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Eddie Baza Calvo, Governor of Guam • Ray Tenorio, Lieutenant Governor of Guam  
Denise R. Seik, Chairperson • Patricia D. Duenas, Vice Chairperson • Alfredo O. Antolin, Jr., Executive Secretary

April 14, 2014

Ms. Virginia Hamilton  
Regional Administrator  
U.S. Department of Labor  
Employment and Training Administration  
90 7<sup>th</sup> Street, Suite 17300  
San Francisco, CA 94103

**Re: Responses to Enhanced Desk Monitoring Review (EDMR) Findings**

Dear Ms. Hamilton,

Buenas yan Hafa Adai! On behalf of the Governor of Guam, please find the attached responses regarding Guam's EDMR conducted on December 9-13, 2013 by US DOL ETA officials and reviewers of Guam's WIA and Wagner-Peyser funded grants for the Agency for Human Resources Development (AHRD) and the Guam Department of Labor (GDOL). Responses and all relevant documents provided are from both AHRD and GDOL to findings that pertain to the agency and the department.

At the January 16, 2014 Guam Workforce Investment Board (GWIB) monthly meeting, Omnibus Resolution 2014-001 was passed by the Board. This resolution was a follow-up to the EDMR concerns and also covered:

- Amending Resolution 11-02 as it relates to fulfilling the WIA requirements under the newly defined American Job Center Partners (AJC) and establishing the Resource Sharing Agreement and amending the current Memorandum of Understanding to include the defined cost allocation plan for all AJC partners;
- Designating the AHRD as Operator of the AJC and approving the re-location of the AJC to the Bell Tower Plaza;
- Establishing the AJC Virtual One-Stop Integrated Case Management Workforce System and approving the qualified service provider (selection of Geographic Solutions, Inc.) for the AJC; and
- Recognition and acknowledgement of the EDMR concerns.

On February 1, 2014, both entities were in receipt of the EDMR Audit Findings report. The GWIB immediately launched a workforce strategy to prepare appropriate responses and corrective actions to the findings. An EDMR Response Workgroup was formed and the report was circulated to the AHRD & GDOL Administrators, GWIB Standing Committees and members.

Attached, you will find the outcome of this concerted effort by AHRD, GDOL and the GWIB.

We look forward to a favorable reply from US DOL ETA on the submitted responses regarding Guam's EDMR Findings. Should you have any questions, please feel free to contact me via email at [denise.selk@gmail.com](mailto:denise.selk@gmail.com) or [denise.selk@dol.guam.gov](mailto:denise.selk@dol.guam.gov)

Sincerely, '1



DENISE R. SELK

cc: The Honorable Eddie Baza Calvo, Governor of Guam  
Mr. Alfredo O. Antolin, Jr., Director, Agency for Human Resources Development  
Mr. Manuel Q. Cruz, Director, Guam Department of Labor  
Ms. Rosemary K. Cowan, Division Chief, Division of Workforce Investment  
Ms. Janice Shordike, Federal Project Officer, Division of Workforce Investment



# Guam's Response to the December 2013 Enhanced Desk Monitoring Review

U.S. Department of Labor  
Employment and Training Administration  
Region 6

*Submitted by the:*

Guam Workforce Investment Board  
710 West Marine Corps Drive • Suite 301, Bell Tower Plaza • Hagåtña, Guam 96910  
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## Overview

- Background
- Omnibus Resolution
- EDMR Findings

## EDMR Response Approach

- Ad-hoc Workgroup
  - EDMR Action Plan
    - Assigned Agency Repository POC
    - Assigned GWIB POC
      - ✓ GWIB Executive Committee
        - GWIB Standing Committees
    - Assigned Administrator
      - ✓ Workgroup appointment
    - Internal Workgroup Report
      - ✓ (5) Core Areas
        - Corresponding Thematic Areas
  - Review Phase - Based on the detail finding and description section provided in the EDMR Matrix. Each finding is assigned a reference number to ensure that each concern and subpart is addressed. This is followed by the supporting corrective measure or action as described.
    - Internal Review
      - ✓ AHRD
      - ✓ GDOL
    - External Review
      - ✓ GWIB
      - ✓ Governor
  - Corrective Action Statement: *All sections require the appropriate party or workgroup assigned to address this issue/finding by providing a situational context brief followed by the corrective action statement satisfactory to the finding.*
- Final Report
  - GWIB Resolution Adoption
    - Final Report Presentation and Adoption
  - Submittal to US DOL ETA

**EDMR Findings Thematic Area(s):**

- Board Governance
- Program Alignment - Workforce Investment Act (WIA) with Wagner-Peyser (W-P)
- Youth Program Responsibilities
- American Job Center (AJC) Operation
- Financial Cost Allocation

## EXECUTIVE SUMMARY

Guam's Workforce Investment Act (WIA) and Wagner-Peyser (W-P) funded grants Enhanced Desk Monitoring Review (EDMR) Sessions were conducted on December 9-13, 2013 via Webinar with US DOL ETA Officials and Reviewers for the Agency for Human Resources Development (AHRD) and Guam Department of Labor (GDOL). The purpose of the review was to determine the extent to which Guam's WIA and W-P programs, grant activities meet objectives, and operate in accordance with Federal requirements. The EDMR action taken by U.S. DOL ETA to perform the monitoring review had merit and recognized by the Guam Workforce Investment Board (GWIB) as a proactive measure to verify WIA and Wagner-Peyser programs.

The AHRD has been a visible partner in the WIA programming environment and serves as the coordinating and lead American Job Center (AJC) service provider. While noting the transitory period of the two agencies (AHRD and GDOL), the EDMR audit review unfolded during a relocation of the AJC to a new physical location, the Bell Tower Plaza. During this period, early findings of the EDMR provided an opportunity for both agencies to begin the immediate corrective action steps that align with the WIA provisions carried through the Guam Strategic Plan. In the future, the GWIB recognizes the need to emphasize increased oversight of the desired truly integrated AJC/Wagner-Peyser program and operation to ensure compliance.

While the GWIB recognizes the importance of the overall oversight role by the GWIB Board and the AJC partners, the EDMR report led to key operating deficiencies and findings related to operations and policies. Resolution of these findings will require an ongoing strong commitment from the GWIB and the AJC members. Some actions will entail working on addressing the missing elements of partnerships and critical cooperative elements that result in an effective WIA and AJC workforce system. Particularly critical, is the need for addressing the necessary workplace planning specific to qualified and highly trained supervisory staff to be responsible for oversight of the AJC operations. This will entail the development of the corresponding corrective action plan (noted in Guam's EDMR response) with the milestone dates. The continuing role of the AHRD agency as the AJC lead in close cooperation with the GWIB will be required to ensure that the corrective actions are made.

At the Guam Workforce Investment Board (GWIB) January 16, 2014 monthly meeting, Omnibus Resolution 2014-001 was passed by the Board. This resolution was a follow-up to the EDMR concerns and also covered:

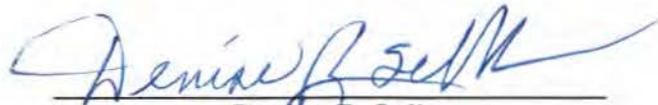
- Amending Resolution 11-02 as it relates to fulfilling the WIA requirements under the newly defined AJC Partners and establishing the RSA and amending the current MOU to include the defined cost allocation plan for all American Job Center (AJC) partners;
- Designating the AHRD as Operator of the AJC and approving the re-location of the AJC to the Bell Tower Plaza;
- Establishing the AJC Virtual One Stop integrated case management workforce system and approving the qualified service provider (selection of Geographic Solutions, Inc.) for the AJC;
- Recognition and acknowledgement of the EDMR concerns

The attached Guam EDMR Response consists of the EDMR findings. These are categorized by:

- WIA & W-P Design and Governance
- WIA & W-P Financial Management Systems
- WIA Service Design/Delivery
- Service Product Delivery

A summary of the EDMR findings for each of the areas above has been included in the final report. The EDMR findings have been summarized representing the WIA and WP prepared responses. The full report and details begins with AHRD responses and attachments followed by GDOL's responses, all for submittal to US DOL ETA. Recommendations have been developed via the use of the supporting GWIB approved resolutions to assist the AJC- AHRD and GDOL in facilitating improvements to the current AJC system. The GWIB acknowledges and truly appreciates the timely response from all levels and commitment to the sense of urgency to address the EDMR review findings.

**For the GUAM WORKFORCE INVESTMENT BOARD:**

A handwritten signature in blue ink, appearing to read "Denise R. Selk", written over a horizontal line.

**Denise R. Selk**  
Chairperson

## **EDMR Finding 1**

### **WIA/W-P Design and Governance – Leadership**

#### THEMATIC AREA(S): Board Governance and AJC Operation

*The GWIB is not performing certain Board-related activities. It operates both as a State and Local Workforce Board.*

#### **Background Brief:**

**AHRD** - Audit is based on activities conducted during the period July 1, 2010 through September 30, 2013. (PY2010, PY2011, PY2012 and 1<sup>st</sup> Qtr PY2013).

The GWIB follows the provisions of the WIA Title I requiring jurisdictions who receive WIA funds to develop a five-year strategic plan folding the above service delivery points. This comes with the inclusion of the W-P Act provisions as noted in 20 CFR 661.230.

GWIB has also adopted the implementation of the Statement of Work (SOW) and Eligible Training Provider List (ETPL) with Resolution 12-06 on August 3, 2012. The SOW spells out the program outlines, case management responsibilities and proposed outcomes.

At the January 16, 2014 GWIB monthly meeting, Omnibus Resolution 2014-001 was passed by the GWIB. This resolution was a follow-up to the EDMR concerns and also covered:

- Amending Resolution 11-02 as it relates to fulfilling the WIA requirements under the newly defined AJC Partners and establishing the RSA and amending the current MOU to include the defined cost allocation plan for all AJC partners;
- Designating AHRD as Operator of the AJC and approving the re-location of the AJC to the Bell Tower Plaza;
- Establishing the AJC Virtual One-Stop Integrated Case Management Workforce System and approving the qualified service provider (selection of Geographic Solutions, Inc.) for the AJC;
- Recognition and acknowledgement of the EDMR concerns.

On February 10, 2014, the Agency for Human Resources Development (AHRD) moved to the Bell Tower Plaza, Suite 301 located at 710 West Marine Corps Drive in Hagåtña and also relocated what is now known as the AJC, Guam (the former One-Stop Career Center). Other staff from GDOL such as W-P and SCSEP are also physically located at the AJC.

The Resource Sharing Agreement (RSA) was one of the findings in the EDMR report. AHRD has earnestly completed a draft RSA with a Cost Allocation Plan (CAP) for distribution to the AHRD Director, the GWIB Chair and members to provide comments and feedback. There may be a need for additional provisions in AJC policies.

With regards to the RSA, the ASO emailed GDOL requesting for some additional information to determine the percentage of costs for personnel at AJC who are from GDOL W-P and SCSEP, as information was needed to provide the staffing patterns.

On March 13, 2014, a meeting was held with the Governor's Chief Financial Advisor (CFA) with both entities, AHRD and GDOL regarding AJC operations.

US DOL ETA Regional office is eager to follow Guam's progress in providing services to the dislocated workers, the returning soldiers from Afghanistan. These individuals filed for Unemployment Insurance Compensation (UI) in the Ex-service Members (UCX) program.

### **Guam's Response to EDMR Finding 1:**

GWIB remains committed to fulfilling all of its responsibilities required under WIA for state and local workforce development needs. It will ensure each task identified in the following "Corrective Action Plan" is met, and all required actions are fulfilled. GWIB is also working in the development and continuous improvement of comprehensive state performance measures and assessing the effectiveness of the workforce investment activities in Guam.

#### *Corrective Action Plan (CAP) aligns to Strategic Workforce Plan Work Areas*

- |          |   |
|----------|---|
| CAP 1.1  | Monitor outcomes identified in Guam's Strategic Workforce Plan  |
| CAP 1.2  | Conduct evaluation of AHRD's administration and management of WIA Programs and GDOL's administration and management of W-P programs |
| CAP 1.3  | Development of linkages to ensuring coordination and non-duplicate services   |
| CAP 1.3a | Solidify linkages between AHRD and GDOL by executing Memorandum of Agreement committing to the administration and management        |
| CAP 1.3b | Execute revised Memorandum of Understanding with AJC partners that define level of service for each partner                         |
| CAP 1.4  | Prepare and submit the Annual Report to US DOL ETA Secretary of Labor.  |
| CAP 1.5  | Certify the selection of the AJC Operator   |
| CAP 1.5a | Develop criteria for One-Stop delivery system   |
| CAP 1.5b | Monitor and evaluate annually the One-Stop delivery system's performance  |
| CAP 1.6  | Selection of the youth program providers  |
| CAP 1.6a | Establish criteria for providers of youth programs  |
| CAP 1.6b | Identify eligible (training) providers of services for youth activities   |
| CAP 1.6c | Certify providers of youth services   |
| CAP 1.6d | Monitor and evaluate youth program providers service delivery   |

### ***Corresponding Work Areas***

Where appropriate, the established Strategic Workforce Plan Work Areas are:

-All applicable Work Areas

WA 101-110 Youth Training Programs:

WA 106 – Youth Talent Development

WA 108 – Classrooms to Careers

WA201-212 Adult Training Programs include:

- SCSEP (Senior Community Service Employment Program)

-Veterans

-Apprenticeship

-Ex-offender

-Women Training Program

WA 202 – Dislocated Worker

WA 203 – Incumbent Worker

WA 209 – On-the-Job Training (OJT)

WA 210 – Work Experience

WA 302 – AJC (OSCC) Partners

WA 308 – Education

WA 407 – Marketing and Outreach

The Workforce Partners have identified the following areas for improvement that apply to ALL WIA programs:

1. Marketing and Communication
2. Policy and Operations
3. Building Staff Capacity
4. Leveraging Resources

### **Supporting Documentation:**

1. **GWIB Resolution No. 12-06** – A resolution adopting the implementation of the Statement of Work (SOW) and Eligible Training Provider List (ETPL) Application
2. **GWIB Resolution No. 12-09** – A resolution endorsing the establishment of SOW provisions
3. **GWIB Statement of Work** (WIA Adult, Dislocated Workers & Youth Program)
4. **GWIB Omnibus Resolution No. 2014.001** – Follow-up to the EDMR concerns held during the week of December 9-13, 2013 by US DOL ETA of Guam's Workforce Investment Act (WIA) and W-P funded grants, inclusive of the labor market information
5. **GIWB Resolution No. 11-02** – A resolution designating the Agency for Human Resources Development as the Operator of the One-Stop Career Center
6. **GWIB Planning & Coordinating Committee Briefing Series 2013-006** – Relocation of Agency for Human Resources Development and AJC
7. **GWIB Planning & Coordinating Committee Briefing Series 2013-007** – Geographic Solutions, Inc.

8. **GWIB Resolution 13-01** – A resolution re-certifying the Eligible Training Provider Listing through the remainder of Program Year 2012
9. **GWIB Resolution 13-002** – A resolution relative to the approval of GWIB Policy No. GWIB-13-001, WIA Title 1B – Eligible Training Provider Process
10. **GWIB Resolution 13-010** – A resolution relative to the approval of Eligible Training Provider Listing and Certification
11. **GWIB Policy Briefing** – WIA Title 1B Eligible Training Provider Process, GWIB-13-001

**GDOL** – No response provided.

## **EDMR Finding 2**

### **WIA Design and Governance – Service Design**

#### THEMATIC AREA(S): Board Governance

*The Guam Workforce Investment Board (GWIB) has not had an active Youth Subcommittee; a requirement of the workforce system is the Youth Council.*

#### **Background Brief:**

**AHRD** - Micronesian Youth Services Network (MYSN) Resolution – Documentation will show that Resolution 08-14 was adopted by the GWIB on July 30, 2009. Although this period was prior to the program years covered in the EDMR Audit, it is evidence that the Board was determined to identify supporting increased economic opportunities for Guam residents in collaboration with nongovernmental organizations as a strategic goal of the Transformation Plans of Work, partnered with other youth organizations. This was a Resolution endorsing the partnership between GDOL and AHRD and in this resolution, the Board recognizes the efforts of the MYSN as committed to improving youth and family services in the Micronesian region.

The GWIB Youth Standing Committee has been tasked to address working toward establishment of Youth Council. Youth subcommittee meetings were held during the period covered by the audit, but it has been sometime since the Youth Subcommittee languished and just a few Subcommittee meetings were held in 2013.

#### **Guam’s Response to EDMR Finding 2:**

The GWIB acknowledges its responsibility in ensuring the establishment of the Youth Council. It will ensure each task identified in the following “Corrective Action Plan” is met, and all required actions are fulfilled.

#### *Corrective Action Plan (CAP) aligns to Strategic Workforce Plan Work Areas*

- |          |  |
|----------|--|
| CAP 2.1  | Establish an active Youth Council that will be a committee of the GWIB functioning as the “Youth Subcommittee” pursuant to GWIB Bylaws (indentured October 1999) Article VI, Section 6.07. Membership will consist of the following: |
| CAP 2.1a | Appoint two (2) members of GWIB with expertise and/or interest in youth related matters.   |

- CAP 2.1b Appoint one (1) member who is a representative of juvenile justice or law enforcement who serve youth.
- CAP 2.1c Appoint one (1) member who is a parent of youth receiving WIA services, but not a parent as a Youth Council member.
- CAP 2.1d Appoint one (1) member who is a former participant of WIA youth services.
- CAP 2.1e Appoint one (1) member who is an active participant of WIA youth services.
- CAP 2.1f Appoint one (1) member chosen by the GWIB Chairperson and 1 member chosen by the Governor, both who represent youth issues in the community
- CAP 2.2 Certify Youth Council membership roster with appointment from CAP 1.a-f, formalizing council as Youth Subcommittee.
- CAP 2.3 Adopt Youth Council Bylaws for ensuring provisions of WIA 117(h)(1-4), WIA 117(i)(2), and 20CFR 661.335 are met.
- CAP 2.4 Youth Council will establish calendars of meetings and events.
- CAP 2.5 Youth Council will submit minutes and reports on activities to GWIB.

#### ***Corresponding Work Areas***

Where appropriate, the established Strategic Workforce Plan Work Areas (WA) are:

-All applicable Work Areas

WA 106 – Youth Talent Development

WA 106.2 – Youth Career-based Learning Continuum Awareness and Integration

WA 106.2A5 – Youth Council and GWIB Representation

WA 108.2 – Classroom-to-Careers (Former PTC)

WA 110 – Other Youth Program – Youth Council

#### **Supporting Documentation:**

1. **GWIB Resolution No. 08-14** – A resolution endorsing the partnership between the GDOL/AHRD and the Micronesian Youth Services Network.

**GDOL** – Not applicable.

## **EDMR Finding 3**

### **WIA/W-P Financial Management Systems – Cost Allocation**

#### THEMATIC AREA(S): Financial Management Systems

*Lack of a Resource Sharing Agreement (RSA) with MOU with GWIB and AJC Partners.*

#### **Background Brief:**

**AHRD** - Collaboration with AJC partners needed to address cost allocation for Resource Sharing Agreement. This is a repeat finding from on-site monitoring review in 2006. This is for both WIA and W-P programs.

Both the AHRD Administrative Services Officer (ASO) and the Employment Development Supervisor (EDS) for the AJC provided Corrective Action Statements. Feedback also provided by the GWIB Planning Chair.

#### **Guam's Response to EDMR Finding 3:**

The GWIB accepts the finding. The GWIB's RSA corrective action plan will be carried out in phases to divide the One-stop delivery system operating cost equitably. Through the RSA Memorandum of Understanding between mandated partners of the One-Stop operating system (as identified in the Workforce Investment Act of 1998, 2 CFR part 225 Attachment A 20 and CFR Part 652 et. Al, 662.270) defines services between partners with the noted intent to eliminate duplication of services. The GWIB also acknowledges the need to set funding priorities specific to their agency fiscal needs before considering funding any other activities outside their agency spectrum. The GWIB notes the inherent difficulties in securing funding from multiple sources.

To successfully carry out the mandated partners RSA, the GWIB has identified that a "phase-in" approach with the partners allowing for the equitable flow of AJC funds as the preferred corrective action strategy to close this finding. The GWIB submits Guam's corrective action plan as follows:

#### *Corrective Action Plan (CAP) aligns to Strategic Workforce Plan Work Areas*

- CAP 3.1      Phase In Time-Line:
- RSA Phase I – Co-located Partners at the AJC shall work towards completion of the RSA agreement no later than **June 30, 2014** in preparation for the start of Program Year 2014 (July 1, 2014).
  - Phase I partners who are co-located at the AJC are AHRD and GDOL. AHRD is the administrative entity that administers WIA Youth, Adult and Dislocated Worker funds. GDOL is the administrative entity that is responsible for administering W-P (Employment Service, Core Products and Foreign Worker); Senior Community Employment Service Program (SCSEP) and the Disabled Veterans Outreach Program (DVOP). The "draft" Cost Allocation Plan and Resource Sharing Agreement for Phase I is a statement of Guam's efforts to

ensure that timelines are met and impose the urgency to complete before the specified due date.

CAP 3.2 RSA Phase II – For Partners that are not physically located but ultimately use the resources available at the AJC, such Partners to provide client services which includes the use of the “Virtual One-Stop” web-based software that not only can track the services being provided to “our” clients, it may assist our partners in providing statistical data to their respective grantor agency. The RSA shall include each partner’s contribution to the annual maintenance fee for the software. This shall be completed no later than **September 30, 2014** in preparation for Fiscal Year 2015 (October 1, 2014).

**Rationale:**

The GWIB believes that by having the various partners support a phase-in transition will help identify the missing support and remove common barriers to best use partner grant funds. Work sessions will be reviewed and approved by the GWIB Executive Committee and facilitated jointly by the GWIB Planning Committee and the Finance and Technology Committees. This will ensure that time-lines identified are completed. In addition, the GWIB understands that Partner’s will need time to review their funding to ensure the costs associated with managing the One-stop delivery system is budgeted and a secured funding source identified. The two phases of implementation will allow partners the transition time to address their funding strategies (whom are funded with both federal and local funds).

CAP 3.3 The GWIB will also be working on the Memorandum of Understanding to ensure that the following goals are prioritized: Submission of mandated partner’s program funding budgets for each funding cycle or program year will be required to ensure that all resources are fully maximized to achieve optimum services for “our” clients; That the GWIB shall adopt a resolution that will require the mandated partners the requirements to submit timely budget information to the GWIB for review and subsequent approval as required (Workforce Investment Act of 1998, 2 CFR part 225 Attachment A 20 and CFR Part 652 et. al, 662.270).

CAP 3.3a Meeting with the Governor’s Chief Fiscal Advisor to discuss challenges in executing a Resource Sharing Agreement – completed 03/14/14

CAP 3.3b Prepare a Matrix of Services for each Partner to include priority of service to specific target population

CAP 3.3c Identify funding levels for each Partner for both local and federal funds

CAP 3.3d Identify parameters of grant funds

CAP 3.4 The GWIB shall adopt a resolution to supersede Resolution No. 11-02 – Operator of the AJC to reflect the consortium of partners as “The Agency for Human Resources Development, The Guam Department of Labor, The Department of Public Health and Social Services, and the Department of Integrated Services for Individuals with Disabilities – Division of Vocational Rehabilitation” as the minimum partners for the “consortium” as required in WIA Section 134 (d) (2) and 20 CFR 661.120 and 662.230(2). This

resolution shall be submitted and adopted effective immediately and no later than the June 30, 2014 in preparation for Program Year 2014.

- CAP 3.4a Preparation of Resolution – to be completed no later than March 27, 2014.
- CAP 3.4b Meeting with the Governor’s Chief Fiscal Advisor to discuss the parameters of the funding sources and ensure that funding will be secured for the Resource Sharing Agreement – to be scheduled on or before April 1, 2014.
- CAP 3.4c Issue “Request for Comments” published in local print media and the AJC website to afford our customers to provide for public comment and input to be issued on April 1, 2014.
- CAP 3.4d GWIB Planning and Finance Joint Meeting – April 10, 2014 to review comments and prepare for the April 2014 General Membership meeting of the Board. GWIB General Membership Meeting on April 24, 2014.

### ***Corresponding Work Areas***

Where appropriate, the established Strategic Workforce Plan Work Areas (WA) are:

-All applicable Work Areas

WA 101-110 Youth Training Programs:

WA 106 – Youth Talent Development

WA 108 – Classrooms to Careers

WA201-212 Adult Training Programs include:

-SCSEP (Senior Community Service Employment Program)

-Veterans

-Apprenticeship

-Ex-offender

-Women Training Program

WA 202 – Dislocated Worker

WA 203 – Incumbent Worker

WA 209 – On-the-Job Training (OJT)

WA 210 – Work Experience

WA 302 – AJC (OSCC) Partners

WA 308 – Education

WA 407 – Marketing and Outreach

The Workforce Partners have identified the following areas for improvement that apply to ALL WIA programs:

1. Marketing and Communication
2. Policy and Operations
3. Building Staff Capacity
4. Leveraging Resources

### **Supporting Documentation:**

1. **Draft Cost Allocation Plan and Resource Sharing Agreement (Phase 1 – AJC Co-located Partners)** – AJC (formerly known as the One-Stop Career Center)
2. **GWIB Resolution No. 2014-002** – A resolution relative to the approval of the Enhanced Desk Monitoring Review (EDMR) concerns establishing the Resource Sharing Agreement and amending the current OSCC Memorandum of Understanding (MOU) to include the defined cost allocation for all AJC partners.
3. **Status Reports from ASO and EDS**

**GDOL** – No response provided.

## **EDMR Finding 4**

### **WIA Service Design/Delivery – Operating Systems**

#### THEMATIC AREA(S): Youth Program Responsibilities

*Lack of a coherent WIA Youth Service Design/Delivery framework.*

#### **Background Brief:**

Upon completion of EDMR, US DOL ETA Reviewers did not see a framework for Youth programs for the provision of comprehensive youth services to include the ten (10) required Youth service elements pursuant to CFR Section 664.410.

It is noteworthy that services provided to youth through case managers include procedures outlined in this Finding and were evidence in electronic transmittal of youth case file (pdf format) entitled “Youth – In-School” and “Youth – Out-of-School”.

#### **Guam’s Response to EDMR Finding 4:**

AHRD acknowledges its responsibility in solidifying WIA Youth Program service design framework that consists of ten (10) program elements defined in WIA Section 129(c) and 20CFR 664.405, 664.410, and 664.420-664.470. AHRD will ensure each task identified in the following “Corrective Action Plan” is met, and all required actions are fulfilled.

*Corrective Action Plan (CAP) aligns to Strategic Workforce Plan Work Areas*

- |          |  |
|----------|--|
| CAP 4.1  | Convene working sessions with Youth Council to obtain recommendations for administering youth programs.                          |
| CAP 4.1a | Develop youth employment and training policy and practice  |
| CAP 4.1b | Update existing youth policies specific to eligibility determinations  |
| CAP 4.1c | Define priorities of services to maximize impact on the success of youth in labor market   |
| CAP 4.1d | Provide linkages with community based youth organizations  |
| CAP 4.1e | Designate youth providers  |
| CAP 4.2  | Solidify Youth program framework into SOP for the following:   |
| CAP 4.2a | Assessing of Youth   |
|          | i. Processing of In-school Youth   |
|          | ii. Processing of Out-of-School Youth  |
|          | iii. Accessing of youth services inclusive of all elements   |
|          | iv. Follow-up Services   |
|          | v. Youth program exits   |
| CAP 4.2b | Develop additional Youth program framework for targeted populations identified by Youth Council                                  |
| CAP 4.2c | Develop Youth service providers program framework  |
| CAP 4.3  | Include the provision and availability, as appropriate, of ten (10) required WIA Youth elements pursuant to CFR Section 664.410. |

- Part I. Conduct youth program element assessment plan of work:
- Sponsor funding of Youth Initiatives and Programs
  - Methodology
  - Work Area Alignment
  - Budget
  - Timeline

Part II. Development of best practices youth signature programs incorporating all 10 WIA elements.

- CAP 4.4 Provide an objective assessment of each youth participant that meet WIA requirements.
- CAP 4.5 Develop an individual service strategy for each youth to include age-appropriate career goal.
- CAP 4.6 Provide preparation for post-secondary educational opportunities and linkages as well as links to the job market and employers.

#### ***Corresponding Work Areas***

Where appropriate, the established Strategic Workforce Plan Work Areas are:  
-All applicable Work Areas

WA 101-110 Youth Training Programs:

WA 106 – Youth Talent Development

WA 106.2 – Youth Career-based Learning Continuum Awareness and Integration (Align workforce development with educational programs)

WA 108 – Classrooms to Careers

WA201-212 Adult Training Programs

**GDOL** – Not applicable.

## EDMR Finding 5

### WIA/W-P Service Design/Delivery – Operating Systems & Integrated Services

#### THEMATIC AREA(S): Program Alignment

*US DOL ETA Reviewers found that AHRD/GDOL did not appear to be strategically aligned to integrate and leverage WIA and W-P funded programs.*

#### Background Brief:

**AHRD** - Core intake and assessment services at AJC are being provided **almost entirely by WIA-funded AHRD staff.**

#### Guam's Response to EDMR Finding 5:

The GWIB accepts the finding. The GWIB's corrective action plan will be carried out in phases as outlined in the board's response to EDMR Finding No. 3 (Lack of a Resource Sharing Agreement). Through the RSA and Memorandum of Understanding between mandated partners of the One-Stop operating system (as identified in the Workforce Investment Act of 1998, 2 CFR part 225 Attachment A 20 and CFR Part 652 et. Al, 662.270) services delivered by partners will be clearly defined in the amended Memorandum of Understanding to be submitted no later than June 30, 2014 for Phase I (partner's physically located at the AJC) and September 30, 2014 for Phase II (partner's not physically located at the AJC).

Effective February 10, 2014, AJC relocated to its new location, 710 West Marine Corps Drive, Suite 301, Bell Tower Plaza, Hagåtña, Guam. Complying with our Enhanced-Desk Monitoring Review (EDMR) Audit, W-P and SCSEP (SCSEP) are now located within the AJC effective February 17, 2014, performing core services such as registration, assessment, and job search assistance. A lead person in W-P is training other W-P staff in core services.

AJC continues to work closely with our partners as we refocus the new workforce investment system in our service delivery, which brings together numerous training, education and employment programs into a single, customer-friendly system in our community. AJC concurs with the findings and recognize that changes need to be made to its existing systems to comply with the audit.

An Integrated and leveraged AJC, partner(s) contributes to programs through a Memorandum of Understanding, or may contribute "in-kind" services that are mutually beneficial to other contributing partners, service providers, and primarily, the participants. Operating out of the only AJC on Guam, the staff are able to streamline services and provide holistic approaches in serving the same client, therefore, eliminating duplicated services; sharing administrative costs and becoming more efficient and effective.

*Corrective Action Plan (CAP) aligns to Strategic Workforce Plan Work Areas*

In addition to the plan identified in the Board's response to EDMR Finding No. 3, the following actionable strategies have been identified to be completed within the timeframe specified:

❖ Actionable Strategies:

- The Director of AHRD and the Director of GDOL shall identify staff funded by WIA and W-P funds to be assigned to the AJC to perform Core Services for participants/customers who seek assistance.
  - On January 31, 2014, the Directors met to discuss staff assignments, roles and responsibilities between WIA and W-P staff.
  - On February 5, 2014, the Director of Department of Labor issued a Memorandum to the Administrators whom oversee the W-P, Disabled Veteran's Outreach Program (DVOP) and the SCSEP Programs identifying staff that will be assigned to the AJC effective February 17, 2014 (See EDMR Finding #5 Attachment 1).
  - On March 4-7, 2014, the AJC intake and programmatic staff of WIA Youth, Adult, Dislocated Workers, W-P Employment Service, W-P Core Products, SCSEP and the DVOP were provided training of the newly acquired "Virtual One-stop" software by Geographic Solutions. The Virtual One-stop is designed to provide an integrated case management workforce system that will include on-line services for participants, job seekers, employers, and AJC Partners. This system will provide case management features such as job matching and tracking including services for user login tracking. This will also provide a complete recording and reporting service for keeping track of the participants and employers served by the following programs: WIA Title IB, W-P, Veterans' Employment and Training Services (VETS, DVOP). This system will also provide SCSEP a mechanism in recording core services provided to participants prior to enrollment into the program. This software will assist Guam in meeting Strategic Goal 2 of Guam's Workforce Integrated Plan (See EDMR Finding #5 Attachment 2).

- The GWIB has identified the following procedures that will require an update to reflect the newly acquired Virtual One-Stop software and processes for the AJC to be completed no later than June 30, 2014.

No.	Summary	Reference	Approval Date
SOP-002	Mission Statement		08/31/01
SOP-003	Reception	Functional	08/31/01
SOP-004	Core A Services – Self Help	Functional	08/31/01
SOP-005	Core B Services – Staff Assisted	Functional	08/31/01
SOP-006	Registration and Assessment Process Pre-Initial Eligibility Assessment	Functional	08/31/01
SOP-007	Employer Services (See Core B Services)	Functional	08/31/01
SOP-008	Intensive Services	Functional	08/31/01
SOP-009	Training Services	Functional	08/31/01
WIA-SOP-006	Limited Internship	Functional	08/31/01
WIA-SOP-005	On-the-Job Training	Functional	08/31/01
WIA-SOP-004	Needs Related Payment	Functional	08/31/01
WIA-SOP-003	Support Services Allowance (SSA)	Functional	08/31/01
WIA-SOP-001	Occupational Skills Training/Classroom Based Training	Functional	08/31/01

- CAP 5.1 The AJC is committed to providing job seekers and employers with a complete array of labor market and work preparation services. The goals are to support business growth by connecting employers to well-prepared local labor force, foster strong work preparation skills, and empower job seekers with the information and support they need to make an informed decision leading to permanent, long-term work to secure gainful employment.
- CAP 5.2 Both entities, AHRD and GDOL are providing workforce investment services that are not duplicated  
Part 1. Review process
- GWIB Standing Committee input
  - Agency input
  - Other Input
- Part 2. Refer to supporting Documentation
- CAP 5.3 Both entities (AHRD and GDOL) are maintaining One-Stop delivery system.
- CAP 5.4 Both entities (AHRD and GDOL) ensure use of funds are applied accordingly.

#### ***Corresponding Work Areas***

Where appropriate, the established Strategic Workforce Plan Work Areas (WA) are:  
-All applicable Work Areas

## Supporting Documentation

1. **Memo from GDOL Director re: AJC Staff Assignment**
2. **Geographic Solutions, Inc. Guam Staff Training Agenda (Virtual One-Stop) – March 4-7, 2014.**
3. **Geographic Solutions, Inc. Virtual One-Stop Training Sign-In Sheet**

**GDOL** – No response provided.

## EDMR Finding 6

### WIA Design and Governance – Service Design

THEMATIC AREA(S): Board Governance and AJC Operation

*Regional Office would like clarification on the role of the AJC Operator.*

### Background Brief:

**AHRD** - The designation and role of the One-Stop Operator does not follow the WIA requirements.

### Guam's Response to EDMR Finding 6:

The GWIB accepts the finding. The GWIB's corrective action plan will be carried out in phases as outlined in the board's response to EDMR Finding No. 3 (Lack of a Resource Sharing Agreement). Through the RSA and Memorandum of Understanding between mandated partners of the One-Stop operating system (as identified in the Workforce Investment Act of 1998, 2 CFR part 225 Attachment A 20 and CFR Part 652 et. Al, 662.270) services delivered by partners will be clearly defined in the amended Memorandum of Understanding and the Resource Sharing Agreement will demonstrate how other consortium members are contributing to the operation of the One-Stop system which is to be submitted no later than June 30, 2014 for Phase I (partner's physically located at the AJC) and September 30, 2014 for Phase II (partner's not physically located at the AJC).

*Corrective Action Plan (CAP) aligns to Strategic Workforce Plan Work Areas*

- |         |   |
|---------|---|
| CAP 6.1 | Please see Board's response to EDMR Finding No. 3 and Finding No. 5                                     |
| CAP 6.2 | Ensure that policies and guidelines are consistent with implementation and provisions of Title 1 of WIA |
|         | Part 1. Review process  |
|         | ▪ <input type="checkbox"/> GWIB Standing Committee input  |
|         | ▪ <input checked="" type="checkbox"/> Agency input  |
|         | ▪ <input type="checkbox"/> Other Input  |
|         | Part 2. Refer to supporting Documentation   |

CAP 6.3      Ensure that the Resource Sharing Agreement is included in the MOU and that the other AJC partners contribute financial and/or physical resources

**GDOL** – Not applicable.

#### ***Corresponding Work Areas***

Where appropriate, the established Strategic Workforce Plan Work Areas (WA) are:  
- All applicable Work Areas

### **EDMR Finding 7**

#### **WIA/W-P Financial Management Systems – Financial Resource Management**

##### **THEMATIC AREA(S): Financial Management Systems**

*Reviewers found that Guam's fund utilization rates for WIA and W-P, including WIG funds (LMI) are below ETA's 70% expenditure benchmark.*

*Funds need to be fully utilized, since this under-utilization places Guam at risk. And because there is use of funds below benchmark rate, it made Guam ineligible to receive approval for a National Emergency Grant (NEG) unless the situation is improved.*

#### **Background Brief:**

**AHRD** - For PY 2012, the Employment and Training Administration (ETA) continues to emphasize the same themes promoted in the July 22, 2011 TEGL, and expects the states to expand upon them. In that guidance, ETA stressed the importance of leveraging grant funding by expanding partnerships within the workforce investment system and in the education, training and economic development communities (see TEGL No. 4-11). ETA also encouraged state LMI-WI and research entities to join partnerships to apply for competitive grants — since every workforce development enterprise can benefit from the workforce and labor market information, economic analyses, and the workforce intelligence gained from professional interpretation of these data within the context of state, regional, and local economies.

In its PY 2011 TEGL, ETA also urged state LMI-WI and research entities to be prepared to help shape state policy and service delivery strategies by sharing their understanding of current labor market conditions and challenges and the anticipated industry, sector, and occupational growth. The need for accurate and comparable workforce data, information, analysis, and interpretative studies has always been high.

**GDOL** - We appreciate ETA's monitoring of the fund utilization to ensure that no funds needed for program operation and client services are lost. At the same time it is also desirable to maintain the availability of some funding so that receipt of funding normally 3-6 months past the grant period will not impair operations. We note that Guam continued operations during the federal shutdown due to the availability of funding whereas the State of Washington was forced to lay off staff and cease operations due to the exhaustion of funding combined with the late receipt of new program year funds.

### Guam's Response to EDMR Finding 7:

The GWIB accepts the finding. To provide a backdrop to the low utilization of funds the GWIB provides this explanatory note: The GWIB upon receiving the conditional approval of Guam's Workforce Integrated Plan on December 7, 2012, began working on policies and procedures to implement the strategies outlined in our strategic plan.

Resolutions, Policies and Procedures to implement actionable strategies were approved as follows:

#### Resolutions Approved:

No.	Summary	Reference	Approval Date
12-06	Resolution relative to the Adoption of the Statement of Work and Eligible Training Provider Application		12-11-2012
12-10	Resolution relative to the approval of the Amendment to GWIB Policy No. WIA-SOP-003, WIA Title IB Statewide Supportive Services	WIA-SOP-003	12/11/2012
13-01	Re-Certifying the Eligible Training Provider Listing through the Remainder of PY2012		12/11/2012
13-002	Approval of GWIB Policy No. GWIB-13-001, WIA Title IB – Eligible Training Provider Process	GWIB-13-001	12/11/2012
13-003	Approval of GWIB Policy No. 13-002, WIA Title IB – Individual Training Accounts	GWIB-13-002	12/11/2012
13-006	Approval of the American Job Center Network for Guam's One-Stop Career Center	GWIB Briefing Series 2013-003 TEGL 36-11 and TEGL21-11, Change 1	02/28/2013
13-009	Approval of the Amendment to GWIB Policy No. 13-002, WIA Title IB – ITA and approving the Maximum Limit and duration for ITA(s) be applied to youth funded training services	GWIB-13-002, Amendment 001	03/28/2013
13-010	Approval of Eligible Training Provider Listing and Certification	GWIB-13-001	09/13/2013

#### Policies and Procedures Approved:

No.	Summary	Reference	Approval Date
GWIB 13-001	WIA Title IB Eligible Training Provider Process	Functional	12/11/2012
SOP-003, Amendment 1	Amendment to Supportive Services	Functional	12/11/2012
GWIB-13-002	WIA Title 1B Individual Training Accounts	Functional	12/11/2012
GWIB-13-002, Amendment 1	Amendment to remove reference of Individual Training Accounts being funded with Youth Program Funds	Functional	03/28/2013

PY2012-PY2013 program funds for classroom training activity was at a standstill for approximately one year before approving Guam's Eligible Training Provider Listing in September 2013 (see below)

No.	Summary	Reference	Approval Date
13-010	Approval of Eligible Training Provider Listing and Certification	GWIB-13-001	09/13/2013

- The Agency began referring clients to Eligible Training Providers and provided the Board with the anticipated training dollars that have been set aside for Individual Training Accounts for participants currently enrolled or to be enrolled in a training component:
  - Classroom Training for Eligible Training Providers: \$241,000
  - Guam National Guard Returning Soldiers: \$400,000

*Corrective Action Plan (CAP) aligns to Strategic Workforce Plan Work Areas*

CAP 7.1 AHRD shall ensure that financial data is related to performance data and develop unit cost information whenever practical.

Part 1. Review process

- GWIB Standing Committee input
- Agency input
- Other Input

Part 2. Refer to supporting Documentation

CAP 7.2 That AHRD financial management systems shall provide for the following:

1. Accurate, current and complete disclosure of the financial results of each federally-sponsored project or program in accordance with the reporting requirements set forth in 29 CFR 95.52.
2. Records that identify adequately the source and application of funds for federally-sponsored activities. These records shall contain information pertaining to Federal awards, authorizations, obligations, unobligated balances, assets, outlays, income and interest.
3. Effective control over and accountability for all funds, property and other assets. Recipients shall adequately safeguard all such assets and assure they are used solely for authorized purposes.
4. Comparison of outlays with budget amounts for each award. Whenever appropriate, financial information should be related to performance and unit cost data.

**For AHRD WIA Approved Waiver to Transfer Funds:** Agency must provide an explanation why it needs to transfer up to 50% from Dislocated Worker to Adult fund.

The Waiver has provided Guam with the flexibility to transfer, allocate and expend Adult and Dislocated Worker funds. Such flexibility has enabled the GWIB and AHRD to better serve the needs of customers and will increase the ability to respond to the changes in the labor market, particularly the growing employer demand for Employed Workers, which can be funded with WIA Adult funds only.

The increased flexibility will allow greater responsiveness to deal with impending growth and the military buildup on Guam in the foreseeable future.

**GDOL** - The WIG funds are being expended on schedule as outlined in the approved PY 2013 application package. The funds PY 2013 funds became available for obligation on September 30, 2013 with the receipt of the notice of obligational authority. For the less than six month period since then the accounting records indicate obligations in excess of 50 percent of the grant award which is an appropriate rate of obligation. The plans to utilize the funds are contained in the approved PY 2013 workforce information grant and these include the employment of a junior economist on a limited term basis and contracting for the display of the WIDb databases, both of which have been accomplished.

The WP funds similarly were received after the beginning of the program year and as expenditures are on a first-in first-out basis the early reports show a low percentage utilization which will increase as the prior year's funds are exhausted and expenditure of the new funds kicks in at the full rate.

