

# Kentucky One-Stop Certification System:

*Implementation  
Framework  
and Process*

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August 16, 2011



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# Kentucky One-Stop Certification System: Implementation Framework and Process Recommendations

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## INTRODUCTION

This document contains the Core and Steering Teams' recommendations for implementation of Kentucky's One-Stop Career Center certification system. The recommendations seek to provide a clear framework and path forward for the implementation of Kentucky's certification system, and to offer a timeframe for implementation that sets a high bar but is simultaneously realistic about needs at various stages of the implementation process. The Team's recommendations further seek to create an implementation framework that engages all partners in Kentucky's One-Stop Center system, at all levels of the system, from the Kentucky Workforce Investment Board (KWIB) level to the front-line One-Stop Center service delivery level.

It is important to be clear that this system of foundational and continuous improvement standards that has been developed for full-service and affiliate Centers in the areas of employer services, job seeker services, and Center management is intended to serve as the foundational standards for all of Kentucky's Local Workforce Investment Boards (LWIBs). That is, these standards make up the "core" set of standards that all LWIBs will use for certifying Kentucky's One-Stop Centers, and are designed to ensure a level of consistency in Centers across the Commonwealth. However, Local Boards, which are charged with reviewing and certifying Centers in their workforce areas, may certainly add additional and/or higher foundational and continuous improvement standards to these foundational standards in order to flexibly address local and regional goals, priorities, and areas of interest.

Further, while it is envisioned that the process for certifying of One-Stop Centers will be implemented and overseen locally, by the LWIBs, the Core Team has identified several areas in which it feels the Commonwealth could play supporting roles that are critical to certification system implementation and to the ongoing certification process itself. The Core and Steering Teams recognize that Local Boards and Centers themselves also have roles to play in supporting the following areas:

- ❖ Providing support for Commonwealth-wide education and outreach efforts to build understanding and support for the certification system among all One-Stop system partners, at all levels of the system;
  - ***Please note that Core Team members are eager to support outreach and education activities by serving as "champions" of the certification system. In order to do so effectively, they have requested assistance with the development of outreach and communications materials, such as a template PowerPoint presentation, messaging/talking points, and certification system FAQs.***
- ❖ Helping to identify a small cadre of Center Review Team members that could serve as impartial reviewers of Centers outside of their own local workforce areas (in addition to the "local" Review Team members that LWIBs will recruit from within their workforce areas);





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- ❖ Coordinating the delivery of basic training on the certification standards and process;
- ❖ Assisting in the development of any tools and resources needed by Centers and Certification Review Teams, such as a Center self-assessment tool, a Center review protocol tool, and a Center on-site review instrument;
- ❖ Creating a central repository online that would serve as the “warehouse” for all certification-related materials and resources;
- ❖ Coordinating certification incentives, rewards, and technical assistance for Centers; and
- ❖ Implementing any necessary adjustments to the certification system and process for continuous improvement over time.



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## 1. Definition, Types, and Levels of Certified One-Stop Career Centers

There will be two types of certified One-Stop Centers:

1. Full-service (i.e. “comprehensive”), and
2. Affiliate.

Centers that do not meet the requirements for either full-service or affiliate certification will not be eligible to receive any designation of certification. While the Core Team recognizes that Kentucky’s One-Stop Center system includes “access points,” such as public libraries and community-based organizations, as well as “stand-alone” (i.e. single-partner) offices, it does not recommend that these types of offices be eligible to be certified under this system. The Core Team has a keen interest in incentivizing Centers across the Commonwealth to work to achieve affiliate or full-service certification status.

### Full-Service Centers

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To be certified as full-service, a Center must meet all (100%) of the foundational standards for job seeker services, employer services, and Center management.

Centers that achieve all of the higher continuous improvement standards will presumably be eligible for additional recognition and rewards.

### Affiliate Centers

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Centers that do not meet all of the foundational standards for job seeker services, employer services, and Center management may be eligible to be certified as affiliate Centers. To be certified as affiliate, a Center must meet certain minimum criteria for employer services, job seeker services, and One-Stop Center management standards. These criteria are outlined in a separate companion document.

Affiliate Centers are established based on the characteristics of the local area and on available resources. Affiliate Centers may serve rural areas or areas with smaller/less dense populations, and may seek to accommodate differences in partner availability, resources, and staff or other capacity.

## 2. Certification Duration

Once certified, a Center carries its certification status for three years before the next certification period begins. Centers will be required to conduct a self-assessment against certification requirements at the mid-point (i.e. 18 months) of the certification “life.” Local Workforce Investment Boards will be responsible for ensuring that all certified full-service



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and affiliate Centers within their workforce areas conduct a self-assessment at the certification mid-point and act accordingly on self-assessment results (which may include obtaining technical assistance support from the Commonwealth).

