LUMBER RIVER WORKFORCE DEVELOPMENT BOARD

WORKFORCE INNOVATION AND OPPORTUNITY ACT

Adult & Dislocated Worker Programs

REQUEST FOR PROPOSAL
PROGRAM YEAR 2020/2021
(JULY 1, 2020 – JUNE 30, 2021)

Lumber River Council of Governments
30 CJ Walker Road
Pembroke, NC 28372
910-618-5533
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I. GENERAL INFORMATION

A. PURPOSE
The Lumber River Workforce Development Board (LRWDB) is issuing this Request for Proposal (RFP) to solicit competitive proposals for the operation of the Workforce Innovation and Opportunity Act (WIOA) services to Adult and Dislocated Workers in the following Counties: **Bladen, Hoke, Richmond, Robeson and Scotland.**

The successful bidder(s) will be selected based on demonstrated abilities, past performance, a sound proposal, collaboration and partnerships, and cost effective service delivery. The LRWDB will accept bids on the following services:

1. Adult & Dislocated Worker Services

Proposals must demonstrate the organizations’ ability to administer a consistent strategy including coordination with key partners that support regional efforts and goals.

Please be advised, Bidders are strongly encouraged to follow the USDOL’s WIOA resource page for latest updates: [www.doleta.gov/wioa/](http://www.doleta.gov/wioa/). Furthermore, as the LRWDB continues to develop and refine its NCWorks system and integrate WIOA regulations, its policies and procedures are likely to change. Bidding organizations may be requested to modify program design or the delivery of services. Should a request for a change in the program design or service occur, LRWDB staff will assist bidding organizations or service providers in the redesign to ensure consistency with policy and regulatory requirements.

B. BACKGROUND
The Workforce Innovation and Opportunity Act (WIOA), signed into law on July 22, 2014, is the first legislative reform of the public workforce system in 15 years. It presents an opportunity to improve job and career options for our nation’s workers and jobseekers through an integrated, job-driven public workforce system that links diverse talent to businesses. It supports the development of strong, vibrant regional economies where businesses thrive and people want to live and work. The law enhances the nationwide system of one-stop centers, which directly provide an array of employment services and connect customers to work-related training and education. WIOA furthers a high quality one-stop center system by continuing to align investments in workforce, education, and economic development. The law places greater emphasis on one-stops achieving results for jobseekers, workers, and businesses. WIOA reinforces the partnerships and strategies necessary for one-stops to provide job seekers and workers with high-quality career services, education and training, and supportive services they need to get good jobs and stay employed, and to help businesses find skilled workers and access other supports, including education and training for their current workforce.

WIOA seeks to improve the effectiveness of and streamline the governing structures of the public workforce investment system, empower elected officials and workforce boards, establish structures for working regionally aligned with regional economies, and engage the key stakeholders needed to lead the system to achieve the goals of WIOA.
WIOA empowers State and Local elected officials and private sector-led workforce boards with the responsibility of developing a strategic, integrated plan that supports economic growth and labor force needs intended to grow the capacity and performance of the workforce system.

The Lumber River Workforce Development Board is responsible for guiding and overseeing the workforce development system across the Lumber River region with a goal of serving the needs of employers and jobseekers. The LRWDB also has the responsibility to manage and oversee the administration and implementation of WIOA programs and services.

The Lumber River Council of Governments (LRCOG) is the grant recipient/fiscal agent and administrative entity for the WIOA Title I(B) funds as designated by the Lumber River Workforce Development Consortium. Contracts entered into with WIOA service providers in the Local Area will be contracts with the LRCOG. All parties contracting with LRCOG must comply with USDOL regulations and its published interpretations. Administration and operation of this program is subject to compliance with the Federal Workforce Innovation and Opportunity Act of 2014, state of North Carolina policies and procedures as issued from the NCDOC-DWS, and local policies and procedures issued by the LRWDB. Funded proposals will be required to meet specific federal, state and local guidelines for participant outcomes and program performance. Responsibilities of the Workforce Development Board include the following:

**Federal Connection**
- Ensure that federal policies, procedures, and guidelines are correctly implemented;
- Allocate federal workforce development funds within the NCWorks System;
- Provide data and reports as needed to satisfy federal systems; and
- Participate in federal funding opportunities that further the board’s vision for the NCWorks System.

**State Connection**
- Ensure that state policies, procedures, and guidelines are correctly implemented;
- Allocate state workforce development funds;
- Provide data and reports as needed to satisfy state systems; and
- Participate in state funding opportunities that further the board’s vision for the NCWorks System.

**Local Connection**
- Comply with local government policies (the WDB fiscal agent) and regulations;
- Serve as the convener for workforce development in the five-county area; and
- Partner with local organizations on community needs.

**Evaluation**
- Development and use of standard policies and procedures throughout the region;
- Certification of the NCWorks Career Centers;
- Meet with NCWorks Operator and service providers regularly to listen to suggestions, discuss issues, and resolve concerns; and
Monitor and report on quality, performance, and cost effectiveness through on-site visits, records review, evaluations, expenditure review, and other methods as needed.

**Outreach**
- Approve site location, facilities, and equipment that contribute to a quality center and customer satisfaction;
- Develop or approve outreach materials funded by the board or containing information about the board’s programs;
- Provide NCWorks Operator and service provider a common name, logo, and signage to promote the identity of the NCWorks System; and
- Ensure connectivity between the NCWorks Operator and local and regional entities such as service providers, chambers of commerce, public educational institutions, economic development entities, etc.

**Performance/Compliance**
- Provide technical assistance on all policies, procedures, and rules that impact the operation of centers giving assistance as needed for compliance;
- Develop and provide technical assistance to build capacity to help operator meet quality and consistency standards as well as to meet or exceed performance goals within the NCWorks system;
- Ensure compliance with all rules, regulations, and procedures issued by all funding sources which may be refined and changed;
- Perform fiscal and programmatic monitoring for compliance in accordance with federal, state, and local standards;
- Track the outcome of each performance measure; and
- Approve regional education/training providers for inclusion on the North Carolina Training Provider List

**Fiscal**
- Ensure that administrative and programmatic cost categories are properly implemented;
- Confirm that costs are correctly allocated to the associated funding stream;
- Verify that NCWorks System costs are allocated according to the Memorandums of Understanding; and
- Provide technical assistance to the fiscal staff of the NCWorks Career Center Operator and service provider.

**Career Pathways** Under WIOA, the LRWDB in coordination with service providers and partners will continue to lead efforts in the area to develop and implement career pathways by aligning the employment, training, education and supportive services that are needed by adults and youth to gain employment. Initiatives will be developed to identify employment needs of employers within identified sectors and occupations.

WIOA Sec. 3 (7) describes Career Pathway – The term “career pathway” means a combination of rigorous and high-quality education, training, and other services that
- Aligns with skill needs of industries in the economy of the state or regional economy involved;
- Prepares an individual to be successful in any of a full range of secondary or postsecondary education options, including apprenticeships registered under the
act of August 16, 1937 (commonly known as the “National Apprenticeship Act”; 50 Stat. 664, Chapter 663; 29 U.S.C. 60 ET SEQ.) (Referred to individually in this act as an “apprenticeship”, except in Section 171);

- Includes counseling to support an individual in achieving the individual’s education and career goals;
- Includes, as appropriate, education offered concurrently with and in the same context as workforce preparation activities and training for a specific occupation or occupational cluster;
- Organizes education, training, and other services to meet the particular needs of an individual in a manner that accelerates the educational and career advancement of the individual to the extent practicable;
- Enables an individual to attain a secondary school diploma or its recognized equivalent, and at least one recognized postsecondary credential; and
- Helps an individual enter or advance within a specific occupation or occupational cluster.

Efforts will include enhancing communication, coordination, and collaboration among employers, educational partners, economic development entities, and service providers to develop and implement strategies for meeting the employment and skill needs of workers and employers.

LRWDB Staff serves as the liaison between the Service Providers and LRWD Board to ensure Local Area goals are met as required performance measures set forth.

C. WIOA PARTNER COORDINATION

Bidders for this RFP must be willing to creatively and quickly invent and implement new practices and processes, then evaluate and modify them as needed to best serve customers and to comply with new regulations and/or changes to available funds.

Under WIOA, required NCWorks delivery system partners include the following (Section 121)(b)(1):

- WIOA Title I programs (Core partner)
- Wagner-Peyser programs (Core partner)
- Adult Education and Literacy programs (Core partner)
- Rehabilitation Act programs (Core partner)
- Older Americans Act programs
- Perkins postsecondary vocational education activities
- Trade Adjustment Assistance and NAFTA-TAA programs
- Veterans Employment and Training
- Community Service Block Grant employment and training activities
- HUD employment and training activities
- Unemployment compensation programs
- Second Chance Act Programs
- Temporary Assistance for Needy Families (TANF) (unless opted out by the Governor)

Note: Core programs will have to measure effectiveness in serving employers and will report on common performance indicators which includes how many job seekers entered
and retained employment, their median wages, whether they attained credentials, and their measurable skill gains.

Additional Partners – with approval of local board and Chief Elected Official:
- Employment and training programs administered by the SSA
- Employment and training programs administered by the Small Business Administration
- SNAP and SNAP E&T programs
- Client assistance programs
- National and Community Service state grants
- Other appropriate federal, state or local employment, education and training programs

Proposers to this RFP will need to adhere to the general expectation that the outreach and recruitment functions associated with delivery of any activities being proposed will need to be coordinated with mandatory partners as outlined in WIOA.

II. SOLICITATION PROCESS AND TERMS

A. INSTRUCTIONS FOR SUBMISSION
Proposals are being solicited for specific services recommended by the LRWDB for provision in one or more of the Lumber River Local Area’s counties. Any governmental, educational, community-based organization or non-profit agency engaged in public service; or any private-for-profit agency may apply. Each entity proposing to provide the employment and training services as prescribed by this RFP, must do so as an individual company or agency, and be prepared to either provide the services directly or establish an agreement with the appropriate provider(s) of the services.

B. TYPE OF CONTRACT
Proposers must propose a cost reimbursement contract. A cost reimbursement contract is one that establishes an estimate of total costs for the purpose of obligating funds and a ceiling that the contractor may not exceed (except at contractor’s risk) unless the awarding party agrees to amend the contract to provide additional funds. A line item budget shall be based on all legitimate costs to be incurred by the contractor in carrying out the services. The contractor is reimbursed for actual expenses according to the approved line item budget.

C. CONTRACT PERIOD & TERMS
The program-funding period is from July 1, 2020 through June 30, 2021. Continuation beyond June 30, 2021 is subject to future funding and legislative authority. Based on funding availability, the option to extend the contract for a second and/or third year exists with the opportunity for re-negotiation to be initiated verbally or in writing by the LRWDB at least thirty days before the expiration date of the current contract. In order for the LRWDB to exercise its second and/or third year option, the contractor must meet performance requirements as outlined in the contract. However, the LRWDB is not bound to exercise a second and/or third year contract solely on stated performance criteria.
D. SCHEDULE FOR REVIEW, AWARD AND NOTIFICATIONS OF PROPOSING AGENCIES

<table>
<thead>
<tr>
<th>Event</th>
<th>Date</th>
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<tr>
<td>RFP Released</td>
<td>February 19, 2020</td>
</tr>
<tr>
<td>General Bidders Conference – 10:00 AM</td>
<td>March 3, 2020</td>
</tr>
<tr>
<td>Proposals Due - 12:00 Noon</td>
<td>March 19, 2020</td>
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<tr>
<td>WD Staff Review</td>
<td>March 19 – April 3, 2020</td>
</tr>
<tr>
<td>RFP Committee Review – 9:00 am</td>
<td>April 15, 2020</td>
</tr>
<tr>
<td>Notice of Contract</td>
<td>April 23, 2020</td>
</tr>
<tr>
<td>Contract Negotiation Period</td>
<td>May 1 – 31, 2020</td>
</tr>
<tr>
<td>Project Start-up</td>
<td>July 1, 2020</td>
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</tbody>
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The Plan(s) must be in a two-inch, three ring hard-back notebook, using tabbed dividers between each attachment. Please submit ONE ORIGINAL (clearly marked) and ONE COPY of proposal(s) and attachments, in three ring binders to:

Lumber River Workforce Development Board  
Attention: Ms. Patricia Hammonds, Administrator  
30 CJ Walker Road  
Pembroke, North Carolina 28372  

All proposals are due by 12:00 p.m. on March 19, 2020.

III. TERMS OF SELECTION

- The LRWDB reserves the right to accept or reject any or all proposals received. The LRWDB reserves the right to waive informalities and minor irregularities in offers received. All solicitations are contingent upon availability of funds.

- The LRWDB may accept any item or group of items of any offer, or award more or fewer slots at the same price bid, unless the offeror qualifies its offer by specific limitations.

- The LRWDB may select a service provider based on initial offers received, without discussion of such offers. Accordingly, each initial offer should be submitted on the most favorable terms from a price and technical standpoint that the offeror can submit to the LRWDB. However, the LRWDB reserves the right to request additional data or oral discussion or documentation in support of written offers.

- Any offeror may be requested to make an oral presentation of their proposal(s) to the LRWDB after its opening. The LRWDB staff will schedule the time and location for these presentations, if required.

**Note:** For PY2020/2021 Offerors will be required to make an oral presentation of their proposals before the Lumber River Workforce Development Board’s Evaluation Committee on Wednesday, April 15, 2020 at 9:00 am located at Lumber River Council of Governments, 30 CJ Walker Road, Pembroke, NC 28372.
IV. APPEAL PROCEDURES

Appeals by proposing organizations denied funding are limited to procedural appeals only; such appeals shall be based solely on allegations of irregularities in the solicitation and awards procedure and not on the relative merit of the offers submitted. If an offeror believes to have been harmed by the violation or misapplication of procedure or regulation of this program, the offeror has the right to file a grievance. This grievance should be filed according to the written procedures established by the Lumber River Workforce Development Board and may be obtained by contacting the Lumber River Workforce Development Board Administrator, 30 CJ Walker Road, Pembroke, NC, 28372.