## **EDMR Finding 8**

### **Financial Management Systems (FMS) – Financial Reporting**

#### THEMATIC AREA(S): Financial Management Systems

*Reviewers found that some WP Grant-related activities are not being charged to the WP Grant.*

*The Workforce Information grant project reports did not reconcile the cash disbursed and the expenditures which this resulted in cash on hand.*

#### **Background Brief:**

**GDOL** - The grant related activities charges by questioned by the US DOL ETA Reviewers and required explanation.

#### **Guam's Response to EDMR Finding 8:**

While funds drawn exceeded posted expenditures at the day of the reporting period it is not due to a lack of reconciliation. Procedures are in place to prevent such an occurrence and reverse it if it occurs. Currently the accounts are not overdrawn.

The Department of Administration, Division of Accounts has the responsibility to draw funds to cover expenses paid. It has written procedures in place complete with flow charts so that funds are drawn only for expenses that have been paid or will be paid in an allowable time-frame. At the end of the reporting period generally the funds drawn match the funds disbursed.

In one reporting period, as of the report date on the last day of the quarter, the report showed that the funds drawn were in excess of the expenditures. This occurred when the funds were drawn to cover expenditures posted against the grant so there was never any over draw down of funds not supported by posted expenses. When some expenses were reposted to an earlier grant period to use the funds on a first-in-first out basis, the account then showed expenses on the account less than those already drawn. At report period due date we simply accurately post the information shown on the account as of that date, which was funds received in the account greater than expenditures. It is not due to a lack of reconciliation. While we were aware of this situation, when filing the report, it takes some time to either incur and post new charges to bring the expenditures up to the drawdown level or reverse the drawdown returning funds to correct an over drawn balance. Normally this process takes at least several days to be accomplished and posted on the accounting system. The imbalance was corrected in and shown in subsequent quarterly reports. The accounts are always reconciled as well at the end of the grant period before closing and they are always closed with receipts matching expenditures exactly.

The accounting system has a menu showing the balance of receipts and expenses in the FGIA balance and detail ledgers. There is no need to duplicate the records on the accounting system with separate duplicative spreadsheets. All expense and drawdown transactions are continuously posted as the transactions occur. All of the records showing both expenditures and receipts can be printed at any time and are continuously available on the accounting system as part of the standard report generation process.

A print of these reports as well as the quarterly financial reports documents that the cash receipt currently match or are less than receipts and there are no over draws in the WIG accounts.  
(Attached FGIA Balance and detail ledgers)

### **Supporting Documentation**

- 1. Drawdown and Disbursement standard operating Flow chart**
- 2. Department of Administration Accounting System (AS400)**
  - a. Balance Records
  - b. FGIA Account Ledger

**AHRD** – Not applicable.

## EDMR Finding 9 Service/Product Delivery

### THEMATIC AREA(S): Deliverables

*Some of the GDOL's PY2012 Workforce Information grant deliverables have not been submitted as required by Employment Guidance Letter (TEGL) No. 27-11.*

#### **Background Brief:**

The service/product deliverables were questioned by the US DOL ETA Reviewers and required explanation.

#### **Guam's Response to EDMR Finding 9:**

**GDOL** - The PY 2012 Workforce Grant deliverables **have** been submitted as required by Employment Guidance Letter (TEGL) No. 27-11.

#### Finding Description:

The LMI annual report submitted by the GDOL in September 2013, did not include the required occupational and industry projections.

#### Response:

Page 6 of TEGL 27-11 regarding the annual report states:

The PY 2011 and PY 2012 annual reports should be prepared, to the degree possible, in accordance with the following outline.

A description of program deliverables (e.g., WIDb, projections, etc.)

This is the first and only statement in the list of annual report requirements regarding employment projections. Our annual report fully complied with the requirement containing a discussion of the grant deliverables in the report.

Our report states:

*"2. Produce and disseminate industry and occupational employment projections. The Guam Department of Labor has produced both short and long-term industry and occupational employment projections for the specified time frames using the Projections Managing Partnership software suite."*

Nowhere in TEGL 27-11 is there any mention of including the projections products themselves in the annual report. The requirement for the submission of the projections is specified in item 2 of page 2 of the TEGL "States must continue to produce and disseminate state and sub-state industry and occupational employment projections, using the methodology, software tools, and guidelines developed by the Projections Workgroup and the Projections Managing Partnership

consortium of states. We have submitted the projections in compliance with the written instructions.

Grantees are required to produce and disseminate industry and occupational employment projections. In addition states are required to produce short term (2013-2014) and long term projections (2010 -2020.)

Response:

We have done so. We advised ETA of such in writing in the Annual Report and again verbally during the review. The projections are on three websites in whole or in part 1)Guam Department of Labor website at [www.dol.guam.gov](http://www.dol.guam.gov) under Statistics/Projections 2) America's Career InfoNet at [www.acinet.org](http://www.acinet.org) and the Projections Central projections website [www.projectionscentral.com](http://www.projectionscentral.com) along with all of the other states. They are included in the WIDb databases and the Virtual LMI website for Guam contractor Geographic Solutions has scheduled an April launch date which features them along with many other items.

The information the GDOL submitted, including "screen shots" of charts and graphs that may have been produced for other grants, or links to other websites, such as O'NET, are not acceptable.

In item 4) it notes that states are required to post grant funded products, reports and other workforce information on the internet. Some of the screenshots document the leveraging of resources using multiple partner websites to disseminate workforce information including the [www.CareerInfoNet.org](http://www.CareerInfoNet.org) website.

In a January 23, 2014 conference call with Mr. Anthony Dais from ETA's Washington D.C. office provided the explanation of ETA's deliverables.. He indicated that screen shots are acceptable and may contribute to the understanding of the issue. As the saying goes, one picture is worth a thousand words. We appreciated the suggestion of using hyper-links as that may be a more desirable approach in some cases. We would be interested in hearing more technical detail on the inclusion of various forms of non text information in reports to meet the accessibility standards. We followed the ETA instructions exactly in creating a PDF copy (not scanned) and searched the accessibility website for Section 508 compliance and did not find any reference to screen shots in the search engine.

Required Action:

The finding can be closed when the GDOL submits the revised PY 2012 Annual Report with a link to the products and reports. The information must be provided in a readable format, particularly the long term and short term projections specific to Guam.

There is no mention in the TEGl of providing in the annual report any hyperlinks. The mention of hyperlinks in the TEGl refers to the submission of the annual report and annual economic analysis reports in either the PDF format or with a hyperlink to meet deliverable number three which we have done. The long and short term projections are available on Guam DOL's website there is also a link to the comparable state projections which include Guam. The TEGl notes in Attachment III that except for deliverables one and two (WIDb) maintenance and enhancement, and industry and occupational employment projections) which are expected to be standard and comparable across states, states are allowed flexibility in developing the remaining three

required deliverables. The projections are produced using the PMP software out tables standard and consistent for all states. The hyperlink to these reports is: [www.dol.guam.gov](http://www.dol.guam.gov)

**AHRD** – Not applicable.

## **EDMR Finding 10** **Unallowable Costs**

### THEMATIC AREA(S): Financial Cost Accounting

*AHRD/GDOL submitted questionable costs and Reviewers would like written justification with supporting documents for these costs that the costs were necessary and were allowed.*

#### **Background Brief:**

The financial expenditures incurred by AHRD and GDOL were questioned by the US DOL ETA Reviewers and required explanation.

Reviewers are requesting for justification for the following specific costs:

#### **AHRD:**

1. \$25,000 for the purchase of a vehicle, plus additional expenses including fuel (gas);
2. \$273.13 to cover shortfall;
3. \$7,397 for travel;
4. \$3,000 for car rental (after purchase of vehicle);
5. \$11,000 for NASWA membership

#### **GDOL:**

1. \$15,861.16 for the purchase of a vehicle and insurance for the vehicle.
2. \$174.90 for vehicle tinting
3. \$7,420.62 for travel
4. \$500 for car wash coupons
5. \$1,051 for tuition for Gerard Limtiaco
6. \$11,000 for NASWA membership

#### **Guam's Response to EDMR Finding 10:**

**AHRD** - To ensure that all questionable unallowable costs are justified and documentation provided to US DOL ETA, the GWIB accepts this finding and provides the following justification for costs identified as AHRD 1 through 5:

#### **Cost 1 & 4: \$25,000.00 for purchase of vehicle and \$3,000.00 for car rental**

On February 7, 2012, the agency issued requisition number Q121520068 in the amount of \$9,000.00 to lease a vehicle while the Agency repairs existing 2003 Nissan Altima. The Nissan Altima has over 100,000 thousand miles and was procured over 10 years ago and was not operable, current value for Nissan Altima is less than \$5,000.00 or approximately \$3,444.00.

On June 6, 2012, the General Services Agency issued Purchase Order No. P126A03920 in the amount of \$3,000.00 to cover the cost of a lease vehicle rental for a period of 4 months (June 2012 through September 2012) at a monthly cost of \$750.00

On June 25, 2012, the Agency began the repairs to the Nissan Altima and issued requisition number Q1215200132 and purchase order number P126A06876 was issued on 9/25/2012 in the amount of \$1,733.00 to cover the cost of the following repairs:

- Replacement of upper and lower radiator hoses
- Replace of valve cover assembly and gasket cleaner
- Test and repair of auto tensioner and drive belt
- Test and repair right front engine mount
- Test and repair water outlet and both thermostat
- Drain and refill transmission fluid
- Complete fuel system flush
- Engine oil flush
- Right side mirror shell
- Replace both front-outside door handles
- Tune up for 15,000 mile service

On February 26, 2013, the Agency issued another requisition number Q131520088 for additional repairs to the Nissan Altima as the vehicle needed additional work to be done. Purchase order P136A03237 was issued in the amount of \$1,619.00 on 3/18/2013 to cover the cost for the following work:

- Replace both rear outside door handles
- Replace thermostat water inlet to include parts and service
- Perform major tune up to include parts and service
- Replace alternator assembly to include parts and service
- Replace both front struts and end links to include parts and service
- Replace windshield wipers to include parts and service

The decision to procure a new vehicle was determined as the cost to continue preventive maintenance on the Nissan Altima was increasing. On February 26, 2013 the Agency issued an Invitation for Bid (IFB) via requisition number Q1315200098 in the amount of \$23,000.00 for a 4x2 Sports Utility Vehicle in accordance with the Government of Guam's procurement standards for official vehicles. This process requires approval from the Department of Public Works, Transportation Division prior to issuance of Bid.

On March 18, 2013, Invitation for Bid Number GSA-053-13 was issued, and subsequently after the bid process, purchase order number P136A04752 was issued in the amount of \$22,490.00 to Triple J Motors on June 7, 2013.

On June 7, 2013, the Agency's lease vehicle was returned and payments were made for the lease vehicle from June 2012 through May 2013.

On June 29, 2013, the Agency via Department of Public Works received the vehicle procured through IFB GSA-053-13.

The Agency has done their due diligence to ensure that all costs associated with the procurement of a lease and new vehicle is documented and determined reasonable and went through the procurement process of the Government of Guam as in accordance with 29 CFR Part 97.

We are attaching a copy of the maintenance schedule for the newly procured vehicle and photos for your files (Reference: EDMR Finding #10 Attachment 1).

**Cost 2: \$273.13 to cover shortfall**

To cover the shortfall for excess print charges for the lease copier machine assigned to WIA programs:

- At the beginning of each fiscal year an “estimate” of print charges is made when the requisition is cut (Reference: EDMR Finding #10 Attachment 2).

**Cost 3: \$7,397 for travel**

The costs associated with travel submitted as AHRD’s general ledger expenditures are as follows:

**National Association for Workforce Boards 2013**

To assist the Board in meeting their requirements, the Board identified members to attend the National Association for Workforce Boards in Washington, DC. This decision was unanimously approved by the Board and adopted via Resolution No. 13-005. A briefing of the board’s recommendation to attend this conference is attached in support of this travel (Reference: EDMR Finding #10 Attachment 3).

**Micronesian Chief’s Executive Summit 2012**

The Micronesian Chief Executive Summit is the forum in which the Regional Workforce Development Council/Pacific Workforce Investment Workgroup (RWDC/PWIW) meets to discuss workforce priorities from a regional standpoint. The RWDC/PWIW has been in existence for a few years and members consist of key executives representing various entities focused on workforce activities within the Pacific Region (Guam, CNMI, Palau, Republic of Marshal Islands, and from the Federated States of Micronesia).

The RWDC and PWIW delegates continue to collaborate and remain committed to carry out the strategic goals of Micronesia Works!....Talent Development Strategic Opportunities, Shaping a Regional Talent Development System. The RWDC convened its Pre-meeting in Guam on October 30-31, 2012 to work on updating the goal areas and preserve the program structures with ongoing discussions for workforce interest in the 5-year strategic plan. For any program structure, the RWDC has been fortunate to have these discussions, since workforce interest in the strategic plan is an outline of sorts, and for those new to this discussion, a focal, very likely interest area, human capital topic, continues to touch all aspects of workforce issues.

The RWDC and the PWIW delegates held its technical meetings at the GCIC Building in Hagatna, Guam at the 3rd Floor AHRD Conference Room on October 30-31, 2012. Presiding RWDC Chair and Secretariat of the PWIW/RWDC Mr. Alfredo Antolin, Director of AHRD delegated Ms. Martha Rubic, Planning Administrator, to represent him and the agency. The PWIW/RWDC meeting sessions were convened by Mr. Peter Barcinas, GWIB Planning Chair and there was representation from members of

each jurisdiction from Micronesia: the Federated States of Micronesia (FSM), Republic of Palau, Commonwealth of the Northern Mariana Islands (CNMI), Republic of the Marshall Islands (RMI), Guam, the Center for Micronesian Empowerment (CME) and the GWIB. Area reports highlighted program updates and workforce investment/development strategic opportunities, and specific recommendations for the RWDC resolution for consideration and adoption at the 18th MCES.

The PWIW/RWDC collaboration remains active through all available modes of communication such as meetings, teleconferences and email communications. This allows the council the continuity to deliver concerns, updates, and recommendations to follow through and take action to strengthen the Micronesia Works! 5-year strategic plan. The pre-summit meetings are set as the opportunity to begin reviewing, updating, and aligning the workforce integrated 5-year plan with the Regional Micronesia Works! 5-year strategic plan, in preparation for the 18th Micronesian Chief Executives Summit (MCES), to be held in Majuro, Republic of the Marshall Islands (RMI) on November 27-28, 2012.

The goal of the RWDC is to provide the much needed regional guidance and development of a regional workforce strategic plan which is also defined in Guam's Strategic Plan for PY2012-PY2016 (Reference: EDMR Finding #10 Attachment 4 and 5)

#### **USDOL ETA Region 6 State Workforce Administrators Meeting**

Invitation from Ms. Pam Harris, Director of the Employment Development Department from the State of California to attend the Workforce Administrators Meeting scheduled in January 2013. This invitation was sent to Guam via USDOL ETA Ms. Diane Walton. The meeting also provided Guam with the opportunity to meet with our federal project officers to discuss issues specific to our area.

**Reasonableness:** Cost for air fare from Guam range anywhere from \$1,300 to \$3,000 depending on destination. Guam utilizes the Federal General Services Agency per diem allowance schedule issued when determining per diem for each traveler. The Agency has done their due diligence to ensure that all costs associated with the procurement of travel is documented and determined reasonable and went through the procurement process of the Government of Guam as in accordance with 29 CFR Part 97.

**Necessary/Benefit:** Each travel is a direct activity associated with Guam's strategic plan and has been supported with the listed reference attachments.

#### **Cost 5 - \$11,000 for NAWSA Membership**

AHRD co-shared with GDOL the annual membership fee for the National Association of State Workforce Agencies (NASWA). The Agency identified this service as a benefit for our program participants to access all jobs available locally through the Agency's website. The annual membership with the NASWA was also recommended by our former Project Officer, Mr. John Jacobs as it relates to the National Defense Authorization Act (NDAA) passed in 2011 (Reference: EDMR Finding #10 Attachment 6).

CAP 10.1 AHRD shall ensure that financial data is related to performance data and develop unit cost information whenever practical.

Part 1. Review process

- GWIB Standing Committee input
- Agency input
- Other Input

Part 2. Refer to supporting Documentation

**GDOL** - No explanation or rational was provided as to why ETA viewed any of these costs as unnecessary, unreasonable or unallowable. The required action indicates that the finding can be closed when both agencies provide written justification to demonstrate that the costs listed are reasonable, necessary and of benefit to the grants.

We believe the costs incurred by GDOL for the items below to be necessary, reasonable, and allowable and of benefit to the grants. The written justification is provided for each cost questioned for GDOL as follows.

***Item #1. \$15,861.16 for the purchase of a vehicle and insurance for the vehicle.***

**The cost for the vehicle is reasonable and the type of vehicle is reasonable for the purpose acquired.** The KIA FORTE is rated as an affordable small car by U.S. news and world report. The purchase price was below the advertised sale price of \$14,995 and below the Manufacturer's suggested retail price (MSRP) of \$15,400. Due to shipping costs, actual sales prices including shipping on Guam are often higher. The procurement followed the standard Government of Guam procurement practices for vehicle purchases including a review and approval by the federal programs section at the Department of Administration for allowability under the federal program. Standard vehicle specifications were obtained from the Department of Public Works (DPW) and procurement by the General Services Agency at the lowest price offered and inspection by DPW and licensing by DRT prior to delivery. The specifications from DPW included additional maintenance and other requirements making the price even more reasonable for the final cost. The ETA approved grant specifically budgeted \$15,000 for equipment acquisition which category is for items with a unit cost in excess of \$5,000.

Insurance for new vehicles is a standard business practice for private and commercial vehicles and insurance is used by a number of Government of Guam agencies. It is required by law for operation on public roads and required by financial institutions to protect the assets' collateral value. While there is an exception to the legal requirement to have insurance coverage for Government owned vehicles, the self-insurance of the Government of Guam is limited to liability and will not cover the loss, repair or replacement of the vehicle. The use of future grant funds may be prohibited for such repair and replacement of uninsured losses may not be reimbursed when they could have been covered by insurance. The insurance is necessary to ensure repair or replacement and continued use in the event of an accident as well as permit timely payment for necessary medical expenses for injured parties as well as for reimbursement of property damage. The insurance was obtained through the lowest price vendor through the Government procurement process and is reasonable.

**The use of vehicles is necessary to complete the required deliverables under the Workforce Information grant. It would be virtually impossible to perform all of the required program and financial functions without a vehicle.**

The use of a vehicle is divided into two components; administrative functions necessary to complete required activities and survey use following BLS methodology.

This includes use for meetings which include for the Chief Economist, meetings at the Legislature, Governor's office, Budget Office, Accounting office, Visitors Bureau, Economic Development Agency, Bureau of Statistics and Plans & the University of Guam Computer Center which performs data processing for BLS. Transportation is required for presentations and attendance at seminars, as well as vendors visits. All of these visits contribute to either the programs operation or in obtaining and providing information on the economy and labor force. Staff administrative functions include delivering documents, supplies, picking up survey mail, etc. Not having a vehicle available for staff sometimes means the key supervisory staff has to use their time and vehicles to deliver urgent documents to meet operational and fiscal deadlines as staff do not have and are not required to have or use their personal cars available as they are dropped off for work, or do not drive or their cars are out of gas. There is a continuing paper flow to support this program among and between the Budget Office, General Services Agency, Division of Accounts, Personnel Services Division, Payroll, Department of Public Works, Revenue and Tax. Use of a vehicle is necessary for program operation logistics including visits to vendors for printing, computer items, maintenance, supply items, etc. While staff have been often been willing to use their personal vehicles to do whatever it takes to get the job done, it is inappropriate to not make other transportation accommodations to perform functions required for program operation.

The standard data collection methodology *required* under the Workforce Information grant involves visits to sampled households which is only reasonably possible with use of vehicles. It appears that the vehicle cost was questioned based on comments made by ETA staff in the EDR that household visits are no longer appropriate in the computer age. The view is contrary of the grant requirement to use BLS methodology which includes vehicle use for business and household visits. It also appears to be based on a lack of understanding and appreciation of the activities unique to Guam that we have to undertake locally to produce the information in the absence of BLS programs in these areas.

US BLS methodology for the employer survey includes personal visits to large establishments to initiate participation in the survey. US BLS methodology for the household survey includes personal visits for the initial household interview.

Guam is unique in that it is the only jurisdiction in the U.S. that is both not included in the US BLS Current Employment Statistics Program (CES) and is not included in the Current Population Survey (CPS) and operates these programs as local government programs. These are the employment and unemployment statistics programs. US BLS does not include the Territory of Guam in these statistical programs which include all 50 states and some Territories. This issue of not including Guam in these programs has been carefully been reviewed by Guam DOL and US BLS. There are a number of reasons for such non-inclusion including the lack of an Unemployment Insurance program, cost and distance. Where we could implement US BLS programs such as OES and the OSHA Survey of Occupational Injuries and Illnesses and Fatalities, we have. In the absence of these programs Guam BLS operates its own locally funded and administered CES and CPS programs designed and adapted to Guam using US BLS methodology. Funds are limited for these local programs and therefore, Workforce Information grant funds are used to provide support where needed to improve and maintain these local programs which provide information which is necessary to produce the time-series employment data without which the required employment projections could not be produced and without the required WIDb database tables could not be populated. These activities do not supplement or

supplement the operation of these two US BLS programs since they do not exist on Guam. Alternatives such as a government motor pool does not exist on Guam and vehicles from other DOL programs are often not available when needed or not appropriate. Use of private employees vehicles for government work cannot be relied on consistently due to nonavailability and insurance concerns.

The vehicle purchase is intended to increase our capacity for additional statistical system improvement. There is a need for considerable mapping and updating of the housing maps on a continuing basis to have the documents and housing databases ready for the surveys. We plan future system upgrades to systematically overlay Guam's maps for the unemployment survey with the Census maps to facilitate current population samples by area to be linked for population estimation purposes with Census benchmark counts. All of this will require continuing field work. We would also use the vehicle periodically for updating the business establishment file. We hope to also geo-code the business information in greater detail to be used for a variety of planning purposes such as utility and highway master plans where population and employment information is needed on a more detailed location specific basis. All of this requires field work more appropriately performed with a government vehicle. It is an important component in the overall process of upgrading and modernizing our systems.

Upgrading the statistical capabilities of the Government is a priority as noted by the Governor's office in various communications as well as in a number of high level visits from federal agencies including the Bureau of Economic Analysis, Department of the Interior, Bureau of Labor Statistics and the Office of Economic Adjustment. Normally the WIG grant would not have sufficient funding for a vehicle purchase after the usual operation expenses are covered. The unusual situation of the availability of sufficient funding for vehicle purchase occurred due to a one time lapse in ARRA funds which freed up some WIG grant funds for a period. While these funds have since been exhausted and grants closed, we are pleased that the investments in upgraded equipment including computer, software, phone, vehicle, chairs and workstations will continue to provide program operations support and benefit for years into the future.

The Training and Employment Guidance Letter No. 27-11 dated May 2, 2012 provides the official written guidance for the PY 2012 Workforce Information Grants to States (WIGS); Policy and Program Guidance, Application Instructions, and Formula Allocations. This is the guidance against which activities under the PY 2012 grant are governed.

Section 11. Special Grant Requirements states: "All data collection activities must conform to the technical standards and methods established by the U.S. Department of Labor's Bureau of Labor Statistics ...".

The ownership and use of vehicles by the grantor agency as well as the grantee is a standard and accepted business practice and methods established by the U.S. Department of Labor. According to the Federal Fleet Report for FY 2012, the U.S. Department of Labor has in its vehicle inventory 4,269 vehicles and the U.S. Department of Commerce, 1,406 vehicles. These are government agencies with similar administrative and statistical operations. Keep in mind that much of the ground work for the federal-state programs is done by at the state and local level.

***Item #2. \$174.90 for vehicle tinting.***

There are a number of reasons that the vehicle tinting is necessary, reasonable and allowable, these include:

- 1) Investment protection. The cost is minor, about one percent, compared to cost of vehicle which it is protecting.

Tint provides interior protection against sun damage-cracks in the dash, vinyl, fabric deterioration, fading.

- 2) Improved visibility – reduces blinding sun glare, may reduce accidents and provides additional safety against glass breakage remaining in place if hit by an object.
- 3) Protection against skin damage due to UV radiation. This includes various types of skin cancer. 90 percent of all basal and squamous cell carcinomas common skin cancers are known to be associated with exposure to UV radiation (UVR) and new research indicates its link to melanoma. It also contributes to and premature ageing. Ultra violet rays (UV) can be blocked up to 99 percent with the application of window tint.
- 4) Protection against eye damage. The medical and scientific evidence documents how UV sun radiation can contribute to eye disease including cataracts and macular degeneration.
- 5) Heat reduction A cooler car reduces the wetness and odor associated with sweat induced by heat and humidity. While the A/C will eventually cool the car, due to the short distances often traveled, you may have arrived at the destination before the car cools. Heat or infra red rays (IR) can be blocked from 43-80 percent depending on the tint.
- 6) Improved gas mileage due to lower A/C settings and less cooling and lower fan speed required.
- 7) Damage to contents – anything left inside may melt including CD's computers, sunglasses.
- 8) Car window tint on Guam is used by most vehicles. This includes private businesses, individuals, federal and local government agencies. The lack of tint on a Guam car is the exception.

***Item #3. \$7,420.62 for travel.***

One travel was for Department of Labor, Mr. Manny Cruz's attendance at the NASWA Annual Conference in Denver in September 2013. One of the "Finding Themes" listed in the U.S. Department of Labor's audit stated, "Program and Grant Management Personnel – It is important that the key personnel administrating the WP and WIA-funded workforce programs are qualified to ensure that the grants meet their program and spending goals and that costs incurred are allowable, necessary and not duplicative."

Participation in NASWA assists Guam Wagner-Peyser and WIA-funded workforce personnel to be better informed, aware of current and innovative initiatives, and obtain information about what other states and territories are doing to improve programs and services. Membership helps agency leaders to better manage the programs and services under their responsibility.

NASWA offers the opportunity for workforce personnel to be engaged and informed about changes in legislation, policy and guidance. It provides a forum to communicate with federal and

state/territory experts and peers in other states or territories. Attendance at NASWA Board of Directors' meetings, committee meetings or conferences is an excellent way to assist in keeping staff informed and trained.

One of the specific expenditures listed in the audit was the travel expenses for "Mr. Manuel Q. Cruz, Trip to Denver, CO to attend 77nd Annual NASWA Conference; Sept 16-20. 2013." According to information provided by NASWA, such conferences, especially the Annual Conferences, are an excellent opportunity for state/territory leaders to hear from U.S. Department of Labor and other federal agency leaders, learn about new initiatives, discover ways to improve performance and create better efficiencies and obtain details on program operations, including information such as allowable costs.

NASWA is strongly supported by the U.S. Department of Labor, and in the case of Guam, the Department was instrumental in advocating for Guam to join NASWA and to participate in the NLX. Many U.S. Department of Labor staff, including the Secretary of Labor, usually attends and provides presentations at NASWA conferences and meetings.

Two other travel items questioned are for attendance at the 2013 C2ER Annual Conference and Labor Market Information (LMI) Training Institute Annual Forum May 20-24 in Nashville, TN.

In the fall of 1994, the South Carolina Employment Security Commission's Labor Market Information (LMI) Department submitted a proposal to establish a comprehensive national LMI training program. This program would be part of the U.S. Department of Labor's America's Labor Market Information System (ALMIS) initiative. The Institute is currently administered by the [Council for Community and Economic Research \(C2ER\)](#), with Direction provided by the Institute's Board of Directors. The Institute began with ETA funding. The Institute was created to improve the technical and program management skills of state LMI agency staff as they meet their customers' needs and foster communication within the LMI field.

The specific training included the Projections Managing Partnership Summit (PMP) discussion which included discussion of administrative, economic, statistical and software issues regarding production of employment projections. It also included from C2ER presentations the use of LMI in relation to economic development activities. The Workforce Information grant deliverable #2 requires adopting and completing the implementation of the new projections software suite that the Projections Managing Partnership consortium developed and specifically provides for b) training key projections development staff. The language not only authorizes such training but states that "ETA *expects* state grantees to use their PY 2012 WIGS funding for 2.b. training key projections staff.

Attachment three also specifically authorizes these funds for training. It states "States may also use (WIGS) grant funds to address state staff training needs required to build or enhance staff capacity." Finally, there is specifically a statement in TEGL 27- 11 which states: "ETA *expects* state grantees to use annual WIGS funding to access and participate in needed training opportunities offered or sponsored by the Projections Workgroup and the Projections Managing Partnership." This expands on the earlier statement which encourages training in general, training on projections specifically and more specifically authorizes PMP training.

As Gerard Limtiaco, Program Coordinator III and Gary Hiles, Chief Economist and LMI Director are Guam's key and only staff involved in the projections this travel and training activity is clearly and explicitly included and is an activity of specific benefit to the program. A number of state LMI Directors and staff also attended and participated at this conference. There were two meeting

tracks held concurrently. Each staff attended different sections based on the relevance, value and expertise. In addition to the valuable content, the forum provided staff and vendor networking opportunities. As a direct result of these activities Guam's consultation with Infogroup Vice President – Government Division agreed, after years of discussion, to include Guam Employers in the ARC Database. The cover letter dated November 9, 2013 distributing the 2014 1<sup>st</sup> Edition DVDs to all Licensees notes:

“A couple of highlights for this release: 1) We include an Employer Database for our neighbors to the far West – over 5,700 employer listings for *Guam*.” Discussion with Virtual LMI vendors also was the catalyst for our first ever Virtual LMI vendor contract with Geographic Solutions after attempts over a number of years which did not materialize.

The final item is a per diem expense of \$142.00 for meals and expenses for the LMI Director's attendance at the Census Bureau's Local Employment Dynamics (LED) partnership workshop. The LED Workshop is by invitation of the Census Bureau to state LMI Directors in support of its Longitudinal statistics program in partnership with states. The Census Bureau provided the accommodations. This activity is designed to expand the use of existing state data bases to track employees through training and employment.

***Item #4. \$500 for car wash coupons***

Cleaning of the vehicle is necessary for a professional image as well as to protect and preserve the finish and auto body from oxidation and corrosion. It is an important part of a maintenance program. The coupons include interior and exterior window cleaning as well as exterior washing and interior vacuum. They were obtained through the GSA procurement process and awarded to the lowest cost vendor.

- 1) Cleaning is a Vehicle Manufacturer's Maintenance Recommendation to protect and preserve the vehicle especially in corrosive salt water environments. The office and vehicle parking is located across the street from the Pacific Ocean.
- 2) Auto cleaning enhances safety. Dirty smeared windows either inside or out impair visibility and are blinding in combination with sun glare.
- 3) Auto cleaning is an approved and customary practice of the Federal Government It is authorized in the Federal fleet gas card; up to \$25.00. The U.S. Navy Hospital on Guam uses books of coupons with the car wash vendor on Guam. We copied a federal practice to put in place a system to maintain the operation of the vehicles and that includes cleaning. A Federal agency, The National Institute of Health Maintenance and Repair Services has a car wash program with books of tickets. In addition to the vehicle cleaning authorized in federal fleet cards, the federal government spends millions of dollars annually for vehicle cleaning contracts according to published industry contracting information.

4) Andersen Air Force Base Guam Example of the value of cleaning for corrosion control:

by Senior Airman Marianique Santos  
36th Wing Public Affairs

9/10/2013 - **ANDERSEN AIR FORCE BASE, Guam** -- A clear water rinse facility is currently under construction on the Andersen flightline to support maintenance for U.S. Department of Defense's flying assets deployed or transient here. The 6.7 million dollar DoD contract was awarded to Niking Corporation.

DOD contractors and members of the 36th Civil Engineer Squadron began construction of the Guam Strike Clear Water Rinse Facility, or "birdbath," in May 2013 and are scheduled to complete the facility by December of this year.

According to Air Force technical orders, all aircraft stationed within 1.25 miles of salt water require a clear water rinse at least once every 15 days unless washed first.

Wehunt said clear water rinses mitigate and drastically reduce the amount of residue that can cause corrosion on the aircraft. "When this rinse is not conducted regularly, the costs and time to replace parts and grind down corrosion is astronomical when the aircraft comes back to depot," Wehunt said. "Once the rust starts happening, it has to be ground out or else it will keep growing, even if the aircraft goes to a less humid location.

"In the future, it will pay for itself pretty quickly through the amount saved in the cost corrosion control."

**Item #5. \$1,051 Tuition for Gerard Limtiaco**

OMB Circular A-87 Revised 5/10/04 States: 42. **Training costs.** The cost of training provided for employee development is allowable.

Tuition is for Classes taken and successfully completed. They are Adobe Photoshop and Fiber-optic cabling. Workforce Information deliverable #3 requires publishing analysis and information and #4 requires posting on the internet. Training in the application of publication software for both paper and internet website information dissemination seems appropriate. Photoshop enhances the visual component by enabling the production of different types of graphics to include photos, charts and combinations thereof. The Division has the Adobe Photoshop software, providing training to enhance and expand its' use leverages resources. We are pleased to have staff with the motivation, initiative and drive to make the effort to improve work skills for enhanced performance.

In regard to training for fiber-optic cabling, it also supports the grant work by making system infrastructure operate continuously. The state IT office (i.e., DOA Data) is suffering from acute budget and staff shortages, and therefore is unable to provide expedient hardware support to the department network infrastructure that stores data and provides internet access on a timely basis, if at all. There were instances of network failure that were traced to cabling (fiber-optic and copper), and recently there were instances of where fiber-optic cabling had to be replaced. The department needs to maintain an in-house IT troubleshooting staff to act as a first-response given the state IT department situation. It is very cost effective compared to employing dedicated staff or other contractual arrangements. This capability is essential to the continuous operation of

computers, printers and internet connections including e-mail and internet service. It is necessary for timely customer service as well as avoidance of unproductive staff downtime.

We are pleased to have staff with the motivation, initiative, ability and drive to make the effort to improve work skills for enhanced performance.

**Item #6. \$11,000 for NASWA membership.**

OMB Circular A-87 Revised 5/10/04 States: **Memberships, subscriptions, and professional activity costs.**

- a. Costs of the governmental unit's memberships in business, technical, and professional organizations are allowable.

The National Association of State Workforce Agencies (NASWA) membership fee includes not only the membership but provides access to use the National Labor Exchange (NLX), a national job bank which requires membership to use. The membership fee is based on a tier schedule with Guam's fee being the lowest of the levels. There are three compelling justifications for the membership and the items below outline why the membership is not only necessary, reasonable and of benefit to the grant but it *is required* by the grantor agency.

- 1) NLX is required by an MOU with ETA and the NASWA fee is needed to use it for the MOU signed in Washington D.C. by ETA executive Oates
- 2) A core function and component of the Employment Service is a Job Bank – Guam DOL's job bank has been upgraded to use this system – it has a number of desirable advantages including faster employer self-service postings, increased and better use of short staff resources, data entry screens which screen out ineligible users and error prompts to assist users in submitting complete and usable applications, it also generates use and labor demand and availability statistics and it is national in scope, providing U.S. workers and employers greater potential for successful job-worker matches.
- 3) The NASWA membership provides and leverages resources and provides opportunities for coordination, partnerships and training. Concepts all supported in the Employment Service grant.
- 4) The benefits of such partnerships are not just theoretical. The value of NASWA membership was proven quickly and the cost has paid off many fold by the benefits to American Service members who have earned and deserve the same benefits that service members residing in the states receive. The historic first ever availability of the UCX program benefiting unemployed U.S. Guam National Guard members returning to Guam from duty were made possible as a result of the NASWA membership and the commitment of the Guam Department of Labor Director and NASWA members and staff in coordination with federal civilian, military and state agencies.
- 5) Each and Every State in the United States and some Territories are NASWA Members according to printed NASWA information. In order to be members payment of dues is required.

OMB Circular A-87 Revised 5/10/04 States 2. Reasonable costs. A cost is reasonable if, in its nature and amount, it does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the cost. The question of reasonableness is particularly important when governmental

units or components are predominately federally funded. In determining reasonableness of a given cost, consideration shall be given to:

- a. Whether the cost is of a type generally recognized as ordinary and necessary for the operation of the governmental unit or the performance of the Federal award.

Since each and every state in the United States is a NASWA member it would certainly be an ordinary state expenditure and prudent according to the unanimous view of state labor departments. While individuals views on what is reasonable may differ, certainly these membership costs are uniformly accepted and paid by professionals and state employment security agencies.

Economic Report Deliverables- The economic information produced by Guam's WP-funded Workforce Information grant project is inadequate. The focus of the grant project is to produce economic data that substantively contributes to workforce investment system planning and helps to guide job seekers towards occupations that suit their interests and skill levels. Reviewers saw very little evidence of opportunity identification such as the impact of a plant closing or in-demand demand education, skill requirements for the occupations in demand on Guam, local career profile reports, or detailed economic analysis of industry or occupation projections.

Response:

The Economic Report Deliverable is based on the requirements of the grant funding TEGL which are shown in it's entirety in the #3 quoted text following:

"3. Conducting and publishing relevant economic analysis, special workforce information, or economic studies determined to be of benefit to the governor, or state and local WIBs"

The Economic Outlook report produced and submitted does an exemplary job of being of benefit to both the governor and the WIB. It provides a comprehensive and quantitate assessment of the economic issues which will impact Guam' economy and labor force primarily in the short term but also impact long term activity. We are very proud of the report. The report is not only of benefit to the governor, it is produced and published annually as an important part of the Governor's Executive Branch Budget request to the Legislature. The WIB used the economic analysis in its plan. The report is of sufficient public and business interest that that both newspapers on Guam have published excerpts in a number of news stories. The largest newspaper on Guam has republished the report in full or substantially with excerpts or updates in the latest two years.

The WIG grant requires the production of employment projections. These projections require a number of statistical inputs, primarily time-series employment by industry. A substantial effort is made to leverage and support inadequately funded local program to produce both the quarterly current employment statistics and the annual census of establishment with a level of accuracy that can be relied on. The PMP projections software requires time-series employment statistics we use WIG funds to in part support the collection and publishing of time-series employment statistics and reports both employment and unemployment. Projections data and the employment and unemployment statistics substantially contribute to workforce development.

The employment projections system of the Projections Managing Partnership (PMP) is a set of software tools used to display and analyze industry employment trends for industry projections. Accurate high quality projections which incorporate current assessments of industry and economic activity in addition to the trends growth models contained in the software are much more likely to have better forecasting accuracy than projections bases on trend analysis alone. The Economic Outlook report is a critical input used to test the reasonableness of the various

growth model assumptions and where possible supplement them with additional regression analysis for both the short and long term and produce better projections.

The ETA letter notes that it does not find reports “such as the impact of a plant closing or in-demand demand education, skill requirements for the occupations in demand on Guam, local career profile reports, or detailed economic analysis of industry or occupation projections”

TEGL 27-11 which outlines the requirement and deliverables for the WIG grant never mentions any of the above research items in the Economic Report deliverable requirements. The TEGL attachment three states that “states are allowed flexibility in developing the remaining three required deliverables” which include the economic reports.

While there exists an endless list of additional possible research and publication activities which would be desirable and we would like to pursue, we must focus most of our resources on the production of basic economic and statistical information which is routinely produced and is available from other entities in the states including the Unemployment insurance program including the Quarterly Census of Establishments, the Monthly Industry employment survey, the Current Employment Statistics program and the Local Area Unemployment Statistics Program. Without employment and unemployment statistics none of the additional referenced products could possibly be produced. We disagree with the ETA reviewers assessment that the economic analysis, employment projections, employment, wages, hours, earnings and unemployment and income statistics produced are not useful and do not substantively contributes valuable information for workforce investment system planning.

The finding theme on the Economic Report notes: “The focus of the grant project is to produce economic data that substantively contributes to workforce investment system planning and helps to guide job seekers towards occupations that suit their interests and skill levels.” With data developed in whole or in part from the WIG grant, Guam has data displayed on the ETA affiliated America’s Career InfoNet [www.acinet.org](http://www.acinet.org) including but not limited to:

- Fastest growing occupations
- Occupations with the most openings
- Occupations with Declining Employment
- Highest-Paying Occupations by median hourly wage

Additionally some of these lists provide the number of openings by Education level.

All of this information produced by the Guam Department of Labor, Bureau of Labor Statistics substantively contributes to workforce investment system planning and helps to guide job seekers towards occupations that suit their interests and skill levels.

### ***Corresponding Work Areas***

Where appropriate, the established Strategic Workforce Plan Work Areas (WA) are:  
-All applicable Work Areas

### Supporting Documentation

1. **Justification for the Lease Vehicle and Purchase of New Vehicle** – Maintenance AHRD written justification for the lease vehicle and purchase of new vehicle.
2. **Copy of documents relative to shortfall of excess print charges for the lease copier machine assigned to WIA programs.**
3. **GWIB Resolution No. 13-005** – A Resolution relative to the approval of the National Association of Workforce Boards (NAWB) Conference
4. **Regional Workforce Development Council Strategic Plan 2010-2015**
5. **GWIB Resolution No. 13-007** – A Resolution relative to the approval of the Micronesian Worker Conference as recommendation from RWDC/PWIW at 18<sup>th</sup> MCES
6. **Email correspondence** from Guam re: \$11,000 cost for NASWA (dated 2011)
7. **MOU – U.S. Worker Recruitment for the Guam Military Base Realignment and Build-up**
8. **Letter from NASWA Deputy Executive Director**

## EDMR Finding 11

### Financial Management Systems – Financial Reporting

#### THEMATIC AREA(S): Financial Cost Allocation

*Information reviewed during the EDMR indicates that the quarterly financial reports did not include key elements.*

**AHRD** – Not applicable.

**GDOL** – No response provided.

# **Appendix**

## **EDMR Response Summary Workplan**

## EDMR Response Summary Workplan

On February 1, 2014, AHRD was in receipt of the EDMR Audit Findings report. The agency immediately launched a workforce strategy to prepare appropriate responses and corrective actions to the findings. An EDMR Response Workgroup was formed and the proper report format was circulated to the Agency for Human Resources Development (AHRD) Administrators and the Guam Workforce Investment Board (GWIB) Chair, Standing Committees and members.

AHRD recently moved to the Bell Tower Plaza, Suite 301 located at 710 West Marine Corps Drive in Hagatna effective February 10, 2014 and also relocated what is now known as the American Job Center, (AJC) Guam (the former One-Stop Career Center).

It was understood that in order to deliver a comprehensive report to the findings, all were to take this endeavor seriously and provide appropriate responses to the areas of their oversight. The AHRD Director exercised his authority to have the AHRD Administrators and the Guam Workforce Investment Board perform their due diligence and effectively prepare written responses that were exemplary and satisfactory for the findings to be "closed" as outlined in the Matrix received from US DOL ETA.

The Planning Standing Committee continues to hold their regular meetings to discuss the best approach to deliver a sound EDMR response report. The Planning Chair also assisted in the development of the final report to be sent to US DOL ETA on the responses from the two entities, AHRD and Guam Department of Labor (GDOL).

Timelines were even prepared to meet the deadline of submittal no later than April 2, 2014. For Calendar Year 2014, as outlined, the chronology shows, starting with Week 7, (February 9-15) eight weeks ago, the following action plan took place:

### Week 7 (Feb 9-15)

- GWIB Executive Committee Meeting to address EDMR Response Strategy
- Preplanning sessions to address the following:
  - Workgroup Appointment:
    - AHRD Specific
    - GWIB Specific

### Week 8 (Feb 16-22)

- AHRD Specific:
  - Appointment of AHRD EDMR Repository POC
  - POC and GWIB Workgroup development of EDMR Response Approach
    - First Draft of EDMR Response Plan
  - AHRD Administrators Meeting
    - Distribution of EDMR Response plan to AHRD Administrators

### Week 9 (Feb 23-Mar 1)

- AHRD EDMR Response and development of Corrective Action Plan (CAP)
- EDMR Review Process Questionnaire
- GWIB Board Meeting Input EDMR findings

Week 10 (Mar 2-8) (Monday – Holiday: Guam History and Chamorro Heritage Day); Geo Solutions Training all week; **work continued on EDMR responses**

- Consolidation of comments and CAP statements
- Development of first EDMR Response plan

Week 11 (Mar 9-15)

- Second EDMR draft
  - Unified Response between AHRD & GDOL and AJC

Week 12 (Mar 16-22)

- Cushion period for technical report preparations, addressing slippage issues and other EDMR report preparation concerns.

