can be equally important. This can include issues such as selecting individuals for program participation and determining the status of poorly performing participants. Winer and Ray note in their *Collaboration Handbook* that there are five styles of decision-making: autonomous, consultative, consensus, democratic and delegated. They further note that each style has its benefits and limitations within a collaborative. The key thing for any collaborative, however, is to establish a decision-making protocol that "details the types of decisions, who makes these decisions, and what level of decision each person or group can make in a given situation."^{vii}
- *Transparent Reporting:* Information is essential for good project management. Because collaboratives typically operate outside the mainstream of standard organizational activities, steps must be taken to develop monitoring and reporting procedures that produce timely and important information. This information must be available to all partner organizations and include all activities even if only performed by one partner. For local efforts involving participants, this should include such things as documenting

applicant flow through the recruitment and selection process as well as completion and outcome data on participants. Unfortunately, much of this can get fairly complicated since varying groups and organizations may have different ideas on what needs to be reported on and how it should be done. The complexity can even extend to agreeing on definitions such as what constitutes an enrollment in a program (e.g., acceptance into a program, attendance at first day, or attendance through the first week). Reporting should also include things such as minutes from meetings.

As noted earlier, operating a collaborative is an intensive and time-consuming affair. It should be done only when all agree that the benefits of working together will exceed the costs of doing so. In some instances, a collaborative benefits from the involvement of another party that cares about goals and outcomes, but does not have a financial or activity stake in the venture. This neutral entity can provide a brokering or facilitating role that helps keep the partners focused in a positive and constructive direction. This entity can also focus its attention on ensuring that the basic elements of a collaborative—a sound program model and operation plan—are in place and are being effectively utilized by all involved.

Supporting Collaborative Initiatives

There is much to be learned about how public resources can be used to better serve the nation's most disadvantaged youth. There is even more to learn about how to do this through a collaborative effort that involves diverse agencies and institutions at the state, local and community levels. The logic of integrating the efforts of multiple agencies to work together is sound; growing evidence of successful endeavors provides motivation for moving in this direction.

It is important to acknowledge that the actions taken during both the conceptual development and operations of a collaborative can influence its success. All engaged partners should be mindful of what they do—or don't do. As such, partners may want to consider eight suggestions or principles to guide their actions:

1. Don't Force a Collaboration.

As David La Piana notes, "Real collaborations are voluntary. Partner organizations should come together because they perceive potential synergies and benefits for their constituencies."^{viii} Partnerships that form due to extraneous reasons—a unique funding opportunity for example—run the risk of never fully committing to a joint undertaking. They also confront the possibility of failing to recognize that the efforts and strengths of multiple organizations will bring better results than the effort of any single entity. Forced marriages rarely succeed.

2. Acknowledge the Challenges of Collaboration.

Partnering organizations are understandably reluctant to acknowledge that they may face challenges in implementing an initiative that is developed and operated through a collaboration. All parties would be better served by agreeing upfront that developing and operating a collaborative focused on disadvantaged youth will not be easy from both a substantive and a

management perspective. The chance for success can be greatly enhanced if resources are available at the outset to help develop the partnership structure and program initiative. In fact, partner organizations might well benefit from using nonaffiliated outside expertise to guide such efforts.

3. Commit to Upfront Planning.

No collaborative should get underway without a fully articulated program initiative and a sound operational plan for managing the effort. All partners would be well advised to invest in developing these efforts through an initial planning phase of perhaps six months. Outside expertise might be accessed at this point to assist the partners in carrying out their plans. It is important, however, that the final products are not just a compilation of well-written ideas and activities but reflect the beliefs and commitments of the partners on how they will proceed and work together.

4. Implement the Mission and Strategy as Planned.

Long-term success and the ability to learn about the progress of program efforts and activities depend on the ability to observe what is being done and how it is being implemented. That necessitates a clearly defined mission and strategy that are, at least initially, implemented as planned. This means sticking to the identified target group and the approach designated for serving them. In essence, each collaborative might best be viewed as a unique program initiative that is demonstrating the best way to serve disadvantaged youth.

5. Allocate Adequate Staff to Effectively Implement an Initiative.

As repeated throughout this piece, developing and implementing a collaborative is challenging. Such an effort cannot be left to junior staff; senior level staff are needed to lead and guide such an effort. As such, partners in a collaborative must be willing to assign competent and committed staff to the collaborative or be willing to secure new staff that have the appropriate capabilities and experience. Collaboratives also need at least one senior staff person who will be responsible for seeing that all activities are conducted as intended, including activities conducted by partnering organizations. This is likely a full-time job.

6. Monitor and Track Progress from the Start.

Effective program implementation requires that all interested parties must stay informed on how the program initiative is progressing and be prepared to intervene in a constructive way to ensure that challenges and problems are addressed as they arise. Simply put, collaboratives must be open to learning new things and modifying activities as a program initiative develops and matures. This requires some level of management oversight that monitors and tracks program activities as well as determining that the operational plan is being implemented as promised. Such a function can be conducted by staff of the collaborative or by an outside party. No matter the approach, the executive leaders of the collaborating partners have the responsibility to assess progress and take the necessary steps when things are not progressing as expected.

7. Let Unsuccessful Partnerships Die.

It must be well understood that not every collaborative will succeed: the collaborative may not work well or the program initiative may not be effective. All partners are best served by allowing the collaborative “to fail, to die or simply fade away.”^{ix} To do otherwise will likely result in a great deal of wasted energy and resources. It should be recognized that every failure likely contains important lessons that can inform current and future efforts. It is important to capture these lessons before staff and the structure entirely disappear.