A key principle expressed in the certification standards is that Centers will conduct ongoing self-assessment in order to identify any needs for improvement and respond appropriately. Accordingly, throughout the three-year certification period, Centers will be expected to self-monitor against the standards and quickly address issues such as customer complaints/poor customer feedback; poor performance against shared Center goals; and loss of partners/programs from the Center.

### **3. Certification Authority**

Local Workforce Investment Boards have the authority and the responsibility for certifying One-Stop Centers in their local workforce areas, whether full-service or affiliate. Local Boards will also have responsibility for assembling Certification Review Teams to review Centers in their workforce areas that are applying for certification. Center Certification Review Teams are discussed further in Section 5 on page 9.

### **4. Center Self-Assessment Process**

The Core Team is recommending that the certification process include a pre-application phase for Centers to conduct self-assessments against the certification standards and measures. Self-assessment is one of the most important and productive components of the certification process, as it serves multiple purposes beyond assessment alone. It creates an opportunity to bring all One-Stop system partners together to engage in meaningful dialogue and exchange, and thus serves as a learning and education activity for Center partners. As they engage collaboratively in the self-assessment process, partners should take the opportunity to fully map Center services and resources and identify areas of duplication and inefficiency to address. Self-assessment results also serve as the basis for the Center's "corrective action" and continuous improvement planning prior to entering the certification application process. At the Commonwealth level, Centers' self-assessment results could be aggregated to identify common and widespread areas of need and then prioritize statewide technical assistance support accordingly.

The Core Team envisions the self-assessment process as a thoughtful and comprehensive effort – not a “check the box” exercise – but does not want the self-assessment process or the self-assessment tool to be cumbersome. The self-assessment tool itself, which needs to be developed, should obviously map clearly to the certification standards and measures for employer services, job seeker services, and One-Stop Center management, and should provide the basis for the review instrument used by the Certification Review Teams. In addition, it will need to address the different requirements for full-service and affiliate Center certification. It should include examples of “evidence” or documentation that Centers should look for to determine whether they have achieved the standards. It should





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also include areas for recording technical assistance needs and plans and action steps for improvement.

The Steering Team has expressed its interest in enlisting a sub-set of the Core Team to help in the development of the Center self-assessment tool. The Steering Team also wants to ensure that all One-Stop system partners are able to provide input on the tool before it is finalized. The Core Team has also recommended that the draft self-assessment tool, once it is developed, be piloted in two Centers as part of the implementation process. Ideally, the tool would be piloted with a larger/more urban Center that would be likely to apply for full-service status and a smaller/more rural Center that would be likely to apply for affiliate status. Pilot results would then inform any adjustments or enhancements needed to ensure the usefulness of the self-assessment tool.





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### 5. Certification Application, Review, Recommendation, and Approval Processes

The Core Team recommends that implementation of Kentucky's One-Stop Center certification system be a phased effort that takes place over the course of two years, beginning on October 1, 2011 and rolling out in alignment with the fiscal year calendar (October 1 – September 30). The suggested implementation phases and timeframes are as follows:

- ❖ Year 1 – Baseline/Self-Assessment Year (October 1, 2011 – September 30, 2012): Outreach, education, and training; Centers conduct self-assessment against the standards; Centers apply for and receive any necessary technical assistance to help them meet the standards. This is also the timeframe for LWIBs to begin adopt the foundational standards and develop higher or additional standards, at their discretion.
- ❖ Year 2 – Standards Adoption Year (October 1, 2012 – September 30, 2013): Throughout Year 2, LWIBs and Centers will begin to implement the certification standards and process according to their readiness. LWIBs will not be required to implement Center certification exactly on October 1, 2012. Rather, they may take any additional time they need during Year 2 to adopt the foundational standards, develop additional standards, train their Review Team members, etc. However, all LWIBs will be expected to adopt the foundational standards, as well as any additional standards they create, and be positioned to begin certifying their Centers no later than September 30, 2013.

The remainder of this section discusses the proposed processes for Centers to apply for certification, for Certification Review Teams' review of Centers, and for LWIBs' granting of certification to Centers (all in the Year 2 Standards Adoption Year). Because of the diversity among local workforce areas and Local Boards, these processes may vary across the Commonwealth. However, this broad process framework is offered as a guide to assist certification system stakeholders during Year 2.

Please see the certification preparation and application/review timelines at the end of this document (pages 18 and 19) for a concise rendering of recommended system implementation phases and timeframes.

### Intent to Apply for Certification

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For reasons discussed further below, the Core Team recommends that Centers have the opportunity to apply for certification during two "windows" each year, in April and October. In order to help Local Boards anticipate the number of Centers that might be applying during either of these two certification cycles, and to assemble and staff an





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appropriate number of Certification Review Teams, the Core Team recommends that Centers be asked to submit notification of their intent to apply for certification in an upcoming cycle to their LWIBs. Centers that intend to seek certification in the cycle beginning in April would be asked to submit their intent to apply no later than March; Centers intending to seek certification in the cycle beginning in October would submit their intent to apply no later than September.