V. GENERAL PROVISIONS AND REQUIREMENTS

- This RFP does not commit the LRWDB to award a grant.
- No costs will be paid to cover the expense of preparing a proposal or to procure a contract for services or supplies under WIOA.
- Ownership of all data, material, and documentation originated and prepared by the service provider pursuant to the contract shall belong exclusively to the LRWDB.
- Proposals should be submitted in the format set forth in the Proposal Format and Required Forms section of the RFP and adhere to the minimum requirements specified therein.
- Formal notification to award a contract and the actual execution of a contract are subject to the following:
  - receipt of WIOA funds granted under the WIOA plan;
  - results of negotiations between selected service providers and LRWDB administrative staff; and
  - continued availability of WIOA funds.
- Any changes to the WIOA Program, the State of North Carolina WIOA Plan, or the LRWDB WIOA Plan, may result in a change in contracting. In such instances, the LRWDB will not be held liable for what is in the offeror’s proposal or this Request for Proposal package.
- Each offeror submitting a proposal will be notified in writing of the LRWDB decision concerning its proposal.
- Proposals submitted for funding consideration must be consistent with the federal WIOA legislation, all applicable Federal Regulations, the North Carolina Division of Workforce Solutions Policies and the LRWDB Policies and Procedures.
- Offerors selected for funding must also ensure compliance with all applicable Office of Management and Budget (OMB) Circulars.
- LRWDB may require selected service providers to participate in negotiations and to rewrite their proposals as agreed upon during the negotiations.
• Additional funds received by the LRWDB may be contracted by expanding existing programs, or by consideration of proposals not initially funded under this RFP, if such proposals were rated in the competitive range. These decisions shall be at the discretion of the LRWDB.

• The LRWDB may decide not to fund part or all of a proposal even though it is found to be in the competitive range if, in the opinion of the LRWDB, the services proposed are not needed, or the costs are higher than the LRWDB finds reasonable in relation to the overall funds available, or if past management concerns lead the LRWDB to believe that the service provider has undertaken more services than it can successfully handle.

• Any proposal approved for funding is contingent on the results of a pre-award survey that may be conducted by the LRWDB administrative staff. This survey will establish, to the LRWDB's satisfaction, whether the proposed service provider is capable of conducting and carrying out the provisions of the proposed contract. If the results of the survey indicate, in the opinion of the LRWDB, that the proposed service provider may not be able to fulfill contract expectations, the LRWDB reserves the right not to enter into contract with the organization, regardless of LRWDB approval of the offeror’s proposal.

• The LRWDB is required to abide by all WIOA legislation and regulations. Therefore, the LRWDB reserves the right to modify or alter the requirements and standards as set forth in this RFP based on program requirements mandated by State or Federal agencies.

• Programs must be operated according to the federal WIOA provisions and all applicable Federal Regulations, the North Carolina Division of Workforce Solutions Policies and LRWDB Policies and Procedures.

• Service Providers will be expected to adhere to LRWDB procedures to collect, verify and submit required monthly reports as well as invoices to the LRWDB.

• All grievances arising out of the WIOA or this RFP must be filed according to LRWDB’s established grievance procedures.

• All service providers must ensure equal opportunity to all individuals. No individual in the Lumber River Local Area shall be excluded from participation in, denied the benefits of, or subjected to discrimination under any WIOA-funded Program or activity because of race, color, religion, sex, national origin, age, disability, or political affiliation or belief.

• Service providers must accept liability for all aspects of any WIOA Program conducted under contract with the LRWDB. Service Providers will be liable for any disallowed costs or illegal expenditures of funds or program operations conducted.
• Reductions in the funding level of any contract resulting from this solicitation process may be considered during the contract period when a service provider fails to meet expenditure, participant, and/or outcome goals specified in the contract or when anticipated funding is not forthcoming from the federal or state governments.

• Service providers will allow access to all WIOA records, program materials, staff, and participants to local, state, and federal representatives. In addition, service providers are required to maintain all WIOA records for three years, beginning on the last day of the program year.

• The LRWDB encourages all interested offerors to attend the Bidders Conference. While every effort has been made to include all necessary information, specifications and examples, the need for clarification or interpretation is recognized as a possibility. This is the forum the LRWDB has selected to answer questions so that all interested parties will have the benefit of the same answer.

VI. SCOPE OF WORK
The Lumber River Workforce Development Board (LRWDB) is issuing this Request for Proposal (RFP) to solicit competitive proposals for the operation of the Workforce Innovation and Opportunity Act (WIOA) services to Adult and Dislocated Workers in the following Counties: Bladen, Hoke, Richmond, Robeson and Scotland.

A. THE NCWORKS SYSTEM
The LRWDB is seeking service providers that employ vision, innovation, accountability, and efficient and effective utilization of resources in workforce development programming with customers. In the interest of establishing a seamless delivery of services for all prospective customers and keeping with both the spirit of the WIOA legislation as it pertains to the participation of all mandatory partner agencies and programs, it is essential that all partners operate in the most effective and integrated manner as possible. However, it is not necessary that all partner services are located at all NCWorks Centers.

Contracting organizations will be expected to deliver WIOA services within the context of the NCWorks system and specifically in the local NCWorks Career Centers, which includes consistent use of name, logo, marketing materials, etc. Career centers serve as a hub for workforce efforts within their community, offering services to both job seekers and employers within the NCWorks Integrated Services Framework {Refer to Attachment “F” for Local Area Integrated Services Model}. Each individual county career center operates in a variety of ways each having a unique set of partner agency staffing, lease and utility arrangements, and ongoing improvement activities.

WIOA-funded staff will work within an integrated NCWorks team to coordinate and deliver all aspects of career services including greeting customers, intensive career advising, financial assistance for training, workshop organization, hiring events, and other center services. All staff should be fully cross-trained to fulfill any “career services” role within a center dependent on need and traffic flow.
Service providers are expected to assist in workforce system building activities with NCWorks partners, the education community and other organizations. Activities should include, but are not limited to, partnerships with schools to provide workforce information and resources, assisting with career fairs, hosting workshops, support of Work Ready Communities, Career Pathways, and the NCWorks system. Proposals should incorporate activities that demonstrate the provider’s ability to successfully engage and contribute to the development of the local workforce system.

Section 121.(d) of the WIOA authorizes the local workforce board, with the agreement of the chief elected official, to designate or certify one-stop operators and to terminate for cause the eligibility of such operators. Five one-stop centers in the Lumber River Local Area have been certified by the NCWorks Commission as NCWorks Career Centers through the process established by the state of North Carolina in partnership with the Lumber River Workforce Development Board.

Accordingly, the following NCWorks Career Centers are listed:

**NCWorks Career Center - Bladen County**
401 Mercer Mill Road
Elizabethtown, NC 28337
910/862-3255

**NCWorks Career Center - Robeson County**
289 Corporate Drive, Suite B
Lumberton, NC 28358
910/618-5500

**NCWorks Career Center - Richmond County**
115 W. Franklin Street
Rockingham, NC 28379
910/997-9180

**NCWorks Career Center - Scotland County**
303 North Main Street
Laurinburg, NC 28352
910/276-4260

**NCWorks Career Center - Hoke County**
304 Birch Street
Raeford, NC 28376
910/875-5059

B. **NCWorks Career Centers Integrated Service Delivery Model**

North Carolina’s NCWorks Career Center System was established to provide improved performance, more coordinated access to services, and accountability of workforce development service delivery in North Carolina. The vision for the Career Center System is that all customers of the system will be served by staff organized by function, rather
than by program or funding source, through a customer-focused, skill-based, integrated service delivery strategy.

North Carolina’s NCWorks Career Centers will provide integrated services to better serve customers – both individuals and businesses. This system will feature an integrated customer flow that responds to customer need(s), fulfilled by cross-trained teams, with functional and formal leadership funded by both WIOA Title I and Title III, and other partners, as appropriate.

The NCWorks Career Center system is an integrated service delivery model that operates as a seamless united approach, and emphasizes the need for and support of the Workforce Development Boards (WDBs), the Division of Workforce Solutions (DWS) collaboration across the state. Under this model, DWS and the WDB integrate its staff, and any WIOA contractors, which shift from program specific organizations to an integrated services approach. All local NCWorks Career Center staff will be integrated into functional units not separated by program or funding stream. While WIOA Title I and Title III funded staff are the foundation of this approach to service delivery, other partners and programs are encouraged to participate in the staffing of a Career Center.

DWS and the WDB are working together to implement an integrated customer flow designed to respond to customer need in addition to program requirements. Staff-assisted services are emphasized and Center services are to be continuously promoted and provided until the customer’s goal has been achieved. The NCWorks Career Center customer flow of services includes three major functions: welcome/assessment, skill development, and employment.

Using regional labor market information, local Centers will design and provide services to meet the needs of employers and jobseeker customers. Career Center customers, if eligible, will be enrolled in the performance pool of both WIOA Title I Adult and Wagner-Peyser. All Trade Act customers will also be enrolled in the performance pool of the WIOA Title I Dislocated Worker Program. WIOA Title I Youth customers are not considered a part of the common customer pool, as the needs and the services available to that population are different.

All NCWorks Career Center customers, including Unemployment Insurance claimants, will be provided with the opportunity to assess their skills, improve their skills, and obtain the best job possible with their skills. The goal is that all jobseekers that enter a NCWorks Career Center will leave as better job candidates because of the value-added services received. DWS and the WDB will develop a system where adults move easily within the labor market, continuing to further their education and training over a lifetime to advance in their careers.

The NCWorks Career Center customer flow will include a standardized initial skills assessment, access to a wide range of skill development services, and include options to improve their employment opportunities through skill upgrading, skill validation, and credentialing. North Carolina’s NCWorks Career Centers will provide a wide range of short-term skill development opportunities through multiple service delivery methods. All services in this robust “product box” will be available to Center customers, embedded
in an integrated customer flow, and easily accessed by all customers with the support of all Center staff.

VII. Adult/Dislocated Worker Services
The LRWDB is looking for service providers to work as a part of a team in providing innovative and relevant career services to all customers, no matter the skill level or path to educational and employment goals. This requires staff to be actively engaged in working with the public on a regular basis. Staff’s professional expertise and passion for helping customers is what brings customers back to the center.

A. Available Allocations by County
In preparing a packet, an offeror must specify the counties in which services are being proposed and develop budgets based on the following allocations for PY20/21:

Note: This is a draft of estimated allocations based on PY19 funding. Actual figures will be determined at a later date based on approval of the Congressional budget and by LRWDB. These figures should be used in preparing your Budget packets. Budgets will have to be modified prior to July 1, 2020.

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<tr>
<th>County</th>
<th>Adult Program</th>
<th>Dislocated Worker Program</th>
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<td>SCOTLAND</td>
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<td>TOTAL</td>
<td>$927,000.00</td>
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*Currently Local Area Policy states that a maximum of 50% of program allocations can be used for staff (non-direct) costs. This policy is subject to change for PY 2020/2021

B. Eligible Target Population
The basic eligibility requirements are:
• To be an eligible adult in the Adult, an individual must be 18 years of age or older; a US citizen or eligible non-citizen; and if a male, must comply with the Military Selective Service Act.
• To be an eligible Dislocated Worker, an individual must meet the Adult criteria and qualify in one of the following categories:
  a. Has been terminated or laid off, or who has received a notice of termination or layoff, from employment; is eligible for or has exhausted entitlement to unemployment compensation; or
  b. Has been employed for a duration sufficient to demonstrate, to the appropriate entity at a one-stop center, attachment to the workforce, but is not eligible for unemployment compensation due to insufficient earnings or having performed services for an employer that were not covered under a State unemployment compensation law; and is unlikely to return to a previous industry or occupation;
c. Has been terminated or laid off, or has received a notice of termination or layoff, from employment as a result of any permanent closure of, or any substantial layoff at, a plant, facility, or enterprise

d. is employed at a facility at which the employer has made a general announcement that such facility will close within 180 days; or for purposes of eligibility to receive services other than training services, career services, or supportive services, is employed at a facility at which the employer has made a general announcement that such facility will close;

e. was self-employed (including employment as a farmer, a rancher, or a fisherman) but is unemployed as a result of general economic conditions in the community in which the individual resides or because of natural disasters;

f. Is a displaced homemaker; or

g. Is the spouse of a member of the Armed Forces on active duty, and who has experienced a loss of employment as a direct result of relocation to accommodate a permanent change in duty station of such member; or is the spouse of a member of the Armed Forces on active duty and who is unemployed or underemployed and is experiencing difficulty on obtaining or upgrading employment.

h. Additional State Eligibility Individuals who are long-term unemployed as defined an unemployed for 13 consecutive weeks or more are eligible as a Dislocated Worker. WIOA Section 170 Individual does not meet criteria outlined for Dislocated Workers in categories 1 - 9 but is a individual that meets Dislocated Worker Grant (DWG) eligibility outlined under WIOA Title 1 national programs, Sec. 170 National Dislocated Worker Grants, relating to Sec. 170(b)(l)(A) workers affected by major economic dislocations or Sec. 170(b)(l)(A) workers affected by an emergency or major disaster.

Services should be targeted for individuals residing in Bladen, Hoke, Richmond, Robeson and Scotland Counties with residents from other counties served via an agreement with other Local Service Areas.