Week 13 (Mar 23-29)

- Distribution to GWIB for Endorsement
- Review and approval by Governor

Week 14 (Mar 30- Apr 5)

- Submission to U.S. DOL-ETA

Executive Committee meetings to discuss the EDMR:

The Guam Workforce Investment Board (GWIB) also held meetings during the following dates:

- February 11, 2014 (Tuesday) @ 4:00 p.m., Executive Committee Meeting held at AHRD Conference Room, 3rd floor, Bell Tower Plaza; Both AHRD and GDOL Directors attended this meeting
- February 27, 2014 (Thursday) @ 4:00 p.m., held AHRD Conference Room, 3rd floor, Bell Tower Plaza; Both AHRD and GDOL Directors attended this meeting
- March 20, 2014 (Thursday) @ 3:00 p.m., AHRD Conference Room, 3rd floor, Bell Tower Plaza; Both AHRD and GDOL Directors attended this meeting

At these meetings mentioned above, the GDOL Director informed the GWIB Chair, Ms. Denise Selk, that he would submit their report from GDOL to meet the timeline of compiling the technical EDMR response report to US DOL ETA during Week 12 (March 16-22). AHRD completed its EDMR responses and met the timelines; GDOL's responses were also submitted Week13, March 26, 2014.

At the GWIB meeting, a motion was made to submit separate reports to US DOL ETA from the two entities AHRD and GDOL. The GWIB, in dealing with the broader situational perspective, submits this executive report summary as an addendum and part of the blended report, reiterates and emphasizes commitment to work together to deliver the responses to the findings material at the discussion held during the Board meeting of March 27, 2014.

Although we continue to encounter challenges, the GWIB remains committed and diplomatic as a policy-making body, to promote collaboration among government entities and private sector representation, protecting the interests of the people of Guam.

# **Supporting Documentation and References**

**Supporting Documentation and References**

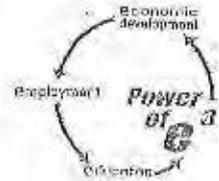
# **EDMR Finding #1**

## **Attachment 1**



## GUAM WORKFORCE INVESTMENT BOARD

RESOLUTION 12-06



### A RESOLUTION ADOPTING THE IMPLEMENTATION OF THE STATEMENT OF WORK (SOW) AND ELIGIBLE TRAINING PROVIDER LIST (ETPL) APPLICATION

WHEREAS, the Guam Workforce Investment Board (GWIB) is tasked with the oversight and guidance of the Workforce Investment Act (WIA) on Guam and monitors the fiscal and programmatic activities of the Agency for Human Resource Development (AHRD), which is the primary recipient of WIA funding on Guam.

WHEREAS, the Board tasked an action team to look at the RFP process as it pertains to training providers currently affiliated with AHRD.

WHEREAS, upon review, the action team noted that the training provider contracts had over-reached the boundaries of training provider, and had begun taking responsibilities which should, by WIA regulations, fall under the purview of case management.

WHEREAS, the action team proposed a shift to a case manager focused program, with clear guidelines and directions which can be monitored by the Board through the SOW model.

WHEREAS, the SOW spells out the program outlines, case management responsibilities, and proposed outcomes, allowing the Board an opportunity to monitor monthly expenditures and program activities, while being more flexible and proactive to the changing workforce development needs of the island.

WHEREAS, the emphasis on program outcomes also produces a paradigm shift in AHRD; from an agency which has become part of the entitlement system, to an agency devoted to training and career progression.

WHEREAS, the SOW contains clear definitions of the WIA elements, from case managers to program performance measures; Summary: service levels and goals; Funds requested for services; Scope of Work: a detailed breakdown of how service will be provided; Program and Financial management: responsible personnel and guidance parameters; WIA Staff Job Descriptions: detailed descriptions as well as educational level and work experience requirements.

WHEREAS, in order to quickly engage the training providers needed to help shift towards demand-driven occupational training, an application has been created which asks providers to list their qualifications to provide training as well as any diplomas or certifications they provide.

WHEREAS, once approved by the Board, they become eligible to receive WIA clients through the AHRD case managers, giving the Board the flexibility to add or delete training providers based on the needs of the island's demand-driven occupations.

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Resolution

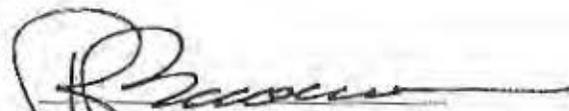
NOW THEREFORE BE IT RESOLVED, that the Guam Workforce Investment Board hereby adopts the implementation of the Scope of Work for WIA Adult, Dislocated Worker and Youth Programs and the Eligible Training Provider List Application.

Adopted this 3<sup>rd</sup> day of August 2012

ATTESTED:

For the GUAM WORKFORCE INVESTMENT BOARD

  
James Martinez, Chairman

  
Maria S. Connelley, Vice-Chair



**GUAM WORKFORCE INVESTMENT BOARD  
RESOLUTION NO. 12-09**

**A RESOLUTION ENDORSING THE ESTABLISHMENT OF THE FOLLOWING STATEMENT OF WORK (SOW) PROVISIONS**

**WHEREAS, the establishment of the Guam Workforce Investment Board SOW (Resolution 12-06) provides for the much-needed retooling and workforce reform related to case management, performance measures, and expenditures while meeting the changing workforce development needs of the island; and**

**WHEREAS, the established Workforce Area (WA) classification system established under the GWIB PY2012-2016 Integrated State Plan represents a compilation of programming areas provided under the Workforce Investment Act and localized for purposes of the GWIB SOW as provided under the WA 903.5; and**

**WHEREAS, the GWIB SOW provides the alignment structure to the national standards of performance measures, defined outcomes and accountability; and**

**WHEREAS, the following GWIB SOW addendum measures are presented as clarification and guidance provisions to help in the interpretation and implementation of the appropriate SOW Work Areas:**

- 1. GWIB recognizes and adopts the Work Keys Assessments tests as part of the workplace skills assessments approach for the OSCC case management system. This includes the establishment of the minimum Bronze certificate level or a minimum score of 3 on each of the three core areas that participants must earn for consideration into the WIA programs;**
- 2. GWIB recognizes the importance of work experience as part of the training opportunities available to WIA participants. The GWIB SOW WA 210 is expanded to provide the work experience component limited to WIA participants enrolled in a training component and with no previous work experience. Participants must meet all program criteria as specified in the WA;**

*Resolution*

***NOW THEREFORE BE IT RESOLVED*, that the Guam Workforce Investment Board hereby approved and established the addendum SOW provisions described above.**

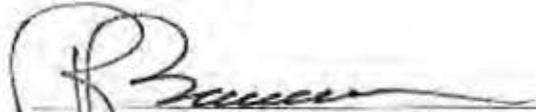
**Adopted this 11th day of December 2012.**

**For the Guam Workforce Investment Board.**

**ATTESTED**

**For the GUAM WORKFORCE INVESTMENT BOARD**

  
\_\_\_\_\_  
Maria Connelley, Vice-Chair

  
\_\_\_\_\_  
Peter R. Barcinas, Planning Committee  
Chair

# **EDMR Finding #1**

## **Attachment 2**

# **EDMR Finding #1**

## **Attachment 3**

**GUAM WORKFORCE INVESTMENT BOARD**

**STATEMENT OF WORK**  
**WIA ADULT, DISLOCATED WORKERS & YOUTH PROGRAM**

**Release Date**  
**August 2012**

**Projected Performance Period**  
**July 1, 2012 – June 30, 2013**

## BACKGROUND

The Workforce Investment Act (WIA) is the nation's principal workforce development legislation. In 1998, the enactment of the WIA was the first major reform of the nation's job training system in more than 15 years. Title I of the Act is designed to provide workforce investment activities through statewide and local one-stop systems that increases employment retention and earnings of participants, and increases occupational skills attainment by adults, dislocated workers and youth participants. The one-stop system through the delivery of core, intensive, and training services provide the information, advice, job search assistance, and training that are necessary to get and keep good jobs to the unemployed and/or underemployed individuals thereby providing employers with skilled workers.

The cornerstone of the workforce investment system is One-Stop service delivery that unifies numerous training, education and employment programs into a single, customer-friendly system in each community. The underlying notion of One-Stop is the coordination of programs, services and governance structures so that the customer has access to a seamless system of workforce investment services. Through the One-Stop system, the workforce investment system is a gateway to a wide variety of employment, training, educational and other human resource programs

## SUBMISSION OF PROPOSED STATEMENT OF WORK

The following must be included in the Proposed Statement of Work:

- A. 2012 WIA ADULT, DISLOCATED WORKERS & YOUTH PROPOSAL SUMMARY
- B. (PROJECT DESCRIPTION) – This portion should give a clear picture of the design of the program, the anticipated outcomes, and the capability of the provider to deliver the proposed services. Provider is to answer each question under Sections A – H. Sections A-H should follow the alphabetical and numerical sequence. Answers to the Questions should be typed under each question.
- C. BUDGET – Complete the Budget Summary and supporting worksheets for all costs required to implement the program design.
- D. MEMORANDUM OF UNDERSTANDING BETWEEN MANDATED ONE-STOP PARTNERS
- E. JOB DESCRIPTIONS AND RESUMES – A Job Description – Workforce Investment Act form must be completed for each position funded by WIA Adult/DW/Youth funds.
- F. CURRENT ORGANIZATION CHART

## G. AGENCY GRIEVANCE PROCEDURES

## H. ASSURANCES & CERTIFICATION FORMS SUBMITTED TO U.S. DEPARTMENT OF LABOR EMPLOYMENT AND TRAINING ADMINISTRATION

- ◆ GENERAL ASSURANCES & CERTIFICATION FORM - Requires signature of authorized representative & date.
  
- ◆ CERTIFICATE REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION LOWER TIER COVERED TRANSACTIONS  
Requires signature of authorized representative & date.
  
- ◆ DRUG FREE CERTIFICATION - Requires signature of authorized representative & date.
  
- ◆ EQUAL OPPORTUNITY NON-DISCRIMINATION (Complete form)
  
- ◆ ASSURANCES NON-CONSTRUCTION PROGRAMS - Requires signature of authorized representative & date.
  
- ◆ COPELAND ACT CERTIFICATION - Requires signature of authorized representative & date.

## SERVICE DELIVERY REQUIREMENTS

This portion of the plan should give the Board a detailed and clear picture of the design of the program, anticipated outcomes, and the capability to deliver the proposed services.

## PARTICIPANT SERVICES

*Case Management:* Case Management is a client-centered approach in the delivery of services, designed to prepare and coordinate comprehensive individual service strategies for participants to ensure access to necessary workforce investment activities and supportive services, and to provide job and career counseling during program participation and after placement.

Case management involves the following services, as well as maintaining, case files on each client who is enrolled and compiling all data regarding participants, activities and follow-up for entry into the State Workforce System. Case files must include the application, eligibility determination and verification, budget/income worksheets,

assessment results, the Career Strategy Plan (CSP), and status changes for enrollment, activity changes, termination, and follow-up,

*Participant Case Notes Documentation:* WIA service providers are expected to provide case notes documentation through the Workforce System. Case notes are written in detail of all services provided or referred. Case notes must detail from the beginning of services to the end of services provided to the participant. Dates on all activities must match dates in the case notes and the outcomes. Case notes are to be updated periodically in Workforce System and printed monthly and put in client's file folder. *(Case Notes templates will be provided under the participant services SOPs)*

*Outreach and Recruitment:* Efforts to broaden the composition of the pool of those considered for participation are to include members of both sexes; the various race/ethnicity and age groups and individuals with disabilities. All recruitment brochures and information must contain the state Relay numbers for use by the hearing impaired, and must contain the "equal opportunity employer/program" statement. All material must also include the statement that "auxiliary aids and services are available upon request to individuals with disabilities." The Provider must comply with all related sections of 29 CFR Part 37. *(Where appropriate such materials and references should be reviewed by the OSCC partner (Vocation Rehabilitation).)*

Recruitment, eligibility and certification must be conducted in such a way to ensure that target populations are served, and that planned enrollment levels are met. Outreach and recruitment will be performed through coordination with other human service delivery agencies within Guam, especially those that are partners in the One-Stop Career Center. *(GWIB policy shall identify the recognized partners).* The Provider will coordinate with human service agencies to include but not limited to the following: the Public Schools, the Housing Authorities, Department of Social Services, Veterans' Services, Employment Security Commission, Health Department, Community Colleges, Community Based Organizations, Vocational Rehabilitation, Services for the Blind, Title V programs, and Department of Correction. Coordination will be achieved among service providers through WIA orientation/training sessions and written coordination agreements, if needed. Other agencies will be advised of the WIA services available through newspapers, fact sheets, and/or media public service announcements and through electronic linkages and the One-Stop Career Center. *(Where appropriate, this should align with the GWIB state integrated 2012-2016 Work Areas as presented in Part II. of the GWIB Operational Plan.)*

*Intake and Eligibility Determination/Verification:* All participants in the workforce development program must meet all criteria as specified in the Act and Regulations. Provider must carefully examine and comply with the Law and WIA Regulations regarding eligibility requirements.

The Provider will verify participant eligibility consistent with the Guam's eligibility determination system and federal/state directives. A list of items for which the Board

requires verification in addition to the state requirements will be provided. Therefore, the following system shall be established for verification of participant eligibility:

1. The Provider will be required to obtain necessary eligibility items to be verified as specified in Board and state eligibility guidelines. Documentation sources must be in accordance with the GWIB policy and guidelines.
2. The Provider will maintain any and all documentation gathered at the time of eligibility determination.
3. The Provider will take swift and immediate action to exit participants determined ineligible for WIA activities via self or state monitoring, in accordance with GWIB-MO-001. This will include but not limited to incorporating timelines for exit and perhaps consider establishing warning times if exit target dates are not met and mitigation plan to be developed and followed to get back on timeline. Suggest a corrective timeline if exit is not met.

All intake will be performed by the Provider and will be directed toward the eligible population. The Provider will be responsible for entering all participant data accurately and in a timely manner into the Workforce System (WIA computerized database).

Establish Eligibility Reference/List: The Provider staff member(s) assigned to eligibility determination will ascertain the correct family status, barriers, calculate family income, determine public assistance status, etc. in order to determine WIA eligibility. This information will serve as the basis for initiating a WIA enrollment for each participant. An assigned Provider staff member will interview the participant to ascertain adequate information to complete the required data. Participants shall be required to submit eligibility documentation as applicable. Such documentation shall be copied and retained on file by the Provider. Once the required data is complete, the Provider staff member(s) shall review with the eligible applicant all data directly related to eligibility and fraud/misleading information clauses. The Provider will be responsible for all completed participant documents so that the state office can monitor this information as required.

Prior to enrollment, all applicants must be certified as eligible to receive WIA services by WIA Program Administrator in accordance with the One-Stop Career Center (OSCC) "Client Intake Forms". The service provider is responsible for reviewing each client's WIA application to ensure that services are provided only to applicants who have been determined eligible for the appropriate program. These verification documents must be secured in the participant's permanent file and will be subject for review by the state, in accordance with the GWIB Monitoring Policy (GWIB-MO-001)

Participants who are not eligible, or eligible applicants who for other reasons are not selected for enrollment, will be referred to the Employment Services of the One-Stop

Career Center for additional assessment and to appropriate agencies, where they may be provided with services suited to their needs. If there is a continuing relationship with an participant, referral to another program for specific services will be part of the participant's program participation and will be documented in the Career Strategy Plan (CSP). WIA service providers are responsible for providing information regarding appropriate services and making necessary arrangements for individuals to be referred for those services. The service provider will document the referral in the participant's CSP. The service provider will track all referrals to non-WIA services for eligible applicants, participants and enrollees.

**Objective Assessment:** WIA service providers will be required to conduct an objective assessment for each eligible participant. The assessment provides the necessary foundation for the WIA service provider in partnership with the participant, to establish a service strategy that addresses their academic and vocational levels, skill levels, career interests and services needed to include but not limited to the following:

- |                      |                               |                              |
|----------------------|-------------------------------|------------------------------|
| *family situation    | *interest and aptitudes       | *prior work experience       |
| *education           | (including interests and      | *employability/work maturity |
| *basic skills        | aptitudes for non-traditional | skills                       |
| *occupational skills | occupations)                  | *financial resources and     |
| *motivation          | *attitudes toward work        | needs                        |
|                      | *supportive services needs,   |                              |
|                      | and developmental needs       |                              |

The Provider may accomplish assessment through interviewing, testing, counseling, etc., as set forth by the state. The provider must make appropriate provisions per the use of test assessment instruments for individuals with disabilities.

**Career Strategy Plan:** WIA service providers will be required to develop a Career Strategy Plan (CSP) for each eligible participant that meets the WIA requirements. The CSP will include identifying realistic educational and employment career goals taking into consideration the participant's assessment results. The CSP is an informal "contract" between the WIA service provider and the client.

The CSP contains education and employment goals (including, in appropriate circumstances, non-traditional employment), associated achievement objectives, including competency levels to be attained by participants as a result of program participation, time frames for achievement of objectives, appropriate services for participants, documentation that the participant was told of the requirements for self-sufficiency and the occupational demands within the labor market.

At a minimum, a quarterly review of the CSP by the WIA Program Administrator shall be made to evaluate the progress of each participant in meeting the objectives of the service strategy. The participant's progress in acquiring training and employment as appropriate, and the adequacy of the supportive services provided will also be included in the periodic evaluation. The CSP will be used as the basic instrument to document the appropriateness of the decisions made concerning the combination of services for the participant, including referrals to other programs for specified activities. Training

provided by the service provider should be in accordance with the CSP. The Provider must assist the client in attaining the goals set forth in the CSP.

Because WIA resources are generally insufficient to provide the full range of training or support services identified as needed in the CSP, every reasonable effort must be made to arrange job search and training as well as supportive services through other community resources for participants.

*Selection of Participants:* The Provider will select eligible applicants who have been assessed as meeting eligibility criteria as determined by the CSP and who have the minimum skills to successfully participate and complete the training as indicated on the CSP. Every effort is to be made to recruit a diverse population of participants as related to the provision for universal access to programs and activities in 29 CFR 37.42. Providers must broaden the composition of the pool of those considered for participation or employment in their activities and programs to include members of both sexes, of the various racial and ethnic groups and of various age groups, as well as individuals with disabilities. Reasonable accommodation must be provided for individuals with disabilities. Veterans and their eligible spouses/dependents are included in the priority group for service.

*Orientation:*

The Provider will provide orientation to all participants. Orientation shall provide a participant with information about the WIA, offer guidance on personal and family problems and community resources, and prepare the participant for seeking and maintaining employment. The Provider will provide "Labor Market Information" orientation and "World of Work" orientation, to include information on job hunting, personal interviews, unions and employee rights. Provider staff person will be designated to conduct participant orientation, and participants will receive the following information:

- The name & phone number of the assigned case manager
- Training programs (purpose and service available)
- Objective Assessment process (time, length, results)
- Individualized Service Strategy
- Grievance Policies and Procedures
- Participant Rights, Benefits, Complaint procedures
- EEO Designee
- Hatch Act/Nepotism
- Labor Market Information
- Services Available from non-WIA sources
- Attendance Requirements, as applicable.

Additional information will be provided to all participants/enrollees which includes, but is not limited to, the following:

- Length of Participation (program specific and formal limitations as appropriate)

- Review/Analysis of assessment results
- Designation of counselor, services available and schedules
- Enrollee's responsibilities (presenting required paperwork, contact with case manager, participation in the outcome of services provided)
- Submission of attendance/travel sheets
- Individual Training Account responsibilities (if applicable)
- Available Supportive Services

Participants will sign for receipt of information on the Hatch Act, nepotism, program referral, EIC, labor market information and equal opportunity.

Supportive Services: The WIA service provider will provide supportive services to participants through arrangements with other human services agencies in order to avoid duplication and maximize resources. Where community resources are not available to provide the supportive services as identified in the participant's CSP, the WIA service provider may provide supportive services according to the GWIB Supportive Services Policies. Supportive services will be based on funding availability.

Supportive services should be tailored to the individual's needs and may include transportation, temporary shelter, child/dependent care, housing, legal assistance, linkages to community services, financial counseling, referrals to medical services and assistance with uniforms or other work-related costs such as protective eyeglasses.

Insurance and Working Conditions: The service provider shall provide adequate on-site medical and accident insurance for all enrollees not covered by Guam's Workers' Compensation law. This coverage shall not include income maintenance. Contributions to a self-insurance plan, to the extent that they are comparable in costs and extent of coverage had insurance been purchased, are allowable upon prior approval by the Guam Workforce Investment Board. Requests for such approval are to be submitted in writing to the Board. On-the-Job Training (OJT) employers must provide proof of workers' compensation or comparable coverage prior to execution of the OJT contract.

No WIA client will be required or permitted to work, or receive services or training in a building or surroundings or under working conditions which are unsanitary, hazardous, or dangerous to the client's health or safety.

Reporting Requirements and Management Information System (MIS): The Provider will utilize the designated WIA Workforce System as approved by the GWIB. All data collected and entered will be stored in a central database.

1. All Case Managers shall be required to maintain in the workforce system intensive case notes, counseling notes and activity notes.
2. All Case Managers are required to maintain individual participant folders with signed and printed documents, verification of employment, leave/exit forms, post program activities, case and activity notes, and follow-up documentation and each applicant's CSP.

3. All Case Managers will maintain and document in the Workforce system and on the CSP a record of referrals made to other service providers and other Human Resources Agencies for supportive services.
4. All Case Managers are responsible for entering data accurately within two (2) working days.

***Counseling:*** The Case Manager will be responsible for the comprehensive guidance and counseling services provided to participants will assist each participant in realistically assessing his/her needs, abilities and potential by providing guidance in the development of vocational goals and the means to achieve them, and help with the solution of a variety of individual problems that may occur during participation.

Counseling will be provided on an individual or group basis. Additional counseling may be required by program design as set forth in the individual program descriptions. A case manager will be assigned to each participant during the enrollment process and will serve as the participant's primary contact person. The participant counseling sessions will be structured around the development of the Career Strategy Plan and the implementation of the service strategy. All counseling sessions will be documented and the case manager's signature will be on all records.

A Case Manager will be expected to:

1. Assist the participant in the development of his/her CSP;
2. Ensure that services provided are consistent and complementary, and that they provide the participant with the experience needed to develop new skills and behaviors; and
3. Provide continuous counseling support to the participant in the on-going development and modification of the CSP at a minimum of quarterly.

The focus of counseling will be the enhancement of the individual's employability skills, which will help the participant to secure and hold suitable employment. Case managers may work with the participants in using computer software that is available in employment counseling. Counseling shall at a minimum be provided to:

1. Strengthen the self-image of the participant and formulate his/her Career Strategy Plan;
2. Inform the participant of available job openings and the local economic conditions; and
3. Determine the supportive services needs of the participant and the intervention needed to meet these needs.

To assure that the participant is progressing in his prescribed training area, the case manager is required to maintain regular contact with the participant. The case manager is required to refer the participant to other community resources as needed or requested.

***Job Referral and Placement:*** Each training program with placement goals is responsible for placing its completers. The Provider is responsible for job development

and placement of participants, as applicable. The Provider's program design should also include job search training which teaches the participant skills such as interviewing techniques, getting a job and keeping it, acceptable employee relations, how to complete an application, and resume preparation, etc.

Follow-Up: WIA service providers are required to provide follow-up services for adults, youth and dislocated workers, for a minimum of 12 months after program exit. Follow-up is to be done on all individuals that enter unsubsidized employment. Regular follow-up will establish relationships that can be important, not only when problems arise, but in preventing such problems and in establishing an on-going rapport with employers.

The Provider will distribute the Follow-up Letter and questionnaire to participants through the mail (regular and/or electronically) as specified by the GWIB. Each participant failing to respond will receive a telephone call to produce his/her responses. If he/she cannot be reached by telephone, the Provider will attempt to reach the participant at his/her home to obtain the questionnaire information. The questionnaire will then be reviewed for accuracy and placed in the participant's file. All follow-up efforts must be documented for monitoring purposes.

Coordination/ Linkages: The Guam Workforce Investment Board requires that all adult, youth and dislocated worker Providers operate from the designated service delivery site. This coordination will ensure that eligible participant receive information on the full array of services available to them and referrals to appropriate training and programs. Other service options include providing effective connections to the job market and employers.

Program Performance Measures: The Workforce Investment Act establishes a comprehensive performance accountability system in order to optimize the return on investment of Federal Funds and to assess the effectiveness of achieving continuous improvement of workforce investment activities funded under Title I. The Guam Workforce Investment Board will be negotiating performance goals for PY2012 U.S. Department of Labor, in the interim and in the absence of an approved performance rate, the GWIB will be using the national average and will be measured by the following Common Measures:

ADULT AND DISLOCATED WORKER PERFORMANCE MEASURES	
Measure	Formula
Entered Employment	Of those adults who are not employed at registration: The number of adults who are employed in the first quarter after the exit quarter Divided by The number of adults who exit during the quarter
Retention Rate	Of those adults who are employed in the first quarter after the exit quarter: The number of adults who are employed in the second and third quarter after the exit quarter. Divided by The number of adults who exit during the quarter
Adult/Dislocated Workers Average Earnings	Of those adults who are employed in the first, second, and third quarter after the exit quarter: Total earnings in the second quarter plus total earnings in the third quarter Divided by

The U.S. DEPARTMENT OF LABOR, ETA Government Performance and Results Act Goals for PY2012 are given as a guideline. GWIB has not received Performance Goals for PY 2012.

**NATIONAL GRPA WIA Performance Goals**

U.S. DEPARTMENT OF LABOR, EMPLOYMENT AND TRAINING ADMINISTRATION	LOCAL AREA 2012 GPRA GOAL	Program Proposed
Adult Entered Employment	53.7 %	30%
Adult Retention	73.7 %	70%
Adult Average Earnings	\$13,178	\$15,080
Dislocated Workers Entered Employment	50.6%	35%
Dislocated workers Retention	78.3 %	75%
Dislocated Workers Average Earnings	\$15,840	\$18,720
WIA Youth Placement in Employment or Education	53.6%	30%
Attainment of Degree or Certificate Rate	53.4%	56%
% Students who Achieve Literacy or Numeracy Gains	39.7%	40%

**2012 WIA ADULT, DISLOCATED WORKERS & YOUTH PROPOSED ACTIVITIES SUMMARY**

**Section I: SUMMARY**

(SERVICE PROJECTIONS ARE GOALS TO BE ATTAINED IN PROGRAM YEAR - JULY 1, 2012-JUNE 30, 2013)

**PART I:**

- A. Adults/Dislocated Workers and Youth Brief Activities Narrative (attach pages as needed): **See attached program brief**
- B. Coordination with Non –WIA Projects/Programs:
- C. In-Kind Contributions: (list name of entity/fund source and specific in-kind contribution)
- D. Describe specific plans to access other grant sources such as foundations, non-profit organizations, etc.:

**SECTION II: The provider is legally accountable for WIA goals and related WIA performance.)**

- A. Proposed WIA Adult, Youth and Dislocated Worker funded activities:

**ADULT:**

- Classroom Based Training
- On the Job Training

Customized Training \_\_\_\_\_  
Other Specify \_\_\_\_\_

**DISLOCATED WORKER:**

Classroom Based Training   
On the Job Training   
Customized Training   
Other Specify \_\_\_\_\_

**YOUTH:**

Classroom Based Training   
On the Job Training   
Customized Training   
Other Specify \_\_\_\_\_

**B. TOTAL ADULT FUNDS REQUIRED: \$1,041,376.00**

ADULT ADMIN.	\$98,452.00	9.45%
ADULT PROGRAM	\$650,000.00	62.42%
ADULT STAFF COSTS	\$292,924.00	28.13%

**COST PER ADULT PARTICIPANT: \$3,771.70**

**C. TOTAL DW FUNDS REQUIRED: \$1,132,831.00**

DISLOCATED WORKER ADMIN.	\$179,404.00	15.84%
DISLOCATED WORKER PROGRAM	\$650,000.00	57.38%
DISLOCATED WORKER STAFF COSTS	\$303,427.00	26.78%

**COST PER DW PARTICIPANT: \$3,813.71**

**D. TOTAL YOUTH FUNDS REQUIRED: \$1,541,002.00**

YOUTH ADMIN.	\$95,483.00	6.20%
YOUTH PROGRAM	\$1,100,000.00	71.38%
YOUTH STAFF COSTS	\$345,519.00	22.42%

**COST PER YOUTH PARTICIPANT: \$7,227.60**

**E. TOTAL # WIA INTENSIVE SERVICES (Planned # of Participants Enrolled) ADULT/DW: 100 YOUTH: 40**

**F. TOTAL # IN WIA TRAINING: (Planned # of Participants Enrolled) ADULT/DW: 400 YOUTH: 160**

**G. TOTAL WIA PARTICIPANTS SERVED (Planned # of Individuals) ADULT/DW: 500 YOUTH: 200**

- H. TOTAL WIA IN OJT CONTRACTS: ADULT/DW: **TBD**  
 (Planned # of Participants)
- I. TOTAL Planned # Placed in Unsubsidized ADULT: **75**  
 Jobs (Youth Employment/Education) DW: **87**  
 YOUTH: **60**
- J. TOTAL Planned # EXITED ADULT: **75**  
 DW: **87**  
 YOUTH: **60**
- K. ANY SPECIAL TARGET GROUPS:  
 (e.g. Hispanic/Latino; working poor; displaced homemakers)
- L. CUSTOMIZED OR SHORT TERM TRAINING FOR SPECIFIC EMPLOYERS  
 (list employer name; type of training; length of training; outcomes.)
- 
- 
- 

M. SUPPORTIVE SERVICES:

N. DESCRIBE MARKETING ACTIVITIES:

### SECTION III: WIA PERFORMANCE OUTCOMES:

Adult:

Adult Entered Employment Rate: **30%**  
 Adult Employment Retention Rate: **70%**  
 Adult Average Earnings: **\$15,080**

Dislocated Worker:

Dislocated Worker Entered Employment Rate: **35%**  
 Dislocated Worker Employment Retention Rate: **75%**  
 Dislocated Worker Average Earnings: **\$18,720**

Youth:

Placement in Education or Employment: **30%**  
 Attainment of Degree or Certificate Rate: **56%**  
 % of Students who Achieve Literacy or Numeracy Gains: **40%**

## STATEMENT OF WORK

### RESPONSE SECTION

Provide a summary of the proposed program to include the specific program goals and projected outcomes. Discuss any innovative, creative, and/or non-traditional aspects of this program design. Answers to the Request For Proposal Questions should be typed under each question

#### A. PROGRAM MANAGEMENT

1. Describe the mission of your organization. Include a program organizational chart that outlines the administration of the organization for the proposed project.

*"To administer quality employment and training services that assists eligible individuals in finding and qualifying for meaningful employment, and to help employers find the skilled workers they need to compete and succeed in business while providing supportive services and resources to staff who engage with general public".*

2. Identify lines of authority and supervision for program operation.

- *Director*
- *Division Managers*
- *Front-line Staff*
- *The Director of AHRD remains the final authority for administering WIA Title 1B programs, the following outline subsequent levels See attached performance standards:*

- i. *Employment Program Administrator (filled position) is tasked with overall supervision and administering Adult, Dislocated Worker, and Youth employment and training programs; while ensuring programs comply with federal mandates, and local policies. Maintains program budgets and allocation of resources, develops and implements programs, monitors performance outcomes, and ensures delivery of quality customer services.*

- ii. *Employment Development Worker III (1 filled and 2 proposed) Functions as a case manager providing complex technical intensive*

*services to individuals who have sever barriers to employment and develops career plans for accessing appropriate training services to over come barriers and sustain employment.*

- iii. Employment Development Worker II (7 filled) Functions as a case manager providing moderately complex technical intensive services to individuals who have barriers to employment and develops career plans for accessing appropriate training services to over come barriers and sustain employment.*
- iv. Employment Development Worker I (4 filled)*
- v. Customer Service Representative (1 Proposed)*

3. Identify all staff positions necessary for the operation of this program. Complete job description form for each of the WIA-funded positions.

*5 Youth Case Managers*

*5 Adult/DW Case Managers*

*1 Greeter (Customer Service Representative)*

*1 Intake (EDW I)*

*1 Employment Program Administrator*

4. Specify the location of the One-Stop Center and satellites through which you will provide services.

- One-Stop Career Center is located on the ground floor of the GCIC Building, 414 West Soledad Avenue, Hagatna, Guam 96910.*
- Satellite offices would be established in the North, South, and Central with information sites established at village mayors, public libraries, and malls.*

5. Describe how internal program monitoring activities will occur include internal monitoring of progression of clients for services, tracking participants progress & attendance, case notes and participants file folders, etc.

- Deployment of client tracking application (via MIS) that would provide data sharing with case manager to track information and client progress. Program Supervisors will work closely with case managers to minimize gaps in services and ensuring progression of client skills.*
- Establish protocols for communicating with service provides for tracking participants progress and attendance when engaged in an activity.*
- Case managers performance appraisal require at minimum 1-client contact per month*

6. Describe any in-kind contributions to the program that will be contributed to the program.

- Employment Program Administrator will continue to work with industry liaisons and partner agencies for in-kind contribution of program resources.*
- Leverage supports of Community-Based Organizations to bring non-employment related resource to clients in need of supports to sustain standard quality of life.*

- *Continue to access training programs provided by Non-Governmental Organizations that assist clients with immediate access to employment supports.*
  - *Leverage quantifiable support from partner agencies in the form of personnel assigned to the OSCC;*
  - *Public facilities utilized as satellite OSCC;*
7. Describe how you will coordinate services with Rapid Response services to ensure that eligible Dislocated Workers are fully aware of the services available through the WIA program and have access to these services.

*The OSCC has a Rapid Response Team of specialist who provide information, resources and services to communities, businesses, and individuals who are addressing economic impacts or industry changes that may lead to worker layoffs or downsizing. Rapid response is a proactive program designed for two major purposes:*

- *To help growing business obtain the information and resources needed to stay competitive including links to skilled workers; and*
- *To respond to layoffs and closures by quickly coordinating services and providing immediate aid to management and affected workers.*

8. Discuss linkages to community agencies and organizations that will be utilized to provide clients with services, training and employment.

*The agency engages in continuous outreach and participating in public forums to network with current providers of services while seeking the engagement of new providers. The quality of services is assessed on the attainment of skills a participant receives that leads to obtaining and/or sustaining employment. (See appropriate partner workforce areas in the strategic plan)*

9. As the ultimate goal of WIA is to assist customers in obtaining and retaining employment, does your agency have a strong relationship with employers in the proposed service area that will enhance the ability of clients to gain employment leading to self-sufficiency? Explain.

*Yes, the agency has proved record of engagement with a cross spectrum of industries. Over the past four years employer partnerships have increased from 300% while placement success rate went from 1.65% in 2007 to 11.87% in 2010. Aggressive outreach over the past 4 years to industry organizations has contributed to this growth rate. The use of assessment which quantify an applicant's skill levels will be vital to increasing our relevancy within the business community and ensuring we are providing a workforce which can fit into their growing economic. A workforce skills gap analysis will be commissioned.*

10. Discuss in detail case notes documentation to ensure compliance with regulations to include frequency of entering case notes in Workforce System and placed in file folders.

*Case note documentation occurs at every services point; a requirement of providing at minimum 1 note per month for each active clients; this performance standard is tied to the case manager's annual performance appraisal to ensure documentation occurs.*

11. Describe in detail methods of providing "services" to clients that do not maintain regular contact with case managers.

*In accordance with WIA policy, the Case Manager shall document CSP and workforce system all attempts to make contact with client, including contacting of family members or friends listed as alternate contacts at time of program registration, and partner programs. If after 6-weeks a client has not maintained contact with case manager and is not actively engaged in a training activity, the case manager will begin initiate a soft exit of the clients. 2-more weeks of attempts are made before a formal exit is initiated. (A formal letter will be sent to the address on file, a copy of which will be included in the participant file. Negative exits will be the responsibility of the Case Manager)*

12. Provide a detailed statement of the organization's policy for prohibiting discrimination on any prohibited ground, to: registrants, applicants, eligible applicants/recipients, participants, applicants for employment, employees, and members of the public; including those with disabilities and steps to ensure compliance.

*A statement of non-discrimination for each case manager is signed at time of employment. During registration into a program client and case manager sign statements of assurance and policy affirmation ensuring non-discrimination, nepotism, political activities, and drug free workplace. Prior to the start of training programs, or quarterly; whichever is sooner, participants will receive an orientation to cover their responsibilities and the expectations of the program.*

13. Explain how all participants will be informed of EO policies and procedures.

*A statement of non-discrimination for each case manager is signed at time of employment. During registration into a program client and case manager sign statements of assurance and policy affirmation ensuring non-discrimination, nepotism, political activities, and drug free workplace.*

14. Discuss services/activities that are provided to clients to assist them in their efforts to find unsubsidized employment.

*Core A – Self services*

- *Computer Assisted resume Writing*
- *Job Search*
- *Internet Access*
- *Informational Brochures*
- *Photocopying/Facsimile*
- *Financial Aide (Education) Forms*

- *Labor Market Information*

*Core B – Staff-assisted services*

- *Initial Assessment of Skills and Needs*
- *Referral to Partner Programs and Services*
- *Job Search/Placement Assistance*
- *Program Information*
- *Eligibility Determination for Programs and Services*

*Intensive Service Eligibility*

- *Who are unemployed, have received at least one core service and are unable to obtain employment through core service, and have been determined to be in need of more intensive services; and,*
- *Who are employed, have received at least one core service, and are determined to be in need to obtain, or retain employment that leads to self-sufficiency.*
- *Development of Career Strategy Plan (CSP)*
- *Pre-Employment Enhancement Training (PEET)*
- *Transitional Workshops*
- *Literacy Activities Related to Basic Workforce Readiness*
- *Supportive Services*
- *Access to training services*

**B. CORE SERVICES**

1. Describe the activities and methods that will be used for outreach and recruitment for potential adult participants.

*We will link with partner agencies through village mayors, public libraries and malls to create satellite offices to provide core services for residents. We will continue with marketing activities to include various media outlets and opportunities provided through job fairs and other local activities.*

2. Describe the activities and methods that will be used for outreach and recruitment for potential dislocated workers.

*The One-Stop Career Center has a Rapid Response Team of specialists or subject matter experts who provide information resources and services to communities, businesses, and individuals who are addressing economic impacts or industry changes that may lead to worker layoffs or downsizing. The Director will have a continuous process of informing the business community of one-stop services including responses to potential dislocation (please see attached Rapid Response program outline). We will link with partner agencies through village mayors, public libraries and malls to create satellite offices to provide core services for dislocated workers.*

3. Describe the process for referring individuals to the appropriate agency for those services not available at the One-Stop Career Center.

*We will actively outreach to provide as much access to non-profit and faith based organizations that provide support services to island residents. Our goal is to have as many co-locate at the OSCC as possible. Referral forms will be used to track which services are being utilized within the OSCC and through our various partner agencies so we can adjust resources accordingly to meet the needs of our OSCC clients.*

4. Describe the step-by-step process of progressing clients, in a timely manner, from Core Services to Intensive Services beginning with the initial contact that is made with WIA Staff (include all meetings, orientation, assessment, etc.).
  1. *When an island resident enters the one-stop career center their first contact will be with the greeter who will ascertain the client's immediate concern and have them sign in.*
  2. *The intake person will then inform of the services available and will do an initial verbal assessment.*
  3. *The intake person will then direct them to the key-train assessment center where they will take the reading for information, locating information, and applied mathematics assessment. A print out of the clients key-train results will be provided on the same day to the client.*
  4. *After completion of key-train assessment the participant will be directed to take a career assessment tool (i.e., career scope, choices and others).*
  5. *If they are solely concerned with employment they will take the assessment to the ES representative. The ES representative will then match the results of the assessment with employment opportunities and make necessary referrals. If they are seeking training or are unsure of their career paths they will be directed to a Case Manager. The case manager will then use the assessment to give the client options for training to include continued training on the key-train system if the client scored below a bronze level. For our purposes, a minimum of bronze is necessary for consideration of WIA program participation.*
  6. *After reviewing the scores the case manager will determine in accordance with local area policies if the person is a good candidate for the WIA program. If yes, the case manager will schedule an appointment within five (5) to ten (10) working days to have them return with the necessary paperwork to start processing. If after being approved for intensive services they have not been enrolled within a two week period the program administrator will be required to follow-up. (Program Administrator will report to Director who will then report such incidents at the monthly board meeting)*

### C. INTENSIVE SERVICES

1. Describe how a Career Strategy Plan will be developed that identifies employment goals, appropriate achievement objectives, and the appropriate combination of services for the participant to achieve the employment goals. Describe how the plan will be reviewed and updated.

*An individualized Career Strategy plan will be created to include the utilization of the career assessment tools as an identifier to enter the client into intensive services and will be used to match skills and training/employment options. The case manager will be responsible for reporting progress according to reporting protocols.*

2. Describe planned case management services, including how and when counseling will be provided for clients in Intensive Services.

*Each individual under the intensive service program will have an assigned case manager who will provide career counseling, assess client needs for appropriate supportive services not limited to child care, transportation and training, and referrals to partner programs. Case managers will:*

- *have at least one face to face meeting per month with their assigned client.*
- *Follow-up via phone, email, or fax with employer or training provider on assigned cases on client's progress monthly.*
- *Meet with partner programs through monthly peer to peer case reviews in order to provide a strategic plan in dealing with any potential or existing barriers which also outlines the roles and responsibilities of the peer to peer team members.*
- *Provide immediate supervisor monthly status report on assigned cases.*

3. Describe in detail your orientation process for clients enrolled in Intensive Services.

*The Provider will provide orientation to all participants. Orientation shall provide a participant with information about the WIA, offer guidance on personal and family problems and community resources, and prepare the participant for seeking and maintaining employment. The Provider will provide "Labor Market Information" orientation and "World of Work" orientation, to include information on job hunting, personal interviews, unions and employee rights. Provider staff person will be designated to conduct participant orientation, and participants will receive the following information:*

- *The name & phone number of the assigned case manager*
- *Training programs (purpose and service available)*
- *Objective Assessment process (time, length, results)*
- *Individualized Service Strategy*
- *Grievance Policies and Procedures*
- *Participant Rights, Benefits, Complaint procedures*
- *EEO Designee*
- *Hatch Act/Nepotism*
- *Labor Market Information*
- *Services Available from non-WIA sources*
- *Attendance Requirements, as applicable.*

*Additional information will be provided to all participants/enrollees which includes, but is not limited to, the following:*

- *Length of Participation (program specific and formal limitations as appropriate)*
- *Review/Analysis of assessment results*
- *Designation of counselor, services available and schedules*
- *Enrollee's responsibilities (presenting required paperwork, contact with case manager, participation in the outcome of services provided)*
- *Submission of attendance/travel sheets*
- *Individual Training Account responsibilities (if applicable)*
- *Available Supportive Services*

*Participants will sign for receipt of information on the Hatch Act, nepotism, program referral, EIC, labor market information and equal opportunity.*

4. Describe the step-by-step process of progressing clients, in a timely manner, from Intensive Services to Training Services beginning with the initial contact that is made with WIA Staff (include all meetings, orientation, assessment, etc.)