If, after submitting its intent to apply, a Center decided not to pursue certification in that cycle, it would simply need to withdraw its notification or otherwise notify its LWIB, and would not be penalized.

### **Certification Application Package**

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The Core Team recognizes that because Local Boards will oversee the Center certification application and review processes, they may set their own requirements for the components of Centers' certification application packages. However, the Core Team has developed the following recommendations regarding the application package.

The Core Team feels strongly that that, following submission of their intent to apply for certification, all Center partners should work collaboratively to develop their certification application package. In order to request a certification application review, a Center should submit, at a minimum, the following components to its LWIB:

- a. A completed certification application request, jointly signed by locally-determined designees of all Center partners (it is desired that the application request be a writeable, online form);
- b. A functional Center organizational chart; and
- c. The complete results of the Center's pre-certification self-assessment, which should include any relevant discussion of how any deficiencies identified during the initial self-assessment have been addressed in advance of the certification review.

Centers should also be encouraged to submit any additional material that may assist the Review Team in its preparation for the certification review as part of its certification application package. Submitting additional relevant materials increases the amount that the Certification Review Team can accomplish prior to the on-site visit and thereby increase efficiency and production while on-site. It will also reduce Review Teams' pre-visit desk review burden and enhance their familiarity with Centers and their local workforce areas. These materials may include the Center's strategic plan, business/operations plan, a sample of recent employer and job seeker customer feedback, and/or other documents.

The Core Team strongly recommends that the process for submitting the application package to the LWIB be electronic, rather than paper-based.



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### **Certification Application Process**

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In order to best organize and manage the certification review process and minimize burden on Centers and on the Certification Review Teams, the Core Team recommends that applications for Center certification be accepted two times a year, ideally in April and in October. (Should LWIBs wish to accept certification applications in months other than April and October, the Core Team asks that they ensure that One-Stop Centers have at least two opportunities per year to apply for certification.) This creates a predictable schedule that all stakeholders can anticipate and prepare for appropriately. It also gives Centers that apply for certification but do not successfully obtain it an opportunity to work on improvement and then re-apply without having to wait an entire year.

It is also recommended that the certification application process discussed below take place after the Centers conduct a formal self-assessment, receive any needed technical assistance, and have had the opportunity to take any necessary additional actions to prepare for certification.

- a. The One-Stop Center submits its intent to apply for certification to its LWIB.
- b. The Center submits its certification application package, discussed above, to its LWIB. The LWIB reviews the application for thoroughness and completeness, and requests any needed additional information from the Center.
- c. The LWIB then assembles and assigns a Certification Review Team (see Team composition and selection discussions, below) to conduct the Center's certification review.
- d. The LWIB works collaboratively with the Center and the assigned Certification Review Team to coordinate a certification review schedule (includes pre-visit desk review as well as on-site review) that is agreeable to all stakeholders in the process.

### **Certification Review Teams**

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#### ***Composition of Teams***

Broadly speaking, the Core Team feels it is important that Certification Review Teams be made up of stakeholders that represent key partners in the One-Stop Center system; management and staff from various levels of the One-Stop system, “boardroom to mailroom”; and individuals with interest and expertise in employer services, job seeker services, and One-Stop Center management. The Core Team recommends that each Certification Review Team be limited to approximately five members, in order to keep Team size manageable.

Local Workforce Investment Boards will be responsible for recruiting Center Certification Review Team members and staffing and assigning individual Review Teams for Center reviews. The Center Certification Review Teams should include a combination of members from inside and outside the local workforce area of the Center being reviewed – a hybrid model that balances and maximizes local investment and engagement and impartial, “third-



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party” review. LWIBs may appoint local area members of their choosing to Certification Review Teams, be they LWIB members, Local Board staff, Center partner staff, and/or others. However, the Core Team also recommended, and the Steering Team agreed, that at least two neutral, external peer reviewers from other One-Stop Centers and/or LWIBs outside of the applying Center’s local workforce area be included as members of Review Teams. Including these external peer reviewers is designed to enhance impartial and objective review; bring fresh perspectives and insights to the Center review process; and facilitate knowledge exchange and professional development across the Commonwealth.

The proposed selection process for Certification Review Team members is discussed in the section that follows.