C. Career Services
WIOA authorizes career services for adult and dislocated workers. There are three types of career services: basic career, individualized and follow-up services. Service providers are expected to provide services based on the needs of the customer. The three categories are defined as follows:

Basic Career Services: must be made available to all individuals seeking services in the one-stop delivery system, and include:

- Eligibility determination for funding and services;
- Outreach, intake, and orientation to the information and other services available through the NCWorks Career Centers;
- Initial assessment of educational attainment and skill levels (including literacy, numeracy, and English language proficiency), aptitudes, abilities (including skills gaps), and supportive service needs;
- Job search and placement assistance and, in appropriate cases, career counseling, including information on in-demand industry sectors and occupations, and nontraditional employment;
• Appropriate recruitment and other business services on behalf of employers;
• Referrals to and coordination of activities with partner programs and services;
• Workforce and labor market employment statistics information, which includes job vacancy listings; job skills necessary for job openings; and information on local occupations in demand and the earnings, skill requirements, and opportunities for advancement within those career pathways;
• Performance information and program cost information on eligible providers of training;
• Information, in formats that are usable by and understandable to customers, regarding how the Lumber River Local Area is performing on the local performance accountability measures;
• Information relating to the availability of supportive services or assistance provided by partners;
• Referrals to supportive services or other needed assistance;
• Information and assistance regarding filing claims for unemployment compensation;
• Information and assistance regarding financial aid assistance for training and education programs;

Individualized Career Services: If center staff determines individualized services are appropriate for an individual to obtain or retain employment, these must be made available to the individual. These services include:

- Comprehensive and specialized assessments of the skill levels and service needs of adults and dislocated workers, which may include diagnostic testing and use of other assessment tools and in-depth interviewing and evaluation to identify employment barriers and appropriate employment goals;
- Development of an individual service strategy to identify the employment goals, appropriate achievement objectives, and appropriate combination of services for the participant to achieve the employment goals, including providing information on eligible providers of training services and career pathways to attain career objectives;
- Group counseling;
- Individual counseling;
- Career planning;
- Short-term pre-vocational services including development of learning skills, communication skills, interviewing skills, punctuality, personal maintenance skills, and professional conduct, to prepare individuals for unsubsidized employment or training;
- Internships and work experiences that are linked to careers;
- Workforce preparation activities;
- Financial literacy services;
- Out-of-area job search assistance and relocation assistance;
- English language acquisition and integrated education and training programs

Follow-up Services: must be provided as appropriate for participants placed in unsubsidized employment for not less than 12 months after the first day of the employment.
Each customer should receive an orientation of available services, including all partner services and any other pertinent resources to ensure successful return to employment. The orientation shall include a complete overview of the processes and procedures for gaining maximum benefits from engagement with the NCWorks Career Center. Orientations can be conducted in individual or group settings, depending on demand and the need for center efficiency. Group orientations (and other center activities) may be center or program specific.

WIOA consistently emphasizes the need for services targeted to persons with disabilities and individuals with barriers to employment, including individuals who receive public assistance or are otherwise low income and/or basic skills deficient. Outreach, marketing efforts, and services shall include efforts to encourage the use of the NCWorks system to groups that need employment and training services to become more skilled and employable in the path to financial self-sufficiency.

WIOA Sec. 3 (24) defines an “individual with a barrier to employment” means a member of one or more of the following populations:

a. Displaced Homemakers
b. Low-Income Individuals
c. Indians, Alaska Natives, and Native Hawaiians, as such terms are defined in Section 166
d. Individuals with disabilities, including youth who are individuals with disabilities
e. Older individuals
f. Ex-Offenders
g. Homeless Individuals (as defined in Section 41403(6) of the Violence against Women Act of 1994 (42 U.S.C. 14043e-2(6), or homeless children and youths (as defined in section 725(2) of the McKinney-Vento Homeless Assistance Act (42 U.S.C. 11434a(2).

h. Youth who are in or have aged out of the foster care system
i. Individuals who are English language learners and individuals who have low levels of literacy, and individuals facing substantial cultural barriers
j. Eligible migrant and seasonal farm workers, as defined in Section 167(i)
k. Individuals within 2 years of exhausting lifetime eligibility under Part A of Title IV of the Social Security Act (42 U.S.C. 601 et seq.)
l. Single parents (including single pregnant women)
m. Long term unemployed individuals
n. Such other groups as the Governor involved determines to have barriers to employment

D. Training Services

Upon completion of orientation and assessments, customers may be deemed appropriate for training services if the customer is unlikely to obtain or retain self-sufficient employment. Training programs should focus on in-demand industry sectors or occupations in demand in the area, or an area to where the customer is willing to relocate.
Occupational skills training should be provided through individual training accounts from an approved training provider. All customers interested in receiving WIOA financial assistance must apply for a Pell Grant, and if awarded, the Pell Grant funds are to be applied to the cost of training prior to use of WIOA funding. **Reference Attachment “K” for WIOA Funds Pell Grant Local Area Policy**

Training services include the following:
- Occupational skills training, including training for nontraditional employment;
- On-the-Job Training (OJT);
- Incumbent worker training;
- Programs that combine workplace training with related instruction, which may include cooperative education programs and apprenticeship;
- Training programs operated by the private sector;
- Skill upgrading and retraining;
- Entrepreneurial training;
- Work Experience; and
- Adult education and literacy activities, including activities of English language acquisition and integrated education and training programs, provided concurrently or in combination with other training services.

All those who receive training services must be determined eligible for WIOA-funded services.

*Note: Selected service providers will be expected to continue services with currently enrolled participants.*

**E. Program Requirements**

**Eligibility Verification/Documentation:** Selected service providers are required to use NCWorks Online for all aspects of documentation and tracking of services. In many cases all NCWorks staff are enrolling customers into WIOA career services. The WIOA service provider will need to insure that each customer is eligible to receive WIOA-funded services prior to obligating or paying any expenses on a customer’s behalf. Service providers are responsible for determining, verifying, and certifying WIOA eligibility for each adult or dislocated worker applicant by obtaining acceptable records/documents to verify each required eligibility item. Verification documents and other necessary paperwork must be maintained in the participant file folder.

Documentation of services, referrals, progress, activities, and follow-up will be entered into NCWorks Online. Documentation should provide information related to successes and barriers related to the completion of the service plan along with potential next steps of services.

**Assessments:** WIOA expects center staff to conduct an initial assessment of skill levels (including literacy, numeracy, and English language proficiency), aptitudes, abilities, (including skill gaps) and supportive service needs. Initial assessment will include the following: basic skills, work readiness skills, occupational skills, prior work experience, barriers to employment, family situation, occupational interests and aptitudes, financial resources and needs, supportive service needs, and developmental needs.
This information should be acquired through various means, including, but not limited to, standardized tests, structured interviews, behavioral observations, inventories, career guidance instruments, performance-based or competency-based assessment tools, and where the information is current and reliable, assessment results from another service provider (school or agency).

**Individual Service Strategy:** Each customer enrolled into WIOA services will have an individualized service strategy (ISS) to identify the employment goals, appropriate achievement objectives, and appropriate combination of services for the participant to achieve the employment goals, including providing information on eligible providers of training services, and career pathways to attain career objectives. Service strategies should be flexible and responsive to the individual needs of each customer as they move through needed career services and/or training services, keeping in mind that employment is the ultimate goal for all our customers. The ISS should be reviewed and updated at least every 90 days. Each plan will identify educational goals, pre-employment steps, selected learning objectives, training and work based learning (when provided) and any other preparation for unsubsidized employment. The plan will set clear and realistic goals for educational advancement, entry into employment in a targeted industry, and any continued learning and development, as needed. Service Strategies should be developed and updated in NCWorks Online.

**Case Management:** All NCWorks Career Centers are expected to make available group counseling, individual counseling, and career planning. While not every customer that is served by the NCWorks Career Center will receive comprehensive case management services, this service may be needed for customers that exhibit multiple barriers and/or have longer term educational goals to obtain employment.

Staff is expected to work closely with customers to provide support and guidance, address needs and barriers, assist with problem solving, serve as role models, and assist in the attainment of the objectives and goals agreed upon in their plan. Regular personal contact between staff and the adult/dislocated customer is important. Based on the case management relationship, the customer should be aware that he/she has support and accountability in working to achieve his/her personal goals.

Primary case management functions may include services coordination, advising, career counseling, advocacy, follow-up as appropriate and accurate and timely record keeping. Staff is to be informed of, and adhere to, professional standards of client confidentiality and safeguarding of personal and confidential information.

**Employment and Training Services:** WIOA legislation speaks to priority of services relative to the provision of employment and training services. As referenced in the WIOA legislation “priority shall be given to recipients of public assistance, other low income individuals, and individuals who are basic skills deficient for receipt of career services, described in paragraph (2) (A) (xii) and training services.” LRWDB has an established Priority of Services Policy to meet expectations of the WIOA legislation. *(Reference Attachment “J” for Priority of Services Policy)*
F. Performance Measures
WIOA establishes performance accountability measures that apply across the core programs to assess the effectiveness of States and Local Areas in achieving positive outcomes for the individuals served.

The States WIOA indicators of performance for the Adult and Dislocated Worker Programs consist of:

I. Entered Employment Rate: percentage of participants who are in unsubsidized employment during the 2nd quarter after exit
II. Employment Retention Rate: percentage of participants who are in unsubsidized employment during the 4th quarter after exit
III. Median earnings: earnings of participants who are in unsubsidized employment during the 2nd quarter after exit
IV. Credential Rate: percentage of participants who obtain a recognized postsecondary credential, or a secondary school diploma or its recognized equivalent, during participation or within 1 year after exit
V. Measurable skills gain: percentage of participants who, during a program year, are in education or training program that leads to a recognized postsecondary credential or employment and who are achieving measurable skill gains toward such a credential or employment (Negotiated level TBA)

Note: Listed below are the current negotiated levels for the Lumber River Local Area. Per DWS Policy Statement Number 01-2017: Requirements for Local Boards to meet or exceed All Federal Performance Measures, the minimum performance is 90 percent of the negotiated level of performance.

<table>
<thead>
<tr>
<th>Performance Measure</th>
<th>Adult</th>
<th>Dislocated Worker</th>
</tr>
</thead>
<tbody>
<tr>
<td>Employment Rate 2nd Quarter</td>
<td>71% (PY 2019)</td>
<td>75% (PY 2019)</td>
</tr>
<tr>
<td>Employment Rate 4th Quarter</td>
<td>71% (PY 2019)</td>
<td>76% (PY 2019)</td>
</tr>
<tr>
<td>Median Earnings</td>
<td>$4,300.00</td>
<td>$5,400.00</td>
</tr>
<tr>
<td>Credential Attainment within 4 Quarters</td>
<td>64% (PY 2019)</td>
<td>71% (PY 2019)</td>
</tr>
</tbody>
</table>

VIII. REPORTING REQUIREMENTS AND NCWORKS ONLINE
Accountability is an essential aspect of the administration of Workforce Innovations and Opportunity Act. All services and outcomes must be tracked and federal and state reporting requirements must be met. The North Carolina Division of Workforce Solutions has developed an internet-based Management Information System, NCWorks Online, to provide for the storage and maintenance of data that is necessary to comply with federal and state requirements. This system was developed to provide a customer intake, tracking and reporting system for WIOA. The system is built around a concept of workflow that is intended to “match the reality of case management in the field.” The system provides security for participant records, and features standard reports that are accessible to Lumber River WDB staff and to Service Providers. An individual participant record is
created in the state’s MIS System for each person served under WIOA. WIOA Service Providers are required to use the state’s MIS System to track all customers from initial contact through intake/application, eligibility termination, WIOA registration, and enrollment into selected activities, case management, case notes, activity status updates, outcomes reporting, exit, and post-employment follow-up.

The system is browser-based, provides security for participant records, and will provide reports, which will be accessible to the WIOA Service Provider and Lumber River Local Area. A personal computer that has Internet Explorer 4.0 or higher and an Internet connection will be able to access and use the system.

Service Providers will use this system to input data and maintain program information. *All entries should be made within five working days of the action or event.*

A. DATA VALIDATION

The US Department of Labor (DOL), Employment and Training Administration (ETA), issued data validation policy for federally-funded employment and training programs. The intent of the DOL policy is to establish requirements for states and Local Areas to follow in order to ensure the accuracy of information collected and reported on program activities and program outcomes. The requirements apply to all programs, that is, adult, dislocated worker, older youth and younger youth. The federal policy mandates that states “demonstrate the validity of reported data,” and conduct data validation annually. Data validation is a two-part process: WIOA report validation and WIOA data element validation. DWS validates its WIOA annual report prior to submitting it to DOL each fall. WIOA data element validation requires states to validate select WIOA data elements and to submit WIOA data element validation reports to DOL by February 1st of each year.

Each data element populated on an exiter’s (participant) data validation worksheet is marked as “pass” or “fail”, depending on whether or not the data validator found hard copy supporting documentation for the data element in the participant’s file. Allowable supporting documentation varies between data elements, but does not vary between the adult, dislocated worker, older youth and younger youth cohorts. That is, documentation allowed for date of birth is the same, regardless of whether the data validator is looking at an adult, dislocated worker, older youth or younger youth.

The data validation process is intended to ensure the accuracy and reliability of information reported to our stakeholders at the national, state, and local levels. The Office of the Inspector General (OIG) determined that the information being reported to DOL by the states could not be substantiated by the states or DOL. Once the validity of the data was questioned, the integrity of the system was cast in doubt. DOL’s report and data element validation system was created to return integrity to the system as a whole.

One positive benefit to the system in North Carolina is the development of standardized file structures across the state. This leads to more organized files that will contain all the information required by case managers, management, program monitors and data validators. As a result, case managers will no longer have to guess at file contents or question whether or how data elements are to be documented in the case files.
As a result, Service Providers must meet all federal, state and local area policies, procedures, guidelines and requirements in order to pass the data validation review. This is a critical component of the program operation and success.

IX. SERVICE PROVIDER MEETINGS/STAFF DEVELOPMENT
Attendance at service provider meeting is mandatory. At the meetings, providers will be updated on program issues and policy updates. Staff is expected to attend training, which will enhance career development skills. Local Area training will be held according to staff training needs. It is strongly encouraged that each staff member completes the Career Development Facilitator Training and become certified. In addition, attend conferences and trainings sponsored/endorsed by the NC Division of Workforce Solutions.