*Case managers will utilize the appropriate pathways focused on meeting the career strategy plan goals outlined in the initial assessment. The initial development of the career strategy plan will include career and key-train assessment results, timelines, goals and outcomes. This will also include a timeframe for advancing to training.*

#### D. TRAINING SERVICES

1. Describe types of training services available through the WIA program.

*We have an eligible training provider list approved by the board which determines relevant training for Guam. The ETPL process will be determined by the board which will review applications and match approval with industry specific certifications. The training for WIA participants must lead to either stackable certificates, in a pathway approved by the administrator or a diploma at a two-year college, or a portable industry certification. Work readiness training will not count as training for the purposes of a WIA pathway instead it will be a prerequisite to receiving the GWIB approved training and will be a quarterly training event.*

2. Discuss the process for accessing quality consumer information so that eligible individuals can make informed decisions on where to receive training. Describe the process for ensuring that customer choice in the selection of an eligible training provider is maximized.

*Each client will be allowed to choose their training provider in accordance with their recognized skill level from their career and key-train assessment. If they do not have the skill level for the occupational training they desire they will work on the key-train remediation until they reach the appropriate level or choose from a different training provider who matches their level. The Program Administrator will sign off on the training and a monthly report will be compiled for presentation to the GWIB in accordance with the reporting protocols.*

3. Discuss how labor market information is provided to clients to assist them in making decisions regarding curriculums to pursue.

*The case managers will have at their disposal annual labor market information to share and explain to the client as provided by the GWIB through USDOL and partner programs.*

4. Describe how Participant vouchers will be issued, to eligible individuals to finance training services (tuition, fees, books, and supplies).

*An individual training account which will include a financial award analysis will be created by the case manager for each participant before they are sent to training. The information gathered will be used to process vouchers which will be transmitted from the Administrative Services Officer (ASO) directly to the training providers.*

5. Describe how the Participant Voucher system will be administered.

*The ASO will keep records on requested payments and provide a monthly report as to the amount spent, the monitoring and oversight committee will create a schedule to look at activities related to payment vouchers to ensure compliance with local area policies.*

6. Describe planned case management services, including how and when counseling will be provided for clients in Training Services.

*Each individual under the training service program will have an assigned case manager who will provide career counseling, assess client needs for appropriate support services not limited to child care, transportation and training, and referrals to partner programs. Case managers will have at least one face to face meeting per month with their assigned client.*

*Each individual under the training service program will have an assigned case manager who will provide career counseling, assess client needs for appropriate support services not limited to child care, transportation and training, and referrals to partner programs.*

*Case managers will:*

- *have at least one face to face meeting per month with their assigned client.*
- *Follow-up via phone, email, or fax with employer or training provider on assigned cases on client's progress monthly.*
- *Meet with partner programs through monthly peer to peer case reviews in order to provide a strategic plan in dealing with any potential or existing barriers which also outlines the roles and responsibilities of the peer to peer team members.*
- *Provide immediate supervisor monthly status report on assigned cases.*

7. Describe in detail your orientation process for clients enrolled into training services.

*See orientation process for intensive services.*

## E. SUPPORTIVE SERVICES

1. Describe the process for verifying that participants are unable to obtain supportive services through other programs providing such services.

*Refer to GWIB supportive service policy. Referrals to partner agencies will determine whether duplicate services exist. These referrals must be processed in a timely manner (no later than 3 weeks). \*Researching electronic referral process.*

2. Describe supportive service policies to include amounts, duration, and determining factors in providing supportive services (i.e., childcare, transportation, etc.).

*Refer to GWIB supportive service policy. Supportive service levels will be determined by the GWIB, and will be dependent on available funds*

## F. PLANNED EMPLOYMENT OUTCOMES

1. Describe your job development/placement strategies (including methods to assist clients with finding unsubsidized employment and efforts to assist clients with securing unsubsidized employment in a timely manner.

*The Career Choices and Key-train assessment will help identify occupational avenues for clients. These will be matched with available employment opportunities (this is to ensure a positive experience for both the job seeker and the employer). If they do not possess the requisite skills, a strategy will be created to drive them towards a National Career Readiness Certificate, which will be used to leverage their services for apprenticeship or OJT service. In partnership with the Guam Chamber of Commerce, and the Guam Contractors Association, we will continue to market the NCRC to entities such as the Guam Hotel & Restaurant Association, and other non-government organizations (NGOs) as a necessary credential for hire.*

2. Describe your plans for implementing the Work Experience component within your WIA Program, including strategies to make participants and employers more aware of the program and benefits of participating in the Work Experience component.

*The use of the work experience component, while a valuable tool to augment training opportunities will be limited to those WIA participants enrolled in a training component; in accordance with GWIB policy.*

3. Describe your plans for implementing the OJT component within your WIA Program, including strategies to make participants and employers more aware of the program and benefits of participating in the OJT component.

*The use of the on-the-job (OJT) training component will be utilized in a similar fashion to the work experience we will utilize the Career Choices and Key-train assessment to help identify occupational avenues for clients. These will be matched with available employment opportunities (this is to ensure a positive experience for both the job seeker and the employer). If they do not possess the requisite skills, a strategy will be created to drive them towards a National Career Readiness Certificate, which will be used to leverage their services for OJT service. In partnership with the Guam Chamber of Commerce, and the Guam Contractors Association, we will continue to market the NCRC and OJT component to entities such as the Guam Hotel & Restaurant Association, and other non-government organizations (NGOs) as a necessary credential for hiring a competent workforce.*

#### G. FOLLOW-UP SERVICES

1. Describe how retention of participants by the employer will be encouraged and monitored.

*The workforce system will be used to track individuals who are employed that will gauge employer satisfaction and solicit input on the means to improve the quality of our product, which are our clients.*

2. Described planned follow-up activities for individuals who do not enter employment.

*Clients will be reassessed for the commitment for continuing services and referrals will be made within 45 days accordingly to partner programs and CBOs. (For the purposes of this SOW this section pertains to individuals who are in training).*

3. Describe how you will track employed individuals, including the tools and mechanisms to be used.

*Case managers will maintain a database of all current and inactive clients that tracks status, wages, in accordance with the WIA retention policy.*

*Through the existing MOU with partner agencies a mechanism can be outlined to share, to document, and report client information. Partners having access to the*

*workforce system, outside of the agency, and having the ability to document, share, and report, and document client information; will improve data consolidation to report on positive employment outcomes and services they receive*

4. Describe continuous improvement procedures that will be used to obtain feedback from participants, employers, and other appropriate parties on the responsiveness and effectiveness of the training and services provided.

*At the monthly partner meeting, the customer survey will be examined and discussed for opportunities to improve service delivery to customers. A quality assurance officer will be designated who will compile the results of the survey and make presentation.*

#### H. ONE-STOP SYSTEM LINKAGES AND BENEFITS

1. Describe your proposed role as a One-Stop Operator.

*The one-stop operator will function as the hub for workforce development activities on the island of Guam by partnering with government agencies, CBOs, business and industry, and faith based organizations to create a climate for skill attainment and development for all island residents which lead to employment opportunities.*

2. Describe how your plan adds value and benefits to the One-Stop system and its customers.

*To integrate all primary partners and linking all employer industry arms, the linkage being the one-stop operator who will serve as the gateway or navigator to employment.*

3. Describe how you will meet the system's expectations of partnership.

*Formalize partnerships by updating and solidify partnership roles and responsibilities. This formalized MOU will consider partner needs with their perspective programs as well as the best service practice available in integrating those needs with the other partners.*

4. Describe your plan for linking and referring customers, including youth (14 to 21).

*A referral form will be used to refer and track clients among partner agencies. The number of referrals will be reported at the monthly GWIB meetings. The partner MOU will solidify the timelines and referral process.*

5. Describe how faith-based and community based organizations currently or may play an enhanced role in offering services to participants. Outline action steps to strengthen collaboration efforts with faith-based and community based organizations to better meet the supportive services needs of WIA customers.

#### **WA Classification -WA 305 Plans of Work**

*A concerted effort will be made to invite more participation within the one-stop for faith based and community based organizations based upon their service delivery models.*

6. Describe innovative service delivery strategies to maximize resources, increase service levels, improve service quality, achieve better integration or meet other key State goals. Include partners involved, funds leveraged, and anticipated outcomes.

#### **WA 301- Industry Collaboration**

*The ETPL was created in an effort to ensure participants in the WIA programs receive training which leads directly to industry certification, diplomas and credentials. This delivery strategy will ensure the maximize usage of WIA program dollars to create a competitive 21<sup>st</sup> century workforce for the island of Guam.*

*Partnerships with the business entities of Guam to include the Guam chamber of commerce, the GCA, the GHRA, and other non-affiliated business entities will seek to leverage training both paid and unpaid internship opportunities and innovative programs to link demand driven occupations with our training pathways.*

*We will seek to leverage grant opportunities at every available instance where the grant programmatic outcomes could possibly result in an increase in our ability to provide residents training in 21<sup>st</sup> century jobs.*

*The established partnerships and community relationships will enable our program to provide the best possible outcomes for our citizens through private and public partnerships which reflect the Governor's vision towards decreasing poverty.*

## PROGRAM AND FINANCIAL MANAGEMENT

Instructions: Please complete the following section. Areas that address compliance issues must identify the appropriate member of the agency's staff responsible for compliance. Add any comments you find necessary for clarification.

### A. Internal Program Management

The Workforce Investment Act requires the State Board to establish internal program management procedures to assure compliance and to review program progress. The following major areas of operation shall be monitored and reviewed: **(WA 901-910, WA 301-310)**

- i. Compliance with the provisions of the Workforce Investment Act (P. L. 105-220) and regulations or any applicable federal or state regulations;
- ii. Compliance with all applicable State and GWIB policies; and
- iii. Compliance with WIA regulations regarding records maintenance and Guam Workforce System data entry. The internal program management procedures must be sufficient to prevent fraud and abuse. All reports of information creating suspicion of; or instances of criminal misconduct, fraud or willful and gross misconduct, in connection with any WIA program shall be reported immediately to the GWIB. Internal program management procedures must also ensure that auditable and otherwise adequate records are maintained to support the eligibility of all WIA participants and confirm adherence to specific program requirements and limitations. The GWIB will require that all WIA Providers adhere to the established monitoring procedures for ensuring program compliance with federal regulations.

**Indicate how internal program management will be accomplished by your agency:**

*The Agency's Retention and Monitoring Unit is responsible for enforcing the GWIB-MO-001. Two types of reviews are conducted quarterly in accordance with GWIB policy. An on-site review and desk reviews of participant case files. The following steps are taken when conducting the reviews:*

- 1 *Initiate Monitoring Review*
- 2 *Entrance Interview*
- 3 *Exit Interview*

*A monitoring report upon completion of the review will be submitted to the Director. The report should clearly identify all findings and required corrective action including any recommendations for policy and/process changes (Please see GWIB Policy GWIB-MO-001)*

**Identify the staff person(s) responsible for internal program management, compliance monitoring and performance reviews.**

**Agency for Human Resources Development**

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**Government of Guam Accounting Office**  
**Department of Administration**

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*In addition to the internal reviews conducted by the Agency for Human Resources Development, an annual A-133 Single Audit is conducted by the Government of Guam in line with the federal requirements for a single audit for entities that expend \$500,000 or more in federal funds within a fiscal year. The Agency has participated annually in the government of Guam single audit as a "Major Program". This audit covers both program and financial reviews the WIA Title IB funds.*

**B. Monitoring Procedures**

**(WA 903 Program Planning , Design, Evaluation and Case Management)**The GWIB developed a monitoring system procedure (GWIB-MO-001) for evaluating the quality and effectiveness of WIA funded programs. Monitoring is the quality control system whereby the GWIB gathers and analyzes information to detect problems, identify strengths and weaknesses, and propose improvements to the program. Monitoring activities are conducted periodically to determine whether programs are in compliance with contractual agreements, GWIB policies, WIA regulations, and GWIB requirements. The Monitoring and Oversight Sub-Committee of the Guam Workforce Investment Board is required to monitor performance, programmatic, and fiscal activities. In many instances, the different types of monitoring are interrelated, and conducted simultaneously. Oversight and monitoring is required by 20 CFR 667.410. These activities may be conducted by the Guam Workforce Investment Board, the Office of Public Accountability State Annual A-133, Single Audit, and the U.S. Department of Labor, or their designated representatives. Cooperation includes access to the premises for the purpose of interviewing employees or participants and permitting the examination of, and/or photocopying of books, records, files, or other documents related to the contractual agreement. A review will include a written monitoring report within thirty (30) working days following the monitoring visit. A management action plan, including corrective actions, explaining how the monitor's recommendations will be implemented must be submitted to the Board ten working days after receipt of the report.

#### C. Technical Assistance for Continuous Improvement

Technical Assistance will be provided to ensure compliance with the GWIB's program expectations. Results of schedule, on-site technical assistance visits will be documented and Service providers are expected to participate in technical assistance, training and monitoring sessions scheduled by the Board to ensure coordination and continuous improvement.

#### D. Records Retention

**(WA 905-Data Gathering, Management and Analysis, Workforce Reports)**The records and documents must be maintained for WIA participants and employees. The Provider agrees to make these records available for monitoring and review by the GWIB and agrees to retain these records, subject to audit, for three years from completion of services.

#### E. Internal Financial Management **(WA 911 Financial Management)**

The Provider agrees to conduct internal financial reviews of the following major areas:

- 1) Compliance with the provisions of the Workforce Investment Act/American Recovery and Reinvestment Act and its regulations.
- 2) Compliance with the provisions of the WIA Contract;
- 3) Compliance with the applicable State and GWIB Policies;

- 4) Compliance with the WIA contract regarding record maintenance;
- 5) Compliance with accepted financial management and accounting practices as appropriate (20 CFR Part 652);
- 6) Compliance with applicable OMB Circulars and CFRs.

Internal financial management procedures shall be sufficient to prevent fraud and abuse. All suspicion of, or instances of criminal misconduct, fraud or willful and gross misconduct, in connection with any WIA program shall be reported immediately to the GWIB, and to the U.S. Department of Labor. Internal financial management procedures must also ensure that auditable and otherwise adequate records are maintained which support all expenditures of WIA funds and confirm adherence to policies regarding allowable costs and allocations of costs to proper cost categories. The Provider shall document all internal financial compliance reviews.

**List the name and title of the person(s) responsible for maintaining financial records, monitoring fiscal activities for contractual compliance and assisting monitors/auditors during on-site visits.**

**Agency for Human Resources Development**

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(671) 475-7072 Email: [alfredo.antolin@dol.guam.gov](mailto:alfredo.antolin@dol.guam.gov)
2. *Victoria Helen A. Mafnas, Administrative Services Officer*  
(671) 475-7073 Email: [victoria.mafnas@dol.guam.gov](mailto:victoria.mafnas@dol.guam.gov)
3. *Araceli Cruz, Budget Analyst*  
(671) 475-7040 Email: [araceli.cruz@dol.guam.gov](mailto:araceli.cruz@dol.guam.gov)
4. *Sandra Tajalle, Administrative Assistant, Contracts and Apprenticeship (All Funds)*  
(671) 475-7123 Email: [sandra.tajalle@dol.guam.gov](mailto:sandra.tajalle@dol.guam.gov)
5. *Patricia Crisostomo, Administrative Assistant – Adult and DW Funds*  
(671) 475-4763 Email: [patricia.crisostomo@dol.guam.gov](mailto:patricia.crisostomo@dol.guam.gov)
6. *Abbie Guerrero, Accounting Technician – Youth Funds*  
(671) 475-4760 Email: [abbie.guerrero@dol.guam.gov](mailto:abbie.guerrero@dol.guam.gov)
7. *Louvana Surber, Payroll Technician – All Funds*  
(671) 475-7038 Email: [louvana.surber@dol.guam.gov](mailto:louvana.surber@dol.guam.gov)
8. *Helen Cordero, Payroll/Inventory Technician – All Funds*  
(671) 475-7039 Email: [helen.cordero@dol.guam.gov](mailto:helen.cordero@dol.guam.gov)

**Government of Guam Accounting Office / Department of Administration**

1. *Kathy Kakigi, Financial Manager*  
(671) 475-1115 Email: [kathy.kakigi@doa.guam.gov](mailto:kathy.kakigi@doa.guam.gov)
2. *Grace Edrosa, Accounting Supervisor Federal Programs Manager*  
(671) 475-1283 Email: [grace.edros@doa.guam.gov](mailto:grace.edros@doa.guam.gov)
3. *Michael Cabral, Accounting Supervisor, Appropriations and Assets*  
(671) 475-1240 Email: [michael.cabral@doa.guam.gov](mailto:michael.cabral@doa.guam.gov)

## I. Bonding Insurance Requirements

Agencies must meet bonding requirements as required through the Office of Management and Budget Circulars or other applicable regulations. Public agencies are required to be bonded. The Provider must assure the U.S. Treasury restrictions on excess cash will be observed and that interest will be properly tracked and used for WIA operations as program income.

## K. Program Income Requirements

The Provider assures that it will comply with the addition method, described at 29 CFR 95.24 or 29 CFR 97.25 (g) (2), as appropriate, for all program income earned under the WIA.

**Indicate how program income will be tracked by the Provider and recorded on financial reports to the GWIB:**

*Program Income generated will be subjected to the policies and procedures established by the government of Guam Accounting Office, Department of Administration.*

## L. Property Management Requirements

The Provider agrees to maintain careful accountability of all WIA purchased non-expendable property (property with a life expectancy of one year or more and a unit cost of \$500.00 or more) and to maintain an inventory of all properties acquired with WIA funds. The GWIB will maintain a fixed-asset listing to be verified for physical location and serviceability at your agency at least annually.

The Provider will be responsible for maintaining an accurate inventory of all WIA property in their possession. A copy of the updated annual inventory shall be submitted by the Provider to the GWIB with the contract closeout document.

In the event property purchased with WIA funds is stolen or destroyed by criminal act, the Provider will notify appropriate law enforcement officials immediately. The GWIB Chairman must be notified within three (3) working days of discovering the loss or damage. A copy of the police report will be maintained as documentation of loss, and a copy forwarded to the GWIB.

**Identify the staff specifically assigned to maintain property inventory records and serve as a liaison with the GWIB (or designee) regarding matters of non-expendable property, inventory and accountability.**

### Agency for Human Resources Development

1. Alfredo O. Antolin, Jr., Director  
(671) 475-7072 Email: [alfredo.antolin@dol.guam.gov](mailto:alfredo.antolin@dol.guam.gov)

2. Victoria Helen A. Mafnas, Administrative Services Officer  
(671) 475-7073 Email: [victoria.mafnas@dol.guam.gov](mailto:victoria.mafnas@dol.guam.gov)

**Government of Guam Accounting Office / Department of Administration**

**WIA Staff Job Descriptions**

Employee: \_\_\_\_\_

Job Title: \_\_\_\_\_

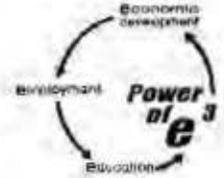
Complete a separate Job Description for each Position/Job Classification that will provide WIA services under the terms of this agreement, whether funded in full, in part, or not at all, with WIA funds from this program. The Job Title used above should agree with the Job Title used in the Budget Summary Worksheet. The time allotted to WIA services should agree with the percentage of time in the Budget Summary Worksheet.

1. Describe actual job duties or tasks to be performed in relation to the above named WIA program and job title:
2. Minimum education and experience qualifications required of the person to perform the above job duties:
3. This person will devote time to this WIA program as follows:
  - a. \_\_\_\_\_ hours per day, (maximum of 8 hours);
  - b. \_\_\_\_\_ hours per week (maximum of 40 hours).
4. This person will normally devote a total of \_\_\_\_\_ hours per week to all programs). Maximum of 40 hours.
5. This person will devote \_\_\_\_\_% of his/her time to this WIA program on a weekly basis. This % should agree with the % used on the Budget Summary Worksheet.

**Attach WIA staff resumes that include the following: educational level, work experience, and special training.**

# **EDMR Finding #1**

## **Attachment 4**



**GUAM WORKFORCE INVESTMENT BOARD**

**OMNIBUS RESOLUTION NO. 2014-001**

***FOLLOW-UP TO THE ENHANCED DESK MONITORING REVIEW (EDMR) CONCERNS HELD DURING THE WEEK OF DECEMBER 9-13, 2013 BY US DOL ETA OF GUAM'S WORKFORCE INVESTMENT ACT (WIA) AND WAGNER-PEYSER FUNDED GRANTS, INCLUSIVE OF THE LABOR MARKET INFORMATION***

***SUCH RESOLUTION COVERS:***

- 1. AMENDING RESOLUTION 11-02 AS IT RELATES TO FULFILLING THE WIA REQUIREMENTS UNDER THE NEWLY DEFINED AMERICAN JOB CENTER (AJC) PARTNERS FORMERLY KNOWN AS THE ONE STOP CAREER CENTER AND ESTABLISHING THE RESOURCE SHARING AGREEMENT AND AMENDING THE CURRENT OSCC MEMORANDUM OF UNDERSTANDING (MOU) TO INCLUDE THE DEFINED COST ALLOCATION FOR ALL AJC PARTNERS;***
- 2. DESIGNATING THE AGENCY FOR HUMAN RESOURCES DEVELOPMENT (AHRD) AS OPERATOR OF THE AJC AND APPROVING THE RE-LOCATION OF THE AHRD AND AJC TO THE BELL TOWER PLAZA LOCATED IN HAGATNA, GUAM***
- 3. ESTABLISHING THE AJC VIRTUAL ONE STOP INTEGRATED CASE MANAGEMENT WORKFORCE SYSTEM AND APPROVING THE QUALIFIED SERVICE PROVIDER (SELECTION OF GEOGRAPHIC SOLUTIONS, INC.) FOR THE AJC;***
- 4. RECOGNITION AND ACKNOWLEDGEMENT OF THE ENHANCED DESK MONITORING REVIEW (EDMR) CONCERNS***

***WHEREAS, pursuant to the Workforce Investment Act of 1998 (WIA), the One Stop Career Center is a system by which entities responsible for administering separate workforce investment, educational and other human resource programs and funding streams, collaborate to create a seamless system of service delivery that will enhance access to the programs' services and improve long-term employment outcomes for individuals receiving assistance;***

***WHEREAS, Guam is designated as a single local workforce investment area State, and Section 134(c) of the Workforce Investment Act requires states to maintain a One Stop Career Center and offers a seamless approach to a service delivery system;***

*FOR*  
*9:55* *11/2/14*

**WHEREAS**, on August 25, 2011, the Guam Workforce Investment Board (GWIB) passed Resolution No. 11-02 designating the Agency for Human Resources Development (AHRD) as the Operator of the One Stop Career Center;

**WHEREAS**, TEGL 21-11, Change 1 and TEGL 36-11, renamed the One Stop Career Center to the American Job Center (AJC), to make it easier for workers and businesses to find and access the help and services the workforce systems provide in the community and was implemented by the GWIB on February 28, 2013, as per Resolution No. 13-006;

**WHEREAS**, the OSCC Memorandum of Understanding (MOU) signed and approved by the Board and Partners on April 18, 2013 satisfies the requirement pursuant to WIA and the Code of Federal Regulations (CFR) Subpart §562.300 to develop a continuing agreement between the GWIB, the Governor of Guam and the AJC Partners;

**WHEREAS**, the contract for Office Space to move the entire AHRD agency to a new location was submitted to the current AHRD Director for his review and approval and signed on June 24, 2013;

**WHEREAS**, Invitation for Bid No. GSA-096-13 was submitted and the contract was awarded to Geographic Solutions, Inc. and the project's effective date was September 1, 2013;

**WHEREAS**, during the week of December 10-13, 2013, the Chair of the Guam Workforce Investment Board (GWIB), the Chair of the GWIB Planning Subcommittee, the Directors and staff of the Agency for Human Resources Development (AHRD) and the Guam Department of Labor (GDOL) participated in the EDMR Webinar with US DOL ETA;

**WHEREAS**, the agency continues to update and adjust program areas to include an Action Plan, to be endorsed by AHRD and AJC Partners:

- AJC Resource Sharing Agreement Action Plan provided for the following:
  - Amendment of the current MOU with establishing the Resource Sharing Agreement (RSA)/cost allocation with AJC Partners – work in progress
  - Establishing of the RSA-cost allocation categories for AJC partners to provide and identify their appropriate sponsorship of costs and resources
- AJC integrated strategies for program components
- AJC phase in Relocation Action Plan allowing for the proper alignment and transition of all AJC partners and resource capability
- Identify priorities for integrated strategies for WIA/W-P programs in State Plan
- Ensure alignment of integrated strategies to Work Areas (WAs) in State Plan
- Ensure the role of the GWIB with strong governance for the oversight and guidance of the WIA to monitor fiscal and program activities of AHRD and the Statement of Work (SOW) process is imbedded with the programs
- Preparation of a GWIB and AJC unified statement to address EDMR findings about how programs and funding are being expended
- Ensure that Guam reports on program outcomes for performance measures as required

*WHEREAS, Omnibus Briefing Series are attached corresponding to the coverage outlined in this resolution.*

**OMNIBUS RESOLUTION**

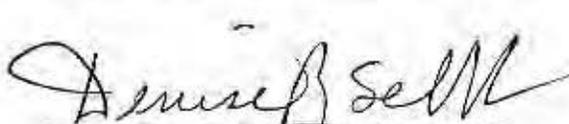
**NOW, THEREFORE BE IT RESOLVED**, the Guam Workforce Investment Board (GWIB) adopt this Omnibus Resolution for the amended Resolution 11-02 and the amended MOU with the American Job Center (AJC) State Partners; the relocation of the AHRD; the selection of Geographic Solutions, Inc.; and recognition of EDMR concerns.

**FURTHER BE IT RESOLVED**, the Guam Workforce Investment Board has agreed to include in the MOU, a Resource Sharing Agreement (RSA) and cost allocation for services provided with American Job Center State Partners. The Guam Workforce Investment Board (GWIB) therefore approves that the updated MOU remains unaltered by this Resolution and that it reflects the Resource Sharing Agreement and cost allocation and that AHRD as the Operator of the AJC and the GWIB shall notify all AJC Partners of the amended MOU.

Adopted this 16<sup>th</sup> day of January, 2014

**ATTESTED:**

**For the GUAM WORKFORCE INVESTMENT BOARD**

  
Denise R. Selk, Chairwoman

  
Peter R. Barcinas, Planning Committee  
Chair

**APPROVED:**

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**EDDIE BAZA CALVO**  
Governor of Guam

# **EDMR Finding #1**

## **Attachment 5**



## GUAM WORKFORCE INVESTMENT BOARD



### RESOLUTION NO. 11-02

#### A RESOLUTION DESIGNATING THE AGENCY FOR HUMAN RESOURCES DEVELOPMENT AS THE OPERATOR OF THE ONE-STOP CAREER CENTER

##### *PREAMBLE*

**WHEREAS**, pursuant to the Workforce Investment Act of 1998 (WIA), the One-Stop Career Center is a system by which entities responsible for administering separate workforce investment, educational, and other human resource programs and funding streams collaborate to create a seamless system of service delivery that will enhance access to the programs' services and improve long-term employment outcomes for individuals receiving assistance;

**WHEREAS**, Guam is designated as a single local workforce investment area State, and Section 134(c) of the Workforce Investment Act requires states to maintain a One-Stop Career Center delivery system;

**WHEREAS**, the One-Stop Operator is the entity required by Section 121(d) of WIA to coordinate service providers within the One-Stop Career Center and/or coordinate activities throughout the One Stop system;

**WHEREAS**, the Guam Workforce Investment Board (GWIB), with the agreement of the Governor of Guam, must designate One-Stop Operators;

**WHEREAS**, the GWIB passed Resolution No. 10-03, and adopted the distribution of WIA Title I funds authorized under the WIA for the period of July 1, 2010 through June 30, 2013 to operate the One-Stop delivery system, in accordance with the strategy described in the State workforce investment plan;

**WHEREAS**, the Governor of Guam issued Executive Order 2011-08 to remove the Agency for Human Resources Development (AHRD) from the administrative supervision and control of the Guam Department of Labor (DOL), making AHRD wholly autonomous from DOL;

**WHEREAS**, AHRD is the sole administrator of WIA Title I funds which exclusively funds the operations of the One-Stop Career Center delivery system;

**RESOLUTION**

**NOW, THEREFORE BE IT RESOLVED**, that the Guam Workforce Investment Board, in accordance with Section 121(d) of WIA, hereby designates a consortium of three One-Stop partners to henceforth be the One-Stop Operator. The three One-Stop partners comprising the One-Stop Operator consortium shall be the Agency for Human Resources Development (AHRD), the Department of Public Health and Social Services (DPHSS), and the Department of Integrated Services for Individuals with Disabilities (DISID), which partners shall have full, sole and exclusive authority over the supervision, control and management of the Guam One-Stop Career Center, its operations and activities, funding allocations, assigned personnel, equipment, supplies, and any and all other aspects of the Guam One-Stop delivery system. AHRD shall be the lead agency and site manager primarily and ultimately responsible for the One-Stop delivery system. DPHSS and DISID shall provide a supporting role to AHRD and defer to AHRD's decisions regarding the operations of, and all other decisions affecting, the One-Stop delivery system. DPHSS and DISID will not be required to provide any funding toward One-Stop operations or activities.

**FURTHER BE IT RESOLVED**, the Memorandum of Understanding (MOU) between the Guam Workforce Investment Board and the Guam One-Stop Career Center State Partners, currently in effect and as amended, remains unaltered by this herein Resolution, except insofar as this MOU is hereby amended to reflect the designation of One-Stop Operator as detailed herein, thus amending those sections including but not limited to Section III(6)(E) of the MOU.

Adopted this 25<sup>th</sup> day of August, 2011.

ATTESTED:

For the  
GUAM WORKFORCE INVESTMENT BOARD

  
James Martinez, Chair

  
Maria Connelley, Vice-Chair

APPROVED:

  
EDDIE BAZA CALVO  
Governor of Guam

# **EDMR Finding #1**

## **Attachment 6**



**PLANNING & COORDINATING STANDING COMMITTEE**

Dec. 16, 2013	<p align="center"><b>BRIEFING SERIES 2013-006</b>  <b>GWIB Related Report</b></p> <p align="center"><b>Re-location of Agency for Human Resources Development (AHRD) and American Job Center (AJC - former OSCC)</b></p>	<p>WA: 101-110; WA 201-212; WA 301-312; WA 401-410 and WA 901-911</p>
Topic:	AHRD Building Lease (Move to new location Bell Tower)	
Strategic Goals:	1,2,3,4 and 5	

**AGENCY FOR HUMAN RESOURCES DEVELOPMENT**

**Background:**

In 2008, the original lease agreement for the operation of the One Stop Career Center (OSCC) was with the Guam Department of Labor (GDOL). A series of events were documented leading to the move from the GCIC Complex to the new commercial building for OSCC services, also situated in Hagatna, Guam.

The Agency for Human Resources Development (AHRD) as the administering entity of the Workforce Investment Act (WIA) funded programs authorized under Executive Order 2011-08, combined with the GDOL; it has a unique and comprehensive One Stop Career Center, now known as the American Job Center (AJC) pursuant to TEGl 21-11, Change 1 and TEGl 36-11. The Guam Workforce Investment Board (GWIB) approved and adopted this implementation on February 28, 2013 as per Resolution 13-006. This is a delivery system of partners that provide career development services for youth and adults and support to employers in the training and development of a viable workforce.

At the time that it was discovered that AHRD was on a hold-over clause, a memorandum was written to GSA Chief Procurement Officer regarding Bid No. GSA036-04 (copy provided). Subsequently, a memorandum was also sent to the Office of the Attorney General requesting for guidance on the hold over clause for the lease agreement as the existing lease expiration date was set for October 31, 2008.

The following is a chronology of events regarding the building lease and its status, both historically and as documented on record.

Date	Action Taken	Follow-up	End Result
07/10/2008	Memorandum to Chief Procurement Officer REF: Bid No. GSA036-04 Requesting for guidance on Hold-Over Clause		No response on file
07/11/2008	Memorandum to Attorney General's Office REF: Bid		Response received see item dated

	No. GSA036-04 Requesting for guidance on extension of lease on the hold-over clause as existing lease on Bid is set to expire on October 31, 2008		8/18/2008
08/14/2008	Memorandum received from the Attorney General acknowledging request for guidance and opinion	DOL08-0844	Response received see item dated 8/18/2008
8/18/2008	Memorandum received from the Attorney General – opinion on exercising Hold Over provision of lease agreement		Attorney General recommended new bid issued and address the terms of agreements for a longer period of time or include more renewal options to prevent moving every five (5) years. Opinion signed by Assistant Attorney General Deborah Rivera
10/16/2008	Memorandum to Chief Procurement Officer requesting Bid for new lease.		Office Space Specifications attached.
10/20/2008	Bid GSA-002-09 issued, Opening date: November 5, 2008 at 10:00 a.m.		
11/06/2008	Received Bid Specifications by bidder G.C.I.C. from GSA requesting approval of bid specifications.		Bid Specifications attached.
11/10/2008	Memorandum to GSA concurring bid specifications meet all requirements and recommend awarding to bidder		Approval of specifications and memorandum signed and submitted to GSA.
11/14/2008	Letter of Intent issued by DOL to GCIC requesting to reserve Rooms 401 and 402.		
11/24/2008	Received Letter from GCIC		Clarification

	requesting clarification on BID GSA002-09, specifically rates upon renewal.		request forwarded to GSA for response.
12/22/08	Bid Awarded to GCIC in the amount of \$510,600.00 annually.		
02/10/09	Lease Agreement signed by Landlord and submitted to DOL for signature		DOL Director, AHRD Director signed on 2/11/2009
02/12/2009	Submitted Lease Agreement to BSP for signature and certification of funds.		
07/30/2009	Received request from BSP to (Ms. Llanas) wanted the Agreement changed to reflect the exact measurement of their area. They are concerned and didn't want to be responsible should DOL default on the payments.		Lease Agreement signed by BSP Director and routed back to DOL in November 2009.
11/30/2009	Received signed lease agreement along with Certification of funding from Bureau of Statistics and Plans		
12/2009 – 3/2010	DOL / AHRD prepared requisitions and awaiting purchase orders to support Certification of Funds to attach to lease agreement.		
03/25/2010	Certification of Funds prepared listing all Purchase Orders		
04/2010	Lease Agreement submitted to GSA for Chief Procurement Officer's Signature		
04/12/2010	Lease Agreement signed by CPO and picked up by the Agency		
04/16/2010	Lease Agreement submitted to BBMR for review and approval		
05/24/2010	BBMR cleared and		

	approved Lease Agreement		
05/28/2010	Lease Agreement submitted to the Attorney General's office for review and approval		
11/22/2010	Memorandum received from the Attorney General's Office returning lease agreement without action. AG's office recommended 3 changes and clarification required on certification of funds.		Re-Submission of Lease agreement was placed on hold to allow new Director's to review current contracts, etc. and make the necessary decisions moving forward.
02/15/2011	Memorandum prepared to BSP Director from DOL Director transmitting Addendum No. 1 of Lease Agreement to reflect the recommendations from the AG's office.		
2/18/2011	Memorandum from Director of Labor received by BSP but subsequently returned immediately due to lack of signature from the Director of Labor		
02/21/2011	Director of Labor executed Addendum.		Addendum resubmitted to BSP for Director's signature
2/23/2011	Addendum No. 01 executed by Director Morrison.		
2/2011	Addendum submitted to GSA for Chief Procurement Officer's signature.		
3/2/2011	Addendum signed by Chief Procurement Officer.		
03/30/2011	Executive Order 2011-08 separating AHRD and DOL and removing the Administrative Oversight from AHRD signed by		

	Governor Calvo		
04/29/2011	Memorandum to BBMR transmitting Addendum No. 1 and Lease Agreement		
05/27/2011	Memorandum from BBMR to DOL Director returning Addendum No. 1 and Lease Agreement due to No Certification of Funds and Other (see BBMR Memo dated 5/27/2011)		
01/20/2012	Director of AHRD met with DOL Director to discuss lease agreement. Director of AHRD was advised that the lease agreement expired January 2012. AHRD Director agreed that another year will be needed for AHRD to go through the bid process and prepare for possible relocation.		
01/23/2012	Memorandum from AHRD Director issued to DOL Director advising that AHRD is in agreement to extend the final year of the lease agreement through January 2013 and notified DOL that they will be making arrangements with GSA to begin their bid process in preparation for the expiration in 2013.		
03/21/2012	Meeting with new incoming Director Antolin, at the meeting he requested for all priorities and was advised that the lease agreement for AHRD will expire on January 2013. Director Antolin will let me know who will be taking the lead on the lease bid.		

04/06/2012	Director Antolin assigned R. Leon Guerrero to take the lead on the lease bid.		
8/3/2012	Director Antolin requested for information on bid process for lease agreement to discuss with R. Leon Guerrero		
10/19/2012	R. Leon Guerrero requested for information regarding existing lease agreement via email as she was having discussions with GSA on the bid process.		
5/21/2013	Received Lease Specifications from the Director's office to prepare for bid process.		
5/22/2013	Prepared requisitions and documentation needed for submission of bid request to GSA. GSA received on the 22 <sup>nd</sup> for processing.		
6/4/2013	Invitation for Bid No. GSA-099-013 issued		
6/19/2013	Bid No. GSA-099-013 opened and closed today		
6/20/2013	Specifications for Bid No. GSA 099-13 received by AHRD and submitted to Director for review.		
8/06/2013	Bid No. GSA 099-013 for Contract awarded to Tanota Rentals, LLC		

**Action Requested by:** Director, AHRD

**Motion Statement:** To be approved at the January 16, 2014 GWIB Executive Meeting.

# **EDMR Finding #1**

## **Attachment 7**



# Guam Workforce Investment Board

## PLANNING & COORDINATING STANDING COMMITTEE

Dec. 16, 2013	<p align="center"><b>BRIEFING SERIES 2013-007</b>  <b>GWIB Related Report</b></p> <p align="center"><b>Geographic Solutions, Inc.</b></p>	<p>WA: 101-110; WA 201-212; WA 301-312; WA 401-410 and WA 901-911</p>
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Topic: Virtual One Stop, Integrated Case Management Workforce System

Strategic Goals: 1, 2, 3, 4, and 5

## AGENCY FOR HUMAN RESOURCES DEVELOPMENT

### Background:

On August 3, 2012, GWIB Resolution 12-06 adopted the established Statement of Work (SOW) framework and recently completed aligning the elements of the SOW with the 2012-2016 Integrated State Plan.

The Board also adopted Resolution 12-09 on December 11, 2012 endorsing the establishment of certain SOW Provisions for the alignment structure to the national standards of performance measures, defined outcomes and accountability.

Initial findings indicated that the current Guam Workforce System (GWS) was designed on a 2003 Microsoft Access database platform. This database platform is outdated and no longer being used by business/corporate environments. The database can only capture and store current information. There are no programmed features to generate reports of any kind; therefore, federally mandated reports are non-existent.

Additionally, attribute "look-up" for client names are not programmed within the database therefore; client tracking is limited. Most importantly, data integrity is questionable due to database front-end having no data validation rules in place. Control policies are not programmed therefore; the falsifying of information is possible.

Moving forward, the Agency for Human Resources Development procured an integrated "Case Management Workforce Development System" that includes on-line services for participants, job seekers, employers, Agency staff, and One-Stop partners. This system will provide case management features such as job matching and tracking including services for user login tracking. This system will also provide a complete recording and reporting service for keeping track of participants and employers served by the following programs: Workforce Investment Act (WIA) Title IB, Wagner-Peyser (WP), Veterans' Employment and Training Service (VETS), Disabled Veterans' Outreach Program (DVOP), and the National Emergency Grant (NEG). Additionally, the new system will give workforce staff the ability to produce instant, federally-mandated reports.

The contract was awarded to Geographic Solutions, Inc. and the project's effective date was September 1, 2013. Established in 1992, Geographic Solutions, Inc. has become the nation's leading provider of software solutions for workforce development, employment, and training. They have developed state-of-the-art systems for employment and workforce development agencies in more than 30 states.

During the week of December 9-13, 2013, ETA's San Francisco Regional office engaged in an enhanced desk monitoring review (EDMR) of Guam's WIA IB and Wagner-Peyser funded grants with the Guam AHRD. The review focused on fiscal, administrative and program activities and procedures for guidance on the WIA Youth, Adult, and Dislocated Worker programs and the Wagner-Peyser and LMI grants.

**Contact Person:**

Ryan J.S. Topasna, Systems & Programming Administrator  
Management Information Systems (MIS)  
Agency for Human Resources Development (AHRD)  
Direct Line: 475-7076  
Cell Phone: 988-1536  
Email Address: [ryan.topasna@dol.guam.gov](mailto:ryan.topasna@dol.guam.gov)

**Authority:**

**PUBLIC LAW 105-220—AUG. 7, 1998 - 112 STAT. 936 Title I Subtitle A –  
Workforce Investment Act; State Plan WA 903.5 – Statement of Work (SOW)**

**Action Requested by:**

AHRD Director

**Motion Statement:**

Approval was granted at the GWIB Meeting of December 11, 2012.

**CASE MANAGEMENT WORKFORCE SYSTEM REPLACEMENT**

**Current System:**

Guam Workforce System, 2003 Access Database

**New Solution:**

Virtual One Stop, Integrated Case Management Workforce System

**Awarded Vendor:**

Geographic Solutions, Inc.

**GSI Representative:**

Deane Toler, Marketing Director  
Geographic Solutions, Inc. (California Office)

**Description:**

Virtual One Stop is the most advanced and comprehensive workforce development software available. The system provides integrated services via the Internet for individuals, employers, training providers, workforce staff, and one-stop partners. From its initial deployment in 1998, Virtual OneStop has been the benchmark for workforce development systems. Virtual OneStop dramatically improves customer satisfaction, staff efficiency, and overall performance. In addition to the core and intensive services delivered by Virtual OneStop, the system offers easy access to key reporting features to provide management with valuable information for improved service delivery and enhanced performance. Virtual One Stop is the perfect solution for state or local workforce agencies.

**Go Live Date:**

January 20th, 2013

**Overview:**

Through the efforts and commitment of Guam's Governor Eddie Baza Calvo and Lieutenant Governor Raymond S. Tenorio to support initiatives promoting a highly skilled workforce to include improving the government's information technology infrastructure, the Agency for Human Resources Development (AHRD) procured an integrated "Case Management Workforce Development System". This is a major accomplishment for the Agency, providing workforce development staff and partners with the necessary tools to better manage and track participants allowing for efficiency and quality customer service.

**Guam Workforce Integrated Plan**

Program Years for 2012 – 2016

**WA 905.1B Actionable Strategies.**

**WA 905.1B1** GWIB and Agency Network - Rebuild network backbone to provide consistent and reliable data transfer. 100%

**WA 905.1B2** Server - Implement directory services to provide secure authentication of users and computers as well as provisioning centralized management within group policy. AHRD, 100% / GDOL, 25%

**WA 905.1B3** PC Workstations - Deploy industry standard workstations; hardware and software technology driven. AHRD, 100% / GDOL, 25%

**WA 905.1B4** Mobile Strategic Planning Unit - Provide complete mobile and transportable strategic planning unit to assist in emergency situations.  
80%

**WA 905.1B5** Guam Workforce System - Provide a system to manage client data, growth analysis and federal reporting. 95%

**WA 905.1B6** Agency Website - Rebuild official website with enhanced content to communicate, market and provide information to all end-users.  
98% overall to include newly added Helpdesk Ticket via Maria LG

**WA 905.1B7** Management Information Systems Staffing - Recruit qualified personnel to maintain current and future technological needs. 25%

**WA 905.1B8** Contractual Service - Provide a professional contractual service to assess and assist with all technological advancements. 0%. Note: Critically needed service

**WA 905.1B9** Capacity Building/Training - Provide training to all end-users to increase knowledge and maintain continuity with the advancements of technology.  
3%, Note: Needed

### **Management Information Systems - Strategic Plan 2012 – 2016**

#### **Vision Statement**

- Provide modern, precise, all-inclusive, quality integrated information in a safe, effective, and reliable standard to reflect agency activities to improve decision making and workflow processes.
- Provide solutions for software applications, hardware technology, and network infrastructure to support reliable data delivery.
- Provide information technology tools to improve agency workflow, therefore more efficient and manageable.
- Provide Management Information Systems staff certified training in their related fields to convey outstanding user service and satisfaction.