***Please note that members of the Core Team have expressed strong interest in serving as Certification Review Team members, and feel that their engagement in the development of Kentucky’s One-Stop Center certification system and their familiarity with the system will be an asset to the Review Teams and to the Center review process.***

### **Team Member Selection Process**

As noted above, LWIBs have the authority and responsibility for recruiting and appointing Certification Review Team members of their choosing to Teams. These members may come from inside or outside of the LWIB’s local workforce area. However, all Certification Review Teams must include at least two peer reviewer members from outside of the workforce area of the Center being reviewed.

To support the recruitment of this cadre of outside peer reviewers, the Core Team recommends a joint state and local effort to nominate and select these Review Team members (similar to the process for assembling the Core Team itself). The Core Team recommends that One-Stop Centers throughout the Commonwealth, through their LWIBs, be given the opportunity to nominate potential peer reviewer Team members, and that the Commonwealth also appoint peer reviewer members of its choosing to Review Teams. In order to ensure adequate Center review coverage, it might be prudent to engage at least two peer reviewers from each local workforce area in Kentucky (for a total of 20 peer reviewer members).

When assembling their Center Certification Review Teams, LWIBs would then be able to draw from this cadre of outside peer reviewers, and would be able to select those peer reviewers that best meet their Review Teams’ needs for expertise in employer services, job seeker services, and/or Center management.

The Commonwealth, working with Local Boards, will need to determine the most efficient and equitable process for accessing members of this cadre of peer reviewers and assigning them to individual Center reviews.

### **Level of Effort**

Between preparation for the on-site Center review, the on-site review itself, and follow-up activities, it is estimated that Certification Review Team members could devote as much as 30-40 hours of work to each Center review (this estimate does not include time for training



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of Certification Review Team members). Given that level of effort, the Core Team recommends that LWIBs recruit a sufficient number of Review Team members to meet potential demand for Center reviews at any given time, and to ensure that Review Team members are not overburdened. Similarly, the cadre of external peer reviewers must be sufficient in number to meet demand for Center reviews. The recommended requirement for Centers to submit “intent to apply” notification is designed to assist Local Boards in gauging needs for Review Team staffing and capacity.

The Core Team also recommends that peer reviewer members of Certification Review Teams be asked to serve for a period of one year, so that multiple stakeholders throughout the Commonwealth have an opportunity to serve on the Teams over time, and to further reduce burden on these Review Team members (LWIBs will determine the “terms of service” for Review Team members from inside their own local workforce areas). The Core Team also suggests that peer reviewer Team members’ terms of service be staggered, so that each Review Team will include a combination of both new and more “seasoned” peer members. In this model, peer review members of the Certification Review Teams would be expected to participate fully in two cycles of Center review during their year-long tenure with the Teams, during the April and October certification application windows or in accordance with the LWIBs’ certification periods.

### ***Training for Review Teams***

A core concern is that the Certification Review Teams be well-trained, impartial, objective, fair, and consistent in their application of the standards over time. Ensuring “quality control” among multiple Review Teams Commonwealth-wide will be essential. To those ends, the Core Team feels that it is critical that Certification Review Team members receive basic training in certification system principles and objectives; the certification standards; and certification review and recommendation protocol, tools, and processes. In addition, the Core Team recommends that training for Review Team members also include some level of “One-Stop 101” education (as needed), as well as coverage of ethics and confidentiality expectations for Review Team members.

The Core Team discussed its ideas regarding how the training could be delivered most feasibly and effectively. The Team recommends a blended training model in which as much of the training as is feasible is completed online, and the remainder is delivered in-person. An additional key principle here is that training should simulate the elements of the actual desk review and on-site review processes to the fullest extent possible.



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### Certification Review, Recommendation, and Approval Processes

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The Certification Review Team will receive the Center's certification application package from the Center's LWIB with enough advance notice for it to review the package thoroughly and conduct expected supplementary research prior to its on-site Center visit. The LWIB be responsible for ensuring on-site review scheduling coordination between the Center and the assigned Review Team.

The One-Stop Center review and certification recommendation process should include the following principles and activities:

- a. The Certification Review Team should be responsible for conducting a desk review (based on the Center's application package) and supplementary research on the applying Center and its local workforce area in advance of its on-site visit. This desk review should be conducted within 30 days following receipt of the Center's certification application package.
- b. The Review Team's on-site visit should make up the majority of the certification review. The on-site visit and certification recommendation report should be completed within 30 days following the desk review. The Core Team expresses its wish that the on-site review be as minimally disruptive to Center operations as possible and that, if possible, the review take place in one full day (though the Core Team also acknowledges that the on-site review could require more than one day). The on-site review should include, at a minimum:
  - i. A "walk-through" of the Center, as a customer might experience the service delivery "flow;"
  - ii. Interviews with Center staff, including all Center partners and including personnel from the management level to the front-line service delivery level;
  - iii. Interviews with a sample of employer and job seeker customers;
  - iv. A review of the Center's general materials; outreach and orientation materials, media, and activities; workshop and meeting offerings; and Center calendar;
  - v. A review of the Center's facilities, layout, and infrastructure, with an eye toward customer accessibility and customer flow; and
  - vi. Any additional on-site review needed to validate status against the certification standards, including review of Center management policies and practices, training and professional development plans and activities, customer feedback mechanisms, etc.
- c. The Certification Review Team should meet immediately following the on-site review to come to consensus on its observations, identify any additional information required to make a certification recommendation, and define preliminary recommendations.