A. STAFF/CUSTOMER RATIO
A realistic staff to customer ratio can mean the success of a program. Too many or too little customers per staff member can be disruptive to the customer and have an effect on the program. Based on your program services, determine a staff to customer ratio that will reflect the purpose of your program and expected success rate. For example, 1 staff per 75 customers is a reasonable ratio. In addition, it is suggested that staff have an equal amount of customers based on their job description.

B. MONTHLY AND QUARTERLY REPORTS
It is expected that routine monthly and quarterly written programmatic reports will be developed to include WIOA Common Measures, career services, career center traffic, and other key performance indicators. LRWDB will work closely with selected service providers to design and administer these reports.
LUMBER RIVER WORKFORCE DEVELOPMENT BOARD

WORKFORCE INNOVATION AND OPPORTUNITY ACT

Adult & Dislocated Worker RESPONSE PACKAGE
PROGRAM YEAR 2020/2021
(JULY 1, 2020 – JUNE 30, 2021)

Lumber River Council of Governments
30 CJ Walker Road
Pembroke, NC 28372
910-618-5533
PROPOSAL NARRATIVE INSTRUCTIONS

This portion of the proposal should give reviewers a clear picture of the proposed services and the capability of the offeror to deliver the proposed services. Proposers should follow the alphabetical and numerical sequence of the format described below. Each response should begin with the action being addressed (i.e. “Describe the………..”), followed by the response. If a section does not apply, write “N/A” or “Does not apply” by the respective section. Provide responses as brief as possible but with enough information to adequately respond to the questions or statements. Limit responses to no more than 15, typed, double-spaced pages with a font size no less than 12.

Please include the question followed by the response

A. EXPERIENCE AND CAPACITY (This section must be completed by all bidders)

1. Provide a brief background/history of the organization. Describe your organization’s mission, and accomplishments and customer service philosophy. Also include number of years in operation, size of the organization, and the geographic distribution of the service delivery area.

2. Describe how offering services in response to the RFP will fit into the Proposer organization’s mission or business plan. Include internal structure including management and supervisory staff positions to be used to operate this program in the LRWDB service area.

3. Describe your organization’s financial and administrative experience in managing and accounting for multiple federal, state and local funding sources.

4. Describe your organizations self-monitoring for contract performance and compliance; and developing and implementing a continuous improvement model.

5. Describe past experience that demonstrate the capability to manage, administer and operate a workforce development program under WIOA to serve adults, dislocated workers, businesses, and youth. Include specific data on outcomes achieved to demonstrate your ability to meet contractual performance standards for WIOA services or comparable programs.

6. Describe your experience providing oversight of multi-organization staff teams and experience in developing and delivering technical assistance and capacity building with workforce staff and organizations.
7. Describe how your resources, professional contacts, knowledge of the labor market, and special expertise will support the LRWDB to meet and exceed performance goals for the NCWorks system.

8. Describe resources your organization brings to the workforce system that will assist in the coordination and delivery of services and how the organization as a whole will support the work of staff and the programs.

9. Staffing Plan - Please detail your plan to staff the proposed services for the counties in which your organization is bidding. Please include the following details:

   o **Number of staff** (indicate full time or part time) to include where staff will be housed. If staff will serve more than one location, please indicate this with the appropriate details regarding the locations, time at each center and schedule if known;

   o **Job descriptions** to include, job titles, job duties to be funded under this proposal and range of activities to be performed. Please use provided form;

   o **Qualifications** of key staff to be assigned on-site to this program including education, experience, and any specialized training or certifications specific to workforce service delivery. If your organization will need to hire staff as a result of being awarded a contract, please outline your plan to hire qualified staff; and

   o Describe how you expect to provide on-going staff training to ensure your staff has access to the most current information, tools, and promising practices.

10. Describe in-house monitoring and evaluation systems that are in place to evaluate program operations?

11. Describe your fiscal management system and include the following:
   - The process the Proposer uses or proposes to use to timely capture and report fiscal information to the LRWDB’s administrative entity;
   - What systems are in place to ensure fiscal accountability, timely, and appropriate expenditure of WIOA funds;
   - Describe how the Proposer will internally track both actual and projected obligations
   - Describe the Proposer’s ability and method it would use to repay disallowed costs if such disallowances are identified in the monitoring or audit of the contract; and
• Proposers must have the capacity to track expenses down to the participant level either within their organization’s accounting system or alternative tracking system. Please describe how this will be accomplished.

12. For potential new providers: Provide a schedule for addressing start-up priorities including, but not limited to, staffing, staff training, and purchasing. Explain how the transition of current participants from previous contractors will smoothly shift to the new contractor, including meetings, changes in delivery of services, and timeframe during the first quarter.

13. For current providers: Describe any plans necessary to fully transition to WIOA services to include any anticipated changes not else identified in this proposal.
1. Agency Name: ____________________________________________________________
   Street Address: __________________________________________________________
   Mailing Address: _________________________________________________________
   Contact Person(s): _________________________________________________________
   Telephone Number(s): ( ) ___________________( ) _____________________________
   Fax Number(s): ( ) __________________________ E-Mail: __________________________

Check the box that most appropriately describes your organization:

□ Unit of Local Government    □ Private Non-Profit Organization    Federal ID #___________
□ For-Profit Organization      □ Other:________

2. The following proposal is hereby submitted in response to LRWDB WIOA-RFP # 2020-21 to
   provide WIOA
   Title I (B) Adult and Dislocated Worker Services.

   Proposed Training Period:   Start Date: ____________   End Date: _____________

Budget Allocations by County:

<table>
<thead>
<tr>
<th>County</th>
<th>Adult Program</th>
<th>Dislocated Worker Program</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>BLADEN</td>
<td>$109,557</td>
<td>$60,659</td>
<td>$170,216</td>
</tr>
<tr>
<td>HOKE</td>
<td>$114,831</td>
<td>$76,477</td>
<td>$191,308</td>
</tr>
<tr>
<td>RICHMOND</td>
<td>$124,249</td>
<td>$75,880</td>
<td>$200,129</td>
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<tr>
<td>ROBESON</td>
<td>$413,056</td>
<td>$238,009</td>
<td>$651,065</td>
</tr>
<tr>
<td>SCOTLAND</td>
<td>$165,307</td>
<td>$106,960</td>
<td>$272,267</td>
</tr>
<tr>
<td>TOTAL</td>
<td>$927,000</td>
<td>$557,985</td>
<td>$1,484,985</td>
</tr>
</tbody>
</table>

Check counties and indicate the number of participants, to be served:

□ Bladen_____  □ Hoke_____  □ Robeson_____  □ Scotland_____  □ Richmond_____  

3. Summary of Proposed Budget:

   **ADULT**

<table>
<thead>
<tr>
<th>COST OBJECTIVES/CATEGORIES</th>
<th>AMOUNT</th>
</tr>
</thead>
<tbody>
<tr>
<td>TOTAL COST OF PROPOSED PROGRAM</td>
<td></td>
</tr>
<tr>
<td>Total Number of Proposed Training Slots</td>
<td></td>
</tr>
<tr>
<td>Cost Per Training Slot</td>
<td></td>
</tr>
</tbody>
</table>
**DISLOCATED WORKER**

<table>
<thead>
<tr>
<th>COST OBJECTIVES/CATEGORIES</th>
<th>AMOUNT</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>TOTAL COST OF PROPOSED PROGRAM</strong></td>
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<td></td>
</tr>
<tr>
<td>Cost Per Training Slot</td>
<td></td>
</tr>
</tbody>
</table>

Are funds from other funding sources being requested in order to implement this proposed WIOA program?

**YES*** ____ **NO*** ____ If the answer to the above question is yes, please complete the following to indicate sources, amounts and expected dates of funding approval.

<table>
<thead>
<tr>
<th>OTHER EXPECTED FUNDING SOURCES</th>
<th>EXPECTED AMOUNT</th>
<th>EXPECTED DATE OF APPROVAL</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</tr>
</tbody>
</table>

**TOTAL OTHER FUNDS EXPECTED**

4. Please indicate an estimated **Staff to Customer Ratio**.

   ______________ Program Staff to every ______________ Adult Customers

   ______________ Program Staff to every ______________ Dislocated Worker Customers

5. Provide the name, address, title, telephone and fax numbers and email address of the authorized administrative/fiscal agent’s signatory official (authorized to sign contracts/budgets)

6. Provide the name, address, title, telephone and fax numbers and email address of the agency WIOA Supervisor:
CERTIFICATION: I certify that the information contained in this proposal, fairly represents this entity and its operating plans and budget necessary to conduct the proposed WIOA Employment, Training and Services Program Activities described herein. I acknowledge that I have read and understand the requirements of the Request For Proposal (RFP) and that this entity is prepared to implement the proposed activities as described herein. I further certify that I am authorized to sign this proposal and any contractual agreement emanating therefrom on behalf of the entity submitting the proposal. This PROPOSAL or OFFER is firm for a period of at least ninety (90) days from the closing date for submission, which is March 19, 2020, at 12:00 p.m. This Response Package Cover Sheet has the following PARTS attached:

1. Response Package Cover Sheet
2. Statement of Work Narrative with all appropriate attachments
3. Program & Financial Management Forms (Each section completed)
4. Assurances and Certification Forms (Signed and Dated)
5. Statement of Compliance Forms (Signed and Dated)
6. Certificate Regarding Debarment, Suspension, etc. (Signed and Dated)
7. Certificate Regarding Drug-Free Workplace Requirements (Signed and Dated)
8. Certificate Regarding Lobbying
9. Job Descriptions
10. Listing of Staff Names and Position Titles that corresponds with budgets
11. Budget Summary Packet (to include requested itemizations of costs)
12. Updated Organizational Chart (must be currently dated)
13. Copy of Bond Agreement Policy/Declaration (proof of insurance)
14. Copy of latest Audit or estimated completion date of Audit (submit as soon as possible)
15. Updated Agency Board Listing (must be currently dated)
16. Program and Fiscal Evaluation Responses
17. Personnel Travel Policy
18. Indirect Cost Rate Policy/Approved Rate, if applicable
19. Iran Divestment Certification

(SIGNATURE of Signatory Official) ____________________________ (DATE) ____________________________

(Typed or Printed NAME of Signatory Official) ____________________________ (JOB TITLE) ____________________________
STATEMENT OF WORK NARRATIVE FOR ADULT AND DISLOCATED WORKERS

The purpose of the Adult & Dislocated Worker Statement of Work Narrative is to provide an in-depth description of the program design, to demonstrate how requirements will be met, and to describe the process for achieving outcomes. Please address the following components in the statement of work and how they will be carried out. Please include the question followed by the response.

A. PROGRAM DESIGN

1. Describe how your organization will manage the eligibility and enrollment process to ensure that all customers enrolled are eligible and appropriate for WIOA services? At a minimum, please include information about staff training and supervision related to the eligibility and enrollment process.

2. Describe your organizations internal monitoring process as it pertains to ensuring staff is delivering and documenting services provided to customers.

3. How will the Proposer ensure that applicants that cannot be served by the Proposer’s program are referred to appropriate services? Include how the Proposer will ensure all referrals are tracked.

4. Describe how you will serve large numbers of varying individuals who will receive career services within an integrated service delivery system. In your description discuss service delivery for serving individuals with barriers.

5. Describe any innovations and strategies that have been found to increase the likelihood of success for individuals and how you plan on using those strategies within the NCWorks system.

6. Describe how your organization will manage the provision of WIOA funded training services. Include specifics about determining individual customer need for training, assisting the customer to select an appropriate occupational sector, developing a comprehensive individual service strategy to include the training services. Include details about how you will engage the customer to be successful with the educational component and the transition from training to employment.

7. There is an increased focus on Work Based Learning in the WIOA legislation. Describe how you will provide paid on the job training including the pre award analysis, contract development, skill gap analysis, training plan development, monitoring, evaluation and any additional details that demonstrate your ability to successfully offer on the job training.

8. Provide any other program design ideas regarding short term work based learning options, other than OJT, that may result in employment.

9. Explain how you will provide Work Experience training. Include criteria and guidelines for selecting job seekers and identifying employers for Work Experience opportunities.

10. Describe strategies that will ensure services are in alignment with current local and regional labor market demands.

11. Provide a narrative describing plan for service delivery that results in achievement of performance measures and outreach and recruitment to target groups.
B. SUPPORTIVE SERVICES
LRWDB has established specific supportive services policies to include amounts, duration, and qualifying criteria (i.e. childcare, transportation needs). Refer to Attachment “D” which outlines LRWDB Supportive Services Policy.

1. Describe the process for verifying that supportive services are provided only to individuals who are unable to obtain supportive services through other programs providing such services.
2. Describe how your agency will ensure non-duplication of supportive services. Identify the types of agreements that exist with other agencies to provide supportive services.
3. Describe how the adequacy of supportive services will be determined. Describe the process of disbursing payments.

C. FOLLOW UP SERVICES

1. Describe the types of follow-up methods/activities for individuals who enter employment. Indicate how follow-up services will occur to ensure participants maintain employment upon completion of program requirements.
2. Describe how retention of participants by the employer will be encouraged and monitored.
3. Describe planned follow-up activities for individuals who do not enter employment.
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.

D. EMPLOYER SERVICES

1. Describe the types of business services that will be provided, including innovative practices (such as packaged services, specialized services, job analysis, etc.)
2. Describe key principles for serving businesses (such as shifting focus from job seekers to employers, building strong relationships, providing customized and individualized services, process of service delivery, etc.)
3. Describe how you will track and document services provided to employers, as well as track employer satisfaction.
4. Describe how you will gather and analyze labor market information about ongoing and emerging needs of regional employers.