- Provide quality technical training and services to agency staff members with the endorsement of security and disaster recovery organization stability.
- Provide the approach of being innovative and receptive, and for Management Information Systems to build and fortify reliance with agency staff members to solve Information technology needs with technological solutions.

#### **Mission Statement**

- Our Management Information Systems division mission is to provide our end users with proficient, cost effective, secured, continually improved technological products and services.
- Our Management Information Systems division is committed to providing staff members with the necessary resources and training to aide in the improvement of efficient comprehensive solutions to information technology concerns and challenges.

#### **Management Information Systems** **Case Management Workforce System Replacement** **Chronological & Procurement Timeline**

Note: To protect the integrity of the procurement process, all vendor names were left out at the time this report was submitted.

#### **August 2012**

8/27/12 – On-Line research conducted

8/27/12 – Emails (“Requesting Demonstration of Case Management Workforce System”) sent out to

Vendors already established as Case Management Workforce System providers.

8/27/12 – Workforce Panel created.

8/28/12 – Vendor Demonstration Webinar.

8/28/12 – Emails (“Requesting Demonstration of Case Management Workforce System”) sent out to Vendors already established as Case Management Workforce System providers.

#### **September 2012**

9/6/12 – Vendor Demonstration Webinar.

9/9/12 – Request information from Vendor in regards to our Local requirements for Federal Reporting.

9/11/12 – Provided Vendor information on types of Federal Reporting required by our Agency.

9/13/12 – Research Information on Sole Source Procurement processes.  
9/14/12 – Conference Call with Vendor in regards to Specifications of Federal Reporting coming from Guam.  
9/18/12 – Conference Call Meeting with Vendor in regards to Specifications of Federal Reporting coming from Guam. Continuation from 9/14/12.  
9/19/12 – Information provided by Vendor in regards to our Local requirements for Federal Reporting.  
9/19/12 – Conference Call Meeting with Vendor in regards to Specifications of Federal Reporting coming from Guam.  
9/21/12 – Vendor responds to Conference Call Meeting held on 9/19/12.  
9/24/12 – Email correspondence with Vendor.  
9/26/12 – Conference Call Meeting with Vendor.

#### **October 2012**

10/1/12 – Request for Workforce Panel meeting.  
10/2/12 – Workforce Panel Meeting in regards to Modules to be submitted to Vendor.  
10/2/12 – Vendor Demonstration Webinar.  
10/4/12 – User Name and Password provided by Vendor for Product Review.  
10/4/12 – Email correspondence with Vendor.  
10/6/12 – Email correspondence with Vendor.  
10/24/12 – Workforce Panel follow-up for Modules to be submitted to Vendor.

#### **November 2012**

11/1/12 – Workforce Panel follow-up for Modules to be submitted to Vendor.  
11/5/12 – Request made to Vendor to continue use of User Name and Password for further Product Review.  
11/6/12 – Further Product Review permission granted by Vendor  
11/6/12 – Email correspondence with Vendor.  
11/7/12 – Email correspondence with Vendor.  
11/9/12 – Workforce Panel Meeting to be discussed pending availability of Panel members.

#### **December 2012**

12/5/12 – Workforce Panel Meeting to discuss integration of On-Line Job Bank NLX Website.  
12/12/12 – Email correspondence with Vendor.  
12/28/12 – Workforce Panel Meeting (Rescheduled to 1/7/13)  
12/31/12 – Vendor correspondence to discuss migration of existing data.

### **January 2013**

1/7/13 – Contacted Walter Dorsey for information regarding North Carolina's RFP Process for Case

Management Workforce System.

1/26/13 – Meeting with Local Vendor inquiring Software Demonstration.

1/28/13 – Walter Dorsey provided information regarding North Carolina's RFP Process for Case

Management Workforce System.

1/31/13 – Vendor correspondence to discuss migration of existing data. Continued from 12/31/12

### **February 2013**

2/20/13 – Review of North Carolina's RFP Process to include Workforce Specifications.

2/21/13 – Review of North Carolina's RFP Process to include Workforce Specifications.

2/22/13 – Review of North Carolina's RFP Process to include Workforce Specifications.

2/22/13 – Email Workforce Panel members "Confidentiality Concerns".

2/23/13 – Review of North Carolina's RFP Process to include Workforce Specifications.

2/24/13 – Review of North Carolina's RFP Process to include Workforce Specifications.

2/25/13 – Review of North Carolina's RFP Process to include Workforce Specifications.

2/26/13 – Email Vendors Point of Contact (POC) information in regards to "Confidentiality Concerns".

2/26/13 – Contacted Attorney General Office inquiring RFP process.

2/27/13 – Review GSA Process for "Invitation for Bid".

2/27/13 – Correspondence with Attorney General Office in regards to a Meet and Greet.

2/27/13 – Vendor correspondence in regards to further/additional information

### **March 2013**

3/5/13 – Meeting with Attorney General Office, Director and Key Staff to attend. Meeting is to determine RFP or IFB process; assurance meeting for IFB process.

3/18/13 – Meeting with GSA; assurance meeting for specifications and procurement process.

### **April 2013**

4/5/13 – MIS to finalize Specifications

4/8/13 – Submit Specifications to GSA

**Case Management Workforce System Replacement - Procurement Timeline**

<b>Date</b>	<b>Action</b>	<b>Responsibility</b>
4/5/2013	Finalize Specifications	Agency MIS Technological Process
4/8/2013	Submission of Specifications	Agency MIS Technological Process
4/9/2013	Requisition for Funding	Agency FISCAL Procurement Process
4/13/2013	BID Packaging	GSA Procurement Process
4/17/2013	Amendment & Resubmittal of Specifications as per GSA Request	Agency MIS Technological Process
5/31/2013	Invitation to BID public announcement	GSA Procurement Process
6/6/2013	Vendor Response Questions	Potential Vendors
6/6/2013	Response to Written Questions/Specifications Addendum	Agency MIS Technological Process
6/11/2013	IFB Amendment to Vendor Response Questions	Agency MIS Technological Process
6/12/2013	Evaluation Criteria Process	Agency MIS Technological Process
7/11/2013	Submission of Proposal	Potential Vendors
7/17/2013	Proposal Evaluation	Agency Evaluation Committee
8/5/2013	Contract Award	GSA Procurement Process
9/1/2013	Effective Date	GSA Procurement Process
9/23/2013 through 9/27/2013	Project Kickoff	Geographic Solutions, Inc.

# **EDMR Finding #1**

## **Attachment 8**



GUAM WORKFORCE INVESTMENT BOARD

RESOLUTION 13-01



A RESOLUTION RE-CERTIFYING THE ELIGIBLE TRAINING PROVIDER LISTING THROUGH THE REMAINDER OF PROGRAM YEAR 2012

PREAMBLE

WHEREAS, amid the concerns for which the Guam Workforce Investment Board (GWIB) continues to include support building effective partnerships and promoting training and education activities.

WHEREAS, in August 2010, the Guam Workforce Investment Board approved the Eligible Training Provider Listing (ETPL) supported by Resolution No. 10-004 pursuant to WIA RFP 10 001

Astruyao	Secondary Education
Barfending Academy	Service
Center for Micronesian Empowerment	Various
GCA Traces Academy	Construction
Guam Manpower Resources	Information Technology
Guam Marianas Training Center	Allied Health
New Horizon Guam	Information Technology
Oasis	Service
Paul Human Resource Svcs, Inc.	Various
The Tax Shelter	Information Technology

WHEREAS, Resolution No. 11-003, re-certified the PY2010 Eligible Training Providers for six months or up to March 31, 2012.

WHEREAS, Resolution No. 12-01, re-certified the PY2010 Eligible Training Providers for an additional six months up to September 30, 2012.

WHEREAS, Resolution No. 12-06, adopted the implementation of the Statement of Work (SOW) and the Eligible Training Provider (ETPL) Application;

WHEREAS, the Guam Workforce Investment Board is required to certify and approve the program annually and to ensure program requirements are met, and that funds are available to meet the annual program budget for each service provider.

WHEREAS, the availability of training and education courses is a requirement pursuant to the Workforce Investment Act Public Law 133(b)(5)(B)(i)(a), and, an actionable strategy of Goal 3 of the modified plans of work for years 2009-2010, promoting the learning continuum by bringing together public and private partners to promote and develop a skilled workforce in support of new economic development and economic opportunities for Guam and the region, and

**Resolution**

**NOW THEREFORE BE IT RESOLVED**, that the Guam Workforce Investment Board hereby re-certifies the Eligible Training Provider Listing (ETPL) for the Youth, Adults, Dislocated Workers, Incumbent Workers & Senior Citizens (YADIS) programs to cover classroom training services through Program Year 2012 beginning October 1, 2012 through June 30, 2013 to allow for sufficient time to implement the Eligible Training Provider (ETPL) Application and Certification Process effective the date of this resolution; and further approves the same training providers be used for other demand training initiatives deemed necessary by the Agency for Human Resources Development.

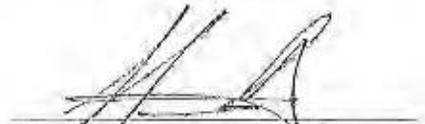
Adopted this 11th day of December 2012    **ATTESTED:**

For the  
**GUAM WORKFORCE INVESTMENT BOARD**



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Peter R. Barcinas  
Planning Committee Chair



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Maria Eugenia Leon Guerrero  
Finance Committee Chair

# **EDMR Finding #1**

## **Attachment 9**



**GUAM WORKFORCE INVESTMENT BOARD  
RESOLUTION NO. 13-002**

***A RESOLUTION RELATIVE TO THE APPROVAL OF GWIB POLICY NO. GWIB-13-001,  
WIA TITLE IB – ELIGIBLE TRAINING PROVIDER PROCESS***

*WHEREAS*, Guam's Workforce Integrated Plan, executed on September 18, 2012, Work Area WA903.5 Statement of Work (SOW) for WIA Programs Primary State Strategy offers an opportunity to take workforce planning related to the employees and employee skill sets needed to accomplish the next generation of programming standards of which Guam is required to fulfill.

*WHEREAS*, On June, 2012, the GWIB established an ad-hoc team to address the development, adoption and implementation of the SOW. GWIB Resolution 12-06 adopted the established SOW framework and recently completed aligning the elements of the SOW with the 2012-2015 Integrated State Plans

*WHEREAS*, the Agency for Human Resources Development is the administering entity of the Workforce Investment Act funded programs as authorized under Executive Order 2011-08;

*WHEREAS*, the Agency for Human Resources Development will make available training services to participants as defined in Sec 122, Identification of Eligible Providers of Training Services, Public Law 105-220 – AUG. 7, 1998 112 STAT. 945 **Subtitle A—Workforce Investment Act**

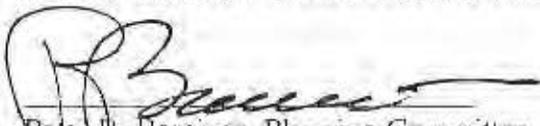
**RESOLUTION**

*NOW, THEREFORE BE IT RESOLVED*, the Guam Workforce Investment Board (GWIB) adopts GWIB-13-001, WIA Title IB Eligible Training Provider Process beginning Program Year 2012 (July 1, 2012);

Adopted this 11<sup>th</sup> day of December, 2012

**ATTESTED:**

**For the GUAM WORKFORCE INVESTMENT BOARD**

  
Peter R. Barcinas, Planning Committee  
Planning Committee Chair

  
Maria Eugenia Leon Guerrero  
Finance & Technology Committee Chair

**GUAM WORKFORCE INVESTMENT BOARD  
GUAM DEPARTMENT OF LABOR/AHRD**

APPROVED	RESPONSIBILITY	ORIGINATION DATE	NUMBER	PAGE
 Chairman Guam Workforce Investment Board	Agency for Human Resources Development (AHRD)	<u>Dec. 11, 2012</u> Date	GWIB-13-001	1 of 6
<b>TITLE: WIA Title IB Eligible Training Provider Process</b>				

**PURPOSE:**

To establish policy and procedures for the Eligible Training Provider Application and Certification Process

**BACKGROUND AND OVERVIEW:**

These policies and procedures govern the operation of the statewide Eligible Training Provider List (ETPL) and are in accordance with the Workforce Investment Act (WIA), Final Rule. Training Providers who wish to offer WIA services to individuals whose training is funded under the WIA. The WIA emphasizes informed customer choice, performance accountability, and continuous improvement. One of the primary means that WIA employs to achieve these goals is the ETPL. The State is required to develop and operate the ETPL in partnership with the Guam Workforce Investment Board (GWIB). The ETPL is designed to gather and display useful information on Training Providers, their services, and the quality of their programs. Only Providers and programs that meet specified quality criteria will be certified by the GWIB and listed on the ETPL.

The Administrative Entity of WIA Title I Funds may issue an Individual Training Account (ITA) to an eligible participant to fund training after it has determined that core and intensive services are insufficient for that customer's needs. The individual can then compare the offerings on the ETPL and, with the advice of staff, select the best training program. In this way, the ETPL helps to provide customer choice, while also supporting increased performance accountability.

Reviewed:  
Approved:

Only those programs that are approved AND listed on the Guam's ETPL website <http://dol.guam.gov> are eligible for referral and enrollment of a WIA customer.

Under WIA, Training Providers must annually meet performance levels that they have negotiated with the State and those performance measures established by the GWIB. The performance of the Training Providers is critical to state's performance. The performance information displayed on the ETPL will aid the GWIB in determining how Providers are contributing to the overall performance. This is referred to as Subsequent Eligibility.

The ETPL will also be a useful tool for the continuous improvement of the services offered by Providers. Not only will ETPL performance information help staff by giving them feedback on which programs are successful, the ETPL will inform the programs' customers of all the different training programs available to them. This informed customer choice should tend to make Providers more focused on their customers' success, which will spur them to improve their programs.

## II. BACKGROUND

### A. WIA Requirements

1. The Governor must set procedures for the ETPL. [WIA Section 122(b)(2) and 122(c)(1)] and the GWIB must make these procedures available to eligible Providers.
2. To remain eligible, Providers must submit initial eligibility criteria, performance and cost information, and annually meet performance levels on specified performance measures. Minimum performance levels are established by the Governor, or may require higher levels on the specified performance measures or additional measures and corresponding levels. [WIA Section 122(c)(5) and (d)(1)]
3. The GWIB will accept applications from Training Providers for a program listing and determine if the applicant meets board criteria for certification. [WIA Section 122(e)(1), (2), and (3)].
4. The GWIB will compile a single state list (the ETPL), and disseminate the ETPL with performance and cost information to the One-Stop delivery system. [WIA Section 122(e)(4)(A)].

5. Holders of ITAs shall have the opportunity to select any of the approved eligible Providers and programs on the ETPL that are aligned with their career strategy plan. Selected programs must meet the performance levels established by the Governor or, if higher, the performance levels established by the GWIB. [WIA Section 122(c)(6) and (e)(4)(B)].

*B. State Approach - Guiding principles for the development of the ETPL Policy and Procedures*

In cooperation with stakeholders, the GWIB have adopted the following guiding principles for implementation of the ETPL.

1. **Simplicity:** The intent is to avoid imposing burdens that would inhibit the participation of quality Training Providers on the ETPL.
2. **Customer Focus:** The purpose of ETPL is to assist customers in selecting quality training programs. The purpose of the 'subsequent eligibility' process is to ensure that only quality programs remain on the list.
3. **Inclusiveness:** The intent is to bring to the ETPL the widest range of quality training programs that meet established performance levels, (as opposed to restricting the list to only those programs of highest performance).
4. **Performance Accountability:** The determination of subsequent eligibility must be based on reliable and verifiable program performance information.
5. **Convergent System:** To the maximum extent, existing systems should be used to collect and report the program performance information needed for determining subsequent eligibility. In the long run, these systems should converge to provide users with the widest range of information needed to make informed career decisions.
6. **Focus on the End User:** The policies and procedures being developed must support individuals who seek career and occupational training information; counselors who assist customers eligible for training services; Training Providers that seek continuous program improvement; and GWIB, who must make the subsequent eligibility determination.
7. **Respect for Local Autonomy:** The subsequent eligibility process should remain supportive of the autonomy that the WIA has otherwise granted to the GWIB.

### III. GENERAL PROVISIONS

A. Types of Training to Which These Procedures Apply [WIA Section 134(d)(4)(D); 20 CFR 663.300]. In order for a Provider to receive Title I-B WIA ITA funds, its program(s) must be listed on the ETPL; and these programs may provide training services, such as:

1. Occupational skills training, including training for non-traditional employment
2. Programs that combine workplace training with related instruction, which may include cooperative education programs;
3. Training programs operated by the private sector;
4. Skill upgrading and retraining;
5. Entrepreneurial training;
6. Job readiness skills; and
7. Adult education and literacy activities provided in combination with any other training service outlined above.

B. Work Experience, Limited Internship, On-the-Job Training and Customized Training (as defined by the Act) are exempt from the ETPL. Also, Contract Training Providers that do not charge clients directly for their services must be listed on the ETPL, but are subject to different performance criteria. A WIA customer may use an ITA to take a single course that is part of a larger program listed on the ETPL providing:

### APPLICATION POLICY AND PROCEDURES

This section covers general application policies and procedures that govern both initial and subsequent eligibility.

#### A. Application Procedure

##### 1. State Boards

In accordance with State policy and procedures, the GWIB will determine its procedures for accepting applications from Providers for initial and subsequent eligibility. At a minimum, GWIB will incorporate all of the data elements required for completion of the ETPL Training Provider and Program Application forms required for initial eligibility and ETPL subsequent eligibility. The forms are available on GWIB website, or contact the Agency for Human Resources Development. Line item instructions for completing them are described in the procedures. FCWIB may append additional requirements deemed necessary [WIA Section 122(e)(1)].

## 2. Providers

a. Applications for initial and subsequent eligibility must be initiated by the Training Provider and submitted to GWIB on the services they wish to provide [WIA Section 122(b)(1)(D) and 122(c)(5)(A)].

b. Applications must be submitted in the time and manner determined by the GWIB [20 CFR Section 663.515 and 663.535]. New Provider and new Program Application(s) may be submitted on any working day of the year. Revision(s) to any already approved and existing program curriculums may be submitted only one time within any twelve (12) month period from the date the program was first approved. A completed signed Program Application accompanied by a cover letter explaining any specific revisions to an existing approved program must be included with the submitted revisions.

c. Applicants must agree to provide such information as may be necessary to determine program performance and to meet other requirements of the WIA. The Provider must agree to make available verifiable data to validate any information submitted [WIA Section 122(d)(1)(A)].

d. Providers' headquartered outside of Guam who do not have local training facilities may apply. [WIA Section 122(e)(5)]. Applications must include all information required by the State and these policies and procedures. Out-of-state programs are eligible for listing on Guam's ETPL if the applying Provider is eligible to receive funds under the Higher Education Act of 1965 and the program leads to an associate or baccalaureate degree or a certificate, or if the program operates under the National Apprenticeship Act.

### e. Definition of a Program of Training Services

Applications must be submitted for each unique program of training services. A "program of training services" is defined in 20 CFR Section 663.508 as:

*"One or more courses or classes, that upon successful completion, leads to (1) a certificate, an associate degree, or baccalaureate degree or (2) the skills and competencies needed for a specific job or jobs, an occupation, occupational group, or generally, for many types of jobs or occupations, as recognized by employers and determined prior to training".*

In addition, each program is considered unique by its goals and curriculum, or by the requirements of the regulatory agency. Identical programs offered in different locations by the same Training Provider shall be considered as one program, and will not require separate applications unless the regulatory agency uses location as a factor in defining a unique program.

f. Denial of a Provider or Program Application

If GWIB denies a Provider's application for Initial or Subsequent Eligibility on the ETPL, it will, within 30 days, inform the Provider in writing (e.g. E-mail as listed on the Provider and/or program application, or postage prepaid letter addressed to the address listed on the Provider or program application), including the reason(s); and provide complete information on the appeal process [20 CFR 667.640(b)]. The appeal process is stated in the procedures below.

**EFFECTIVE DATE:**

This policy is effective December 11, 2012.

# **EDMR Finding #1**

## **Attachment 10**



**GUAM WORKFORCE INVESTMENT BOARD  
RESOLUTION NO. 13-010**

***A RESOLUTION RELATIVE TO THE APPROVAL OF  
ELIGIBLE TRAINING PROVIDER LISTING AND CERTIFICATION***

**WHEREAS**, Guam's Workforce Integrated Plan, executed on September 18, 2012, Work Area WA903.5 Statement of Work (SOW) for WIA Programs Primary State Strategy offers an opportunity to take workforce planning related to the employees and employee skill sets needed to accomplish the next generation of programming standards of which Guam is required to fulfill.

**WHEREAS**, On June, 2012, the GWIB established an ad-hoc team to address the development, adoption and implementation of the SOW. GWIB Resolution 12-06 adopted the established SOW framework and recently completed aligning the elements of the SOW with the 2012-2015 Integrated State Plans

**WHEREAS**, the Agency for Human Resources Development is the administering entity of the Workforce Investment Act funded programs as authorized under Executive Order 2011-08:

**WHEREAS**, the Agency for Human Resources Development will make available training services to participants as defined in Sec 122, Identification of Eligible Providers of Training Services, Public Law 105-220--AUG. 7, 1998 112 STAT. 945 **Subtitle A--Workforce Investment Act**

**WHEREAS**, On December 11, 2012, the Guam Workforce Investment Board adopted Resolution No. 13-002, approving GWIB Policy No. GWIB-13-001 Guam's Eligible Training Provider Process.

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**RESOLUTION**

**NOW, THEREFORE BE IT RESOLVED**, the Guam Workforce Investment Board (GWIB) adopts GWIB Resolution No.13-010, WIA Title IB Eligible Training Provider List and certifies the following Training Providers for a period of one (1) year beginning September 13, 2013:

Asmuyao Community School  
Guam Marianas Training Center  
Guam Public Safety Educators  
GCA Trades Academy  
Select Services, LLC  
Pacific Human Resources Services Inc.

Adopted this 13<sup>th</sup> day of September, 2013

**ATTESTED**

For the GUAM WORKFORCE INVESTMENT BOARD:

  
Denise R. Sell,  
Chairwoman

  
Peter R. Barinas, Planning Committee  
Planning Committee Chair

# **EDMR Finding #1**

## **Attachment 11**



# Guam Workforce Investment Board

414 West Soledad Avenue ♦ Suite 404, GCIC Building ♦ Hagatna, Guam 96910

Telephone: (671) 475-7074 ♦ Fax No. (671) 475-7045



## POLICY BRIEFING

**Policy Title:** WIA TITLE IB Eligible Training Provider Process  
**Policy No.:** GWIB-13-001

### Origination and Review Process

#### GWIB Planning Committee (SOW Adhoc Committee)

Policy Draft Issuance Date: October 3, 2012

Agency Review Completion Date: December 11, 2012

Request for distribution to GWIB: Draft Policy provided to GWIB on December 11, 2012

#### Background:

The GWIB Resolution 12-06 adopted the established Statement of Work (SOW) framework and recently completed aligning the elements of the SOW with the 2012-2015 Integrated State Plans. In tandem with the SOW, the Board adopted the creation of an Eligible Training Provider List. The Eligible Training Provider List will greatly enhance Guam's ability to provide demand-driven occupational training. Instead of contracts with unrealistic expectations, the training providers will instead be asked to train only. An application has been created which asks them to list their qualifications to provide training as well as any diplomas or certifications they provide. Once approved by the Board, they become eligible to receive WIA clients through the AHRD case managers. The Board will no longer be constrained by time and funding-bound contractual agreements, and will instead have the flexibility to add or delete training providers and allocate referrals based on the needs of Guam's demand driven occupations.

#### Authority:

PUBLIC LAW 105-220—AUG. 7, 1998 112 STAT. 945 **Subtitle A—Workforce Investment—SEC. 122. IDENTIFICATION OF ELIGIBLE PROVIDERS OF TRAINING SERVICES.**

(a) **ELIGIBILITY REQUIREMENTS.**— (1) **IN GENERAL.**—Except as provided in subsection (h), to be identified as an eligible provider of training services described in section 134(d)(4) (referred to in this section as “training services”) in a local area and to be eligible to receive funds made available under section 133(b) for the provision of training services, a provider of such services shall meet the requirements of this section. (2) **PROVIDERS.**—Subject to the provisions of this section, to be eligible to receive the funds, the provider shall be—(A) a postsecondary educational institution that—(i) is eligible to receive Federal funds under title IV of the Higher Education Act of 1965 (20 U.S.C. 1070 et seq.); and 29 USC 2842. (ii) provides a program that leads to an associate degree, baccalaureate degree, or certificate; (B) an entity that carries out programs under the Act of August 16, 1937 (commonly known as the “National Apprenticeship Act”; 50 Stat. 664, chapter 663; 29 U.S.C. 50 et seq.); or (C) another public or private provider of a program of training services.

(b) INITIAL ELIGIBILITY DETERMINATION.— (1) POSTSECONDARY EDUCATIONAL INSTITUTIONS AND ENTITIES CARRYING OUT APPRENTICESHIP PROGRAMS.—To be initially eligible to receive funds as described in subsection (a) to carry out a program described in subparagraph (A) or (B) of subsection (a)(2), a provider described in subparagraph (A) or (B), respectively, of subsection (a)(2) shall submit an application, to the local board for the local area in which the provider desires to provide training services, at such time, in such manner, and containing such information as the local board may require. (2) OTHER ELIGIBLE PROVIDERS.— (A) PROCEDURE.—Each Governor of a State shall establish a procedure for use by local boards in the State in determining the initial eligibility of a provider described in subsection (a)(2)(C) to receive funds as described in subsection (a) for a program of training services, including the initial eligibility of— (i) a postsecondary educational institution to receive such funds for a program not described in subsection (a)(2)(A); and (ii) a provider described in subsection (a)(2)(B) to receive such funds for a program not described in subsection (a)(2)(B).

**Board Action**

**Meeting Date:**

Dec. 11, 2012

**Policy Approval Date:**

Feb 18, 2013



**GUAM WORKFORCE INVESTMENT BOARD  
RESOLUTION NO. 13-002**

**A RESOLUTION RELATIVE TO THE APPROVAL OF GWIB POLICY NO. GWIB-13-001,  
WIA TITLE IB – ELIGIBLE TRAINING PROVIDER PROCESS**

**WHEREAS**, Guam’s Workforce Integrated Plan, executed on September 18, 2012, Work Area WA903.5 Statement of Work (SOW) for WIA Programs Primary State Strategy offers an opportunity to take workforce planning related to the employees and employee skill sets needed to accomplish the next generation of programming standards of which Guam is required to fulfill.

**WHEREAS**, On June, 2012, the GWIB established an ad-hoc team to address the development, adoption and implementation of the SOW. GWIB Resolution 12-06 adopted the established SOW framework and recently completed aligning the elements of the SOW with the 2012-2015 Integrated State Plans

**WHEREAS**, the Agency for Human Resources Development is the administering entity of the Workforce Investment Act funded programs as authorized under Executive Order 2011-08;

**WHEREAS**, the Agency for Human Resources Development will make available training services to participants as defined in Sec 122, Identification of Eligible Providers of Training Services, Public Law 105-220—AUG. 7, 1998 112 STAT. 945 **Subtitle A—Workforce Investment Act**

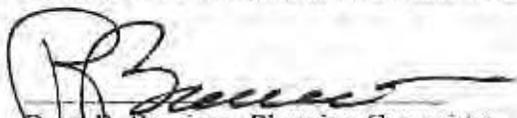
**RESOLUTION**

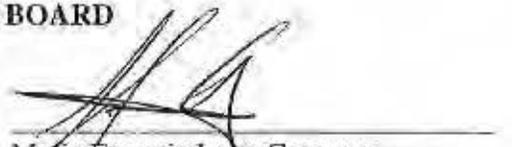
**NOW, THEREFORE BE IT RESOLVED**, the Guam Workforce Investment Board (GWIB) adopts GWIB-13-001, WIA Title IB Eligible Training Provider Process beginning Program Year 2012 (July 1, 2012);

Adopted this 11<sup>th</sup> day of December, 2012.

**ATTESTED:**

**For the GUAM WORKFORCE INVESTMENT BOARD**

  
Peter R. Barcinas, Planning Committee  
Planning Committee Chair

  
Maria Eugenia Leon Guerrero  
Finance & Technology Committee Chair

**GUAM WORKFORCE INVESTMENT BOARD  
GUAM DEPARTMENT OF LABOR/AHRD**

APPROVED	RESPONSIBILITY	ORIGINATION DATE	NUMBER	PAGE
 Chairman Guam Workforce Investment Board	Agency for Human Resource Development (AHRD)	Dec. 11, 2012 Date	GWIB-13-001	1 of 6
<b>TITLE: WIA Title IB Eligible Training Provider Process</b>				

**PURPOSE:**

To establish policy and procedures for the Eligible Training Provider Application and Certification Process

**BACKGROUND AND OVERVIEW:**

These policies and procedures govern the operation of the statewide Eligible Training Provider List (ETPL) and are in accordance with the Workforce Investment Act (WIA), Final Rule. Training Providers who wish to offer WIA services to individuals whose training is funded under the WIA. The WIA emphasizes informed customer choice, performance accountability, and continuous improvement. One of the primary means that WIA employs to achieve these goals is the ETPL. The State is required to develop and operate the ETPL in partnership with the Guam Workforce Investment Board (GWIB). The ETPL is designed to gather and display useful information on Training Providers, their services, and the quality of their programs. Only Providers and programs that meet specified quality criteria will be certified by the GWIB and listed on the ETPL.

The Administrative Entity of WIA Title I Funds may issue an Individual Training Account (ITA) to an eligible participant to fund training after it has determined that core and intensive services are insufficient for that customer's needs. The individual can then compare the offerings on the ETPL and, with the advice of staff, select the best training program. In this way, the ETPL helps to provide customer choice, while also supporting increased performance accountability.

Reviewed:  
Approved:

Only those programs that are approved AND listed on the Guam's ETPL website <http://dol.guam.gov> are eligible for referral and enrollment of a WIA customer.

Under WIA, Training Providers must annually meet performance levels that they have negotiated with the State and those performance measures established by the GWIB. The performance of the Training Providers is critical to state's performance. The performance information displayed on the ETPL will aid the GWIB in determining how Providers are contributing to the overall performance. This is referred to as Subsequent Eligibility.

The ETPL will also be a useful tool for the continuous improvement of the services offered by Providers. Not only will ETPL performance information help staff by giving them feedback on which programs are successful, the ETPL will inform the programs' customers of all the different training programs available to them. This informed customer choice should tend to make Providers more focused on their customers' success, which will spur them to improve their programs.

## **II. BACKGROUND**

### A. WIA Requirements

1. The Governor must set procedures for the ETPL. [WIA Section 122(b)(2) and 122(c)(1)] and the GWIB must make these procedures available to eligible Providers.
2. To remain eligible, Providers must submit initial eligibility criteria, performance and cost information, and annually meet performance levels on specified performance measures. Minimum performance levels are established by the Governor, or may require higher levels on the specified performance measures or additional measures and corresponding levels. [WIA Section 122(c)(5) and (d)(1)]
3. The GWIB will accept applications from Training Providers for a program listing and determine if the applicant meets board criteria for certification. [WIA Section 122(e)(1), (2), and (3)].
4. The GWIB will compile a single state list (the ETPL), and disseminate the ETPL with performance and cost information to the One-Stop delivery system. [WIA Section 122(e)(4)(A)].

5. Holders of ITAs shall have the opportunity to select any of the approved eligible Providers and programs on the ETPL that are aligned with their career strategy plan. Selected programs must meet the performance levels established by the Governor or, if higher, the performance levels established by the GWIB. [WIA Section 122(c)(6) and (e)(4)(B)].

*B. State Approach - Guiding principles for the development of the ETPL Policy and Procedures*

In cooperation with stakeholders, the GWIB have adopted the following guiding principles for implementation of the ETPL.

1. **Simplicity:** The intent is to avoid imposing burdens that would inhibit the participation of quality Training Providers on the ETPL.
2. **Customer Focus:** The purpose of ETPL is to assist customers in selecting quality training programs. The purpose of the 'subsequent eligibility' process is to ensure that only quality programs remain on the list.
3. **Inclusiveness:** The intent is to bring to the ETPL the widest range of quality training programs that meet established performance levels, (as opposed to restricting the list to only those programs of highest performance).
4. **Performance Accountability:** The determination of subsequent eligibility must be based on reliable and verifiable program performance information.
5. **Convergent System:** To the maximum extent, existing systems should be used to collect and report the program performance information needed for determining subsequent eligibility. In the long run, these systems should converge to provide users with the widest range of information needed to make informed career decisions.
6. **Focus on the End User:** The policies and procedures being developed must support individuals who seek career and occupational training information; counselors who assist customers eligible for training services; Training Providers that seek continuous program improvement; and GWIB, who must make the subsequent eligibility determination.
7. **Respect for Local Autonomy:** The subsequent eligibility process should remain supportive of the autonomy that the WIA has otherwise granted to the GWIB.

### III. GENERAL PROVISIONS

A. Types of Training to Which These Procedures Apply [WIA Section 134(d)(4)(D); 20 CFR 663.300]. In order for a Provider to receive Title I-B WIA ITA funds, its program(s) must be listed on the ETPL; and these programs may provide training services, such as:

1. Occupational skills training, including training for non-traditional employment
2. Programs that combine workplace training with related instruction, which may include cooperative education programs;
3. Training programs operated by the private sector;
4. Skill upgrading and retraining;
5. Entrepreneurial training;
6. Job readiness skills; and
7. Adult education and literacy activities provided in combination with any other training service outlined above.

B. Work Experience, Limited Internship, On-the-Job Training and Customized Training (as defined by the Act) are exempt from the ETPL. Also, Contract Training Providers that do not charge clients directly for their services must be listed on the ETPL, but are subject to different performance criteria. A WIA customer may use an ITA to take a single course that is part of a larger program listed on the ETPL providing:

### APPLICATION POLICY AND PROCEDURES

This section covers general application policies and procedures that govern both initial and subsequent eligibility.

#### A. Application Procedure

##### 1. State Boards

In accordance with State policy and procedures, the GWIB will determine its procedures for accepting applications from Providers for initial and subsequent eligibility. At a minimum, GWIB will incorporate all of the data elements required for completion of the ETPL Training Provider and Program Application forms required for initial eligibility and ETPL subsequent eligibility. The forms are available on GWIB website, or contact the Agency for Human Resources Development. Line item instructions for completing them are described in the procedures. FCWIB may append additional requirements deemed necessary [WIA Section 122(e)(1)].

## 2. Providers

a. Applications for initial and subsequent eligibility must be initiated by the Training Provider and submitted to GWIB on the services they wish to provide [WIA Section 122(b)(1)(D) and 122(c)(5)(A)].

b. Applications must be submitted in the time and manner determined by the GWIB [20 CFR Section 663.515 and 663.535]. New Provider and new Program Application(s) may be submitted on any working day of the year. Revision(s) to any already approved and existing program curriculums may be submitted only one time within any twelve (12) month period from the date the program was first approved. A completed signed Program Application accompanied by a cover letter explaining any specific revisions to an existing approved program must be included with the submitted revisions.

c. Applicants must agree to provide such information as may be necessary to determine program performance and to meet other requirements of the WIA. The Provider must agree to make available verifiable data to validate any information submitted [WIA Section 122(d)(1)(A)].

d. Providers' headquartered outside of Guam who do not have local training facilities may apply. [WIA Section 122(e)(5)]. Applications must include all information required by the State and these policies and procedures. Out-of-state programs are eligible for listing on Guam's ETPL if the applying Provider is eligible to receive funds under the Higher Education Act of 1965 and the program leads to an associate or baccalaureate degree or a certificate, or if the program operates under the National Apprenticeship Act.

### e. Definition of a Program of Training Services

Applications must be submitted for each unique program of training services. A "program of training services" is defined in 20 CFR Section 663.508 as:

*"One or more courses or classes, that upon successful completion, leads to (1) a certificate, an associate degree, or baccalaureate degree or (2) the skills and competencies needed for a specific job or jobs, an occupation, occupational group, or generally, for many types of jobs or occupations, as recognized by employers and determined prior to training".*

In addition, each program is considered unique by its goals and curriculum, or by the requirements of the regulatory agency. Identical programs offered in different locations by the same Training Provider shall be considered as one program, and will not require separate applications unless the regulatory agency uses location as a factor in defining a unique program.

f. Denial of a Provider or Program Application

If GWIB denies a Provider's application for Initial or Subsequent Eligibility on the ETPL, it will, within 30 days, inform the Provider in writing (e.g. E-mail as listed on the Provider and/or program application, or postage prepaid letter addressed to the address listed on the Provider or program application), including the reason(s); and provide complete information on the appeal process [20 CFR 667.640(b)]. The appeal process is stated in the procedures below.

**EFFECTIVE DATE:**

This policy is effective December 11, 2012

# **EDMR Finding #2**

## **Attachment 1**



GUAM WORKFORCE INVESTMENT BOARD

RESOLUTION 08-14



A RESOLUTION ENDORSING THE PARTNERSHIP BETWEEN THE GUAM DEPARTMENT OF LABOR / AGENCY FOR HUMAN RESOURCES DEVELOPMENT AND THE MICRONESIAN YOUTH SERVICES NETWORK

WHEREAS, the Guam Workforce Investment Board has identified supporting increased economic opportunities for Guam residents in collaboration with nongovernmental organizations as a strategic goal of the Transformation Plans of Work. The Board, in its review, recognizes the efforts of the Micronesian Youth Services Network (MSYN) as a nongovernmental organization committed to improving youth and family services in the Micronesian region.

Resolution

NOW THEREFORE BE IT RESOLVED, that the Guam Workforce Investment Board hereby endorse the partnership between the Guam Department of Labor/Agency for Human Resources Development and the Micronesian Youth Services Network to align the MSYN and Workforce Investment Act Programs and support youth service providers.

Adopted this 30<sup>th</sup> day of July 2009.

ATTESTED:

  
Peter E. Gal, Chair

  
Lorraine Okada, Vice-Chair

# **EDMR Finding #3**

## **Attachment 1**

*COST ALLOCATION PLAN AND RESOURCE SHARING  
AGREEMENT*

*Phase I – AJC Co-located Partners*

*AMERICAN JOB CENTER*  
(formerly known as the One-Stop Career Center)

**DRAFT – March 28, 2014**

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## **PURPOSE OF THE COST ALLOCATION AND RESOURCE SHARING AGREEMENT GUIDE**

Because of the many funding streams available, a cost allocation plan **MUST** be developed to detail the methodology that will be used to distribute costs based on benefits received. A cost allocation agreement is a detailed break out of all the costs of the American Job Center and the methodology used by the American Job Center Partners to share these costs. A cost allocation agreement **MUST** be developed to ensure that each partner is aware of the amount of its fair share of the costs of maintaining the center. These guidelines are intended to advise the options available for cost allocation, as well as the minimum requirements, of a Cost Allocation Plan and a Resource Sharing Agreement.

## **BACKGROUND INFORMATION FOR DEVELOPING A COST ALLOCATION PLAN AND A RESOURCE SHARING AGREEMENT**

The American Job Center (AJC) presents an opportunity to better prepare our customers to adapt to the workforce and economic development requirements of the 21<sup>st</sup> Century. It brings a new emphasis and enthusiasm in challenging the local community to strategically align and leverage resources to build upon innovative methodologies and experiences.

Under the Workforce Investment Act of 1998, the American Job Center is not a direct recipient of state or federal awards. Rather, it is the location through which several workforce development and education programs operate their programs in partnership with other entities and make their services available to the program beneficiaries such as participants, students, the unemployed, job seekers, employers, and incumbent workers.

The Consortium of Partners (Department of Labor, Department of Public Health and Social Services and the Agency for Human Resources Development) act as the Operator, and have identified the total cost of operating the system on behalf of the Guam Workforce Investment Board. The costs of the One-Stop may be categorized as:

1. Direct costs that benefit one particular cost objective.
2. Shared direct costs that can be readily allocated to the sharing of cost objectives; and
3. Indirect costs incurred for common or joint purposes benefiting more than one cost objective but are not readily assignable to the benefiting cost objective.

The shared and indirect costs of performing allowable AJC functions must be allocated to the benefiting programs or cost objectives (grants). This must be done based on benefits received by the benefiting program and not on availability of funds.

The cost allocation plan is an addendum to the American Job Center's Memorandum of Understanding between partners and describes the methods of allocating costs based on generally accepted accounting principles between partners within the center.

It is highly recommended that the use of the simplest and least costly method should be considered based on a measure of relative benefit received that will produce an equitable allocation of costs to all partner programs.

The following are general principles that should guide the development of the cost allocation plan and the services and system operating costs section of the Memorandum of Understanding and Resource Sharing Agreement (RSA).

- The Guam Workforce Investment Board (GWIB) has the authority to negotiate terms with the Operator of the One-Stop Delivery System in determining how to share costs, as long as the basis (method) for cost sharing is compatible with the governing provisions in WIA, other partner's legislation, grant agreements, and the OMB circulars.
- The expectation is that partners will share proportionately in the costs of the American Job Center system. This simply means that each partner will contribute services and/or pay for costs comparable in amount to the value of benefits received in return. Some exceptions are: A partner can only pay for costs, which are both allowable and allocable to that partner's funding source. Allowable costs are defined in each partner's enabling legislation, grant agreements and regulations, as well as in the OMB Circulars. The allocability of costs is governed by the OMB Circulars, which generally prescribe that costs are allocable to a funding source or cost objective to the extent of benefits received. The Cost Allocation Plan should identify an appropriate basis or method for allocating costs. Some of the methodologies include allocations based on direct charges, cost pooling, indirect costs rates and activity-based cost allocation plans.
- There are exceptions to the general principle requiring that costs be shared proportionately among the partners. When such an exception does exist for one or more partners, the Guam Workforce Investment Board is not bound by rules on cost allocation for that partner's funds and has more discretion in negotiating the provision and costs of services. These exceptions include the following:
  - Unrestricted Funds: These funds may be used to pay for any negotiated portion of the costs; since there are no restrictions on the type or amount of costs these funds may pay for, such example may include local general funds.
  - Partially Restricted Funds: These funds may be used to provide allowable services to the general population. Usually, the types of allowable services are restricted, but who is eligible to receive the services is not restricted. Example of partially restricted funds include the Wagner-Peyser program which provides labor exchange services to all employers and job seekers, and restricted corporate funds which may partially limit the services to be provided or the eligibility for those services.

- **Cost Fully Allowable to More than One Funding Source:** These funds may be paid, per the OMB Circulars, in part or in whole by one of the affected fund sources without regard to the rules on cost allocation. For example, if a service is allowable under WIA as well as Senior Community Service Employment Program (SCSEP), and that service is provided to a person or employer who is eligible to receive services under either funding source, the cost of that service may be paid in full by WIA or in full by SCSEP, or in any other portions negotiated between the two funding sources.
- **Immaterial Costs:** These costs are so minor in amount that they do not need to be allocated.

The Resource Sharing Agreement is a “living document” and should be revised as arrangements change in the American Job Center. The Resource Sharing Agreement is a proposed budget for the center based upon the cost allocation plan. The revised resource sharing agreement must be incorporated as a modification into the Memorandum of Understanding and is the basis for the AJC’s payment and collection system. The Resource Sharing Agreement can be revised when new partners are added or costs regarding the center change. The Revised Resource Sharing Agreement must be numbered, include an effective date, must be signed by all the partner or their designated signatory and a copy of the completed Revised Resource Sharing Agreement must be sent to all the partners. The Resource Sharing Agreement will then become the basis for the payment of costs and is an Addendum to the Memorandum of Understanding. The Memorandum of Understanding should distinguish between services delivered at the American Job Center and services delivered within the system through the agreed upon systematic referral of services

## Chapter 1 – General Administration

The One-Stop operator, partners and fiscal officer must identify the total cost of the operation. This should be detailed in a schedule identifying direct costs associated with each partner and indirect costs shared by each partner. The identification of costs and the funding in support of these costs are necessary to make the One-Stop Career Center sustainable.