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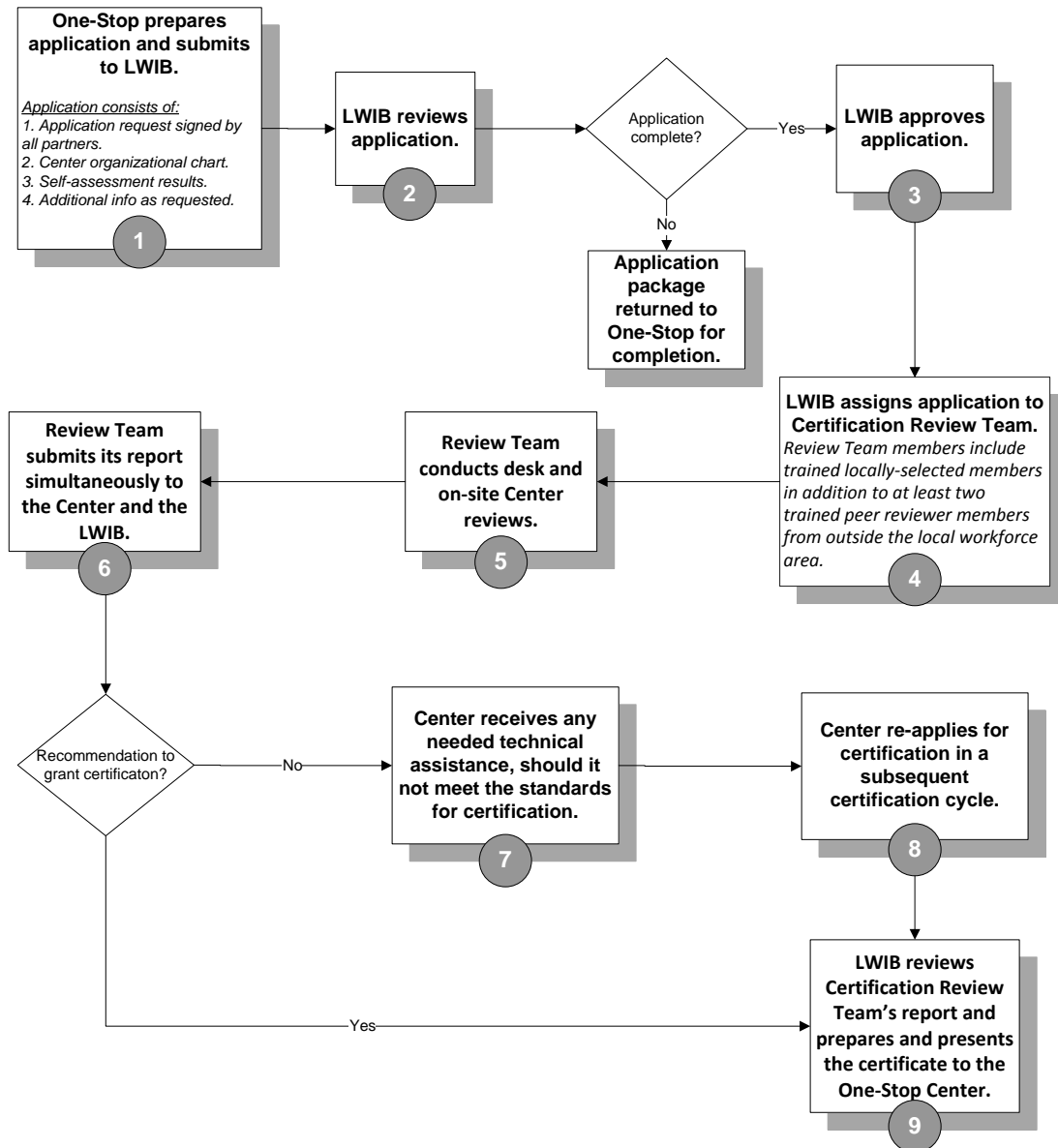
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- d. The Review Team should be prepared to conduct a de-brief/exit interview with key Center management and staff to share its findings and recommendations as quickly as possible. The Core Team noted its preference for an in-person de-brief on the day after the on-site review; however, depending upon travel needs and funding, the de-brief could potentially be held virtually. The chief concern here is that the Center be briefed on the Review Team's observations as quickly as possible following the on-site review.
- e. If the Review Team determines that it needs additional information or has follow-up questions, it should re-connect with the Center by phone or email as quickly as possible following the site visit.
- f. The Certification Review Team should collaboratively prepare its formal recommendation in writing immediately following the Center site visit, and submit that recommendation simultaneously to the Center and the Center's LWIB. The recommendation should be submitted no later than 30 days following receipt of the Center's certification application package and the on-site Center review.
  - i. The recommendation should include detailed and specific recommendations for improvement and technical assistance, should the Center not meet the requirements for certification.
- g. The LWIB should be responsible for considering the Certification Review Team's recommendations and deciding whether to grant or not grant certification. The LWIB's certification decision should be made and formally shared with the applying Center within 15 days following submission of the Certification Review Team's formal, written recommendation, or within 15 days after the next LWIB meeting, as is most feasible for the LWIB.
  - i. Because the Center certification review process is designed to support continuous improvement and to ensure the provision of needed technical assistance – giving Centers the support they need to achieve the standards – it is not expected that Centers will formally appeal LWIBs' certification decisions with any frequency. However, should a Center have a concern with the process followed by its LWIB in making a decision about Center certification, it would have an avenue for appeal to the KWIB (or the KWIB's state-level designee). It is important to emphasize that the KWIB would only be involved in an appeals process were a Center to question the LWIB's certification decision-making process; the KWIB may not "overturn" an LWIB's Center certification decision.
  - ii. Should a Center not meet the standards for certification, it may re-apply in the next certification cycle.