E. NCWORKS ONLINE

1. Describe your agency’s plan to ensure that case managers are updating participant information on NCWorks frequently; at a minimum, once a month.
2. Data Validation is an important part of performance and accountability. Describe how your agency will review data in the participant files, compared to data that has been keyed into the NCWorks Online System for accuracy, and ensure that supporting documentation has been received and filed correctly in the participant files.
1. In accordance with the Division of Workforce Solutions Fiscal Policy, the Lumber River Workforce Development Board requires that contractors submit allowable WIOA expenditures on a monthly basis by program year. The LRWD will provide the contractor with an electronic version of the monthly invoice & backup form to be used to submit such expenditures. The monthly invoice form, backup form, and requested documentation will be due to the LRWD office by the 15\textsuperscript{th} of the month for the previous reporting month. (i.e. January monthly invoice will be due to LRWD by February 15\textsuperscript{th}.) Accruals should also be included on the monthly invoice form in the correct column.

A. Taking this into account, please describe your agency’s plan of action to ensure that expenditures and accruals are reported to the Local Area on a monthly basis as required and stated in the executed contract and Fiscal Management Policy. (Reference Attachment “E” for Local Area Policy).

B. Provide staff person’s name and title as to who will be responsible for submission of the monthly invoice/backup form/requested documentation.

C. Provide your agency’s projected expenditure levels for the following reporting periods:

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<tbody>
<tr>
<td>ADULT</td>
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<tr>
<td>DISLOCATED WORKER</td>
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2. Occupational Skills Training: Reference Attachment “C” for Adult/DW Occupational Skills Policy Costs must be WIOA/Local Area allowable and approved budget/budget revision. Prior authorization for Occupational Skills Training costs to be incurred for a participant requires two steps: (1) WIOA Basic Career/Individualized Career enrollment; (2) appropriate completion of a Financial Award Analysis form (FAA) and an Individual Training Account Voucher (ITA).

A. Describe your agency’s plan of action to monitor Occupational Skills expenditures in the area of: allowable costs, costs limits and appropriate documentation.

B. What type of tracking system will your agency have in place to appropriately track issued/voided ITA vouchers?
3. **Other Participant Training Costs:** Other Participant Training Costs are items needed to enter a training program to include: instructional supplies (calculator, pens, etc.), tools of the trade, child care, transportation, etc. (see Supportive Services Policy/Assignment of Cost Categories). Costs must be WIOA/Local Area allowable and approved per budget/budget revision. Prior authorization for Other Participant Training Costs requires the following: (1) WIOA Basic Career/Individualized Career enrollment (2) notification of need either by instructor or course training guide; (3) appropriate completion of a Cost Authorization Voucher (CA) authorizing the cost to be incurred.

   A. Describe your agency’s plan of action to monitor Other Participant Training costs in the area of: allowable costs, costs limits and appropriate documentation.

   B. What type of tracking system will your agency have in place to appropriately track issued/voided CA vouchers?

4. **On-the-Job Training (OJT):** An OJT is training by an employer that is provided to a paid participant while engaged in productive work to obtain or retain employment that leads to self-sufficiency. Prior to incurring OJT costs, the following is to be satisfactorily completed per LA policy: (1) WIOA Basic Career/Individualized Career enrollment; (2) a skills gap analysis/training plan for the participant; (3) OJT Employer Pre-Award Analysis form; (4) OJT Contract Training Plan, (5) OJT Contract Employer Agreement. The participant cannot begin work with the employer prior to execution of the contract.

   A) Describe your agency’s plan of action to monitor OJT contract execution/costs in the areas listed above.

4. **Work Experience (WEX):** Work Experiences are time-limited work experiences that are subsidized for individuals with barriers to employment who are chronically unemployed or have an inconsistent work history. Prior to incurring WEX costs, the following is to be satisfactorily completed per LA policy: (1) WIOA Basic Career/Individualized Career enrollment; (2) WIOA WEX Policy signed by the participant; (3) WEX Agreement/Training Description/Outline.

   A) Describe your agency’s plan of action to monitor WEX costs in the area of: allowable costs, costs limits, maximum contract hours/reimbursement rates and appropriate documentation.

5. Per 2 CFR 180.310, WIOA funds should not be entered into an agreement with any entity listed on the Suspension of Funding List maintained by the Office of State Budget and Management (OSMB) [http://www.osbm.nc.gov](http://www.osbm.nc.gov) or listed on the DOA’s Debarred Vendors List [http://www.doa.state.nc.us](http://www.doa.state.nc.us). Describe your agency’s plan of action to ensure compliance prior to obligating funds.

6. WIOA funds should only be obligated to LRWDB approved service providers. Describe your agency’s plan to ensure this is adhered to.

7. Discuss your agency's internal fiscal monitoring process to include: WIOA fund obligations; expenditures verses approved budgets.
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 who will be responsible for compliance. Add any comments you find necessary for clarification.

A. Equal Employment Opportunity (EEO)

The Program Applicant (hereinafter referred to as the “Contractor”) assures compliance with the Section 188 of the Workforce Investment Act; Age Discrimination Act of 1975; Section 504 of the Rehabilitation Act of 1973; the American with Disabilities Act of 1990; and Title VI of the Civil Rights Act of 1964 which govern the contractor’s responsibilities in upholding laws pertaining to equal opportunity employment.

(Name of EEO Officer)

(Position Title) Phone #

All participants and staff will be informed of EEO policies and guidelines and the name of the EEO Officer during a formal orientation prior to participating in any WIOA activity funded by WIOA.

The contractor is required to develop and adhere to affirmative action policies. ATTACH a copy of agency grievance procedures.

All grievances and complaints submitted by WIOA participants involving allegations of discrimination, violations of the WIOA, or criminal fraud, abuse or misconduct must be processed according to the Lumber River Local Area Grievance/Complaint Procedures.

B. Internal Program Management

All WIOA contractors are required to establish internal program management procedures to assure compliance and to review program progress. The contractor agrees to monitor and review the following major areas of operation.

1. Compliance with the provisions of the Workforce Innovations and Opportunity Act and regulations or any applicable federal or state regulations;
2. Compliance with the provisions of the WIOA contract;
3. Compliance with all applicable State and LRWDB policies; and
4. Compliance with WIOA regulations regarding records maintenance.

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 WIOA program shall be reported immediately to the LRWDB, the North Carolina Division of Workforce Solutions, and the U.S. Department of Labor. Internal program management procedures must also ensure that auditable
and otherwise adequate records are maintained to support the eligibility of all WIOA participants and confirm adherence to specific program requirements and limitations. The LRWDB will require that WIOA contractors adhere to the established monitoring procedures for ensuring program compliance with federal regulations.

Indicate how this will be accomplished by your agency:

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

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<thead>
<tr>
<th>Staff Assigned</th>
<th>Job Title</th>
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C. Monitoring Procedures

The LRWDB has developed a systematic monitoring system for evaluating the quality and effectiveness of WIOA funded programs. Monitoring is the quality control system whereby the LRWDB 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, LRWDB policies, WIOA regulations, and LRWDB requirements. The LRWDB monitors performance, programmatic, and fiscal activities. In many instances, the different types of monitoring are interrelated, and conducted simultaneously.

Oversight and monitoring is required. Contractors must cooperate with any monitoring, inspection, audit or investigation of activities related to WIOA contracts. These activities may be conducted by the North Carolina Division of Workforce Solutions, the State of North Carolina, the U.S. Department of Labor and the LRWDB, or their designated representatives. This 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. Internal monitoring reports may be requested at the time of review.

- Provide a schedule for internal program monitoring, which includes monitoring of participant files and worksites. Provide the name of the person responsible for performing the monitoring.

D. Records Retention

The following records and documents must be maintained for WIOA participants and employees. The proposed contractor agrees to make these records available for monitoring and review by the LRWDB and agrees to retain these records, subject to audit, for three years from completion of services. Release of responsibility to retain records after the three (3) year period will not be authorized until final resolution of all audit findings. In the event the contractor goes out of business or ceases to be an organization prior to the expiration of record retention responsibility, the contractor will deliver all records required to be retained hereunder to the LRWDB. The following records shall be transmitted to the LRWDB for acceptance in an orderly fashion, with documents properly labeled and filed and in an acceptable condition for storage:
1. General ledger or equivalent;
2. Cash receipts and cash disbursement journals/reports or equivalent;
3. Bank statements, reconciliation, deposit slips, and canceled checks for each bank account through which WIOA funds were received or disbursed;
4. Contract with LRWDB, including all amendments;
5. All financial reports and requests for reimbursement;
6. Payroll records including Individual Earning Record, Employee Withholding Authorization (W-4), FICA reporting forms, Federal and State Withholding, Unemployment taxes, Employee Personnel Files, Time Records and Employee Time/Salary Allocation plan;
7. Invoices and/or supporting data for non-payroll disbursements;
8. Participant records including data forms, verification/documentation items, assessment tests and results and the Employment Plan (or Individualized Service Strategy); and
10. Any other financial records requested by the LRWDB.

E. **Internal Financial Management**

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

1) Compliance with the provisions of the Workforce Investment Act and its regulations and the WIOA program;
2) Compliance with the provisions of the WIOA Contract;
3) Compliance with the applicable State and LRWDB Policies;
4) Compliance with the WIOA contract regarding record maintenance;
5) Compliance with accepted financial management and accounting practices as appropriate (20 CFR Part 652);
6) Compliance with applicable OMB Uniform Guidance 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 WIOA program shall be reported immediately to the LRWDB, the North Carolina Division of Workforce Solutions 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 WIOA funds and confirm adherence to policies regarding allowable costs and allocations of costs to proper cost categories. The contractor 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.**

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<th>Staff Assigned</th>
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F. Invoicing, Reporting and Contractor Close-Out  
(LRWDB operates on a cost reimbursement basis) 

The LRCOG will reimburse the contractor for total allowable costs incurred as agreed upon between the LRWDB and the WIOA contractor. The contractor will submit a Monthly Invoice and Financial Statement form (invoice) for reimbursement of incurred allowable costs. The invoice must be submitted to the LRCOG no later than the 15th working day of any given month along with documentation of each expense included and should cover all allowable costs disbursed for the pay period ending during the previous month.

In order to assure that the LRCOG reimbursements are used in accordance with the provisions of the contract, the contractor shall: (a) use such fiscal, audit, and accounting procedures as may be necessary to assure proper accounting for reimbursements received; and (b) provide the LRCOG and authorized representatives of the U.S. Department of Labor or the Comptroller General of the United States access to and the right to examine any books, documents, papers, records, property and equipment pertaining to funds provided or activities undertaken concerning the program.

All contractor invoices and other reports must contain information required by the LRWDB. The final contract closeout report must be furnished to the LRCOG within fifteen (15) days after the ending date of the contract. Closeout of the program year will be no later than July 30. Expenditures not reported by the closeout deadline will be reimbursed from the next program year allocation as applicable.

G. Submission of Most Recent Audit 

As a recipient of WIOA funds, WIOA contractors will comply with the audit requirements of OMB Circular for institutions of higher education, hospitals, and other non-profit organizations and for governmental organizations. For-Profit WIOA Contractors must have an annual financial and compliance audit performed as required by the LRWDB. The audit shall be performed by an independent Certified Public Accountant selected by methods recommended by the NC Local Government Commission. This requirement will be met by providing LRWDB a copy of the annual audit. The audit should be submitted within 30 days after the completion and acceptance by the contractor’s Board, but not later than nine (9) months after the end of the audit period.

ATTACH a copy of the organization’s most recent annual financial and compliance audit. If a copy of the most recent audit has previously been submitted, please indicate below.

<table>
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<tr>
<th>Audit Firm</th>
<th>Audit Period</th>
<th>Date Submitted to LRWDB</th>
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Note: If the Contractor is not required to have an annual audit and has not had an annual audit, the Contractor must submit copies of the three most recent financial statements including balance sheets, income statements, summary of aging reports for payables and receivables, and statements of cash flow. [Contractors may be required to complete an Internal Control Questionnaire if not subject to audit].
G. 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 by the North Carolina General Statute to be bonded. Non-governmental agencies shall procure a blanket fidelity bond, position bond, or name schedule fidelity bond for all persons or positions authorized to receive or disburse WIOA funds. The Contractor must maintain all bonding in force for the period of the contractual agreement. The proposed contractor must submit a written notice to the LRWDB within fifteen (15) calendar days prior to any reduction in the limits stated on the bonding document. Similarly, the contractor must provide written notice of any cancellation of the bonding policy to the LRWDB immediately upon receipt of the cancellation notices. The bond coverage limit shall be for the total contracted amount or $50,000.00, whichever is less.

Attach a copy of the current bonding document, issued by the vendor’s insurance company, clearly indicating the staff/job titles covered.

H. Requirements for Depository Accounts Holding WIOA Funds

Provide the name of the depository with whom the proposed program funds will be deposited.

Name/Address of Depository

Will the depository account for WIOA funds be an interest bearing account?

Yes_____No_____

The contractor must assure the U.S. Treasury restrictions on excess cash will be observed and that interest will be properly tracked and used for WIOA operations as program income.

I. Program Income Requirements

The contractor assures that it will comply with the WIOA Regulations, as appropriate, for all program income earned under the WIOA. Indicate how program income will be tracked by the contractor and recorded on financial reports to the LRWDB:

K. Property Management Requirements

The contractor agrees to maintain careful accountability of all WIOA 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 Issued by the LRWDB or subsequently acquired with WIOA funds. Acquisition of non-expendable property with a unit cost of $500.00 (including taxes, shipping and handling costs) or more must be approved by the LRWDB
Administrator, **prior to the purchase.** The LRWDB will maintain a fixed-asset listing to be verified for physical location and serviceability at your agency at least annually.

1. Any purchases made for $5,000 or more with WIOA funds must be approved by the LRWDB and the State. The State will monitor the inventory of all items purchased or leased with a value of $5,000 or more.