The partners must comply with the Federal Costs Principles set forth in OMB Circulars (A-21, A-87 & A-122).

**Keep it Simple:** Use the simplest and least costly method possible, based on a measure of relative benefit received, that will produce an equitable allocation of costs to programs.

**Make it Replicable:** The process that you develop must be replicable at any time.

**Consider What is Required:** The required structure and capabilities of your accounting system must be considered in designing an operable cost allocation process.

**Make Changes Prudently:** Changes in a partnership’s cost allocation plan that result in a retroactive redistribution of costs to the benefiting cost objective are allowable where the change results in a more equitable distribution of costs. Such change in allocation methodology should be rare, should receive the necessary prior approvals, and should be justified and well documented.

**Direct Costs:**

*Direct Costs:* Costs that are identified specifically with a cost objective and charged directly to that objective are direct costs. They are costs that can be identified specifically with a final cost objective. They may also be costs pending allocation to a final cost objective based on an intermediate cost objective or a cost pool that is used to accumulate costs.

*Assignable Direct Costs:* Costs charged directly to final cost objectives that do not require any further allocation or breakdown are assignable direct costs. Examples of assignable direct costs that are charged to the program include:

- Compensation paid to employees whose time is devoted specifically to the fulfillment of a particular program objective;
- Costs of pre-approved items such as equipment, consultants, and subcontractors for performance of services specifically for the program;
- Costs of any materials purchased specifically for a particular program.

*Shared Direct Costs:* Costs that cannot be readily assigned to a final cost objective, but which are directly charged to an intermediate cost objective or cost pool and subsequently allocated to final cost objectives are shared direct costs. These costs are incurred for a common or joint purpose benefiting more than one funding stream. An example of shared direct costs that are charged to the program include:

Case management services to participants in all funding streams are provided by case management staff members of the center regardless of the staff's funding stream. It is difficult to identify time spent by case management staff by funding stream. Costs could be directly charged to a category for case managers and later distributed to the proper funding stream using an appropriate allocation method.

### **Indirect Costs:**

Indirect costs that have been incurred for a common or joint purpose and cannot be readily identified with a particular final cost objective; therefore, some method of allocation must be used to distribute the indirect costs to various direct activities that were benefited. To distribute indirect costs equitably and consistently, your organization will find it necessary to develop a cost allocation plan.

Because of the differences in organizations, it is impossible to classify costs that will be indirect in all situations. One rule, however, usually does apply universally: a cost may not be allocated as an indirect cost if that cost or any other cost incurred in the same circumstance and for the same purpose has already been assigned to the program as a direct cost.

*Measuring Benefit:* Measuring benefit is the critical requirement and central task to be performed in allocating costs. Costs are allocable to a particular cost objective on benefits received by that cost objective. When the direct measurement of benefit cannot be done efficiently and effectively, then it is appropriate to pool the costs for later distribution. The allocation base is the mechanism used to allocate the pooled costs to final cost objectives. Care should be taken to ensure that the basis chosen does not distort the results.

**Allocability:** For a cost to be allocable to a particular cost objective, it must be treated consistently with other costs incurred for the same purpose in like circumstances. Any cost allocable to a particular grant or other cost objective under these principles may not be shifted to other federal grants to overcome funding deficiencies, to avoid restrictions imposed by law or grant agreement, or for other reasons. Costs that are prohibited by a funding source may not be paid or used as offsets under a pooled cost agreement.

**Allowability:** To be allowable, a cost must be necessary and reasonable for the proper and efficient administration of the program. To reduce risk of accumulating and being held accountable for disallowed costs, you should carefully review anticipated program expenditures, the terms and conditions of the award, and applicable regulations before any program costs are incurred.

**Reasonableness:** For a cost to be reasonable under an award, it will not exceed that which would be incurred by a prudent person under the same circumstances. In determining the reasonableness of a given cost, consideration should be given to:

- Whether the cost is of a type generally recognized as ordinary and necessary for the operation of the organization or the performance of the award
- The restraints or requirements imposed by such factors as generally accepted sound business practices, arms-length bargaining, federal and state laws and regulations, and terms and conditions of the award.
- Whether the individuals concerned acted with prudence in the circumstances, considering their responsibilities to the organization, its members, employees, clients, the public at large, and the government.
- Significant deviations from the established practices of the organization that may unjustifiably increase the award's costs

## **Chapter 2 – Cost Allocation Plan**

### **Purpose**

The purpose of this cost allocation plan is to summarize, in writing, the method and procedures that this organization will use to allocate costs to various programs, grants, contracts and agreements.

### **Guidance**

OMB Circular A-87  
OMB Circular A-122  
OMB Circular A-21  
48 CFR Part 31

## Required Partner Programs

Agency for Human Resources Development	Title I of WIA (Adult, Youth, Dislocated Worker)
Department of Labor	Wagner-Peyser Senior Community Service Employment Program Workforce Information – Core Products
Department of Integrated Services Division of Vocational Rehabilitation	Title IV of WIA Vocational Rehabilitation Support Services Program
Guam Housing & Urban Renewal	Family Self Sufficiency Workforce Related Programs
Department of Public Health & Social Service	Food Stamps Program Temporary Assistance for Needy Families Child Care & Development Fund MCH Block Grant Program
Guam Public School System	Pacific Vocational Education Improvement Program (PVEIP)
Guam Community College	WIA Title II, Adult Education & Literacy Post Secondary Vocational Education under the Carl Perkins Vocational and Applied Technology Act

## General Approach

The general approach of the American Job Center in allocating costs to particular grants and contracts is as follows:

*All allowable general and administrative costs (costs that benefit all programs and cannot be identified to a specific program) are allocated to programs, grants, etc using a base that results in an equitable distribution.*

## Cost Allocation Parameters

### Fiscal Parameters:

1. Each partner must pay or offset its portion of pooled costs in addition to paying its own direct costs.
2. Offsets are based on cost. In the case of staff, use actual salary and benefit costs in calculations, *not* number of staff and function performed. If different individuals will perform the function, then an average of their actual salaries and benefits may be used.

### Personnel Parameters:

The Operator's designee shall assume responsibilities that include the coordination of activities and services on a daily basis. The designee is responsible for creating a professional and inviting atmosphere that will encourage customers to avail themselves of the services.

### **Operations Parameters:**

A Cost Allocation Plan assigns costs accumulated in cost pools, which benefit entities/programs.

### **Classification of Costs**

Costs associated with the American Job Center will be pooled and allocated to partners proportionately utilizing the approved methodology identified below. Areas deemed as "One-Stop Services" provide benefits to all mandated partners which are identified as follows:

Reception Area  
Intake Services  
Learning Lab  
Conference Room

### **Allocation of Costs**

- A. Compensation for Personnel Services – Salaries and benefits will be charged directly to all programs that benefit from these services and allocated based on a ratio of each program's personnel costs (salaries & applicable benefits) to total personnel costs. (See Table 1)
- B. Operating Expenses – Expenses for operating the American Job Center such as desk top supplies, printing, and equipment lease/maintenance will be charged directly to all programs that benefit from these services and allocated based on a ratio of each program's personnel costs (salaries & applicable benefits) to total personnel costs. (See Table 2)
- C. Facility Expenses – Facilities costs are allocated based on square footage. Square footage for each program and general and administrative activity is considered in the analysis. General and administrative facilities costs are further allocated to each program based on the square footage of each grant program to the total square footage of all grant programs. (See Table 3)
- D. Virtual One-Stop Software System – Expenses and cost for operating the Virtual One-Stop for the American Job Center to service customers and participants requiring partner services. Cost and Annual Maintenance for this software will be charged directly to all programs that benefit from the use of the Virtual One-Stop and allocated based on the number of each program user. (Table 4)

### ***Pooled Costs – Tables***

Table 1 – Salaries and Benefits

Position Title	Salary	Benefit	Total
Employment Development Supervisor	47,301	18,139	65,440
EDW II	38,048	19,895	57,943
EDW I	26,520	16,185	42,705
EDW I	26,520	9,293	35,813
Customer Service Rep	26,520	15,656	42,176
Customer Service Rep	26,520	16,287	42,807
Program Coordinator IV (Special Projects)	49,897	23,742	73,639
EDW III (WP)	36,762	14,017	50,779
EDW II (WP)	29,449	12,518	41,967
EDW I (WP)	27,353	13,439	40,792
<b>TOTAL:</b>	<b>334,890</b>	<b>159,171</b>	<b>494,061</b>

Table 2 – American Job Center Operations

Description	Unit Cost	Quantity	Total
Desk Top Supplies	\$50 x 9 FTEs = 450.00	12 months	\$5,400
Printing Supplies	2500.00	2 (Semi-Annually)	\$5,000
Equipment Maintenance (Computer/Printers)	200.00	12 months	\$2,400
Copier Annual Lease	248.00	12 months	\$2,976
Communication: Internet Connectivity – FTEs - 9 Users Learning Lab – 7 Drops Workkeys – 6 Drops Printer – 1 Drop	406.21	12 months	\$4,874.52
Telephone – 8 Lines	153.92	12 months	1,847.04
<b>TOTAL:</b>			<b>\$22,497.56</b>

Table 3 – Facilities (Rental)

Position Title	Direct Space	AJC Common Area	General Common Area	Total	Total Monthly Cost	Total Annual Cost
AJC Core Services	500.00	843.47	62.43	1,405.90	\$3,514.75	\$42,177.00
<b>TOTAL:</b>	<b>500.00</b>	<b>843.47</b>	<b>62.43</b>	<b>1,405.90</b>	<b>\$3,514.75</b>	<b>\$42,177.00</b>

AJC Common Area includes the proportionate share of direct space for the following areas:

- Workkeys Test Center
- Learn Lab
- Resource Center
- Partner Room
- Reception Area
- AJC Employee Lounge
- AJC Walkways

General Common Area includes the proportionate share of direct space for the following areas:

- Large Conference Room
- Small Conference Room

Table 4 - Virtual One-Stop System

<b>Partner Agency</b>	<b>Initial Cost Purchase</b>	<b>Total Cost</b>	<b>Year 1 Total</b>	<b>Year 2 Total</b>	<b>Year 3 Total</b>
Virtual One-Stop Software	60,855.00	60,855.00	\$60,855.00	\$0.00	\$0.00
Annual Maintenance Fee	\$178,140.00	\$178,140.00	\$178,140.00	\$178,140.00	\$178,140.00
<b>TOTAL:</b>		<b>60</b>	<b>\$238,995.00</b>	<b>\$178,140.00</b>	<b>\$178,140.00</b>

## Chapter 3 – Resource Sharing Agreement

Federal implementing regulations for the Workforce Investment Act require a resource sharing agreement between the American Job Center partners to define, allocate, and fund the shared costs of the delivery system. The Guam Workforce Investment Board is the implementing body for the American Job Center formerly known as the One-Stop Career Center to ensure services are delivered in a one-stop system.

The mandated partners have been listed in the Cost Allocation Plan (CAP) and the list of pooled cost is identified in Tables 1, 2, 3 and 4 of the CAP.

**Table 1 - Salaries and Benefits - \$494,061**

Salaries: \$334,890

Benefits: \$159,171

Partner	Partner Total Direct Program Salaries/Benefits	Partner Total Percentage of Cost for Pooled Salaries/Benefits	Total Cost for Partner (Program)	Total Partner Program Direct Compensation	Balance
WIA Programs	600,504	51%	251,971	251,971	0
WP – Employment Service	300,698	26%	128,456	133,588	(5,132)
WP – Core Products	0	0	0	0	0
WP – Alien Certification	0	0	0	0	0
SCSEP	214,844	18%	88,931	0	88,931
DVOP	59,833	5%	24,703	0	24,703
Partner 3	0	0	0	0	0
Partner 4	0	0	0	0	0
Partner 5	0	0	0	0	0
Partner 6	0	0	0	0	0
Partner 7	0	0	0	0	0
<b>TOTAL:</b>	<b>1,175,879</b>	<b>100%</b>	<b>494,061</b>	<b>385,559</b>	<b>108,502</b>

**Table 2 - Operations: \$22,498.00**

<b>Partner</b>	<b>Partner Total Direct Program Salaries/Benefits</b>	<b>Partner Total Percentage of Cost</b>	<b>Total Cost for Partner</b>	<b>Total Partner Direct Compensation</b>	<b>Balance</b>
WIA Programs	600,504	51%	11,474	0	0
WP – Employment Service	300,698	26%	5,849	0	0
WP – Core Products	0	0	0	0	0
WP – Alien Certification	0	0	0	0	0
SCSEP	214,844	18%	4,050	0	0
DVOP	59,833	5%	1,125	0	0
<b>Partner 3</b>	0	0	0	0	0
<b>Partner 4</b>	0	0	0	0	0
<b>Partner 5</b>	0	0	0	0	0
<b>Partner 6</b>	0	0	0	0	0
<b>Partner 7</b>	0	0	0	0	0
<b>TOTAL:</b>	<b>0</b>	<b>0</b>	<b>22,498</b>	<b>0</b>	<b>0</b>

**Table 3 – Facilities - \$42,177.00 (1,405.90 Square Feet)**

<b>Partner</b>	<b>Partner Total Square Footage</b>	<b>Percentage of AJC Share</b>	<b>Total Cost for Partner</b>	<b>Total Partner Direct Payment</b>	<b>Balance</b>
Partner 1 – WIA	2,711	88%	37,115.76	37,115.76	0
Partner 2 – GDOL	363	12%	5,061.24	17,123.88	<b>(12,062.64)</b>
<b>Partner 3</b>	0	0	0	0	0
<b>Partner 4</b>	0	0	0	0	0
<b>Partner 5</b>	0	0	0	0	0
<b>Partner 6</b>	0	0	0	0	0
<b>Partner 7</b>	0	0	0	0	0
<b>TOTAL:</b>	<b>3,073.72</b>	<b>100%</b>	<b>42,177</b>	<b>54,239.64</b>	<b>(12,062.64)</b>

**Table 4 – Virtual One-Stop - \$595,275.00**

<i>Procurement of System Cost</i>	<i>\$60,855.00 (\$1,014.25) (Cost/#ofUsers)</i>	<i>Annual Maintenance Cost</i>	<i>\$178,140.00 (\$2,969.00) (Cost/#of Users)</i>	<i>Cost Per Year</i>		
<b>Partner Agency</b>	<b>Initial Cost</b>	<b>Annual Maintenance Cost</b>	<b>Total Number of Users (D)</b>	<b>Year 1 Total</b>	<b>Year 2 Total</b>	<b>Year 3 Total</b>
Partner 1 – WIA	\$50,712.50	\$148,450.00	50	\$199,162.50	\$148,450.00	\$148,450.00
Partner 2 – GDOL	\$10,142.50	\$29,690.00	10	\$39,832.50	\$29,690.00	\$29,690.00
Partner 3 – DPHSS	\$0.00	\$0.00	0	\$0.00	\$0.00	\$0.00
Partner 4 – GHURA	\$0.00	\$0.00	0	\$0.00	\$0.00	\$0.00
Partner 5 – DISID/DVR	\$0.00	\$0.00	0	\$0.00	\$0.00	\$0.00
Partner 6 – GCC	\$0.00	\$0.00	0	\$0.00	\$0.00	\$0.00
Partner 7 - GDOE	\$0.00	\$0.00	0	\$0.00	\$0.00	\$0.00
<b>TOTAL:</b>			<b>60</b>	<b>\$238,995.00</b>	<b>\$178,140.00</b>	<b>\$178,140.00</b>

**Reconciliation**

Budgeted cost amounts are periodically compared to actual costs, variances between budget and actual cost, if significant may require a budget modification.

**Proportionate Share of Costs and Terms for Payment:**

The parties to this agreement must pay or offset its portion of pooled costs in addition to paying its own direct costs. All required parties to this agreement will be billed for their proportionate share of costs and must be paid within thirty (30) days of receipt of invoice.

**Record Access and Retention**

The parties to this agreement and their funding agencies, or their designee, will have access to and right to examine, monitor and audit, all records, documents, conditions and activities related to the payments made under this agreement.

The parties to this agreement will retain all records pertinent to this agreement for a period of three years form the date of final payment under this agreement. If, at the end of three years, there is litigation or an audit involving those records, the parties to this agreement will retain the records until the resolution of such litigation or audit.

## **Resolution of Cost Disputes**

The parties to this agreement shall continue with the responsibilities under this agreement during any dispute. Any dispute shall be resolved in a timely manner, directly involving the parties to the dispute agreeing to communicate openly to directly resolve any problem or dispute related to the provisions of this Resource Sharing Agreement. Any disputes pursuant to this agreement shall be resolved, to the extent possible, in a cooperative manner, at the lowest level of intervention possible.

The Secretary of the Board shall perform the initial review of all disputes and arguments, and prepare a packet for the Finance & Technology Committee of the Guam Workforce Investment Board. The Finance Committee will then present their findings to the Guam Workforce Investment Board. The parties will be bound by the final decision of the Guam Workforce Investment Board, including the sharing of costs, as legally able according to partner agencies' funding regulations.

## **Modifications**

### **Budget Modifications**

The Operator of the One-Stop (Consortium) shall prepare and may modify the budget for the One-Stop System. The Guam Workforce Investment Board reviews and approves the initial budget and modifications as a part of the overall budget. Modifications will be based on the needs of the One-stop system, on changes in occupancy, on changes in participatory partners and/or their funding sources, and any other unforeseen events that have a significant impact on the projected costs for the system. Budget and modifications will be prepared in a timely manner to allow adequate financial management and oversight of the One-Stop system.

### **Changes to the One-Stop Memorandum of Understanding**

The parties to this agreement may make changes to funding and services in the One-Stop from time to time. The One-Stop partners will change the Memorandum of Understanding (MOU) if there are any substantial funding changes that will affect the services and activities to be offered through the One-Stop system, or if there are changes in the One-Stop delivery system that require substantive changes to the cost information contained in this agreement. The One-Stop partners will change the MOU if they add additional partners to the One-Stop system that then begin to share in the costs, or remove partners from the One-Stop system that had a share in the costs.

## **Project Term**

1. This Agreement will commence upon the signature of the Governor of Guam.
2. The term of this Agreement is for three years beginning July 1, 2013 through to June 30, 2016.
3. This Agreement is subject to the availability of funds.

## Termination

This Agreement is subject to termination due to actions taken by the federal or local government. Such actions may include, but are not limited to, withdrawal of WIA funds by the United States Department of Labor. The Provider's failure to fulfill its obligation under this Agreement will be cause for immediate termination of this Agreement. Either party, for justifiable reason, may, upon thirty (30) days prior written notice to the other party, terminate this Agreement.

## Acknowledgement

By signing this Agreement, the **parties** acknowledges that they have read and understand all the Terms and Conditions, Required Certifications, Additional Requirements, and all other provisions of this Agreement, and agrees to be bound by them.

*IN WITNESS THEREOF, the parties have agreed to be bound by the provisions of this Agreement on the dates indicated after their respective signatures:*

### Guam Workforce Investment Board

---

Denise R. Selk, Chair

#### Agency for Human Resources Development

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Alfredo O. Antolin Jr., Director  
Date:

#### Approved as to Legality and Form

Office of the Attorney General

---

Leonardo Rapadas  
Attorney General of Guam

#### Department of Labor

---

Manuel Q. Cruz, Director  
Date:

#### Approved

Office of the Governor

---

Eddie Baza Calvo  
Governor of Guam

# **EDMR Finding #3**

## **Attachment 2**



## GUAM WORKFORCE INVESTMENT BOARD

### RESOLUTION NO. 2014-002

***A RESOLUTION RELATIVE TO THE APPROVAL OF THE ENHANCED DESK MONITORING REVIEW (EDMR) CONCERN ESTABLISHING THE RESOURCE SHARING AGREEMENT (RSA) AND AMENDING THE CURRENT ONE-STOP CAREER CENTER MEMORANDUM OF UNDERSTANDING (MOU) TO INCLUDE THE DEFINED COST ALLOCATION FOR ALL AMERICAN JOB CENTER PARTNERS***

***WHEREAS***, pursuant to the Workforce Investment Act of 1998 (WIA), the One Stop Career Center provides for an integrated workforce system supported through WIA required workforce entities tasked with specific oversight to administer workforce investment, educational and other human resource programs and funding streams, collaborate to create a seamless system of service delivery that will enhance access to the programs' services and improve long term employment outcomes for individuals receiving assistance;

***WHEREAS***, GWIB Resolution No. 11-02 designated the Agency for Human Resources Development (AHRD) as the Operator of the One Stop Career Center on August 25, 2011;

***WHEREAS***, *Passage and approval of the GWIB's 5-year Workforce Integrated Plan for PY2012-2016 on September 17, 2012, included WIA and Wagner-Peyser Work Areas with allowances for periodic updates to align with the integrated strategies in the State Plan;*

***WHEREAS***, TEGL 21-11, Change 1 and TEGL 36-11, re-established the One Stop Career Center to the American Job Center (AJC), allowing ease of access to workforce system services and programs for workers and businesses through the passage of the GWIB Resolution No. 13-006 on February 28, 2013;

***WHEREAS***, *the EDMR Report overarching finding identified the lack of a Resource Sharing Agreement (RSA) absent in the GWIB and Guam One Stop (AJC) Partners MOU;*

***WHEREAS***, the Guam Workforce Investment Board accepts the EDMR findings supported with the GWIB's RSA corrective action plan. The RSA approach will be implemented in phases to allow for equitable and appropriate AJC cost distribution. Through the RSA, the Memorandum of Understanding between mandated partners of the One-Stop operating system (as identified in the Workforce Investment Act of 1998, 2 CFR part 225 Attachment A 20 and CFR Part 652 etal, 662.270) defines services between partners with the noted intent to eliminate duplication of services. The GWIB also acknowledges AJC agency funding priorities /fiscal needs with allowances to consider additional funding of allowed AJC activities. The GWIB notes the inherent difficulties in securing funding from multiple sources;

**WHEREAS**, to successfully carry out the mandated partners' RSA, the GWIB's proposed Action Plan provides for a "phase-in" approach allowing for the equitable flow of AJC funds to address the EDMR finding as follows:

➤ Phase In Time-Line:

- RSA Phase I – Co-located Partners at the American Job Center partners shall work towards completion of the RSA agreement no later than **June 30, 2014** in preparation for the start of Program Year 2014 (July 1, 2014).
- Phase I partners who are co-located at the American Job Center are the Agency for Human Resources Development and the Guam Department of Labor. The Agency for Human Resources Development is the administrative entity that administers WIA Youth, Adult and Dislocated Worker funds. The Guam Department of Labor is the administrative entity that is responsible for administering Wagner-Peyser (Employment Service, Core Products and Foreign Worker); Senior Community Employment Service Program (SCSEP) and the Disabled Veterans Outreach Program (DVOP). The "draft" Cost Allocation Plan and Resource Sharing Agreement for Phase I is a statement of Guam's efforts to ensure that timelines are met and impose the urgency to complete before the specified due date.
- RSA Phase II – For Partners that are not physically located but ultimately use the resources available at the American Job Center, such Partners to provide client services which includes the use of the "Virtual One-Stop" web-based software that not only can track the services being provided to "our" clients, it may assist our partners in providing statistical data to their respective grantor agency. The RSA shall include each partner's contribution to the annual maintenance fee for the software. This shall be completed no later than **September 30, 2014** in preparation for Fiscal Year 2015 (October 1, 2014)
- The GWIB will also be working on the Memorandum of Understanding to ensure that the following goals are prioritized:
  - Submission of mandated partner's program funding budgets for each funding cycle or program year will be required to ensure that all resources are fully maximized to achieve optimum services for "our" clients; That the GWIB shall adopt a resolution that will require the mandated partners to submit timely budget information to the GWIB for review and subsequent approval as required (Workforce Investment Act of 1998, 2 CFR part 225 Attachment A 20 and CFR Part 652 et. al, 662.270).

**WHEREAS**, upon delivery of the RSA, the GWIB ensures to adopt a resolution to supersede Resolution No. 11-02 – Operator of the One-Stop to reflect the consortium of partners as “The Agency for Human Resources Development, The Guam Department of Labor, The Department of Public Health and Social Services, and the Department of Integrated Services for Individuals with Disabilities – Division of Vocational Rehabilitation” as the minimum partners for the “consortium” as required in WIA Section 134 (d) (2) and 20 CFR 661.120 and 662.230(2). This resolution shall be submitted and adopted effective immediately and no later than the June 30, 2014 in preparation for Program Year 2014.

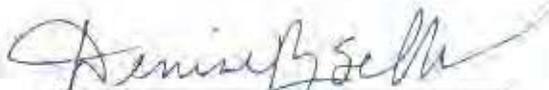
**NOW, THEREFORE BE IT RESOLVED**, the Guam Workforce Investment Board (GWIB) adopt this Resolution for the implementation of the RSA as outlined in the EDMR audit findings and as an amendment to the MOU with the American Job Center (AJC) State Partners.

**FURTHER BE IT RESOLVED**, the Guam Workforce Investment Board has agreed to include in the MOU, a Resource Sharing Agreement (RSA) and cost allocation for services provided with American Job Center State Partners. The Guam Workforce Investment Board (GWIB) therefore approves that the updated MOU remains unaltered by this Resolution and that it reflects the Resource Sharing Agreement and cost allocation and that AHRD as the Operator of the AJC and the GWIB shall notify all AJC Partners of the amended MOU.

Adopted this 27<sup>th</sup> day of March, 2014

**ATTESTED:**

**For the GUAM WORKFORCE INVESTMENT BOARD**

  
Denise R. Selk, Chairwoman

  
Jina Rojas, Monitoring & Oversight Committee  
Chair

# **EDMR Finding #3**

## **Attachment 3**

Administrative Services Officer – Status Report For EDMR Findings (03.19.14)

GEMS Finding No.	Required Action	Date	Status Update	Document Reference No.
3	Fully executed resource sharing agreement signed by all of the key partners to equitably divide the costs of operating the one-stop system. The resource sharing agreement must be a part of the One-Stop system's MOU	01/31/14	<p>Meeting with Department of Labor Director to discuss staffing assignments and responsibilities, specifically for Apprenticeship Program, Bureau of Women's Affairs and ServeGuam staff (D.W). Memo for Apprenticeship and Bureau of Women's Affairs signed by Director Antolin, forwarded for Director Cruz's signature.</p> <p>Apprenticeship Program – Complete Bureau of Women's Affairs – Status pending concurrence and acceptance from Director Cruz</p>	EDMR#3_001
02/04/14 & 02/14/14		<p>Meeting with Department of Labor Director to further discuss outcome of Director Cruz's meeting with the Front Office and Department of Administration. Discussion on staff assignments were provided by the Director of Labor for those individuals who will be physically located at the American Job Center. Director Cruz requested if AHRD can assist by drafting the Memorandum for DOL. Memo prepared for</p>	EDMR#3_002 EDMR#3_002(A) EDMR#3_002(B)	
02/13/14		<p>Email to N. Asanuma regarding salaries for individuals assigned to American Job Center to begin preparing the cost allocation and resource sharing draft agreements.</p>	EDMR#3_003	
02/14/14		<p>Memorandum to Director Cruz acknowledgment of Memorandum for AJC center staff assignment and request for related costs.</p>	EDMR#3_004 EDMR#3_005	
02/19/14		<p>Manager's meeting on EDMR Status Report – requested from F. Bell and K. Taitano to review the services outlined in the MOU to determine what services are partners will be providing that may be a partner direct program cost (i.e., utilization of the conference room, partner room, etc.)</p>		

		02/24/14	Memorandum from Director Antolin to R. Leon Guerrero concurred by Director Cruz and acknowledged by R. Leon Guerrero	EDMR#3_006
		02/26/14	Draft Cost Allocation Plan and Resource Sharing Agreement	EDMR#3_007
		03/07/14	<b>Draft Cost Allocation Plan and Resource Sharing Agreement – Updated tables to include Virtual One-Stop system. Still pending total number of users for GDOL and other partner information. Need EPA and AJC to provide feedback to MOU on services that partners provide that may be a partner direct program cost or in-kind services.</b>	<b>EDMR#3_008</b>
		03/10/14	Discussion with F. Bell reminding her about the importance of reviewing the MOU as discussed in our Manager’s meeting with EPA.	
		03/12/13	Draft Cost Allocation Plan and Resource Sharing Agreement – Updated tables to include Virtual One-Stop system. Still pending total number of users for GDOL and other partner information. Need EPA and AJC to provide feedback to MOU on services that partners provide that may be a partner direct program cost or in-kind services.	EDMR#3_009
			Sent email request to GDOL requesting for direct program costs for WP ES, DVOP and SCSEP staff to determine percentage for RSA	EDMR#3-010
		03/13/14	Meeting with the Governor’s Chief Fiscal Advisor to discuss funding programs, grant parameters of American Job Center operations and programs.	EDMR#3_011
		03/17/14	Prepared draft “Proposed Phase-In Plan” for Resource Sharing Agreement and sent to Director for review. Received input from Planning Chair Barcinas for edits to draft. Also updated the CAP_RSA to reflect Phase-in approach.	Draft Phase In Proposed Plan for RSA & CAP_RSA

		03/18/14	Sent follow-up email to GDDL requesting for direct program costs for WR ES, DVOP and SCSEP staff to determine percentage for RSA.	EDMR#3_012
		03/19/14	Prepared "draft" response to EDMR #5 as corrective action plan coincides with action items identified in EDMR Finding No. 3	EDMR#5-Proposed Implementation Plan
			Prepared "draft" response to EDMR #6 as corrective action plan coincides with action items identified in EDMR Finding No. 3 and 5	EDMR#6 Draft Response
#10 (1) and (4)	The finding can be closed when both agencies provide written justification to demonstrate that the costs listed are reasonable, necessary and of benefit to the program.	2/19/14	See attached justification	EDMR#10_001
#10 (2) \$273.13 to cover shortfall	The finding can be closed when both agencies provide written justification to demonstrate that the costs listed are reasonable, necessary and of benefit to the program.	2/19/14	Justification: To cover the shortfall for excess print charges for the lease copier machine assigned to WIA programs. At the beginning of each fiscal year an "estimate" of print charges is made when the requisition is cut.	EDMR#10_002
#10 (3) \$7,397 for Travel	The finding can be closed when both agencies provide written justification to demonstrate that the costs listed are reasonable, necessary and of benefit to the program.	2/19/14	Awaiting response from Yazmin Escorcia, USDOL ETA to clarify the cost identified in EDMR.	EDMR#10-003
		2/24/14	Sent follow-up email to Yazmin Escorcia, USDOL ETA on request for clarification.	EDMR#10-006
		3/7/14	Sent follow-up email to Yazmin Escorcia, USDOL ETA on request for	EDMR#10-007

		03/12/14	<p><i>clarification,</i></p> <p>Received IM from Yazmin Escorcia, USDOL ETA advising that she is in receipt of email and that she has been on back to back reviews but will provide feedback shortly.</p>	
#10 (5) \$11,000 NASWA	The finding can be closed when both agencies provide written justification to demonstrate that the costs listed are reasonable, necessary and of benefit to the program.	2/19/14	The Agency co-shared with the Guam Department of Labor the annual membership fee for the National Association of State Workforce Agencies (NASWA). The Agency identified this service as a benefit for our program participants to access all jobs available locally through Guam Department of Labor's website. The membership with the National Association of State Workforce Agencies was also recommended by our former Project Officer, Mr. John Jacobs as it relates to the National Defense Authorization Act that was passed in 2011 (please see attached).	EDMR#10_004 EDMR#10_005



		<p>03/12/14</p> <p>03/13/14</p>	<p>Department of Public Health and Social Services JOBS Program.</p> <p>Review of existing MOU to determine level of service of all partners and identify whether it is a direct program service or multiple program benefit.</p> <p>Meeting with ASO to discuss specific services from each partner program to be delivered through the American Job Center. Will meet with the partners next week to discuss their direct program activities and proposed "in-kind" costs for the use of the facility.</p>	
5	<p>The finding can be closed when the Territory provides a strategy and activities for functionally aligning the WIA and WP programs, which might include using WP funds to provide some of the core services at the American Job Center, and eliminates other duplicative costs. The strategy must include a timeline for implement the alignment activities within a reasonable period.</p>			

# **EDMR Finding #5**

## **Attachment 1**



Eddie Baza Calvo  
Governor  
Ray Tenorio  
Lieutenant Governor

GOVERNMENT OF GUAM  
(GUBERNAMENTON GUAHAN)  
DEPARTMENT OF LABOR  
(DIPARTIMENTON HUMOTNAT)  
DIRECTOR'S OFFICE  
(Ufshian Direktor)

Post Office Box 9970 Tamuning, Guam 96931  
414 W. Soledad Avenue, GCIC Building Hagatna, Guam 96910  
Tel (671) 475-7075 - FAX: (671) 475-7045 - www.dol.guam.gov



Manuel Q. Cruz  
Director

February 5, 2014

COPY

MEMORANDUM NO. 2014-004

TO: **CATALINA T. CRUZ**  
Employment Program Administrator

**DOROTHY T. GUTIERREZ**  
Employment Program Administrator

FROM: **MANUEL Q. CRUZ**  
Director of Labor

SUBJECT: American Job Center – Staff Assignment

RECEIVED

FEB 9 5 2014

Fiscal & Support

HafaAdai! In line with recent Enhanced Desk Monitoring Review (EDMR) conducted by U.S. Department of Labor, Employment Training Administration, the department is moving forward on corrective action to address the findings on the report recently issued. The Department of Labor is required to strategically position and integrate from a policy and procedural standpoint, align the programs funded by Wagner-Peyser and Workforce Investment Act funds. The Workforce Investment Act requires partners to provide multiple workforce development programs and resources for individuals through the one-stop delivery system which will take place at the American Job Center. There is an abundance of work that is required to resolve the findings addressed in the EDMR report but to begin the corrective action, the following individuals will be assigned to perform their duties outlined below within the American Job Center:

**Core Services (Intake and Registration)**

- Vanessa Rivera, Employment Development Worker I
- Dometila Aquilizan, Employment Development Worker II

**Employer Services and Job Development (WP Function)**

- Theresa Camacho, Employment Development Worker III

**Programmatic Services - Intensive/Re-Employment and Training Services**

- Colasita Gumabon, Employment Dev. Worker I (Senior Community Employment Program)
- James Matanane, Special Project Coordinator (Disabled Veterans Outreach Program)

In addition, I will assign Ms. Theresa Camacho as the "Alternate Lead" for the American Job Center and the Lead Liaison for Department of Labor.

MEMORANDUM

RE: American Job Center Staff Assignment

Page 2

February 5, 2014

It is critical that the department demonstrates their presence at the American Job Center and eliminate duplication of services among ETA funded programs. The staff assigned to provide Core Services will be incorporated into the cost allocation plan and will be co-shared among partners benefiting from the services being provided. The Cost Allocation and Resource Sharing is another finding that the department needs to respond to.

All other staff not addressed in this memorandum will remain at the Department of Labor office until further notice and continue their current responsibilities.

Please have your staff begin packing their items as AHRD has generously allowed for the staff to move with them since they have acquired the necessary resources to move.

  
MANUEL Q. CRUZ

cc: Denise Selk, GWIB Chair  
Alfredo Antolin, Jr., AHRD Director

# **EDMR Finding #5**

## **Attachment 2**











# **EDMR Finding #5**

## **Attachment 3**

Virtual One-Stop Training  
 March 4-7, 2014 \* 8:00 a.m. - 5:00 p.m.  
 Bell Tower Plaza \* Hagatna, Guam

NO.	NAME:	DEPARTMENT/AGENCY:	EMAIL ADDRESS:	ATTENDANCE (Please Initial)			
				4-Mar-14	5-Mar-14	6-Mar-14	7-Mar-14
1	Theresa Langenberg	Palau WIA office	theresalangenberg@palau.gov	TL	TL		
2	Niella Karmeling	Palau WIA Office	nkarmeling@palau.gov	N	N		
3	Frances Torres	CNMI POL-WIA	francesatorres@palau.gov	FT	FT		
4	Karina O. Tangeliman	CNMI - DIS Council	karinao@cnmi.gov	K			
5	Hermela O. Sablan	CNMI - DIS Council	psablan@cnmi.gov	H			
6	June R. Sandhocken	AHRD	June.Sandhocken@dol.guam.gov	JS	JS	JS	JS
7	Edith de la Cruz	CNMI DOL	edith@dol.guam.gov	E			
8	Nina S. Nekantes	CNMI - DCCA	ninekantes@gmail.com	N	N		
9	Lani Wedgworth	GDOL	lani.wedgworth@dol.guam.gov	L	L	L	
10	Vanessa Rivera	GDOL/ASC	vanessa.rivera@dol.guam.gov	VR	VR	VR	
11	Frances Bell	AHRD / ASC	frances.bell@dol.guam.gov	F	F	F	F
12	Bethel Simon	AHRD	bethel.simon@dol.guam.gov	BS	BS		
13	Arlene Cebullido	AHRD	arlene.cebullido@dol.guam.gov	A			
14	Mary Fejeran	AHRD	mary.fejeran@dol.guam.gov	M			
15	FRANCIS T. SUSUICO Aydes A. Marier M	AHRD ASC AHRD	francis.susuico@dol.guam.gov aydes.marier@dol.guam.gov	FS	FS	FS	FS

Virtual One-Stop Training  
 March 4-7, 2014 \* 8:00 a.m. - 5:00 p.m.  
 Bell Tower Plaza \* Hagatna, Guam

NO.	NAME:	DEPARTMENT/AGENCY:	EMAIL ADDRESS:	ATTENDANCE (Please Initial)			
				4-Mar-14	5-Mar-14	6-Mar-14	7-Mar-14
16	Tilda Mero	AHRD	tilda.mero@dol.guam.gov	TM			
17	Theresa Camacho	WP	theresa.camacho@dol.guam.gov	TW	TC	TC	
18	Helen Mafes	AHRD	helen.mafes@dol.guam.gov	HM			
19	Carina Raguindin	AHRD/ASC	carina.raguindin@dol.guam.gov		CR	CR	CR
20	Martha Rubin	AHRD	martha.rubin@dol.guam.gov	MR			MR
21	Jesse Quinata	AHRD	jesse.quinata@dol.guam.gov	JQ			
22	Gerard Lintiazo	DOL	gerard.lintiazo@dol.guam.gov	GL			
23	Linda Salas	AHRD	linda.salas@dol.guam.gov	LS			LS
24	Tommy Marieno	AHRD	tommy.marieno@dol.guam.gov	TM			TM
25	Laurine Sombra	AHRD	laurine.sombra@dol.guam.gov	LS			
26	Helen Cordero	AHRD	helen.cordero@dol.guam.gov	HC			HC
27	Maria Baumgartner	AHRD / ASC	maria.baumgartner@dol.guam.gov	MB			MB
28	RAYMOND CHACO	AHRD	raymond.chaco@dol.guam.gov	RC			RC
29	Laura A. Arriola	AHRD	laura.arriola@dol.guam.gov	LA			
30	Edward S. Fejerman	AHRD	edward.fejerman@dol.guam.gov	EF			EF

Virtual One-Stop Training  
 March 4-7, 2014 \* 8:00 a.m. - 5:00 p.m.  
 Bell Tower Plaza \* Hagatna, Guam

NO.	NAME:	DEPARTMENT/AGENCY:	EMAIL ADDRESS:	ATTENDANCE (Please Initial)			
				4-Mar-14	5-Mar-14	6-Mar-14	7-Mar-14
31	Alice Carballido	AHRD	alice.carballido@dol.guam.gov	X	X		
32	JAMES MATANANE	DOL/DVOP	James.matanane@dol.guam.gov	JM	JM		
33	Pamela C. Sablan	CNMI Council on Developmental Disabilities	psablan.cnmicdd@gmail.com	P	P		
34	Elizabeth S. Ada	CNMI COUNCIL ON DEVELOPMENTAL DISABILITIES	elizabethsada.cnmicdd@gmail.com	E	E		
35	Rufina Pangelinan	CNMI COUNCIL ON DEVELOPMENTAL DISABILITIES	rcpangelinan.cnmicdd@gmail.com	RP	RP		
36	EDITH TAYLOR	CNMI DIL	edith.taylor.guam@gmail.com	E	E		
37	Jokeen C. Santos	AHRD	jokeen.santos@dol.guam.gov	J	J	J	J
38	KAREN E. TAITANO	AHRD / WIA Programs	Karen.taitano@dol.guam.gov	K	K	K	
39							
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45							

Virtual One-Stop Training  
 March 4-7, 2014 \* 8:00 a.m. - 5:00 p.m.  
 Bell Tower Plaza \* Hagatna, Guam

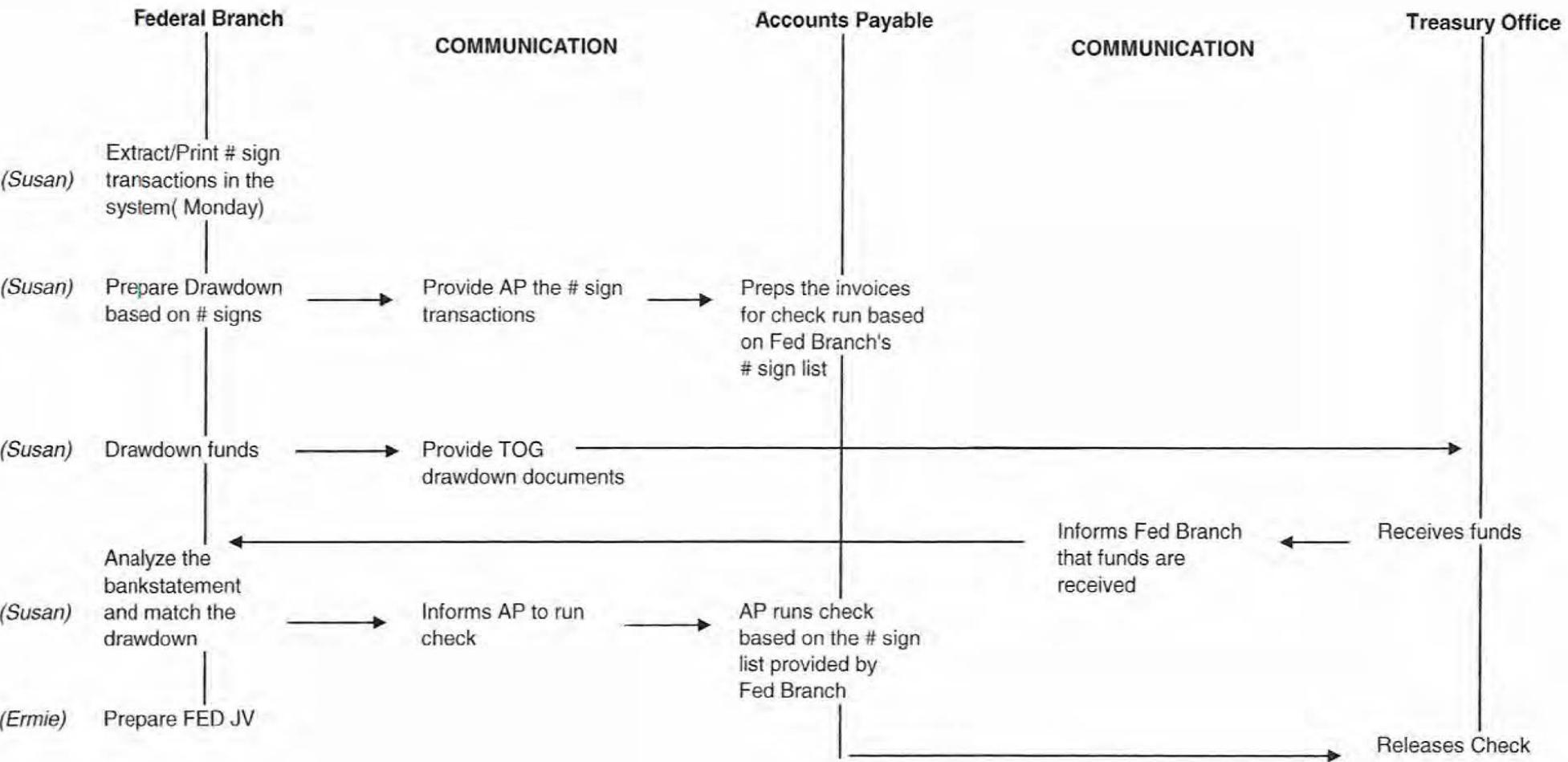
NO.	NAME:	DEPARTMENT/AGENCY:	EMAIL ADDRESS:	ATTENDANCE (Please Initial)			
				4-Mar-14	5-Mar-14	6-Mar-14	7-Mar-14
46							
47							
48							
49							
50							

# **EDMR Finding #8**

## **Attachment 1**

**DEPARTMENT OF ADMINISTRATION  
DIVISION OF ACCOUNTS  
FEDERAL GRANTS AND COMPLIANCE BRANCH  
Drawdown and Disbursement standard operating procedure**

	<b>Monday</b>	<b>Tuesday</b>	<b>Wednesday</b>	<b>Thursday</b>	<b>Friday</b>
<i><b>Federal Branch</b></i>	Analyze accounts under SMARTLINK and ASAP  Give invoice transaction summary to payable branch =====			Complete drawdown request	Acquire bankstatement from Treasury  input fund received to GL and Subledger =====
<i><b>Payables Branch</b></i>	Receives transaction summary from Federal branch  Audits invoices  =====	Prepare checks & EFT for vendor payments  Gives Treasury Office checks for mailing & transactions for EFT =====			
<i><b>Treasury Office</b></i>		Audit checks and supporting documents Audit EFT supporting documents	Mails checks to vendor		Receive funds from drawdown request  Process EFT vendor payments
<b>Note:</b> Department of Administration is still encouraging all vendors to be under the Electronic Fund Transfer Payment Method					



DOLHILEG  
3/23/14

Balance Records

WRKFBAL  
13:28:01

Position to Account Number . . . . . \_\_\_\_\_

Type option, press Enter.