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### Center Re-Certification

Because the Core Team was focused on developing the recommended framework for implementation of Kentucky's One-Stop Center certification system, it did not spend a significant amount of time discussing the recommended process for re-certification of Centers following expiration of Centers' initial three-year certification. However, in broad discussions on this topic, the Core Team felt that the certification process described here would be the same one followed for Center re-certification. Further, the Core Team recommends that in order obtain re-certification, Centers should be required to demonstrate that they have achieved at least one of the continuous improvement standards. Finally, the Core Team recommends that prior to the first round of Center re-certification, the KWIB reconvene the One-Stop Certification Core and Steering Teams to re-examine the standards and measures and refresh them as necessary for purposes of



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continuous improvement; addressing changes in law, regulations, or policy; and other relevant areas.

### 6. Certification Incentives and Rewards

Kentucky will use incentives and rewards to encourage Centers to become certified and to continuously improve, and will encourage and support peer-to-peer and other types of technical assistance to assist Centers in achieving certification. The following incentives and rewards have been identified as important components of the One-Stop Center certification framework and process:

- ❖ Specific recognition for staff of certified Centers, in addition to recognition of Centers themselves:
  - Staff appreciation awards (bonuses for staff, paid time off, “award” items, etc.)
  - Identification of certification award on staff name badges
  - Employee of the month recognition
- ❖ Priority for incentive funding for certified Centers
- ❖ Priority consideration for special funding, grants, etc. for certified Centers
- ❖ Public acknowledgement of Centers receiving certification:
  - Commonwealth/LWIB recognition
    - Could include Commonwealth- or locally-hosted luncheons or other events
  - Media coverage and promotion of Centers
- ❖ Award Centers with new equipment, supplies, and/or resources, e.g.,
  - Faster computers; better furniture; LCDs/projectors; smartboards; Center renovations; marketing support; support for developing resources such as videos, materials, etc.
- ❖ Visible award in Center: plaque, window decal, banner, etc.
- ❖ Recognition of Center certification on Commonwealth and local websites

The Core Team recommends that Centers that attain foundational continuous improvement standards be eligible for additional recognition and rewards. The Commonwealth and Kentucky’s LWIBs should explore how to identify and reward Centers that attain higher continuous improvement standards as established by individual Local Boards (beyond the foundational standards).





### 7. Certification Technical Assistance

Centers and their local workforce areas feel strongly that technical assistance is a key need for both being able to meet foundational One-Stop Certification standards and being able to advance to the continuous improvement level. These technical assistance needs might be identified during the self-assessment period, the Review Team's visit, or at any other time.

It is strongly recommended that Commonwealth-level One-Stop certification technical assistance funding/resources not be allocated solely on a "first come, first served" basis or on a "flat" basis (i.e. each Center receives the same amount of funding). Rather, the Core Team recommends that technical assistance resources be distributed in large part on the basis of plans detailing need, based on the self-assessment, and on applications submitted by Centers/local workforce areas. The Core Team also recognizes that technical assistance is, in part, a local responsibility, and acknowledges that Centers and LWIBs have a responsibility to identify any available local funding and other resources that can be used to address technical assistance needs.