2. The contractor agrees not to dispose of or transfer any non-expendable property purchased with WIOA funds which has a unit cost of $500 or more and/or a life expectancy of one year or more until written authorization is received from the LRWDB. Any disposal of WIOA property must be according to applicable Federal, State and local disposal procedures. Any revenues derived from the sale of property purchased with WIOA funds must revert to a WIOA activity.

3. The contractor will be responsible for maintaining an accurate inventory of all WIOA property in their possession.

4. In the event property purchased with WIOA funds is stolen or destroyed by criminal act, the contractor will notify appropriate law enforcement officials immediately. The LRWDB Administrator 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 LRWDB.

5. The contractor agrees to pay for or replace (from non-Federal funds) any property purchased with WIOA funds that is lost, damaged, destroyed, or misplaced through negligence of the Contractor, its staff or representatives.

6. The contractor will identify the staff specifically assigned to maintain property inventory records and serve as a liaison with the LRWDB Administrator (or designee) regarding matters of non-expendable property, inventory and accountability.

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**L. Medical/Accident Insurance**

The contractor shall provide adequate on-site medical and accident insurance for all enrollees not covered by the North Carolina Workers’ Compensation law. This coverage shall not include income maintenance. Contributions to a self-insurance plan, to the extent that they are comparable in cost and extent of coverage had insurance been purchased, are allowable upon prior approval by the State (NC Division of Workforce Solutions), through the LRWDB. Requests for such approval are to be submitted in writing to the LRWDB.
M. General Liability Insurance

General public liability insurance coverage in the amount of $500,000 single limit coverage is required of all WIOA proposed contracts operators except where a lesser amount maybe agreed to by the Consortium. NOTE: Contractors that are state agencies or political subdivisions of the State of North Carolina are exempt from the public liability insurance requirement referenced above. Provide information about your organization’s General Liability Insurance Carrier as specified below:

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<tr>
<th>Name/Address of Liability Insurance Carrier</th>
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<tr>
<td>Policy #</td>
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N. Automobile Insurance

Contractors using motor vehicles in conducting program activities (whether hired or said agency vehicles) shall provide proof of automobile insurance which clearly specifies the minimum coverage requirements of the Lumber River Workforce Development Board. The LRWDB requires a minimum coverage of $100,000 per person and $300,000 per accident for bodily injury and $25,000 per accident for property damage. The LRWDB strictly prohibits the use of personal vehicles to transport WIOA participants. If a WIOA contracting agency is found to be in non-compliance, then said agency would be in breach of contract as pursuant to “section 3.11 - Sanctions; Financial Liability” of the contract document. Provide information about your organizations Automobile Insurance Carrier, as well as, any hired vehicles as specified below:

Provide a copy of actual insurance policy for all vehicles to be used in conducting WIOA program activities. It is the responsibility of the contractor to adhere to procurement for transportation services and compliance for requirements.

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<thead>
<tr>
<th>Name/Address of Automobile Insurance Carrier</th>
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<td>Policy #</td>
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ASSURANCES AND CERTIFICATION
Program Year 2020/2021

A. The Program Applicant (hereinafter referred to as the “Contractor”) assures that it will fully comply with the requirements of the Workforce Innovations and Opportunity Act (Public Law 113-128) and its regulations, the WIOA Local Area Plan approved by the LRWDB, the Chief Elected Official for the Workforce Development Consortium, and the North Carolina Division of Workforce Solutions.

B. The Contractor assures that it will administer its services under the WIOA in full compliance with safeguards against fraud and abuse as set forth in WIOA and the WIOA regulations; that no portion of its WIOA service will in any way discriminate against, deny benefits to, deny employment to, or exclude from participation any person on the grounds of race, color, national origin, religion, age, sex, disability, or political affiliation or belief; that it will target employment and training services to those most in need of them.

C. The Contractor assures that it will administer its services funded under the WIOA in accordance with these provisions: (1) a trainee will receive no payments for training activities in which the trainee fails to participate without good cause; (2) on-the-job training participants will be compensated by the employer at the same rate, including periodic increases, as similarly situated employees or trainees and in accordance with applicable law, but in no event less than the higher of the rate specified in Section 6(a)(1) of the Fair Labor Standards Act of 1938 of the applicable State Minimum Wage Law; and (3) participants employed in activities authorized under the Act must be paid wages which will not be less than the highest of (a) the minimum wage under Section 6(a)(1) of the Fair Labor Standards Act of 1938, (b) the minimum wage under the applicable State Minimum Wage Law, or the prevailing rates of pay for individuals employed in similar occupations by the same employer.

D. The Contractor assures that it will administer its services under WIOA in full compliance with health and safety standards established under State and Federal law and that conditions of employment and training be appropriate and reasonable in light of such factors as the type of work, geographical area and proficiency of the participant.

E. The Contractor assures that all staff and participants/enrollees paid from the grant funds and employed in any service will be covered by workers compensation benefits in accordance with State law; that enrollees in WIOA work-related training will be provided accident or medical insurance to cover any injury resulting from participation in the program; and that enrollees employed in subsidized jobs will be provided benefits and working conditions at the same level and to the same extent as other employees working a similar length of time and doing the same type of work.

F. The Contractor assures that no funds available under the WIOA will be used for contributions on behalf of any enrollee to retirement systems or plans; to impair existing conditions for services or collective bargaining agreements; to assist, promote, or deter union organization; and to displace any currently employed worker.

G. The Contractor assures that no enrollee will be employed or fill a job opening when any other individual is on layoff from the same or substantially equivalent job, or when the employer terminates the employment of any regular employee or otherwise reduces its work
force with the intention of filling vacancies so created by hiring participants subsidized under the Act; and no funds may be used to create promotional lines that infringe upon any current promotional opportunities.

H. The Contractor assures compliance with all federal rules and regulations which prohibit the use of WIOA funds to lobby the Executive or Legislative Branches of the Federal Government in connection with a specific contract, grant or loan. If lobbying has occurred utilizing other than Federal appropriated funds, the contractor agrees to file a disclosure report if applicable.

I. The Contractor assures and certifies that it is in compliance with federal rules and regulations, Debarment and Suspension, and is not presently debarred, suspended, for debarment, declared ineligible, or involuntarily excluded from participation in this transaction by any Federal department or agency.

J. The Contractor assures and certifies that the Contractor has in place an established grievance procedure to be utilized for grievances or complaints about its program and activities from participants/enrollees, sub-grantees, and subcontractors and other interested parties.

K. The Contractor will comply with the provisions of the Uniform Relocation Assistance and Real Property Acquisition Act of 1970 (Public Law 91-646) which requires fair and equitable treatment of persons displaced as a result of Federal and federally assisted programs.

L. The Contractor will comply with the provisions of the Hatch Act which limits the political activity of certain State and local government employees and enrollees in federally funded programs.

M. The Contractor will comply with NC-GS-234 which prohibits public officials and employees from having a personal interest in any contract to which s/he is also a party in an official capacity.

N. The Contractor assures and certifies that it will comply with restrictions regarding conducting business with businesses on the Environmental Protection Agency’s List of Violating Facilities. Contracts and subcontracts in excess of $100,000, or circumstances where the Division of Workforce Solutions has determined that orders under an ‘indefinite quantity financial agreement’ in any year will not exceed $100,000, or if a facility to be used has been the subject of a conviction under the Clean Air Act [42 U.S.C. 1319 (c)] and is listed by the Environmental Protection Agency (PA) or is not otherwise exempt, the Contractor assures that: (1) no facility to be utilized in the performance of the grant has been listed on the EPA List of Violating Facilities; and (2) it will notify the LRWDB, prior to award of the receipt of any communication from the Director of Federal Activities, U.S.E.P.A., indicating that a facility to be utilized for a contract is under consideration to be listed on the EPA List of Violating Facilities.

O. The Contractor will comply with the provisions of nepotism related to federally funded programs.
P. The Contractor assures and certifies that enrollees will not be employed on the construction, operation, or maintenance of so much of any facility as is used or to be used for sectarian instruction or as a place for religious worship.

Q. The Contractor assures and certifies that it, and all of its subcontractors, will comply with applicable provisions of the following laws as they relate to employment and training procedures:

- The Drug Free Workplace Act
- The Immigration Reform Act
- The American’s with Disabilities Act
- The Davis-Bacon Act
- Child Labor Laws
- The Fair Labor Standards Act

Certification

This is to certify that all specifications contained in the LRWDB’s Contract for Performance have been read, understood, and addressed in the proposal; that the required format has been followed; that all of the information contained in this packet is true and correct; that the Contractor organization will comply with all of the above assurances; and that this packet has been duly authorized by the governing body of the Contractor organization.

Signature of Authorized Representative          Date

Name                                             Title
STATEMENT OF COMPLIANCE
Program Year 2020/2021

As the authorized signatory official for: ________________________________________________
Submitted Firm/Organization

I hereby certify:

• that the above-named proposer is duly approved to submit this application requesting funding under the Workforce Innovations and Opportunity Act;

• that the above-named proposer does hereby agree to execute all work related to this application in accordance with the WIOA Grant, the North Carolina Division of Workforce Solutions policies, Lumber River Workforce Development Board policies and guidelines, and other administrative requirements issued by the Governor of North Carolina. The vendor shall notify the LRWDB within 30 calendar days after issuance of any amended directives if it cannot so comply with the amendments; and

• that the above-named proposer will ensure special efforts to prevent fraud and other program abuses, such as but not limited to, deceitful practices, intentional misconduct, willful misrepresentation and improper conduct which may or may not be fraudulent in nature; and

• that the contents of the application are truthful and accurate and the above named vendor agrees to comply with the policies stated in this application; and

• that the above-named proposer has received and is in agreement with Governor’s Coordination Criteria for North Carolina’s Workforce Solutions Program for Program Year 2020; and

• that this application represents a firm request subject only to mutually agreeable negotiations; and

• that the above-named proposer is in agreement that the LRWDB reserves the right to accept or reject any proposal for funding; and

• that the above-named proposer has not been debarred or suspended from receiving federal grants, contracts, or assistance; and that if awarded a contract for the service, assures that no subcontracts, grants or assistance will be made, or permitted to any debarred or suspended organization as provided under Executive Order 12549; and

• that the above-named proposer waives any right to claims against the members and staff of the Lumber River Council of Governments, Lumber River Workforce Development Board, or Lumber River Workforce Development Consortium in their individual capacities.

Authorized Representative Signature       Notary Name/Date

Typed Name/Title

Affix Notary Seal
Certificate Regarding
Debarment, Suspension, Ineligibility and Voluntary Exclusion
Lower Tier Covered Transactions
Program Year 2020/2021

Contractor Organization:

This certification is required by the regulations implementing Executive Order 12549, Debarment and Suspension, 48 CFR Part 9, Subpart 9.4, Participants’ Responsibilities.

(BEFORE COMPLETING CERTIFICATION, READ ATTACHED INSTRUCTIONS WHICH ARE AN INTEGRAL PART OF THE CERTIFICATION)

(1) The prospective recipient of Federal assistance funds certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective recipient of Federal assistance funds is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

________________________________________
Name and Title of Authorized Representative

________________________________________
Signature Date
INSTRUCTIONS FOR CERTIFICATION-LOWER TIER TRANSACTIONS

1. By signing and submitting this proposal, the prospective recipient of Federal assistance funds is providing the certification as set out below.

2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective recipient of Federal assistance funds knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the Department of Labor (DOL) may pursue available remedies, including suspension and/or debarment.

3. The prospective recipient of Federal assistance funds shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective recipient of Federal assistance funds learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

4. The terms “covered transaction,” “debarred,” “suspended,” “ineligible,” “lower tier covered transaction,” “participant,” “person,” “primary covered transaction,” “principal,” “proposal,” and “voluntarily excluded,” as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.

5. The prospective recipient of Federal assistance funds agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the DOL.

6. The prospective recipient of Federal assistance funds further agrees by submitting this proposal that it will include the clause titled “Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier covered Transactions,” without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to check the List of parties Excluded from Procurement or Non-procurement Programs.

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render, in good faith, the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the DOL may pursue available remedies, including suspension and/or debarment.
Certification Regarding Drug-Free Workplace Requirements

A. The grantee certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee’s workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an ongoing drug-free awareness program to inform employees about - -

   (1) The dangers of drug abuse in the workplace;
   (2) The grantee’s policy of maintaining a drug-free workplace;
   (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
   (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will - -

   (1) Abide by the terms of the statement; and
   (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency in writing, within ten calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted - -

   (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
   (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (street address, city, county, state, zip code):

__________________________________________________________________

__________________________________________________________________

__________________________________________________________________

__________________________________________________________________

Check [ ] if there are workplaces on file that are not identified here.

__________________________________________________________________

Name and Title of Authorized Representative

__________________________________________________________________

Signature          Date
CERTIFICATION REGARDING LOBBYING

CERTIFICATION FOR CONTRACTS, GRANTS, LOANS,
AND COOPERATIVE AGREEMENTS

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit standard Form-LLL, “Disclosure Form to Report Lobbying,” in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and discuss accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

Name and Title of Authorized Representative

________________________
Signature                     Date
JOB DESCRIPTION

Name: ________________________________________________________________

Job Title: ____________________________________________________________

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

1. Describe actual job duties or tasks to be performed in relation to the above named WIOA 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 WIOA program as follows:
   a. ________ hours per day  b. ________ hours per week

4. This person will normally devote a total of ________ hours per week to all programs (including both WIOA and non-WIOA).

5. This person will devote ________ % (#3.b./#4.) of his/her time to this WIOA program on a weekly basis. This % should agree with the % used on the Budget Summary Worksheet.