8. Use the Collaborative to Tackle More Systemic Issues.

The Shared Youth Vision is important because of its commitment to bring various partners together to better serve disadvantaged youth. Because developing and sustaining a collaborative can require intensive work, it is important not to lose sight of the fact that the ultimate goal is to find better ways to serve youth. Attention should be given to how the program initiative, particularly pilot efforts, can reach scale and be replicated in other places, and most importantly, how the experience can be used to foster reform within and across federal, state and local systems.

Conclusion

The inherent risks and disappointments associated with any collaborative should not reduce the interest or support in moving forward. The opportunities and benefits from multiple institutions working together are very real, as is the need to find better ways of serving the nation’s most disadvantaged youth. Efforts to support these initiatives must continue and move forward so that more successes can be realized. Bringing more substantive expertise and managerial rigor to the process of developing and operating collaboratives is an important step that can lead to sounder partnership arrangements. It also is a step that can lead to better outcomes for youth.

ⁱ Austin, James. 2001. *The Collaboration Challenge: How Non-profits and Businesses Succeed Through Strategic Alliances*. New York: The Drucker Foundation.

ⁱⁱ Winer, Michael and Ray, Karen. 2000. *Collaboration Handbook: Creating, Sustaining and Enjoying the Journey*. Saint Paul, MN: Amherst H. Wilder Foundation.

ⁱⁱⁱ Ibid., 23-24.

^{iv} Center for Development Information and Evaluation. 2001. *Designing and Managing Partnerships Between U.S. and Host Country Entities*. Washington, DC: US Agency for International Development.

^v Ibid.

^{vi} La Piana, David. 2001. *Real Collaboration: A Guide to Grantmakers*. New York: Ford Foundation.

vii Winer, 88-89.

viii La Piana, 5.

ix Ibid., 22.

Appendix V
Youth Vision Partnership
Goals, Outcomes and Indicators
10/26/06
Draft

Goal 1: To provide technical assistance to states/local partnerships to create needed infrastructure for implementing the youth vision.

Outcome: All 16 states attending the youth forums are receiving technical assistance to submit a proposal and/or pilot an infrastructure during 2007.

Indicators:

- ❖ Solutions desk is operating October 2006, utilized by states and effectively assists states with policy and content questions in a timely fashion.
- ❖ Solutions desk evaluations reflect that it is seen as a valuable asset.
- ❖ Funding for School & Main Institute to provide state level youth forum for creating the infrastructure is secured and used by states requesting assistance.
- ❖ List is developed and distributed to state/local area partnerships with each Federal partnership agency's program year funding opportunities.
- ❖ ___% of state/local area partnerships apply for funding and use language reflecting youth vision partnership.
- ❖ States take advantage of TA provided by agencies to support youth vision: e.g. internet resources, related-PEP TA, published documents. (list available?)

Goal 2: The Federal youth vision partners are engaged and collaborating on issues related to the targeted youth populations.

Outcomes: In 12 months, the group is still working together, the number of partners has expanded and each agency has assigned resources to the partnership.

Indicators:

- ❖ The tasks on the work plan are accomplished in a timely fashion.
- ❖ HHS FYSP is an active partner.

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- ❖ Each agency's expected outcomes and reasons for participating in the Federal partnership are articulated and reviewed routinely to check progress on achievement.
- ❖ Senior officials from all participating agencies are engaged.
- ❖ More staff from each participating agency are working on partnership tasks.
- ❖ Interagency agreements reflect support of the partnership, integrated plans for achievement of partnership goals and type and level of resource commitment for achieving goals.
- ❖ Partner agency program decisions reflect collaboration/partnership principles (need to develop the principles).
- ❖ Partners are using youth vision language in their agency SGAs.
- ❖ Several partners submit a joint SGA by supporting it with individual agency funding.

Goal 3: The Youth Vision Partnership/Collaboration is replicated.

Outcome: At least ten states are creating a state/local partnership during 2007.

Indicators:

- ❖ 10 states submit approved proposals that meet the stated criteria, with all 16 submitting proposals.
- ❖ 16 states are participating in TA activities.
- ❖ 6 states which didn't receive funding in first round are working with federal partnership to improve proposals.
- ❖ Other states are inquiring about how they can participate.

Goal 4: Partners identify and implement a shared research agenda.

Outcomes: Joint effort to impact positive results related to serving youth targeted in the White House Task Force Report through the Shared Youth Vision state pilot projects.

Indicators:

- ❖ Agencies contribute funding to initiate an evaluation of the pilot project.
- ❖ Encourage pilot areas to engage nearby universities to help with research.

- ❖ Partners begin to identify research needed and contact potential funders.

Goal 5: Partner agencies are effectively serving more youth who are targeted in the White House Task Force Report Findings by carrying out the Shared Youth Vision state pilot projects.

Outcomes: During 2007, each agency partner has stated goals to improve performance in several key areas such as increasing the receipt of multiple services; increasing the number of program completers, increasing the number of youth entering employment, decreasing the number of adjudicated youth.

Indicators:

- ❖ Partnership agrees on the key areas.
- ❖ Each agency establishes goals for improvement in those areas.
- ❖ Partnership develops a reporting mechanism to jointly examine outcomes and performance in those areas.