Desired methods and resources for technical assistance include:

- ❖ Training/funding for identified training needs: customer service, partner cross-training, career counseling/advising (e.g. Global Career Development Facilitator credential)
- ❖ Support for site visits from Centers that are achieving the standards, as well as site visits to those Centers
- ❖ Support for visits to high-performing Centers in other states
- ❖ Recommended strategies and resources for improvement and sharing of best practices
- ❖ Consultative assistance from internal partners as well as external resources: Help from the "inside," as well as help from the "outside," in meeting the standards
- ❖ Support for delivering services that Centers can't currently deliver themselves and for sharing resources to maximize offerings
- ❖ Distinguished Workforce Professional model: Commonwealth hires workforce experts to go on-site to consult with local areas/Centers for a limited period of "residence" (similar to the Distinguished Educator model)
- ❖ Support for customer flow analysis/consulting



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### 8. Certification System Phase-In Steps and Timeframe

The Core Team recommends that the phased implementation of the certification system begin no later than October 1, 2011, following presumed KWIB adoption of the certification framework in August 2011.

As discussed earlier in this document, it is envisioned that implementation of Kentucky's One-Stop Center certification system will be a phased effort that takes place over the course of two years, beginning on October 1, 2011 and rolling out in alignment with the fiscal year calendar (October 1 – September 30). The implementation phases and timeframes are as follows:

- ❖ Year 1: Baseline/Self-Assessment Year (October 1, 2011 – September 30, 2012)
- ❖ Year 2: Standards Adoption Year (October 1, 2012 – September 30, 2013)

The recommended timelines that follow depict: (1) the tasks and timeframes associated with preparation for implementation of the One-Stop Center certification system in Year 1; and (2) the tasks and timeframes associated with the actual certification application submission and review process.



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Revised  
Draft

## YEAR 1 IMPLEMENTATION TIMELINE

Tasks	Month:	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul-Sep
	<b>Development and Education</b>										
	<b>Develop:</b>										
	▪ Center self-assessment tool										
	▪ Center certification application										
	▪ Center review protocol, with review instrument										
	<b>Convene, educate, and garner buy-in from LWIB Chairs, Members, and staff; One-Stop Center Managers and staff; Co-located and non-co-located Partners:</b>										
	▪ Develop overview and other materials to gain buy-in of diverse audiences										
	▪ Implement outreach plan										
	<b>Review Teams:</b>										
	▪ Compile roster of Review Team nominees										
	▪ Certification Review Team training content/modules developed										
	▪ Train Certification Review Teams										
	<b>Pilot/Field Testing</b>										
	Pilot/field-test self-assessment tool and adjust tool accordingly										
	<b>Center Self-Assessment</b>										
	Self-assessment phase for One-Stop Centers begins										
	<b>Center Technical Assistance</b>										
	Technical assistance for Centers/Centers implement plans of action to meet certification standards										
	Month:	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul-Sep