6. Name of Immediate Supervisor: _______________________________________

7. Does the staff person(s) assigned to this position work in other sections/departments with agency?
   No _____    Yes _____    If yes, briefly describe other duties: ______________________
The North Carolina Department of State Treasurer is requiring Local Government Units to explain new contracting and procurement compliance obligations created by the Iran Divestment Act of 2015 (N.C.G.S. 143C-6A-1 to 6A-9).* Local Government Units should be aware that as of February 26, 2016, this law imposed new obligations on each new bid process, each new contract, and each renewal or assignment of an existing contract. The specific requirements are as follows:

1. Local Government Units must obtain a one-page mandatory certification under the Act. (See “Contract Certification” form below for details.)

2. Local Government Units may not enter into contracts with any entity or individual found on the State Treasurer's Iran Final Divestment List. This list will be updated every 180 days. (See “Contract Restrictions” below for details.)

**Background** The Iran Divestment Act's requirements applicable to Local Government Units** became effective on February 26, 2016, at the time the State Treasurer publishes the first list of prohibited companies and individuals (a “Final Divestment List”) under the Act.

**Final Divestment List** The Department of State Treasurer develops the Final Divestment List using data from a research vendor, U.S. federal sanctions lists, and other credible information available to the public. It consists of any individual or company, including parent entities and majority owned subsidiaries, that:

- Provided goods or services of $20,000,000 or more within any 12-month period in the energy sector of Iran during the preceding five years;
- Extended $20,000,000 or more in credit, under certain circumstances, to another individual or company that will use the credit to provide goods or services in the energy sector in Iran. (G.S. 143C-6A-3(4).)

The Department of State Treasurer will update the Final Divestment List at least every 180 days. The list will be published on the State Treasurer’s website at www.nctreasurer.com/Iran and periodically circulated to Local Government Units.

**Requirement 1: Contract Certification** For new procurements and new, renewed, or assigned contracts on or after February 26, 2016, each Local Government Unit must obtain a simple certification from each bidder or vendor. The bidder or vendor must affirm that it is not listed on the State Treasurer’s Final Divestment List found at www.nctreasurer.com/Iran as of the date of signature. The certification is due at the time a bid is submitted or the time a contract is entered into, renewed, or assigned. (G.S. 143C-6A-5(a).)

**Requirement 2: Restriction on Contracting** Individuals or companies on the Final Divestment List are ineligible to contract or subcontract with Local Government Units. (G.S. 143C-6A-6(a).) Any existing contracts with these Iran-linked persons will be allowed to expire in accordance with the contract’s terms. (G.S. 143C-6A-6(c).)

Contracts valued at less than $1,000.00 are exempt from this restriction. (G.S. 143C-6A-7(a).) In addition, a Local Government Unit may contract with a listed individual or company if it makes a good-faith determination that (1) the commodities or services are necessary to perform its functions and (2) that, absent such an exemption, it would be unable to obtain those commodities or services. (G.S. 143C-6A-7(c).) Local Government Units shall enter such exemptions into the procurement record.

The Act provides that vendors to Local Government Units may not utilize any subcontractor found on the State Treasurer's Final Divestment List. (N.C.G.S. 143C-6A-5(b).) It is each vendor's responsibility to monitor its compliance with this restriction.

Please complete and include the required form below with proposals.
This Form must be signed & returned by the vendor, bidder, or contractor when bid is submitted or contract is signed**

RFP or Contract Number:

Name of Vendor, Bidder, or Contractor:

IRAN DIVESTMENT ACT CERTIFICATION REQUIRED BY N.C.G.S. 143C-6A-5(a)
As of the date listed below, the vendor or bidder listed above is not listed on the Final Divestment List created by the State Treasurer pursuant to N.C.G.S. 143-6A-4.

The undersigned hereby certifies that he/she is authorized by the vendor, bidder, or contractor listed above to make the foregoing statement.

Signature  Date

Printed Name  Title

Notes to persons signing this form:
N.C.G.S. 143C-6A-5(a) requires this certification for bids or contracts with the State of North Carolina, a North Carolina local government, or any other political subdivision of the State of North Carolina. The certification is required at the following times:

* When a bid is submitted
* When a contract is entered into (if the certification was not already made when the vendor made its bid)
* When a contract is renewed or assigned

N.C.G.S. 143C-6A-5(b) requires that contractors with the State, a North Carolina local government, or any other political subdivision of the State of North Carolina must not utilize any subcontractor found on the State Treasurer’s Final Divestment List.

The State Treasurer’s Final Divestment List can be found on the State Treasurer’s website at the address www.nctreasurer.com/Iran and will be updated every 180 days.
**CONTRACTOR BUDGET SUMMARY**

Workforce Innovations & Opportunity Act  
Adult/Dislocated Worker Program  
Funding Period: **July 1, 2020 - June 30, 2021**

<table>
<thead>
<tr>
<th>Contractor:</th>
<th>County:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Program:</td>
<td>County:</td>
</tr>
<tr>
<td>Adult (Fund 4020)</td>
<td>DW (Fund 4030)</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Original Budget:</th>
<th>Amended/Revised Budget</th>
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<tbody>
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</table>

<table>
<thead>
<tr>
<th>Description</th>
<th>Line Item #</th>
<th>Line Item Total</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Non-Direct Program Costs: STAFF COSTS</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Staff Salaries</td>
<td>1000</td>
<td>0.00</td>
</tr>
<tr>
<td>Staff Fringe Benefits</td>
<td>1010</td>
<td>0.00</td>
</tr>
<tr>
<td>Staff Mileage/Professional Devel. Costs</td>
<td>1020</td>
<td>0.00</td>
</tr>
<tr>
<td><strong>Total Non-Direct Staff Costs</strong></td>
<td></td>
<td>0.00</td>
</tr>
</tbody>
</table>

| **Non-Direct Program Costs: OPERATIONAL COSTS** |             |                 |
| Equipment (unit costs of $500 or more) | 1080 | 0.00 |
| Supplies/Misc. (postage, paper, etc., items w/ unit cost under $500, advertising, printing, marketing, etc.) | 1090 | 0.00 |
| Occupancy Costs (rent/lease, utilities, telephone) | 1110 | 0.00 |
| Overhead Costs/Indirect Costs/Profit Costs | 1160 | 0.00 |
| **Total Non-Direct Staff Operational Costs** | | 0.00 |

| **I. TOTAL NON-DIRECT STAFF COSTS** * | | 0.00 |

| **Program Costs: DIRECT PARTICIPANT** |             |                 |
| Individual Training Accounts ITA | 1030 | 0.00 |
| Customized Training Costs | 1040 | 0.00 |
| Employer OJT Incentives | 1060 | 0.00 |
| Work Experience Wages | 1120 | 0.00 |
| Work Experience Fringe Benefits | 1130 | 0.00 |
| Participant Support Costs (CA per Supp. Serv. policy) | 2040 | 0.00 |
| Contractual Costs (Bus Drivers, Tutors, Prof. Serv.) | 4700 | 0.00 |

| **II. Total Participant Direct Costs** | | 0.00 |

| **Total Program Costs:** | | **0.00** |

*Total Non-Direct Staff Costs limited to 50% maximum of budget*
## I. PROGRAM COSTS: NON-DIRECT STAFF/OPERATIONAL COSTS

### (1000) Staff Salaries

*Attach additional paper if space needed.*

<table>
<thead>
<tr>
<th>Position Title</th>
<th>Monthly Salary of Position</th>
<th>% of Time Applied to Program Cost</th>
<th>Months Applied to Program Cost</th>
<th>Salary Cost to be Charged to Program</th>
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</tbody>
</table>

Total Staff Salaries: $0.00

### (1010) Staff Fringe Benefits

<table>
<thead>
<tr>
<th>Description</th>
<th>Monthly Payment</th>
<th>% of Time Applied to Program Cost</th>
<th>Months Applied to Program Cost</th>
<th>Salary Cost to be Charged to Program</th>
</tr>
</thead>
<tbody>
<tr>
<td>FICA</td>
<td>0.00</td>
<td>Salaries X 7.65% Rate</td>
<td></td>
<td>0.00</td>
</tr>
<tr>
<td>Worker's Compensation</td>
<td>0.00</td>
<td>Salaries X (%) Rate</td>
<td></td>
<td>0.00</td>
</tr>
<tr>
<td>Insurance: Monthly Premium</td>
<td>0.00</td>
<td>Salaries X (%) of time # of months</td>
<td>$0.00</td>
<td></td>
</tr>
<tr>
<td>Insurance: Monthly Premium</td>
<td>0.00</td>
<td>Salaries X (%) of time # of months</td>
<td>$0.00</td>
<td></td>
</tr>
<tr>
<td>Staff Bonding: Mthly Premium</td>
<td>0.00</td>
<td>Salaries X (%) of time # of months</td>
<td>$0.00</td>
<td></td>
</tr>
<tr>
<td>Pension/Retirement</td>
<td>0.00</td>
<td>Salaries X (%) Rate</td>
<td></td>
<td>0.00</td>
</tr>
<tr>
<td>Unemployment Insurance</td>
<td>0.00</td>
<td>Salaries X (%) Rate</td>
<td></td>
<td>0.00</td>
</tr>
</tbody>
</table>

Total Staff Fringe Benefits: $0.00

### (1020) Staff Monthly Mileage/Travel

<table>
<thead>
<tr>
<th>Description</th>
<th>Miles Per Month</th>
<th>% of Time Applied to Program Cost</th>
<th>Months Applied to Program Cost</th>
<th>Salary Cost to be Charged to Program</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mileage</td>
<td>$0.00</td>
<td># Miles Per Month X # of Months</td>
<td>($ Rate Per Mile)</td>
<td>0.00</td>
</tr>
<tr>
<td>Conference/Workshop Fees</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Staff Meetings/Trainings</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Dues to Professional Organizations Related to WIOA</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Total Staff Mileage/Travel: $0.00

## TOTAL WIOA PROGRAM NON-DIRECT STAFF COSTS

$0.00
BUDGET PLANNING WORKSHEETS
Adult/Dislocated Worker
Funding Period: July 1, 2020 - June 30, 2021

Contractor: _______________________________  County: _______________________________

(1080) Equipment

<table>
<thead>
<tr>
<th>Description</th>
<th>Cost</th>
</tr>
</thead>
<tbody>
<tr>
<td>Equipment Purchases (Attach Itemization to include approximate per unit price)</td>
<td>$</td>
</tr>
<tr>
<td>Equipment Leases (Attach Itemization to include approximate per unit price)</td>
<td>$</td>
</tr>
<tr>
<td>Equipment Repairs and Maintenance (To include maintenance contracts)</td>
<td>$</td>
</tr>
<tr>
<td>Other Equipment Costs (Specify and Attach Itemization to include approx. per unit cost)</td>
<td>$</td>
</tr>
</tbody>
</table>

Total Equipment Costs: $ 0.00

(1090) Supplies/Miscellaneous Costs

<table>
<thead>
<tr>
<th>Description</th>
<th>Cost</th>
</tr>
</thead>
<tbody>
<tr>
<td>*Consumable Items:</td>
<td>$ Avg. Cost/Mo. X # Months $ 0.00</td>
</tr>
<tr>
<td>**Advertising/Marketing</td>
<td>$ Avg. Cost/Mo. X # Months $ 0.00</td>
</tr>
</tbody>
</table>

*(Supplies used by contractor staff to operate WIOA Programs: such as paper, pens, pencils, staples, folders, postage, etc.)
**(Advertising related to training activities)

Total Supplies Costs: $ 0.00

(1110) Occupancy Cost

<table>
<thead>
<tr>
<th>Description</th>
<th>Cost</th>
</tr>
</thead>
<tbody>
<tr>
<td>*Monthly Rent</td>
<td>$ X # of Months $ 0.00</td>
</tr>
<tr>
<td>*Telephone Costs</td>
<td>$ Average Cost/Mo. X # of Months $ 0.00</td>
</tr>
<tr>
<td>*Utilities</td>
<td>$ Average Cost/Mo. X # of Months $ 0.00</td>
</tr>
<tr>
<td>*Property/Casualty Insur.</td>
<td>$ Average Cost/Mo. X # of Months $ 0.00</td>
</tr>
<tr>
<td>*Janitorial Serv.:</td>
<td>$ X # of Months $ 0.00</td>
</tr>
<tr>
<td>*Other Occupancy Costs: (Specify and Attach Itemization)</td>
<td>$ 0.00</td>
</tr>
</tbody>
</table>

*Provide copy of Cost Allocation Plan or documentation of how above costs were calculated)

Total Occupancy Costs: $ 0.00

(1160) Overhead Costs- Program (Indirect Costs + Profit Margin)

<table>
<thead>
<tr>
<th>Description</th>
<th>Cost</th>
</tr>
</thead>
<tbody>
<tr>
<td>Indirect Cost</td>
<td>$ base X (%) approved rate $ 0.00</td>
</tr>
<tr>
<td>Profit Margin</td>
<td>$ base X (%) approved rate $ 0.00</td>
</tr>
</tbody>
</table>

*Overhead Costs Line Item is a Maximum of 10% of total budget to include profit.
*Must attach copy of Indirect Cost/Agency Overhead/Cost Allocation Plan or other documentation to justify rates.
*Profit is negotiable per program year. Please adhere to negotiated rate for your contracting agency.

Total Overhead Costs Prog.: $ 0.00

TOTAL WIOA PROGRAM NON-DIRECT OPERATIONAL STAFF COSTS: $ 0.00
II. PROGRAM COSTS: DIRECT PARTICIPANT COSTS

(1030) Individual Training Accounts Costs (adhere to LA Policies)
*Tuition, Fees, Student Insurance, etc.: 
#Students X $ cost per student..  $ 0.00

ITA costs consist of the total cost of training program (short-term or long-term) (tuition, books, fees, uniforms, tools, physicals, shots, etc. not paid by other grants. Max ITA is $5,500 per participant per year with a $11,000 lifetime maximum.