5=Display      7=FSR Status      8=FGIA Ledger      11=Approp  
12=Dsp FGIA Acct

<u>Opt</u>	<u>Account Id</u>	<u>Account Name</u>	<u>Tot Adj</u>	<u>Tot Payments</u>	<u>Cat/Award No</u>
	<u>Begin Bal</u>	<u>Tot Debits</u>			<u>Ending Bal</u>
__	5101H122440DC103	BLS ONE STOP WORKFORCE INFO	92813.00	92813.00-	17.207

F3=Exit      F5=Refresh      F10=Position      F12=Cancel      F14=File Total  
F21=Print list  
You have reached the bottom of the list.      WRKFBAL

DOLHILEG  
3/23/14

Balance Records

WRKFBAL  
13:28:58

Position to Account Number . . . . . \_\_\_\_\_

Type option, press Enter.

5=Display      7=FSR Status      8=FGIA Ledger      11=Approp  
12=Dsp FGIA Acct

<u>Opt</u>	<u>Account Id</u>	<u>Account Name</u>	<u>Tot Adj</u>	<u>Tot Payments</u>	<u>Cat/Award No</u>
	<u>Begin Bal</u>	<u>Tot Debits</u>			<u>Ending Bal</u>
__	5101H132440DC103	BLS-ONE STOP 80118.47		80118.47-	17.207

F3=Exit      F5=Refresh      F10=Position      F12=Cancel      F14=File Total  
F21=Print list  
You have reached the bottom of the list.      WRKFBAL

DOLHILEG  
3/23/14

FGIA Account Ledger

PRCFLED  
14:01:51

Account ID.....: 5101H132440DC103

Date last DR...: 3/14/2014

Date last ADJ..:

BLS-ONE STOP

Date last PY...: 3/19/2014

Type option, press Enter.  
5=Display

<u>Trans Date</u>	<u>Seq</u>	<u>Tran Cde</u>	<u>Debit Amt</u>	<u>Adjustments</u>	<u>Payment Amt</u>	<u>Ending Bal</u>
12/28/2012	1	101	813.50			813.50
1/04/2013	1	103			813.50-	
2/22/2013	1	101	2200.00			2200.00
2/27/2013	1	103			2200.00-	
3/15/2013	1	101	248.20			248.20
3/27/2013	1	103			248.20-	
3/29/2013	1	101	1489.47			1489.47
4/04/2013	1	103			1489.47-	
4/12/2013	1	101	11931.50			11931.50
4/17/2013	1	103			11931.50-	

F3=Exit

F5=Refresh

F12=Cancel

F21=Print list

You have reached the top of the list.

PRCFLED

DOLHILEG  
3/23/14

FGIA Account Ledger

PRCFLED  
14:01:51

Account ID.....: 5101H132440DC103

Date last DR...: 3/14/2014

Date last ADJ..:

BLS-ONE STOP

Date last PY...: 3/19/2014

Type option, press Enter.  
5=Display

	<u>Trans Date</u>	<u>Seq</u>	<u>Tran Cde</u>	<u>Debit Amt</u>	<u>Adjustments</u>	<u>Payment Amt</u>	<u>Ending Bal</u>
—	5/10/2013	1	101	145.00			145.00
—	5/15/2013	1	103			145.00-	
—	5/17/2013	2	101	4338.86			4338.86
—	5/22/2013	1	103			4338.86-	
—	5/24/2013	1	101	1160.20			1160.20
—	5/31/2013	1	103			1160.20-	
—	6/07/2013	1	101	905.00			905.00
—	6/12/2013	1	103			905.00-	
—	6/21/2013	1	101	207.98			207.98
—	6/26/2013	1	103			207.98-	

F3=Exit

F5=Refresh

F12=Cancel

F21=Print list

You have reached the top of the list.

PRCFLED

DOLHILEG

FGIA Account Ledger

PRCFLED

3/23/14

14:01:51

Account ID.....: 5101H132440DC103

Date last DR...: 3/14/2014

Date last ADJ..:

BLS-ONE STOP

Date last PY...: 3/19/2014

Type option, press Enter.

5=Display

<u>Trans Date</u>	<u>Seq</u>	<u>Tran Cde</u>	<u>Debit Amt</u>	<u>Adjustments</u>	<u>Payment Amt</u>	<u>Ending Bal</u>
7/05/2013	1	101	969.85			969.85
7/11/2013	1	103			969.85-	
7/19/2013	1	101	1001.04			1001.04
7/26/2013	1	103			1001.04-	
7/31/2013	1	101	1171.19			1171.19
7/31/2013	3	101	3168.86-			1997.67-
8/08/2013	1	103			1171.19-	3168.86-
8/09/2013	2	101	214.60			2954.26-
8/16/2013	1	101	2148.15			806.11-
8/26/2013	1	103			2362.75-	3168.86-

F3=Exit

F5=Refresh

F12=Cancel

F21=Print list

You have reached the top of the list.

PRCFLED

DOLHILEG  
3/23/14

FGIA Account Ledger

PRCFLED  
14:01:51

Account ID.....: 5101H132440DC103

Date last DR...: 3/14/2014

Date last ADJ..:

BLS-ONE STOP

Date last PY...: 3/19/2014

Type option, press Enter.  
5=Display

	<u>Trans Date</u>	<u>Seq</u>	<u>Tran Cde</u>	<u>Debit Amt</u>	<u>Adjustments</u>	<u>Payment Amt</u>	<u>Ending Bal</u>
—	8/30/2013	1	101	5450.14			2281.28
—	8/31/2013	1	101	449.95			2731.23
—	8/31/2013	2	101	1972.52			4703.75
—	9/06/2013	1	103			5450.14-	746.39-
—	9/06/2013	2	101	165.00			581.39-
—	9/11/2013	1	103			614.95-	1196.34-
—	9/13/2013	1	101	5673.88			4477.54
—	9/19/2013	1	103			7646.40-	3168.86-
—	9/20/2013	2	101	124.70			3044.16-
—	9/27/2013	1	101	8460.94			5416.78

F3=Exit

F5=Refresh

F12=Cancel

F21=Print list

You have reached the top of the list.

PRCFLED

DOLHILEG  
3/23/14

FGIA Account Ledger

PRCFLED  
14:01:51

Account ID.....: 5101H132440DC103

Date last DR...: 3/14/2014

Date last ADJ..:

BLS-ONE STOP

Date last PY...: 3/19/2014

Type option, press Enter.  
5=Display

<u>Trans Date</u>	<u>Seq</u>	<u>Tran Cde</u>	<u>Debit Amt</u>	<u>Adjustments</u>	<u>Payment Amt</u>	<u>Ending Bal</u>
10/18/2013	1	103			3506.35-	7465.74-
10/25/2013	1	101	3844.39			3621.35-
11/07/2013	1	103			5493.55-	9114.90-
11/08/2013	2	101	3553.40			5561.50-
11/18/2013	1	103			3967.83-	9529.33-
11/22/2013	2	101	3436.00			6093.33-
11/29/2013	1	101	1445.30			4648.03-
11/30/2013	1	101	244.88			4403.15-
11/30/2013	1	101	996.31			3406.84-
12/04/2013	1	104			2986.63	420.21-

F3=Exit

F5=Refresh

F12=Cancel

F21=Print list

You have reached the top of the list.

PRCFLED

# **EDMR Finding #10**

## **Attachment 1**

## ENHANCED DESK MONITORING REVIEW FINDING NO. 10 – ITEMS NO. 1 AND 4 Justification for the Lease Vehicle and Purchase of New Vehicle

On February 7, 2012, the agency issued requisition number Q121520068 in the amount of \$9,000.00 to lease a vehicle while the Agency repairs existing 2003 Nissan Altima. The Nissan Altima has over 100,000 thousand miles and was procured over 10 years ago and was not operable, current value for Nissan Altima is less than \$5,000.00 or approximately \$3,444.00.

On June 6, 2012, the General Services Agency issued Purchase Order No. P126A03920 in the amount of \$3,000.00 to cover the cost of a lease vehicle rental for a period of 4 months (June 2012 through September 2012) at a monthly cost of \$750.00

On June 25, 2012, the Agency began the repairs to the Nissan Altima and issued requisition number Q1215200132 and purchase order number P126A06876 was issued on 9/25/2012 in the amount of \$1,733.00 to cover the cost of the following repairs:

- Replacement of upper and lower radiator hoses
- Replace of valve cover assembly and gasket cleaner
- Test and repair of auto tensioner and drive belt
- Test and repair right front engine mount
- Test and repair water outlet and both thermostat
- Drain and refill transmission fluid
- Complete fuel system flush
- Engine oil flush
- Right side mirror shell
- Replace both front-outside door handles
- Tune up for 15,000 mile service

On February 26, 2013, the Agency issued another requisition number Q131520088 for additional repairs to the Nissan Altima as the vehicle needed additional work to be done. Purchase order P136A03237 was issued in the amount of \$1,619.00 on 3/18/2013 to cover the cost for the following work:

- Replace both rear outside door handles
- Replace thermostat water inlet to include parts and service
- Perform major tune up to include parts and service
- Replace alternator assembly to include parts and service
- Replace both front struts and end links to include parts and service
- Replace windshield wipers to include parts and service

The decision to procure a new vehicle was determined as the cost to continue preventive maintenance on the Nissan Altima was increasing. On February 26, 2013 the Agency issued an Invitation for Bid (IFB) via requisition number Q1315200098 in the amount of \$23,000.00 for a 4x2 Sports Utility Vehicle in accordance with the Government of Guam's procurement standards for official vehicles. This process requires approval from the Department of Public Works, Transportation Division prior to issuance of Bid.

On March 18, 2013, Invitation for Bid Number GSA-053-13 was issued, and subsequently after the bid process, purchase order number P136A04752 was issued in the amount of \$22,490.00 to Triple J Motors on June 7, 2013.

On June 7, 2013, the Agency's lease vehicle was returned and payments were made for the lease vehicle from June 2012 through May 2013.

On June 29, 2013, the Agency via Department of Public Works received the vehicle procured through IFB GSA-053-13.

The Agency has done their due diligence to ensure that all costs associated with the procurement of a lease and new vehicle is documented and determined reasonable and went through the procurement process of the Government of Guam as in accordance with 29 CFR Part 97.

We are attaching a copy of the maintenance schedule for the newly procured vehicle and photos for your files.



**GOVERNMENT OF GUAM**  
 DEPARTMENT OF REVENUE & TAXATION  
 MOTOR VEHICLE DIVISION  
 VEHICLE REGISTRATION BRANCH  
 P.O. BOX 23607  
 GME GUAM 96921



**R- 2578734**

6205

**MOTOR VEHICLE REGISTRATION**

LICENSE NO. 6205	TAG NO. 00065391 NEW	SAFETY INSPECTION NO. NEW	ISSUE DATE 7/9/2013	RENEWAL DATE 7/2014	<input type="checkbox"/> PENALTY WILL NOT BE CHARGED IF RENEWED ON OR BEFORE RENEWAL DATE
YR 2013	MAKE Kia	MODEL SPORTAGE	BODY STYLE SPORT UTILITY SUV		
CYL 4	ENGINE NO. G4FEDU378505	VEHICLE IDENTIFICATION NUMBER (VIN) KMDP3GA20D7498113		PREVIOUSLY REGISTERED IN: 57 GUAM	
CAPACITY 5	WEIGHT 3,751	COLOR WHITE			

**LEGAL REGISTRATION**  
 AGENCY OF HUMAN RESOURCES DEV...  
 ADDR: P.O. BOX 2950  
 AGANA, GU 96932-0000  
 CNS: EXP100.00700P#1

FEES      AMOUNT  
 GOVT  
 OF  
 GUAM

*[Signature]* TOTAL *[Signature]*

LIEN HOLDER  
 REGISTRANT'S COPY

FOR RENEWAL SEE REVERSE SIDE

JOHN P. CARACHO  
 DIRECTOR OF REVENUE AND TAXATION





## VEHICLE MAINTENANCE

SERVICE TYPE	DESCRIPTION	YEAR 1				YEAR 2			
		MILES	Date of Service	Cost	Purchase Order	MILES	Date of Service	Cost	Purchase Order
<b>ANNUAL SERVICE AND MAINTENANCE NUMBER 1</b>									
Oil Filter/Change	Parts and Labor to change engine crankedcase oil and replace engine oil filter	5,000		\$ -	P136A04752	15,000			P136A04752
Air Filter	Parts and Labor to change air filter	5,000		\$ -	P136A04752	15,000			P136A04752
Tire rotation	Labor to rotate tires	5,000		\$ -	P136A04752	15,000			P136A04752
Fluid check	Top off under hood fluid levels, chasis and body lubrication	5,000		\$ -	P136A04752	15,000			P136A04752
Multi-point Inspection	labor to inspect operation of all collant hoses, visible drive belts, check fluid levels.	5,000		\$ -	P136A04752	15,000			P136A04752
<b>ANNUAL SERVICE AND MAINTENANCE NUMBER 2</b>									
Oil Filter/Change	Parts and Labor to change engine crankedcase oil and replace engine oil filter	10,000		\$ -	P136A04752	20,000			P136A04752
Air Filter	Parts and Labor to change air filter	10,000		\$ -	P136A04752	20,000			P136A04752
Tire rotation	Labor to rotate tires	10,000		\$ -	P136A04752	20,000			P136A04752
Fluid check	Top off under hood fluid levels, chasis and body lubrication	10,000		\$ -	P136A04752	20,000			P136A04752
Multi-point Inspection	labor to inspect operation of all collant hoses, visible drive belts, check fluid levels.	10,000		\$ -	P136A04752	20,000			P136A04752

VEHICLE MAIN

SERVICE TYPE	YEAR 3				YEAR 4				YEAR 5			
	MILES	Date of Service	Cost	Purchase Order	MILES	Date of Service	Cost	Purchase Order	MILES	Date of Service	Cost	Purchase Order
<b>ANNUAL SERVICE ANC</b>												
Oil Filter/Change	25,000			P136A04752	35,000			P136A04752	45,000			P136A04752
Air Filter	25,000			P136A04752	35,000			P136A04752	45,000			P136A04752
Tire rotation	25,000			P136A04752	35,000			P136A04752	45,000			P136A04752
Fluid check	25,000			P136A04752	35,000			P136A04752	45,000			P136A04752
Multi-point Inspection	25,000			P136A04752	35,000			P136A04752	45,000			P136A04752
<b>ANNUAL SERVICE ANC</b>												
Oil Filter/Change	30,000			P136A04752	40,000			P136A04752	50,000			P136A04752
Air Filter	30,000			P136A04752	40,000			P136A04752	50,000			P136A04752
Tire rotation	30,000			P136A04752	40,000			P136A04752	50,000			P136A04752
Fluid check	30,000			P136A04752	40,000			P136A04752	50,000			P136A04752
Multi-point Inspection	30,000			P136A04752	40,000			P136A04752	50,000			P136A04752



## MOTOR POOL VEHICLE TRIP TICKET

<b>I</b>	OPERATOR (Print)	DEPARTMENT/DIVISION <b>AHRD</b>	DATE <b>7-9-13</b>
	OPERATOR'S SIGNATURE	TRIP AUTHORIZED BY <b>T. GILLAN</b>	LICENSE NO. (Gov/Comm) <b>6205</b>
	TYPE OF VEHICLE <b>SUV</b>	PURPOSE OF TRIP <b>Release</b>	FUEL (Gallons) <b>FULL TANK</b>
		DISPATCHED BY <b>T. Gillan</b>	

**II** NOTE: When this vehicle is returned to the Motor Pool, it must be clean and have a 1/2 tank of fuel. You will also be responsible for reporting any damage other than that identified at the time of assignment. This vehicle or equipment is for Official Use Only. Carry required Operator's License.

TIME	MILEAGE	
ARRIVE	ARRIVE	
DEPART	DEPART	
	TOTAL	

VEHICLE CONDITION	OUT	IN	VEHICLE CONDITION	OUT	IN
FENDERS	OK	OK	GRILL	OK	OK
BODY			TIRES		
HOOD			LIGHTS		
TRUNK & INTERIOR			MIRRORS		
BED & TAILGATE			TOOLS & SPARE TIRE		
BUMPERS			OIL & WATER		
GLASS			SAFETY BELT		
INSPECTED BY					

III	DESTINATION	TIME		MILEAGE	REMARKS
		ARRIVE	DEPART		
	FROM			DEPART	
	TO 1			ARRIVE	
	TO 2			ARRIVE	
	TO 3			ARRIVE	
	TO 4			ARRIVE	
	TO 5			ARRIVE	
	TO 6			ARRIVE	
	TO 7			ARRIVE	

(SEE REVERSE FOR OPERATOR and USER RESPONSIBILITIES)

SECTION 6:  
OPERATORS and USERS RESPONSIBILITIES

As the Operator of a Government of Guam Vehicle or Equipment, you are Responsible for Complying with the following:

1. Use the vehicle for official purposes only. (This is not only a policy, it is part of the Government Code of Guam.)
2. Don't use the vehicle for lunch, private business, personal errands or recreation.
3. Don't transport members of your family or personal friends in the vehicle without specific written permission from the Director.
4. Don't park the vehicle at places of amusement.
5. Don't use the vehicle for transportation to or from work or park it at your residence unless you have a valid written authorization (24-Hour Vehicle Pass).
6. Carry required operator's license for the class of vehicle being operated.
7. Operate the vehicle in a safe and prudent manner obeying all traffic laws. A traffic violation is your personal liability.
8. When applicable, see the vehicle is serviced properly at prescribed intervals, and that the tire pressures are maintained.
9. Exercise diligence in the care and protection of the vehicle. Oil, battery and the radiator should be checked prior to each trip in the morning.
10. Store the vehicle at the Department's parking facilities when not authorized to take the vehicle to your residence.
11. In case of a traffic accident, immediately contact your Supervisor and report the incident to the Department of Public Safety.



**GOVERNMENT OF GUAM**  
 DEPARTMENT OF REVENUE & TAXATION  
 MOTOR VEHICLE DIVISION  
 VEHICLE REGISTRATION BRANCH  
 P.O. BOX 23607  
 GMP, GUAM 96921



R-2425579

**MOTOR VEHICLE REGISTRATION**

LICENSE NO. TAG NO. SAFETY INSPECTION NO. ISSUE DATE RENEWAL DATE  
 YR. MAKE MODEL BODY STYLE  
 CYL. ENGINE NO. VEHICLE IDENTIFICATION NUMBER (VIN)  
 CAPACITY WEIGHT COLOR PREVIOUSLY REGISTERED IN:  
 FEES AMOUNT

⚠ PENALTY WILL NOT BE CHARGED IF RENEWED ON OR BEFORE RENEWAL DATE

LEGAL REGISTRATION

LEGAL REGISTRATION

LIEN HOLDER

REGISTRANT'S COPY

FOR RENEWAL SEE REVERSE SIDE

*John P. Caniacho* TOTAL  
 DIRECTOR OF REVENUE AND TAXATION



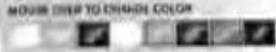


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Change

Like this car

Trade In to a Dealer

Get an Instant Cash Offer

Sell to a Private Party

Print report

Trade-in Value  
**\$3,444**



Trade-in values valid for your area through 2/28/2014. Track this car's values.

### Price a New Car

Then browse reviews, photos, specs and more.

See what you should pay

### Instant Cash Offer

Find local dealers ready to buy your car - today!

Get your offer

### Tell Us About This Car

Owners like you rated the 2003 Altima 6.4 out of 10.

Write your own review

## Next Steps to Selling Your Car

### Benchmark Local Prices

See what dealers and private sellers in your area are asking for your car.

See listings

### Give Buyers Confidence

Show them a clean AutoCheck vehicle history report and close the deal fast.

Enter VIN (required) - Go No VIN? No Problem!

### List It for Sale

Reach millions of in-market shoppers on KBB.com and AutoTrader.com

Price your car

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My Saved Cars

Save car



## Trade Evaluator

Trade in your old vehicle for a new NISSAN ALTIMA - it might be easier than you think.

2014 NISSAN ALTIMA<sup>MSRP</sup> **\$22,010**

Your Estimated Trade-In Value\* **-\$4,094**

2014 NISSAN ALTIMA

**\$17,916**

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Lowest Prices

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MSRP \$22,999

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- Get a Brochure

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View all

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2014 Ford Fusion

View



2014 Subaru Legacy

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### 2003 Nissan Altima

Style: 2.5 S Sedan 4D

Edit options | Check specs

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Like this car

Trade In  
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Get an instant  
Cash Offer

Sell to a  
Private Party

Print report

Trade-in Value:  
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# **EDMR Finding #10**

## **Attachment 2**



GOVERNMENT OF GUAM  
DEPARTMENT OF ADMINISTRATION  
FINANCIAL MANAGEMENT SYSTEM

COPY

REQUEST FOR  
DIRECT PAYMENT

DOCUMENT NO.: D121500025 DATE: 09/30/12

PAYEE: XEROX CORPORATION PO BOX 101235 PASADENA, CA 91189-0005	VENDOR NUMBER:  X0012204
---	--------------------------------

10/26/12  
CK# 0524663

Payment to cover short fall on P126A0424B for September 2012 billing dated 10/01/12. Machine W7556PG Ser#XKP-065445

TRAN CODE	ACCOUNT NUMBER	AMOUNT	INVOICES
190	5101H10152CST105-230	\$ 273.13	Inv#054232706
			DEPARTMENT OF ADMINISTRATION DIVISION OF ACCOUNTS  OCT 15 2012  APPROP BRANCH
		\$ 273.13	

CHECK APPROPRIATE BOX BELOW:

<input checked="" type="checkbox"/> ACCOUNT NUMBER IS CORRECT	<input checked="" type="checkbox"/> JOB ORDER NUMBER IS CORRECT	<input type="checkbox"/> INSUFFICIENT FUNDS
<input type="checkbox"/> PRIOR REFERENCE IS CORRECT	<input checked="" type="checkbox"/> VENDOR NUMBER IS CORRECT	
<input type="checkbox"/> OVERRIDE IS AUTHORIZED	<input checked="" type="checkbox"/> SUFFICIENT FUNDS	

I CERTIFY THAT GOODS/SERVICES SPECIFIED HAVE BEEN RECEIVED AND THAT PAYMENT IS PROPER AS PER THE ATTACHED DOCUMENT(S).

I CERTIFY THAT A VALID LIABILITY EXISTS BY REASON OF WITHHOLDING, OVERPAYMENT OR DEPOSIT AND THAT PAYMENT IS PROPER AS PER THE ATTACHED DOCUMENT(S).

PATRICIA CRISOSTOMO, Admin Asst  
PREPARED BY:

ALFREDO ANTOLIN, DIRECTOR  
APPROVING OFFICIAL:

CERTIFICATION OF FUNDS AVAILABLE:  
Helen Mafnas, Administrative Service Officer

Pat Crisostomo  
Date: 09/30/12

[Signature]  
Date: OCT 15 2012

[Signature]  
Date: 10/2/12

Customer Information

1011-001

XEROX CORPORATION  
700 BISHOP ST  
SUITE 1200  
HONOLULU HI 96813

THE EASY WAY  
TO ORDER SUPPLIES  
CALL OUR TOLL  
FREE NUMBER  
1-800-822-2200

P126A04248  
Purchase Order Number  
Special Reference  
GS-25F-0062L  
Contract Number  
NET 30 DAYS  
Terms Of Payment

Rec'd 10-09-12  
**RECEIVED**  
XEROX  
10/9/2012  
AHRD  
DIRECTOR

Telephone 888-274-7469  
Please Direct Inquiries To:  
Ship To/Installed At:

AGENCY FOR HUMAN  
RESOURCES DEVELOPMNT  
4TH FL  
414 W SOLEDAD AVE  
HAGATNA GU  
96910

Bill To:  
AHRD-  
GCIC BLDG  
STE 400  
414 W SOLEDAD AVENUE  
HAGATNA GU  
96910

10-01-12  
Invoice Date  
064232706  
Invoice Number  
709737688  
Customer Number

W7556PG WC7556P TAA PRNTR SER.# XKP-065445

Invoice

	AMOUNT	
BASE CHARGE	SEPTEMBER	320.04
METER USAGE	METER READ 08-20-12 TO 09-24-12	NET COPIES
TOTAL BLACK	17510	14150
TOTAL COLOR	12199	12864
METER CHARGES		
TOTAL BLACK	14150	
BLACK BILLABLE PRINTS	14150	.007700 108.96
TOTAL COLOR	12864	
COLOR BILLABLE PRINTS	12864	.088500 1,138.46
NET PRINT CHARGE		1,247.42
BOOKLET MAKER UNIT	SER.# FINLX-BM	INCL
2/3-HOLE PUNCH	SER.# FINLX-3HP	INCL
1 LINE FAX	SER.# LINE1FAX	INCL
DFC FINISHER LX	SER.# OFCEINRLX	INCL
3 TRAY MODULE	SER.# 3TRAY	INCL
SUB TOTAL		1,567.46
TOTAL		1,567.46

INVOICE FOR THE PERIODIC PAYMENT ON YOUR XEROX AGREEMENT  
THIS AGREEMENT INCLUDES EQUIPMENT, MAINTENANCE AND SUPPLY CHARGES  
TOTAL OF INVOICE MAY VARY ACCORDING TO METER USAGE BILLED

XEROX FEDERAL IDENTIFICATION #16-0468020

PLEASE ENCLOSE THIS STUB WITH YOUR PAYMENT, OR WRITE YOUR INVOICE NUMBER(S) ON YOUR CHECK.

Ship To/Installed At  
AGENCY FOR HUMAN  
RESOURCES DEVELOPMNT  
4TH FL  
414 W SOLEDAD AVE  
HAGATNA GU  
96910

Bill To  
AHRD-  
GCIC BLDG  
STE 400  
414 W SOLEDAD AVENUE  
HAGATNA GU  
96910

When Paying By Mail  
Send Payment To:  
XEROX CORPORATION  
PO BOX 101235  
PASADENA, CA  
91189-0005

Payment



Please check here if your "Bill To" address or "Ship To/Installed At" location has changed and complete reverse side.

Invoice Amount

PLEASE PAY THIS AMOUNT \$1,567.46  
65-590-6600 4 709737688 064232706 10-01-12 XKP065445S- -ZC-5537-6  
S0005096-1 C 080112 J A7310 1TC5 2 115 ZC  
06 5537 F02K

202100008070060 0642327068 0301567460 270973768812



**PURCHASE ORDER**  
 GENERAL SERVICES AGENCY  
 DEPARTMENT OF ADMINISTRATION  
 GOVERNMENT OF GUAM

148 Route 1  
 Marine Drive  
 Ft. Guam 96925

TRAN CODE **41248**

THIS PURCHASE ORDER NUMBER

No. **F15604240**

MUST APPEAR ON ALL INVOICES  
 PACKING SLIPS, PACKAGES, B/L,  
 CORRESPONDENCE ETC.

ECB	* AIR FREIGHT CONTACT	SHIP VIA:	DATE	JOB ORDER NO.	OBJCL
			6/14/2012	16201010330	2.20
PREPAID SHOW SHIPPING CHARGES AS SEPARATE ITEM ON INVOICE.					

<b>VENDOR</b>	<b>TO:</b>	<b>VENDOR</b>	<b>SHIP TO</b>	<b>CONSIGNEE, DESTINATION &amp; MARKING</b>	
	JORDA CORPORATION # 517 TROPIC BLVD AGADA 96110 T: 671-473-4734 F: 671-473-3699	20012204		AGENCY FOR ROB-M (30) PAGES #14 4837 3040-D-0 - 2012 476 55 PACAFMA,, GU SEA 3-0211 VIA SANTA ROSA	

AUTHORITY	** INVITATION NO.	** CONTRACT NO.	TIME FOR DELIVERY	EXPIRING	DISCOUNT TERMS
	654-056-12		888 BELOW		

ITEM	ARTICLE OR SERVICES	QTY	UNIT	UNIT PRICE	AMOUNT	RECEIVED NUMBER	RFAC
	ELEMENTS LEASE AGREEMENT FOR APPROX. 14 PAGES BETWEEN THE GOVERNMENT OF GUAM AND JORDA CORPORATION COVERING PERIODS OF 3 TO 6 MONTHS OPERATIONAL WORKS HELD AT 148 ROUTE 1, MONTE RILEO WITH SUPPLIES INCLUDED AND BILLED AT \$1.00 PER PAGE COLOR PRINT \$1.00 PER PAGE \$1.00 PER PAGE AT 480 DPI.	4	MO	120.000	480.00	0120100074	

**RECEIVED**  
 JUN 19 2012  
 AIRD  
 Administration

**SPECIAL INSTRUCTIONS TO VENDOR:**  
 B. SEND CERTIFIED ORIGINAL AND THREE (3) COPIES OF INVOICE TO DIVISION OF ACCOUNTS, DEPARTMENT OF ADMINISTRATION, GOVERNMENT OF GUAM, P.O. BOX 854, AGADA, GUAM 96910.  
 C. PAYMENT IN THIRTY (30) DAYS UPON RECEIPT OF MERCHANDISE IN QUAM IN GOOD CONDITION.  
 D. THIS ORDER SUBJECT TO CONDITIONS ON REVERSE SIDE.  
 E. \* \* THIS ORDER IS SUBJECT TO THE SPECIAL PROVISIONS, AND TO GENERAL TERMS AND CONDITIONS SPECIFIED ON THIS BID.  
 F. \* ON ALL AIR SHIPMENTS HAVE AIR FREIGHT COMPANY CALL THE NUMBER UPON ARRIVAL OF GOODS IN GUAM.

Page 1 of 3  
**↑ TOTAL ↑**

A. DO NOT FILL THIS ORDER IF YOUR TOTAL COST EXCEEDS THIS TOTAL.  
 INSERT CHANGES AND RETURN THIS ORDER FOR AMENDMENT.

I CERTIFY THE ABOVE ARTICLES AND/OR SERVICES HAVE BEEN RECEIVED AND/OR RENDERED AND THE SAME HAS BEEN INSPECTED AND ACCEPTED EXCEPT AS OTHERWISE NOTED HEREIN.	ADVANCE PAYMENT AUTHORIZATION	SIGNATURE
10/11/12	<input checked="" type="checkbox"/>	[Signature] NAME TITLE



**PURCHASE ORDER**  
 GENERAL SERVICES AGENCY  
 DEPARTMENT OF ADMINISTRATION  
 GOVERNMENT OF GUAM

148 Route 1  
 Marine Drive  
 P.H., Guam 96925

TRAN CODE **4248**

THIS PURCHASE ORDER NUMBER  
**No. P126004348**

MUST APPEAR ON ALL INVOICES  
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 CORRESPONDENCE ETC.

C.B.	AIR FREIGHT/TEL CONTACT	SHIP VIA:	DATE 6/15/12	JOB ORDER NO. 18201010325	ORIG. 220
PREPAID SHOW SHIPPING CHARGES AS SEPARATE ITEM ON INVOICE.					

<b>VENDOR</b>	<b>TO:</b>	<b>VENDOR</b>	<b>SHIP TO</b>
	KERDY CORPORATION # 137 MURRAY BLVD AGANA, GU 96910  Telephone: 671 477-2907 Fax: 671 472-3344	2001230*	AGENCY FOR HUMAN RESOURCES DEVELOPMENT 414 WEST SOLEDAD AVENUE 4TH FL MAGATNA, GU 96933-0000  WIA YOUTH PROGRAM-PY 2010

AUTHORITY 3169	** INVIATION NO. 036-056-12	** CONTRACT NO.	TIME FOR DELIVERY SEE BELOW	EXPIRING	DISCOUNT TERMS
-------------------	--------------------------------	-----------------	--------------------------------	----------	----------------

LINE	DESCRIPTION	QTY	UNIT PRICE	AMOUNT	EXTENDED PRICE	REMARKS
1	Line Tax Office Finishes LV Customer Rd Analyst Service					12162004
2	LEASE IS SUBJECT SOLELY TO THE TERMS OF THE US FEDERAL GSA CONTRACT NO. GS-25P-00021 REFERENCE TO SCHEDULES AS ATTACHED.  PERIOD: 6/01/12 - 3/30/12					
3	TO COVER ESTIMATED 30,000 MONTHLY BLACK PRINTS @ \$1.0077 X 30000 = \$302.31	4 MOS	17.500	108.00		<div style="border: 2px solid black; padding: 5px; text-align: center;"> <b>RECEIVED</b>            JUN 19 2012            AHD            Administration         </div>
4	TO COVER ESTIMATED 3500 MONTHLY COLOR PRINTS @ \$1.0000 X 3500 = \$350.00	4 MOS	309.750	1209.00		
<b>NOTE:</b> THE GOVERNMENT OF GUAM WILL NOT BE RESPONSIBLE FOR UNAUTHORIZED PURCHASES OR SERVICES. Note: Amounts due this Purchase Order may be offset for monies due the Government plus for additional charges and attorney's fees after failure to pay. ALL LATE DELIVERIES AND ACCEPTANCES ARE SUBJECT TO THE LIQUIDATED DAMAGES CLAUSE IN SECTION 610149 (a) OF THE GSA.						

<b>SPECIAL INSTRUCTIONS TO VENDOR:</b> B. SEND CERTIFIED ORIGINAL AND THREE (3) COPIES OF INVOICE TO DIVISION OF ACCOUNTS, DEPARTMENT OF ADMINISTRATION, GOVERNMENT OF GUAM, P.O. BOX 884, AGANA, GUAM 96910. C. PAYMENT IN THIRTY (30) DAYS UPON RECEIPT OF MERCHANDISE IN GUAM IN GOOD CONDITION. D. THIS ORDER SUBJECT TO CONDITIONS ON REVERSE SIDE. E. ** THIS ORDER IS SUBJECT TO THE SPECIAL PROVISIONS AND BID GENERAL TERMS AND CONDITIONS SPECIFIED ON THIS BID. F. ** ON ALL AIR SHIPMENTS HAVE AIR FREIGHT COMPANY CALL THIS NUMBER UPON ARRIVAL OF GOODS IN GUAM.		Page 2 of 3 <div style="border: 2px solid black; padding: 5px; font-size: 24px; font-weight: bold;">           ↑ TOTAL ↑         </div>	A. DO NOT FILL THIS ORDER IF YOUR TOTAL COST EXCEEDS THIS TOTAL. ← INSERT CHANGES AND RETURN THIS ORDER FOR AMENDMENT.
I CERTIFY THE ABOVE ARTICLES AND/OR SERVICES HAVE/HAS BEEN RECEIVED AND/OR RENDERED AND THE SAME HAS BEEN INSPECTED AND ACCEPTED EXCEPT AS OTHERWISE NOTED HEREIN. 10/11/12 DATE RECEIVED	ADVANCE PAYMENT AUTHORIZATION <input type="checkbox"/> PAYMENT ENCLOSED WITH THIS ORDER <input checked="" type="checkbox"/>	SIGNATURE: <i>Claudia S. Acasie</i> 6/15/12 Claudia S. Acasie Chief Procurement Officer NAME TITLE	



**PURCHASE ORDER**  
 GENERAL SERVICES AGENCY  
 DEPARTMENT OF ADMINISTRATION  
 GOVERNMENT OF GUAM

148 Route 1  
 Main Drive  
 P.O. Box 96926

TRAN CODE 1248

THIS PURCHASE ORDER NUMBER  
 No. 1248

MUST APPEAR ON ALL INVOICES  
 PACKING SLIPS, PACKAGES, B/L,  
 CORRESPONDENCE ETC.

ECR	* AIR FREIGHT CONTRACT	SHIP VIA	DATE	NO. OF INVOICES	DATE
			6/15/12	1	6/15/12
ATTEND - SHOW SHIPPING CHARGES AS SEPARATE ITEM ON INVOICE					

<b>VENDOR</b>	<b>TO:</b>	<b>VENDOR</b>	<b>CONSIGNEE, DESTINATION &amp; MARKING</b>		
	XEROX CORPORATION W 137 BUREAU BLVD AGANA, GU 96910 Telephone: (671) 477-1917 Fax: (671) 472-3844	X001209	AGENCY FOR HUMAN RESOURCES DEPT 414 WEST SOLEDAD AVENUE 4TH FL MAGAYNA, GU 96932-0000  WIA TOUR PROGRAM-PY 2010		
<b>AUTHORITY</b> 3109	** INVITATION NO. GSA-056-12	** CONTRACT NO.	<b>TIME FOR DELIVERY</b> SEE BELOW	<b>EXPIRING</b>	<b>DISCOUNT TERMS</b>

POC: HELEN CORBERO 475-7039  
 ABBIE CORBERO 475-4760

**NOTE:**  
 THE GOVERNMENT OF GUAM WILL NOT BE RESPONSIBLE FOR UNAUTHORIZED PURCHASES.  
 Total Amounts due this Purchase Order may be offset for accounts payable to the Government of Guam inclusive of but not limited to taxes, fees, and retroactive adjustments, interest, and other damages, penalties, and Attorney's fees, after failure to pay within 30 days of invoice date.  
 ALL LATE DELIVERIES AND ACCEPTANCES ARE SUBJECT TO THE LIQUIDATED DAMAGES PROVISION OF SECTION 6101931(a) OF THE GAR.



<b>SPECIAL INSTRUCTIONS TO VENDOR:</b>		3827.16	A. DO NOT FILL THIS ORDER IF YOUR TOTAL COST EXCEEDS THIS TOTAL.
B. SEND CERTIFIED ORIGINAL AND THREE (3) COPIES OF INVOICE TO DIVISION OF ACCOUNTS, DEPARTMENT OF ADMINISTRATION, GOVERNMENT OF GUAM, P.O. BOX 984, AGANA, GUAM 96910. C. PAYMENT IN THIRTY (30) DAYS UPON RECEIPT OF MERCHANDISE IN GUAM IN GOOD CONDITION. D. THIS ORDER SUBJECT TO CONDITIONS ON REVERSE SIDE. E. ** THIS ORDER IS SUBJECT TO THE SPECIAL PROVISIONS AND BID GENERAL TERMS AND CONDITIONS SPECIFIED ON THIS BID. F. ** ON ALL AIR SHIPMENTS HAVE AIR FREIGHT COMPANY CALL THIS NUMBER UPON ARRIVAL OF GOODS IN GUAM.		<b>↑ TOTAL ↑</b>	
I CERTIFY THE ABOVE ARTICLES AND/OR SERVICES HAVE/HAS BEEN RECEIVED AND/OR RENDERED AND THE SAME HAS BEEN INSPECTED AND ACCEPTED EXCEPT AS OTHERWISE NOTED HEREIN.	ADVANCE PAYMENT AUTHORIZATION	SIGNATURE: Robert H. King 6/15/12	
DATE RECEIVED: 6/15/12	PAYMENT ENCLOSED: 1/1	Claudia S. Acosta Chief Procurement Officer	
SIGNATURE: [Signature]	PAGE: 3 OF 3	NAME: TITLE	

Control No.

RECEIVING REPORT COPY - FINAL

# **EDMR Finding #10**

## **Attachment 3**



**GUAM WORKFORCE INVESTMENT BOARD  
RESOLUTION NO. 13-005**

***A RESOLUTION RELATIVE TO THE APPROVAL OF THE NATIONAL ASSOCIATION  
OF WORKFORCE BOARD (NAWB) CONFERENCE  
GWIB BRIEFING SERIES 2013-002***

**WHEREAS**, the National Association of Workforce Boards (NAWB) represents approximately 600 Workforce Investment Boards (WIBs) and their 12,000 business members that coordinate and leverage workforce strategies with education and economic development stakeholders within their local communities, to ensure that state and local workforce development and job training programs meet the needs of employers.

**WHEREAS**, these investments in workforce development create a comprehensive system to provide America with a highly skilled workforce that competes in the global economy.

**WHEREAS**, NAWB is the only association that advocates for Workforce Investment board, NAWB works closely with policy makers in Washington, DC to inform national strategy as it relates to WIBs and our partners in education, economic development, labor and business.

**WHEREAS**, NAWB connects workforce development professionals, Workforce Investment Board members, and policy makers with the knowledge, training and tools to help make informed, smart decisions about how to invest in workforce strategies that advance the economic health of their communities through a skilled, competitive workforce.

**WHEREAS**, the Guam Workforce Investment Board (GWIB) is composed of a diverse group of members hailing from the public, private and non-profit sectors and is tasked with the oversight and guidance of the Workforce Investment Act (WIA) activities on Guam.

**RESOLUTION**

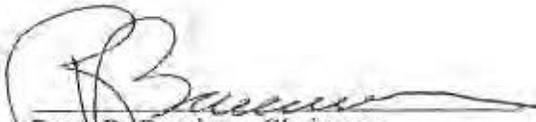
**NOW, THEREFORE BE IT RESOLVED**, GWIB hereby approves GWIB 13-005, NAWB Conference Travel, whereby members of the GWIB will represent the board at the NAWB Forum 2013, March 9-12, 2013, in Washington, D.C.

Adopted this 28<sup>th</sup> day of February, 2013

**ATTESTED**

**For the GUAM WORKFORCE INVESTMENT BOARD**

  
\_\_\_\_\_  
Maria S. Connelley, Vice-Chair

  
\_\_\_\_\_  
Peter R. Barcinas, Chairman  
Planning and Coordinating Committee

# **EDMR Finding #10**

## **Attachment 4**

MCES

TALENT DEVELOPMENT



14th MICRONESIAN CHIEF EXECUTIVES' SUMMIT (MCES)

# REGIONAL WORKFORCE DEVELOPMENT COUNCIL STRATEGIC PLAN 2010-2015

## MICRONESIA WORKS!...Talent Development Strategic Opportunities SHAPING A REGIONAL TALENT DEVELOPMENT SYSTEM

### Regional Workforce Development Council (RWDC)

The goal of the RWDC is to provide the much needed regional guidance and development of a regional workforce strategic plan.