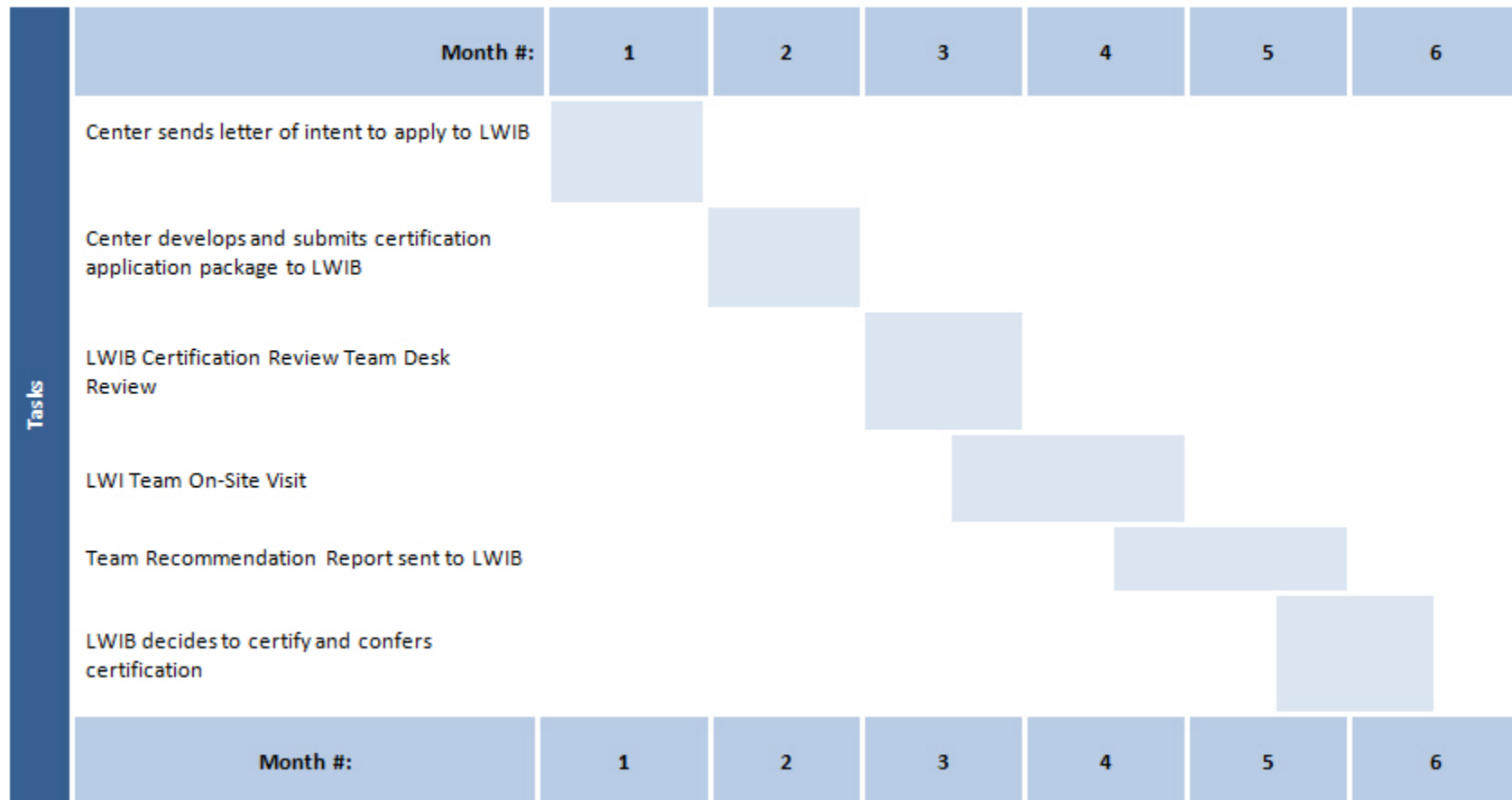




## Kentucky One-Stop Certification System: Implementation Framework and Process Recommendations

Revised  
Draft

### CENTER APPLICATION SUBMISSION AND REVIEW



## ADDENDUM

### Materials Core Team Requested for Development by the Commonwealth

There are a number of tools the Core Team recommended that the Commonwealth take primary (but not sole) responsibility for creating to facilitate the implementation process. These are discussed throughout this draft, and are summarized here. They fall into three broad categories:

- ❖ Materials to assist Core Team members, KWIB members, and others to build understanding and support for the Certification system;
- ❖ Materials to help Centers self-assess their readiness to go through the certification process, and to assist Certification Review Teams in actually carrying out their duties; and
- ❖ Materials to train Review Team members to carry out their responsibilities.

**Building Support:** The Core Team felt strongly that the Commonwealth provide support for building full understanding of the objectives and elements of the certification system. In a word, agency heads and others must get behind and champion the system and own the effort “vertically,” boardroom to mailroom.

While Core Team members understand that much of their own responsibility as certification system champions would be carried out organically in their day-to-day interactions with colleagues, supervisors, and partners, they also felt that their own efforts, as well as the efforts of others, would benefit from expert production of materials, presentations, talking points, and more as part of a planned, coordinated effort to build understanding and support. The Team recommends that multiple avenues to educating stakeholders be pursued, including meetings throughout the Commonwealth, virtual communications, and integration of the certification message in related activities.

The Team felt strongly about three particular aspects of materials and process development:

- ❖ Messaging must be consistent; that is, all stakeholders throughout the Commonwealth need to hear the same messages at about the same times in a well-planned and coordinated approach;
- ❖ The ability to demonstrate “What’s in it for me?” to various cohorts is key; and
- ❖ All communications should be clear, concise, easy to follow, and tailored for various audiences.

**Assessment Tools:** Page 5 of the “Implementation Framework and Process Recommendations” draft contains a detailed discussion of the self-assessment process and tool that Centers would use to assess their status against the certification standards and identify any needed technical assistance. The self-assessment tool needs to be developed, and should also provide the basis for the review instrument used by the Certification Review Teams.

The Core and Steering Teams wanted to emphasize that the tool should address the different requirements for Full-Service and Affiliate Center certification. It should include examples of “evidence” or documentation that Centers and Review Teams should look for to determine whether the standards have been achieved. It should also include areas for recording technical assistance needs and plans and action steps for improvement, whether those items become apparent during the self-assessment process or the review process.

**Review Team Training Materials:** Since it is important that the certification standards be applied uniformly and fairly, and that the certification process be carried out consistently throughout the Commonwealth, the Core Team emphasized that the Commonwealth should support the development of materials and processes for training Certification Review Team members. Details of those suggested materials may be found in the discussion on page 11 of the “Implementation Framework and Process Recommendations” draft.