Globalization has forced changed in every region and impacted every aspect of our economy. This will force change unseen during modern times for Micronesia. To remain competitive and meet the challenges ahead, the region must shift from change challenges to transformative opportunities. Transformative opportunities will require increased partnerships with the Pacific community—businesses, researchers, entrepreneurs and government entities, and citizens. As our regional communities and cultures change, our governments, institutions, and our partnerships must change to remain relevant.

A regional workforce development strategic partnership is critical for the growth and sustainability of the region's economy and values the importance of shared accountability, collaboration, responsibility and increased engagement around talent development.

The Micronesian Chief Executives endorsed the establishment a Regional Workforce Development Council (RWDC); the alignment of workforce development, vocational education and other training programs and leverage resources; the collaboration, integration and formation of partnerships with the private sector; and the creation and implementation of training programs for demand-driven occupations.

Special points of interest:  
*Master Apprenticeship Program for Arts & Handicraft Strategy*

Rethinking our workforce system strategy, begins on building on our strengths and assets as a unified region, preparing Micronesia's human capital for training opportunities.

**Vision:**

*A unified, competitive, and just-in-time talent development system that strengthens and embraces the region's unique diversity.*

**Mission:**

*To improve the quality of life and standard of living of our citizens by maximizing their potential for employment in a competitive economy.*

### Pacific Workforce Investment Workgroup (PWIW)

The PWIW serves as the advisory panel for the RWDC. The PWIW is comprised of various technical workgroups representing the region and includes both government and private sector representation and other related workforce development stakeholders. The workgroup contributed towards developing the RWDC governing guidelines for program development.

This panel helps to align the key elements making up workforce development aligning vocational education, training programs, leveraging resources, addressing demand-driven occupations and promoting collaboration across education and business and industry (economic development).

**RWDC Goal Areas**

Goal 1. Regional convener of talent development	4
Goal 2. Strengthen, Embrace, Align regional e3+1	5
Goal 3. Micronesian One-Stop Career Center	5
Goal 4. Regional Recruitment Pipeline System	6
Goal 5. Talent Development Incentives	7

Plan Organization	
Part I.	RWDC and PWIW Introduction
Part II.	Setting the Stage
Part III.	Regional Focus Areas
Part IV.	Goals and Priority Actions

## Setting the Regional Stage:

The Chief Executives agreed that workforce investment opportunities in the region are critical to the development of future economic growth and sustainable development.

The Chief Executives also agreed that each island state should be committed to providing program services to improve the quality of life of each of our citizens by maximizing their potential for employment in a competitive world economy. The Executives further agreed that the support of registered apprenticeship programs certified by the U.S. Department of Labor should be jointly pursued for the benefit of the regional workforce. The Chief Executives request that all islands support increasing the productivity of their respective workforce. To accomplish this, Governor Camacho introduced the motion

to develop a regional strategic plan to implement regional apprenticeship training and workforce investment in Micronesia.

The MCES emphasized that training should focus on capitalizing the region's assets by forging collaborative partnerships with institutions of higher learning, our schools and communities. "Innovation Micronesia" becomes the talent development reference representing the evolving framework for the region's talent development. This includes accessing training resources, broad based community education, capacity building, entrepreneurship, regional data for economic and community solutions, lifelong learning through talent development, military growth and impact, regional asset/resource mapping.

This workgroup continues to advance the various overarching themes and strategies common throughout the RWDC and PWIW collaborative efforts. This workgroup identified five core areas throughout this regional planning process:

1. Convener for Micronesia Works (Regional Talent Development System)
2. E3+1 Collaborative Framework
3. Micronesian One-Stop Career Center
4. Regional Recruitment Pipeline
5. Talent Development Incentives

The core areas fields the doable and common interests indicating a clear need to prioritize initiatives over its slated implementation period.

## • Regional Workforce Action Plan Strategy Areas for the RWDC

The seven action plan strategies represent the many ongoing discussions with various strategic partnerships inclusive of both regional and federal government collaborators.

- Strategy 1: **RWDC Data Initiative**
- Strategy 2: **Regional Entrepreneurship/Enterprise Initiative**
- Strategy 3: **Workforce Readiness Credentialing System**
- Strategy 4: **Workforce Pipeline Development Initiative**
- Strategy 5: **RWDC/PWIW Communications Plan**
- Strategy 6: **Computer and Financial Literacy Initiative**
- Strategy 7: **Succession Planning Initiative (replacement of key staff and mentoring junior staff).**



PWIW/RWDC Meeting—Koror, Palau  
December 2010

## • Regional Partnerships

This section profiles the range of discussions and staging of regional strategies and action items.

Workforce Innovation in Regional Economic Development (WIRED). Localizing the U.S. Department of Labor's federal regional economies model—(WIRED) inclusive of the following elements:

- Definition of the regional economy;
- Development of a leadership group that can create a regional vision and strategy;

- Regional Assessment to map the area's human capital assets;
- Creation of a regional workforce training consortium.

Military Impact and Growth to Regional Communities.

- Support the RWDC and PWIW planning efforts to respond to the military buildup.



Regional Asset/Resource Mapping.

- Conducting a talent development asset/resource map is essential for evolving and adjusting the planning strategies.

- School System
- Infrastructure

Communications Framework for Collaboration.

- This involves implementing regular training and communication protocols for all workforce strategy teams.

## • Workforce System Regional Framework Process

The framework process builds from the preceding summit sessions of the RWDC and PWIW workforce development deliberations. This includes the updates and adaptation, leveraging of regional assets, expertise, alignment and common consensus on practical talent development action plans.

The workforce system regional framework represents the RWDC many guided and facilitated discussions with the regional PWIW advisory group, and collaborators, forums, summits and seminars. This framework presents the RWDC's overarching goals, core objectives and priority areas and key performance indicators.

The RWDC recognizes the changing marketplace and programming dynamics of government and industry needs allowing this process to remain a sensitive and living document with allowances for revising strategies as needed by the RWDC.

The result of this process represents a coherent and practical framework aligned through the three overarching strategic Plan focus areas:

1. Workforce Demand Initiatives;
2. Workforce Supply Initiatives;
3. Comprehensive local/regional based training systems.

During the early RWDC period, the workgroup identified three initial focus areas to evolve the RWDC workforce development Five-Year Strategic Plan, Year 1 and 2 of the plan focuses on Capacity Building— This area considers the importance of technical team development, cross-planning and working with workgroups and collaborators;

Locality Based Entrepreneurship— focuses on regional collaboration and support for youth entrepreneurship;

Regional Data for Economic and Community Solutions—focuses on regional data on workforce develop-

ment and common program design and reporting.

Years 3-5 of the Strategic Plan focuses on conducting the feasibility of establishing a Micronesian Job Corp and the incorporating and aligning lifelong learning with the recognized learning continuum for training and workforce development.

The Chief Executives recognize that to meet region training needs, the approach has to be practical and should include both short-term and long-term training sensitive to demand-driven occupations. Where possible, to use existing institutions in a coordinated and regional manner.



USDOL Employment & Training Administration  
Pacific Director's Meeting—June 2010

## • Towards a Micronesian Transformation

The Micronesian Workforce Transformation becomes the vehicle for enhancing the region's workforce development agenda. This includes providing incentives for employment opportunities, increasing the pool of new employers, and addressing effective retention and expansion strategies.

The Micronesian Transformation includes common recurring themes aligned closely with the proposed goal areas:

- Learning continuum embedding lifelong learning through appropriate manpower development and capacity building programs;
- Occupational and vocational instruction and career counseling for youth and adults;
- Online Learning and Distance Education;
- Localizing best-practice training programs;
- Updating manpower needs and aligning the various strategic plan documents;
- Establish a marketing and branding campaign for Micronesia Works!;
- Establish and align economic development priorities, private sector initiatives, Entrepreneurial support and promote regional tax incentives for intra-region investments;
- Incentives & scholarships including the establishment of regional internships and scholarships;
- Leveraging resources;
- Promoting accountability, outcomes and performance measures of programs and activities;



Guam Passport-to-Careers Youth Program  
Allied Health Participant

## E3+1 Education, Employment, Economic Development and Ethics

Workforce One e3 system:

The Chief Executives adopted the RWDC's recommendation of regionalizing the Power of E3: Education, Employment, and Economic Development from the U.S. Department of Labor's Employment and Training Administration (ETA) framework guiding employment and training programs. Ethics was added as recommended by CNMI Governor Benigno R. Fitial localizing this framework and establishing the e3+1.

Each jurisdiction represented by its PWIW advisory workgroup helped established its objectives and consensus of goals and action areas. The e3+1 provides the constant through which these discussions evolved aligning the regional discus-

sions of the PWIW and the RWDC. The endorsement and common consensus of these goals and strategies evolved through the workgroup minutes and many forms of input sessions and discussions. This includes building from existing workforce initiatives and efforts.

Defining the common tenets of workforce development priorities embeds the need to link strategic collaboration with education and economic development and ethics as the guiding elements to ensure that the workgroup and council efforts are based and guided by strong values sensitive to our unique pacific island heritage.

The endorsement of the Micronesian

Workforce Transformation Forum—Micronesia Works! provides the unifying brand for the region's diverse workforce development strategies.

### Special points of interest:

*Regional Joint Training Board  
Calendar strategy*



**Job Corps Participants  
CNMI (Rota)**

## Goal Areas

1. *A goal of the RWDC is to become the regional convener of talent development systems.* The many workgroup discussions continue to promote the need to establish a comprehensive, integrated service system that harmonizes workforce development services and programs.
2. *Strengthen, embrace, and align the power of e3 plus 1 approach to the region's talent development efforts (education, economic development and employment).*
3. *Establish a Micronesian One Stop Talent Development Center*
4. *Support a regional talent development pre-apprenticeship recruitment pipeline system*
5. *Strengthen incentives for demand driven occupations*

## Goal Area 1—Talent Development Regional Convener

A regional workforce development strategic partnership is critical for the growth and sustainability of the region's economy and values the importance of shared transparency, accountability, collaboration, responsibility, and increased engagement around talent development initiatives.

Objective A. Leverage and align Micronesia's talent development resources.

*Priority Action:*

1. *Conduct a regional asset/resource map for youth programming.*
2. *Promote collaboration and partnerships with education institutions K-16.*
3. *Align funding systems to build leveraging opportunities with partners.*
4. *Impact and Solutions Outreach/Initiative campaign for grassroots.*
5. *Career Technical Education : Science, Technology, Engineering, Agriculture/Aquaculture, Math (STEAM)*

Objective B. Increase and strengthen talent development service providers, strategies, and collaborative initiatives

*Priority Action:*

1. *Establish a regional communications framework for collaboration.*
2. *Promote collaboration and partnerships with community groups.*

## Goal Area 2—Embrace, strengthen, and align the power of e3 plus 1

The RWDC continues to value the importance of a regional workforce data system that aligns and unifies common performance measures and data sets specific to helping develop and design appropriate training programs and action plans sensitive to each of the RWDC jurisdiction.

Objective A. To address the three areas of workforce demand, supply and training, the issue of workforce information remains a high priority for the regional team to address.

*Priority Actions:*

1. *Harmonize Workforce data reporting system.*
2. *Establish a regional workforce and industry monograph.*
3. *Data Automation and consistent data availability.*
4. *Real-time statistics based on partner requirements.*
5. *Data Skills and Manpower, Bank for recruitment strategies.*
6. *Apprenticeship templates parallel to job openings.*

Objective B. Develop an automated regional workforce reporting system for all RWDC and workforce partners

*Priority Actions:*

1. *Cross-agency talent development training, technical assistance, capacity building*
2. *Conduct periodic data needs assessments.*
3. *Establish a centralized reporting system and share workforce data products and reports.*
4. *Adoption of the U.S. Department of Labor Workforce Investment Streamlined Performance Reporting (WISPR) regional reporting system.*



**Jaime Rodriguez, MIS Administrator  
Guam Department of Labor  
Technical Assistance Training  
(WIASRD) in American Samoa**

## Goal Area 3—Establish a Micronesian One-Stop Talent Development Center

The RWDC recognizes the importance of the One-Stop delivery system concept within the region to ensure entities responsible for administering separate workforce investment, educational, and other human resource programs and funding streams collaborate to create a seamless system of service delivery that will enhance access to the programs' services and improve long-term employment outcomes for individuals receiving assistance.

Objective A. Enhance integration of service delivery through One-Stop delivery system.

*Priority Actions:*

1. *Partner MOU revisions and realignment for integrated and leveraged system.*
2. *Retreats and training (team building sessions).*
3. *Integrate recruitment, coordination and articulation for general partners.*

Objective B. Attract, recruit and retain a diverse quality workforce.

*Priority Actions:*

1. *Reorganize and reshape organizational structure of One-Stop programs.*
2. *Career/talent development programs in support of recruitment, retention, graduation and placement of 21st century workforce.*

Objective C. Establish a Micronesian Job Corp Program.

*Priority Actions:*

1. *Continue workgroup coordination and development of action plan*

Objective D. Veterans, Senior Citizens, and Disability Group Support

*Priority Actions:*

1. *Disabled Veterans Outreach Program (DVOP) Support Systems and Treatment Infrastructure*
2. *Information Resource Center or Business Resource Centers (BRC)*
3. *Voucher System Strategy*



**Jackie Nguyen, Guam DVOP Coordinator  
Outreach in CNMI (Tinian)**

## Goal Area 4—Pre-Apprenticeship Recruitment Pipeline System

From its inception, the value of apprenticeship programs continues to make an impact in meeting workforce challenges and creating opportunities as the need to strengthen the region's human capital as it becomes critical. Apprenticeship programming in the context of shared workforce community building is necessary agenda. This strategy serves as the harmonizing piece for meeting workforce priorities. Emphasis is being placed on developing both a feeder program system as well as establishing an integrated pre-apprenticeship recruitment pipeline initiative aligned with youth and current recruitment program practices.

Objective A. Align high school students for a seamless transition into registered apprenticeship/post-secondary training and education.

*Priority Actions:*

1. *Coordinate youth and educational programs by establishing regional Passports-to-Careers (PTC), School-to-work, Youth Build/Job Corps, Junior Statesmen.*
2. *Establish a Master's Apprenticeship Program for Handicrafts. This action will coincide with the development of the Made-in-Micronesia Regional Product Seal.*
3. *On-line training action plan*

Objective B. Provide basic skills training for job seekers and incumbent workers

*Priority Actions:*

1. *The RWDC/PWIW established the Workforce Readiness and Credentialing Initiative establishing the training alignment and adoption of a comprehensive regional School of Apprenticeship and U.S. Department of Labor approved registered apprenticeship program.*
2. *Recruit and retain quality service training providers and establish a registry of active training providers.*
3. *Establish systems to encourage career mapping.*
4. *Strengthen infrastructure support that supports the learning continuum innovations.*
5. *Locality-based Entrepreneurship*

Objective C. Apprenticeship Action Clinics

*Priority Actions:*

1. *Jurisdiction Inventory*
2. *On-line Curriculum*
3. *School-to-Apprenticeship Strategy*
4. *Webinars*
5. *Funding*

Objective D. Apprenticeship Models

*Priority Actions:*

1. *Private Sector*
2. *Government*

Objective E. Regional Job Corp

*Priority Actions:*

1. *System*

Objective F. Credentialing

*Priority Actions:*

1. *Value of Certification*



Baskets and storyboards made by Palau Summer Youth Employment Program Participants



Deatra lehsi, Participant; Electronics Program College of Micronesia-FSM



Participant in ROC-RMI Vocational Jitok Kapeel Training Project

## Goal Area 5—Talent Development Incentives

The RWDC recognizes the need to implement incentives that focus on the role of talent development in driving regional economic competitiveness, increased job growth and new opportunities.

### Objective A. Identify workforce and education skills competencies needed for Micronesia

#### Priority Actions:

1. *Link workforce development jobs with educational programs aligned to learning continuum.*
2. *Support school based workforce initiatives.*
3. *Curriculum mapping between secondary and post-secondary programs.*
4. *Pilot certifications for pathways to green jobs and emerging industries.*

### Objective B. Articulation of secondary and post-secondary programs that offer career preparation and life long learning.

#### Priority Actions:

1. *Joint faculty partnerships between the Guam Community College and the University of Guam.*
2. *Curriculum mapping between secondary and post-secondary programs.*
3. *Promote youth career ladder programming.*

### Objective C. Minimum Wage Requirement

#### Priority Actions:

1. *Prevailing Wage Survey*
2. *Davis-Bacon Act*
3. *Service Contract Act*
4. *Davis-Bacon & Related Acts*

### Objective D. Registered Apprenticeship Program (Employer Tax Incentives)

#### Priority Actions:

1. *Initiatives to support the training needs of employees and employers.*

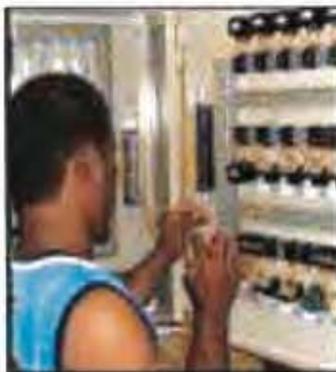
### Objective E. Regional Comprehensive Transportation Demand and Research Plan

#### Priority Actions:

1. *Support Workforce related transportation research*
2. *Ridership surveys and focus group*
3. *Ridership transport incentives*
4. *Transportation training interest areas*



**Manz Santos, Auto Mechanic Trainee  
Passport-to-Careers Year Round Program  
Cars Plus Guam**



**Participant in ROC-RMI Vocational  
Jitok Kapeel Training Project**

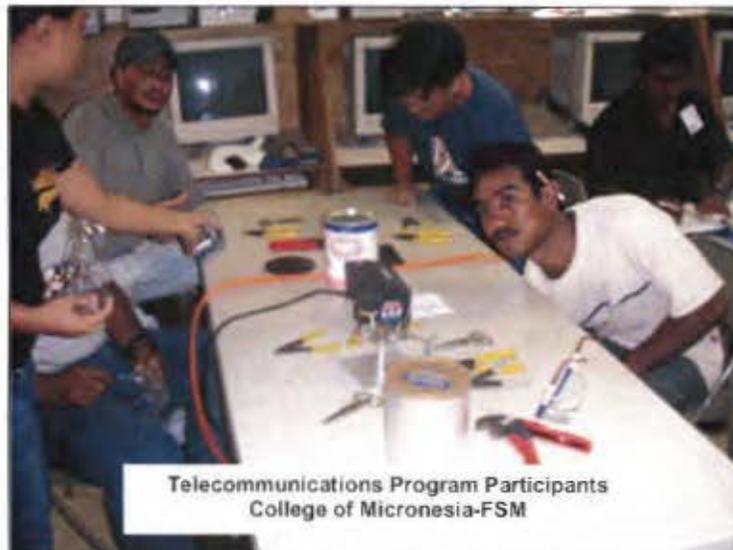
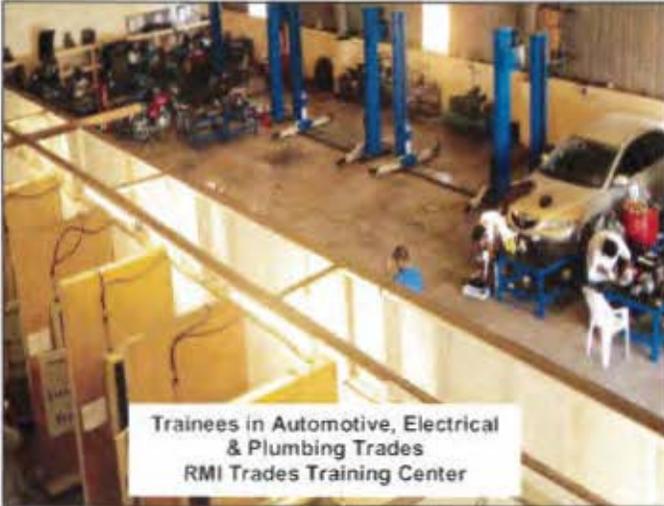


**Nursing Assistant Program Participants  
CNMI**



**Guam Shipyard Apprentice**

## Workforce development in action



## **Regional Workforce Development Council/Pacific Workforce Investment Workgroup**

The Micronesian Chief Executives' endorsed the establishment of a Regional Workforce Development Council (RWDC) as the planning body to the MCES on matters related to Micronesia's human capital interests. This group includes the advisory panel, the Pacific Workforce Investment Workgroup (PWIW) to the RWDC made up of each of the jurisdictions many workforce collaborators, stakeholders and delegates.

The RWDC is aligned with the Guam Workforce Investment Board (GWIB) strategic initiatives related to regional workforce. To date, the adopted regional plan entitled: "Micronesia Works" provides the basis of how workforce concerns are addressed and aligned to the regional economies. The RWDC involves representatives from Education, Employment and Economic Development to carry out the vision of the Micronesian Chief Executives for Workforce Development in the Region.

At the 8<sup>th</sup> Micronesian Chief Executives Summit (MCES) held in Saipan, CNMI, on November 13-15, 2007, the Chief Executives passed a resolution charging the Regional Workforce Development Council (RWDC) with developing a 5-year strategic regional workforce plan and holding strategic planning and implementation sessions bi-annually within the Micronesian Islands. Leveraging local, federal, and private funds in support of administrative and travel needs for RWDC are priority areas to ensure that the Chief Executives workforce initiatives are accomplished.

The RWDC adopted Resolution 01-02 on May 6, 2009 and developed the framework for identifying the seven (7) strategies for meeting workforce demands of the global economy:

- Strategy 1: Implement the RWDC Data Plan Initiative (Guam)
- Strategy 2: Regional Entrepreneurship/Enterprise Initiative (FSM)
- Strategy 3: Implement Pilot Workforce Readiness Credentialing (FSM)
- Strategy 4: Develop a Regional Workforce Pipeline Development Initiative (Palau)
- Strategy 5: Regional Communications RWDC Plan (Guam)
- Strategy 6: Computer and Financial Literacy (CNMI)
- Strategy 7: Succession Planning Initiative (RMI)

The RWDC further endorses the following action areas for implementation of the Regional Workforce Strategic Plan:

1. Adopt the US Department of Labor Employment and Training Administration (USDOL ETA), Office of Apprenticeship School to Apprenticeship strategy for developing a Workforce Pipeline
2. Adopt the PACIFIC Workforce Investment Streamlined Performance Reporting (WISPR) Project Plan
3. Coordinate with the Micronesian Chief Executives' Summit nine program area chairs to discuss and prioritize, and identify workforce development and investment issues

4. Request each of the RWDC teams to provide a briefing of their funding and mandates for workforce development and training (aligned to Strategy 7); and
5. Continue representation of industry collaborators in all RWDC and Pacific Workforce Investment Workgroup (PWIW) sessions and meetings; and
6. Pursue replication of the USDOL ETA Transformation Forum for the RWDC.

RWDC goal areas aligned to GWIB are:

- Goal 1: Regional convener of talent development
- Goal 2: Strengthen, embrace, align regional e3+1
- Goal 3: Establishment of Micronesian One Stop Career Center
- Goal 4: Regional Recruitment Pipeline System
- Goal 5: Talent Development Incentives

The 17<sup>th</sup> MCES was held in Guam on March 13-15, 2012 and the following Recommendations were adopted:

1. Establishment of a MCES Education and Economic Development Council or appropriate representation.
2. Establishment of the RWDC workforce portal strategy.
3. Investment in Leadership Capacity Development specific to the inclusion of the RWDC partners (FSM and RMI) at the US DOL ETA annual meetings.
4. Unified assessment and credentialing strategy.
5. Exploring external funding opportunities for regional workforce development initiatives.

RWDC is currently preparing for the 18<sup>th</sup> MCES to be held November, 2012 in the Republic of the Marshall Islands, (RMI).

# **EDMR Finding #10**

## **Attachment 5**



**GUAM WORKFORCE INVESTMENT BOARD  
RESOLUTION NO. 13-007**

***A RESOLUTION RELATIVE TO THE APPROVAL OF THE MICRONESIAN WORKER  
CONFERENCE AS RECOMMENDATION FROM RWDC/PWIW AT 18<sup>TH</sup> MCES  
GWIW BRIEFING SERIES 2013-004***

***WHEREAS***, the Regional Workforce Development Council (RWDC) was endorsed by the Chief Executives at the 5th MCES (Micronesia Chief Executives Summit) held in 2005 and approved by the US DOL ETA in 2007.

***WHEREAS***, the goal of the RWDC is to provide regional guidance and development of a regional workforce strategic plan and the PWIW (Pacific Workforce Investment Workgroup (PWIW) serves as an advisory panel for the RWDC. The PWIW is comprised of members from various technical workgroups representing the region and includes both government and private sector representation, and other related workforce development stakeholders.

***WHEREAS***, the RWDC/PWIW held their technical pre-summit meetings in Guam on October 30-31, 2012 and November 27-28, 2012, respectively. The outcome of the summit is outlined in a resolution for endorsement and support by the Chief Executives' for the RWDC updates to the RWDC Strategic Plan and continue to recognize the contributions of the PWIW/RWDC to the region's talent development agenda, and adoption of the recommendation.

***WHEREAS***, the Micronesia Worker concept was brought up for discussion at the 18th MCES and the Micronesia Worker Conference was one of the Recommendations made for endorsement at the 18<sup>th</sup> Micronesia Chief Executives' Summit (MCES) held in Majuro, Republic of the Marshall Islands (RMI) to the chief executives of the region.

***WHEREAS***, at the 18th MCES held November 2012, recommendations made for a regional workforce future require engaging all workforce development resources and the right mix of regional talent development collaboration. The PWIW and the RWDC stand ready to identify and implement innovative strategies that will guide this approach.

***WHEREAS***, the Agency for Human Resources Development is the administering entity of the Workforce Investment Act funded programs as authorized under Executive Order 2011-08.

**WHEREAS**, at the February 12, 2013 Planning and Coordinating Standing Committee meeting, the Planning Chair recommended that a GWIB Planning Subcommittee (Ad-hoc Committee) be established with appointments of the GWIB and Agency representation for the Micronesian Worker Conference. This action was requested as part of the RWDC strategic goal action area aligned with regional workforce development.

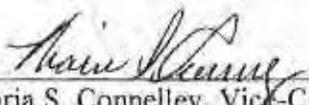
**RESOLUTION**

**NOW, THEREFORE BE IT RESOLVED**, in support of the RWDC 5-year Strategic Plan, the Guam Workforce Investment Board (GWIB) adopts GWIB-13-007, Approval of the Micronesian Worker Conference as recommended.

Adopted this 28<sup>th</sup> day of February, 2013

**ATTESTED**

**For the GUAM WORKFORCE INVESTMENT BOARD**

  
\_\_\_\_\_  
Maria S. Connelley, Vice-Chair

  
\_\_\_\_\_  
Peter R. Barcinas, Planning Committee  
Chair

# **EDMR Finding #10**

## **Attachment 6**



Victoria Mafnas <victoria.mafnas@dol.guam.gov>

## Request To Teleconference

Jacobs, John - ETA <Jacobs.John@dol.gov>

Tue, Aug 16, 2011 at 5:16 AM

To: Leah Beth Naholowaa <leahbeth.naholowaa@dol.guam.gov>

Cc: Frank Roberto <frank.roberto@dol.guam.gov>, greg.massey@dol.guam.gov, Victoria Mafnas <victoria.mafnas@dol.guam.gov>

Tony Dais and the regional office staff would like to schedule our teleconference call on Thursday, August 18, 2011 at 5PM EST, 2PM PST and 7am Guam time to discuss Guam's MOU and Guam's progress in joining NASWA and implementing/incorporating the Job Central the National Labor Exchange job bank into the ES/One-Stop Career Center service delivery. Please confirm that this date and time is doable. Thanks  
John

# **EDMR Finding #10**

## **Attachment 7**



NOV 28 2011

MEMORANDUM OF UNDERSTANDING  
U.S. WORKER RECRUITMENT FOR THE GUAM MILITARY BASE  
REALIGNMENT AND BUILD-UP

1. PARTIES AND PURPOSE

This memorandum of understanding (MOU) is between the U.S. Department of Labor (DOL) Employment and Training Administration (ETA) and the Guam Department of Labor (GDOL). The purpose of this MOU is to assign to GDOL DOL's duty, as set forth in the National Defense Authorization Act (NDAA) for Fiscal Year 2010 (Public Law 111-84), to oversee the recruitment of U.S. construction workers supporting the U.S. military realignment in Guam in connection with an employer's application for an H-2B labor certification.

2. BACKGROUND

NDAA prioritizes the hiring of U.S. workers for the multi-year Guam military base realignment project. Section 2834(a) of the NDAA amended Section 2824(c) of the Military Construction Authorization Act (Public Law 110-417, Division B) by adding a new subsection (6) which requires the DOL to approve contractor recruitment plans in the following areas:

**SOLICITATION OF WORKERS.**—In order to ensure compliance as a condition of a contract, the contractor shall be required to advertise and solicit for construction workers in the United States, including Guam, the Commonwealth of the Northern Mariana Islands, American Samoa, the Virgin Islands, and the Commonwealth of Puerto Rico, in accordance with a recruitment plan approved by the Secretary of Labor; and

**RECRUITMENT PERIOD.**—The Secretary of Labor shall ensure that a contractor's recruitment of construction workers complies with the recruitment plan. During the recruitment period, the contractor shall interview all qualified and available United States construction workers who have applied for the employment opportunity, and, at the close of the recruitment period, the contractor shall provide the Secretary of Labor with a recruitment report providing any reasons for which the contractor did not hire an applicant who is a qualified United States construction worker. Before the start date of the workers under a contract, the Secretary of Labor shall certify to the Governor of Guam whether the contractor has satisfied the recruitment plan.

The Department of Labor fosters and promotes the welfare of job seekers, wage earners, and retirees of the U.S. by improving their working conditions, advancing their opportunities for profitable employment, protecting their retirement and health care benefits, helping employers find workers, strengthening collective bargaining, and tracking changes in employment, prices and other national economic measures.

The mission of the Guam Department of Labor is to foster, promote, and develop the welfare of the wage earners of Guam, to improve their working and living conditions, and to advance their opportunities for occupational training and profitable employment.

### 3. AUTHORITY

The authority for this agreement is set forth in Sections 3 and 7 of the Wagner-Peyser Act of 1933, as amended by the Workforce Investment Act of 1998 (29 U.S.C. § 49 *et seq.*)

### 4. TERMS AND CONDITIONS

GDOL's duties include, but are not limited to, the following:

- A. On behalf of the Secretary of Labor and in support of the base realignment contractor's efforts to recruitment a domestic workforce, GDOL agrees to act as DOL's agent to oversee the implementation and compliance with the Contractor Recruitment Plan which is attached and hereby incorporated into this MOU by:
  1. Receiving base realignment job listings from contractors;
  2. Entering contractor jobs into the Guam DOL job bank and the National Labor Exchange (NLX) job bank at [www.JOBcentral.com](http://www.JOBcentral.com);
  3. Tracking job seeker self referrals, resumes, and Web-based views and visits to contractor job listing via the GDOL referral data and the NLX job bank analytics;
  4. Accepting resumes and job applications, and transmitting these to the contractors for consideration;
  5. Responding to job seeker and contractor questions;
  6. Monitoring contractor hiring patterns;
  7. Receiving contractor recruitment result reports;
  8. Evaluating and validating contractor recruitment results by comparing them against the Guam DOL job seeker referrals and the views and visits data collected by the [www.JOBcentral.com](http://www.JOBcentral.com) Web site;
  9. Certifying to the Governor of Guam whether the contractor has satisfied the domestic worker recruitment standard requirements plan and attesting that there are not sufficient United States workers who are able, willing, qualified, and available and that the employment of persons with H-2B guest worker visas will not adversely affect the wages and working conditions of workers in Guam similarly employed, Pub. L. 111-84, §2834(a)(6)(C)(i) and (ii); and
  10. Transmitting contractor recruitment information to Guam DOL's Alien Labor Processing Certification Division for H2B program consideration.
- B. Additional duties to be performed by GDOL must be agreed to by USDOL and GDOL before GDOL will be required to perform those additional duties. Such agreement shall be in writing and signed by both parties.

- C. DOL and GDOL agree to incorporate any appropriate changes in procedures necessitated by changes to Federal law or by rule or regulation changes promulgated by the U.S. Department of Labor's Office of Federal Contract Compliance, the Office of Foreign Labor Certification, and the Department of Homeland Security's Citizenship and Immigration Services.
- D. GDOL shall include in its Wagner-Peyser Act grant quarterly progress reports to the DOL ETA San Francisco Regional Office detailed information on the military base realignment activity, specific data on contractor recruitment activities, including the results of domestic recruitment, the impact analysis and the recommendations made to the Governor of Guam.
- E. At the discretion of the Assistant Secretary for the Employment and Training Administration and/or the San Francisco Regional Office Administrator, ETA will conduct program audits and report validation reviews. These will be scheduled in advance and will likely coincide with Regional Office staff onsite grant reviews.
- F. To ensure compliance with the NDAA, GDOL will provide the information specified below to DOL on a semi-annual basis, by the dates to be specified by DOL.
  1. GDOL will provide DOL with a list of all GDOL staff working on this project, with contact information. DOL reserves the right to contact these staff at anytime.
  2. GDOL will provide DOL with copies of its plans, policies, and procedures relevant to the implementation of the MOU, NDAA recruitment plan and recruitment standards.
  3. GDOL will provide DOL with the NDAA employer recruitment results reports and the corresponding GDOL recommendations to the Governor of Guam.
  4. DOL will draw from this dataset a random sample for review. DOL may request additional documentation from GDOL as part of its review.
  5. DOL will provide to Guam its findings and conclusions based upon this review, including recommendations for corrective action if necessary.
  6. GDOL will provide a written response to DOL's report, which will include the corrective actions it has taken or will take.

## 5. TRANSFER OF FUNDS

The GDOL shall utilize portions of its annual Wagner-Peyser Act grant funding for the Guam military base realignment construction worker recruitment effort. DOL will consider requests from GDOL for additional funding beyond GDOL's annual Wagner-Peyser Act grant funding, but approval of GDOL's request is contingent on the availability of additional funds.

6. POINTS OF CONTACT

The points of contact of each party to this agreement are:

For the US Department of Labor, Employment and Training Administration:

Jane Oates, Assistant Secretary  
Employment and Training Administration  
Washington, D.C. 20210

Or

Richard Trigg, Regional Administrator  
U.S. Department of Labor  
San Francisco, California

For the Guam Department of Labor:

Leah Beth Naholowaa, Director  
Guam Department of Labor  
Hagatna, Guam 96910

The parties agree that if there is a change regarding the information in this section, the party making the change will notify the other party in writing of such change.

7. DURATION AND TERMINATION OF THIS MOU

This MOU will become effective when it is signed by all parties, and will remain effective indefinitely thereafter. DOL may unilaterally terminate this MOU upon thirty days written notice to GDOL. GDOL may terminate this MOU with 90 days prior written notification to DOL.

This agreement is an internal Government agreement between the parties, and is not intended to confer any right upon any private person or third party.

Nothing in this agreement will be interpreted as limiting, superseding, or otherwise affecting either agency's normal operations or decisions in carrying out its statutory or regulatory duties. This agreement does not limit or restrict DOL ETA or the GDOL from participating in similar activities or arrangements with other entities.

8. RESOLUTION OF DISAGREEMENTS

In the event of any disagreement arising under this MOU, the parties shall attempt to resolve the disagreement through negotiations in good faith. Where Treasury Financial Manual, Volume I, Bulletin No. 2007-03, Attachment 1 does not apply, the parties will negotiate a resolution with assistance from OMB.

9. PRIVACY

Any confidential or personal data or information collected by GDOL pursuant to the performance of its duties under this MOU shall be subject to the laws and regulations of the Territory of Guam governing the storage, use, and dissemination of such information. Any confidential or personal data or information submitted to DOI by GDOL pursuant to this MOU is subject to the Privacy Act of 1974.

10. SIGNATURES

[Employment and Training Administration]  
SEP 25 2011

[Date]

Leah Beth Robinson  
[Guam Department of Labor]

11/22/11  
[Date]

# **EDMR Finding #10**

## **Attachment 8**



444 N. Capitol Street NW, Suite 142, Washington, DC 20001  
202-434-8020 fax 202-434-8039 www.naswa.org

March 23, 2014

Mr. Manny Cruz  
Director  
Guam Department of Labor  
414 Soledad Avenue  
GCIC Building, Suite 400  
Hagana Guam, GU 96910

Dear Mr. Cruz:

Thank you for the opportunity to provide information to assist in your response to the Region 6 Employment and Training Administration, U.S. Department of Labor audit report sent to Governor Eddie Baza Calvo on January 31, 2014.

In the "2013 Guam Formula Program Enhanced Desk Review Findings Matrix" Finding Number 10, Financial Management Systems included a Statement of Finding that based on a review of financial expenditures it was revealed that both the Guam AHRD and GDOL have "incurred costs that are unnecessary, unreasonable or unallowable." The specific costs in question are noted and include a questionable cost for both Guam AHRD and GDOL of \$11,000 for NASWA membership.

I am providing you with some information to support the payment of NASWA membership fees. I hope this information will assist both agencies to justify the expenditure for NASWA membership.

The National Association of State Workforce Agencies (NASWA) was founded in the depths of the Great Depression, in the early years of unemployment insurance and employment service programs. The organization was formed within the U.S. Department of Labor because the federal government needed to communicate and negotiate with the states collectively about unemployment insurance (and later, employment services) matters, and a national organization of state agency officials provided federal officials with a useful way to do so.

Much as it did in the 1930s, NASWA provides a forum for states to exchange information and ideas about how to improve program operations, serves as a liaison between state workforce agencies and federal government agencies, Congress, business, labor, and intergovernmental groups, and is the collective voice of state agencies on workforce policies and issues.

The mission of NASWA is to: (1) advocate for state workforce agencies; (2) facilitate the exchange of information among state workforce agencies; and (3) act as a liaison for the state workforce agencies.

NASWA is an organization of state administrators of employment services, unemployment insurance laws, job training programs, employment statistics and labor market information, employment and training services for veterans, and other programs and services provided through the publicly-funded state workforce system.

No other organization can provide the services offered by NASWA to state workforce agencies. NASWA services are offered to members in good standing. Membership in good standing means a state or eligible United States territory has paid its annual dues for the year. All states plus the District of Columbia and Puerto Rico have been NASWA members for at least as long as records are currently available. Guam joined NASWA in 2012.

One of the benefits of NASWA membership is the ability to participate in the National Labor Exchange (NLX). The NLX is a sophisticated electronic labor exchange network created in 2007 in a partnership agreement between NASWA and DirectEmployers (DE) Association. The NLX combines the job openings and resources available through DE with the state workforce agency job banks, primarily funded by Wagner-Peyser through the U.S. Department of Labor. Participation in the NLX is only available to NASWA members.

In 2012, the Guam Department of Labor (GDOL) sought to find a cost-effective online labor-exchange service due to the Department of Defense's strategic repositioning of Pacific bases from eastern Asia to the territory of Guam, causing an influx of defense contractors and civilians seeking workers and employment.

As part of the National Defense Authorization Act, which required defense contractors to list their positions with the Guam employment services, the Guam Department of Labor consulted with the U.S. Department of Labor Employment and Training Administration national office for solutions it could pursue that would allow employers to post positions and individuals moving to Guam seeking employment. At the time, Guam did not have an electronic labor exchange system that would accommodate the new requirements.

After consultation with USDOL officials, it was recommended that Guam become a member of the National Association of State Workforce Agencies (NASWA) to take advantage of the no-cost online labor exchange solution made available to state workforce agencies through the National Labor Exchange (NLX) initiative with DirectEmployers Association. DirectEmployers Association is a nonprofit HR consortium of [leading global employers](#) formed to improve labor market efficiency through the sharing of best practices, research and the development of technology.

Development of Guam's online labor exchange system started in May 2012, one month after it had joined NASWA, and was completed by December 2012. The job bank solution offers an easily administered online tool Guam workforce staff use when looking to connect employers with job seekers. Job listings are updated on a daily basis in an automated manner, freeing up other scarce resources to directly serve employers and job seekers. Additionally, the hosted online labor exchange is search engine optimized, allowing job seekers to find positions on the site through search engines. The tool is considered an improvement from the previous system GDOL was using, at a fraction of the cost other labor-exchange solutions provided by private companies in the industry.

The information and resources provided by the NLX are available to all job seekers, program participants, employers and staff members from both the Guam Department of Labor and the Agency for Human Resources Development.

In addition to Guam, the states of New York, Connecticut, Nevada, and Puerto Rico are being fully hosted by the NLX, while all state workforce agencies are using the NLX job feeds.

In addition to the NLX, NASWA supports states and eligible territories with advocacy for employment services, labor market information, job training, and other workforce services. NASWA was recently instrumental in assisting Guam to connect with the Mississippi Department of Employment Security and the U.S. Department of Labor Employment and Training Administration Office of Unemployment Insurance to allow Unemployment Insurance for Ex-servicemembers (UCX) for returning Guam National Guard Members. Because Guam does not have an unemployment insurance program, NASWA encouraged Mississippi and the U.S. Department of Labor to make an exception to normal program procedures to allow the payment of UCX to these individuals. The availability of the UCX program, and the resulting negotiations to provide it, were only made possible because of Mr. Manny Cruz's attendance at the NASWA Annual Conference in Denver in September 2013.

One of the "Finding Themes" listed in the U.S. Department of Labor's audit said, "Program and Grant Management Personnel – It is important that the key personnel administrating the WP and WIA-funded workforce programs are qualified to ensure that the grants meet their program and spending goals and that costs incurred are allowable, necessary and not duplicative."

Participation in NASWA assists Guam Wagner-Peyser and WIA-funded workforce personnel to be better informed, aware of current and innovative initiatives, and obtain information what other states and territories are doing to improve programs and services. Membership helps agency leaders to better manage the programs and services under their responsibility.

NASWA offers the opportunity for workforce personnel to be engaged and informed about changes in legislation, policy and guidance. It provides a forum to communicate with federal and state/territory experts and peers in other states or territories. Attendance at NASWA Board of Directors' meetings, committee meetings or conferences is an excellent way to assist in keeping staff informed and trained.

One of the specific expenditures listed in the audit was the travel expenses for "Mr. Manuel Q. Cruz, Trip to Denver, CO to attend 77nd Annual NASWA Conference; Sept 16-20, 2013." NASWA conferences, especially the Annual Conferences, are an excellent opportunity for state/territory leaders to hear from U.S. Department of Labor and other federal agency leaders, learn about new initiatives, discover ways to improve performance and create better efficiencies and obtain details on program operations, including such information as allowable costs.

NASWA is strongly supported by the U.S. Department of Labor, and in the case of Guam, the Department was instrumental in advocating for Guam to join NASWA and to participate in the NLX. Many U.S. Department of Labor staff, including the Secretary of Labor, usually attends and provides presentations at NASWA conferences and meetings. It is surprising that the Department would find payment of NASWA dues and travel to NASWA conferences as "unnecessary, unreasonable or unallowable" in an audit.

NASWA can also help the two Guam agencies determine the most effective and efficient ways to accomplish many other areas outlined in the U.S. Department of Labor's audit. We have expertise and stakeholder connections, especially in other states/territories, to provide advice on creating better alignment among workforce programs - Workforce Investment Act, employment services, veterans' services, one-stop systems, etc.

I hope this information will assist in your response to the audit and provide justification for the expenditures. Please let me know if there is anything else you need, or if I can be of assistance in any other manner.

Sincerely,



Bob Simoneau  
Deputy Executive Director  
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