<table>
<thead>
<tr>
<th>Line Item 1030</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total ITA Costs $ 0.00</td>
</tr>
</tbody>
</table>

(1040) Customized Training Costs
*Tuition, Fees, Student Insurance: 
#Students X $ cost per student..  $ 0.00
*(Employer must pay at least 50% of cost)

<table>
<thead>
<tr>
<th>Line Item 1040</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Customized Trng Costs $ 0.00</td>
</tr>
</tbody>
</table>

(1060) Employer On the Job Training Incentives
*Employer OJT Incentives: 
# Slots X $ avg. cost per slot $ 0.00
*Please adhere to LRWDB Policy

<table>
<thead>
<tr>
<th>Line Item 1060</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Employer OJT Incentives $ 0.00</td>
</tr>
</tbody>
</table>

(1120) Work Experience Wages
*Work Experience Wages: 
# Slots X $ avg. cost per slot $ 0.00
*Please adhere to LRWDB Policy

<table>
<thead>
<tr>
<th>Line Item 1120</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total WE Wages $ 0.00</td>
</tr>
</tbody>
</table>

(1130) Work Experience Fringe Benefits
*Work Exp FICA: 
$ 0.00 Salaries X 7.65% (%) Rate $ 0.00
*Work Exp Worker’s Comp: 
$ 0.00 Salaries X (%) Rate $ 0.00

<table>
<thead>
<tr>
<th>Line Item 1130</th>
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<tbody>
<tr>
<td>Total WE Fringes $ 0.00</td>
</tr>
</tbody>
</table>

(2040) Participant Support Costs
*Specify and Attach Itemization) Participant Support Costs
(To include: transportation, child care, health care, housing, financial (emergency type)
*(Must comply with LRWDB Supportive Services Policies)

<table>
<thead>
<tr>
<th>Line Item 2040</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Participant Support $ 0.00</td>
</tr>
</tbody>
</table>

(4700) Contractual Costs
*Specify and Attach Itemization) Contractual Costs (Bus Drivers, Tutors, Prof. Serv., etc.)
(To include: bus drivers, tutors, professional services contracts, etc.)
*(Must comply with LA Fiscal Management Guide and approved budget)

<table>
<thead>
<tr>
<th>Line Item 4700</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Contractual Costs $ 0.00</td>
</tr>
</tbody>
</table>

TOTAL WIOA PROGRAM PARTICIPANT DIRECT COSTS $ 0.00
### (1000) Staff Salaries Section

<table>
<thead>
<tr>
<th>Staff Names</th>
<th>Corresponding Budget Titles</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</tbody>
</table>

#### (1080-N) - Equipment

*Specify and Itemize costs listed under Other Staff Expense line:*

#### (1090 - N) - Supplies/Miscellaneous

*Specify and Itemize:*

#### (1110 - N) Occupancy Costs (rent/lease, utilities, telephone)

*Provide backup documentation of expense*
I. Program: Non-Direct Staff Costs

(1160 - N) Overhead Costs/Indirect & Profit Costs

Provide backup documentation of expense: Cost Allocation Plan/Indirect Cost Plan
Line item 1160 - maximum of 50% of total budget to include profit

<table>
<thead>
<tr>
<th>Staff Names</th>
<th>Title/Job Duties as pertains to WIOA Program</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</tr>
</tbody>
</table>

II. Program: Direct Participant Costs

(4700 - D) Contractual Costs

Specify and Itemize:
Lumber River NCWorks Career Centers

NCWorks Career Center - Bladen County
401 Mercer Mill Road
Elizabethtown, NC 28337
910/862-3255

NCWorks Career Center - Robeson County
289 Corporate Drive, Suite B
Lumberton, NC 28358
910/618-5500

NCWorks Career Center - Richmond County
115 W. Franklin Street
Rockingham, NC 28379
910/997-9180

NCWorks Career Center - Scotland County
303 North Main Street
Laurinburg, NC 28352
910/276-4260

NCWorks Career Center - Hoke County
304 Birch Street
Raeford, NC 28376
910/875-5059
Proposing Agency: __________________________________________________________

County/Counties: __________________________________________________________

Programs: _In-School Youth_ _Out-of-School Youth_ _Adult_ _Dislocated Worker_

Comments: ___________________________________________________________________

________________________________________________________________________

________________________________________________________________________

Score: ____

EVALUATION CRITERIA AND SELECTION OF SERVICE PROVIDERS

A. EVALUATION CRITERIA The criteria which will be used to evaluate proposals are listed below along with their point values. An application must achieve a minimum score of 75 points in order to be considered for funding.

POINT VALUE

50  Probable Program Effectiveness

1. Information to indicate an offeror's ability to:
   1. To achieve the specified goals as proposed in the scope of work response package
   2. Provide services to the eligible population.
   3. Incorporate innovative employment and training strategies.
   4. Move eligible individuals into employment through local, community-based services.
   5. Provide individual case management services.
   6. Address individual participant supportive service needs and barriers to employment.
   7. Provide participant follow-up services for twelve months after the participant is employed
POINT VALUE

25  B.  Offeror Qualifications

Response to indicate offeror's capabilities related to:
1. Experience in providing employment and training services for similar target groups.
2. Past performance
3. Current staff job duties, education, experience, and/or job duties, required education and/or experience of additional staff

15  C.  Budget

Soundness and/or reasonableness of budget in respect to:
1. Staff and operating cost.
2. Cost per participant.
3. Cost by category.
4. Inclusion of supportive service costs.
5. Total program cost.

10  D.  RFP Responsiveness

1. Demonstrated an understanding of and conformance to the format of the RFP
2. Provides adequate, specific and thorough information in response to the narrative questions.
3. Responds with logic, consistency and accuracy

B.  SELECTION OF SERVICE PROVIDERS

The primary consideration in selecting agencies or organizations to deliver services will be the effectiveness of the agency or organization in delivering comparable or related services based on demonstrated performance, in terms of the likelihood of meeting performance goals, cost, quality of training, and characteristics of participants.

Determinations will take into consideration such matters as whether the organization has:

1. Adequate financial resources or the ability to attain them;
2. The ability to meet the program design specifications at a reasonable cost, as well as the ability to meet performance goals;
3. A satisfactory record of past performance (in employment and training related activities), including demonstrated quality of training, the ability to provide or arrange for appropriate supportive services, retention in employment at follow-up and earning rates of participants;
4. The ability to provide services that can lead to long-term unsubsidized employment for participants with identified deficiencies;
5. A satisfactory record of integrity, business ethics and fiscal accountability;
6. The necessary organization, experience, accounting and operational controls;
7. The technical skills to perform the work; and

8. An adequate plan to provide services and all related aspects of providing services as described in the offeror's proposal.

Comments: ________________________________________________________________

____________________________________________________________________________

____________________________________________________________________________

Number of Participants to be Served & Budget Breakout Chart

<table>
<thead>
<tr>
<th>Program Plan</th>
<th>ISY</th>
<th>OSY</th>
<th>AD</th>
<th>DW</th>
</tr>
</thead>
<tbody>
<tr>
<td>Number to be served</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Direct%</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Non-Direct %</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total Cost Per Participant</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Career Center Operations Budget Breakout Chart

<table>
<thead>
<tr>
<th>Program Plan</th>
<th>Career Center Operations</th>
</tr>
</thead>
<tbody>
<tr>
<td>Services</td>
<td></td>
</tr>
<tr>
<td>Staff</td>
<td></td>
</tr>
<tr>
<td>Non-Direct Cost $</td>
<td></td>
</tr>
<tr>
<td>Total Program Cost</td>
<td></td>
</tr>
</tbody>
</table>
Appropriate Forms Completed:

1. Response Package Cover Sheet__
2. Program & Financial Management Forms (Each section completed)__
3. Assurances and Certification Forms (Signed and Dated)__
4. Statement of Compliance Forms (Signed and Dated)__
5. Certificate Regarding Debarment, Suspension, etc. (Signed and Dated)__
6. Certificate Regarding Drug-Free Workplace Requirements (Signed and Dated)__
7. Certificate Regarding Lobbying (Signed and Dated)__
8. Job Descriptions__
9. Listing of Staff Names and Position Titles that corresponds with budgets__
10. Budget Summary Packet (to include requested itemizations of costs)__
11. Updated Organizational Chart__
12. Bond Agreement__
13. Copy of latest Audit or estimated completion date of Audit (submit as soon as possible)__
14. Updated Agency Board Listing__
15. Program and Fiscal Evaluation Responses__
16. Statement of Work Narrative__
17. Transportation Policy__
18. Iran Divestment Act Certification__
LUMBER RIVER WORKFORCE DEVELOPMENT CONSORTIUM
LRLA ADULT & DISLOCATED WORKER INDIVIDUAL TRAINING ACCOUNT AND
OCcupational Skills Policy # 2019-03
July 1, 2019

SUBJECT: Adult & Dislocated Worker Program Individual Training Account (ITA) and Occupational Skills Policy

PURPOSE: To establish rules and requirements for the use and tracking of ITA’s and Occupational Skills Policy within the Local Area under the Workforce Innovation and Opportunity Act (WIOA). The revision includes an update to the LRLA –9 Occupational Skills Policy form.

BACKGROUND: An ITA is a mechanism used by Local Workforce Development Boards to establish a means to pay for board approved training through a voucher system for eligible individuals to finance training services. The ITA is established on behalf of the participant, where services are purchased from eligible providers selected in consultation with the case manager. Section 680.300 explains that the duration and amount of ITAs can be limited as established by the Local Board policy decision, or based on the needs identified in the individual employment plan.

ACTION: In an effort to maximize funds available and in order to provide a uniform system to track ITA vouchers in the Lumber River Local Area, limits will be placed on the amount and duration of the ITAs and the attached Tracking Log will be used. Limitations established by the Local Board will not be implemented in a manner that undermines the Act’s requirement that training services are provided in a manner that maximizes customer choice in the selection of an eligible training provider.

Section 134(c)(3)(E) of WIOA establishes a priority requirement with respect to funds allocated to a local area for adult employment and training activities. Please reference LRLA Priority of Service Policy 2019-06 for established LRWDB policy.

In order to maximize training opportunities for as many eligible individuals as possible, the maximum ITA amount shall be $5,500 per year. The ITA will be allocated as needed (per semester/Occupational Training Track) to allow training to be completed within a two-year period (must have WD Administrator approval for an extended period beyond the two years) at a
provider that has been certified as an eligible training provider per LRWDB approval. A customer seeking to complete a Bachelor’s Degree or a particular certification or to receive an additional degree will be considered an extenuating circumstance. For extenuating circumstances, written approval must be received by the WDB Administrator and will be considered on a case-by-case basis. The maximum lifetime amount to be spent on an ITA is $11,000 per customer. The actual ITA expenditure will not exceed the total cost of the training program (tuition, books, fees, uniforms, tools, physicals, shots, etc.) not paid by other grants. Pell Grant funds and other financial aid resources (loans exempt) must be applied to the total training costs of the individual prior to WIOA funds being used.

The individual must meet the attendance and academic requirements on a semester basis in order to be certified for continued funding under the ITA. Staff contact should be made a minimum of once each month by the Case Manager to assist the participant with problems/concerns and to monitor the progress of the participant.

Each curriculum requiring a significant investment in tools and supplies will be evaluated for ITAs based on the labor market needs and previous experience with successful employment in the occupational skill. WIOA service providers will adhere to the Local Area’s policy and procedures that outline the requirements and limitations of the individual training account. ITAs will be provided for those individuals whose Individualized Service Strategy (ISS) indicates the need for such training. In cases where the individual opts to purchase training services where the costs exceed the approved ITA amount, the individual will be required to pay the additional costs associated with that training.

**EFFECTIVE DATE:** Immediately

**EXPIRATION DATE:** Indefinite

**CONTACT:** Any questions regarding this policy should be directed to Patricia Hammonds, LA Administrator, Workforce Development Division at (910) 775-9764.

**DISTRIBUTION:** All Lumber River Local Area Adult and Dislocated Worker Service Providers and Lumber River Workforce Development Division Staff

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Patricia Hammonds, Local Area Administrator
Workforce Development Division

**Policy Attachments:**
1) WIOA Individual Training Account Voucher
2) ITA Tracking Form
3) Financial Award Analysis Form
4) LRLA-6 Training Program Authorization Request
5) LRLA-9 Occupational Skills Policy
LUMBER RIVER WORKFORCE DEVELOPMENT BOARD
LRLA SUPPORTIVE SERVICES POLICY 2019-02
July 1, 2019

SUBJECT: Supportive Services Policy

PURPOSE: To communicate revisions to local area WIOA Supportive Services Policy requirement and forms. The revision includes an update to the health care assistance section in regards to drug tests and background checks as it relates to unsubsidized employment; the limit on uniform purchases as it relates to work experiences, internships and OJT’s; and a revision to the LRLA- 200 Attendance/Transportation form.

BACKGROUND: The Supportive Services Policy has been established to adhere to the Workforce Innovation and Opportunity Act signed into law by President Obama on July 22, 2014. This policy clearly defines services that are to be referred to other agencies as appropriate.

ACTION: LRLA 2019-02 replaces any prior policies or revised versions of the Supportive Services Policy. LRCOG Workforce Development Division Staff and WIOA Contractors should place the attached revised policies in their LRWD Technical Assistance Manual and begin using these revised policies immediately.

Section 134(c)(3)(E) of WIOA establishes a priority requirement with respect to funds allocated to a local area for Adult employment and training activities. Please reference to LRLA Priority of Service Policy 2019-06 for established LRWDB policy.

EFFECTIVE DATE: Immediately

EXPIRATION DATE: Indefinite

CONTACT: Any questions regarding this policy should be directed to Ann Bullard, Fiscal and Evaluation Coordinator, LRCOG Workforce Development Division at (910) 775-9776.

DISTRIBUTION: All LRCOG Workforce Development Division Staff and WIOA Contractors.

Patricia Hammonds
Patricia Hammonds, Administrator
Workforce Development Division

Attachment: LRWD Supportive Services Policy
LRWD Participant Attendance/Transportation Form
LRWD Childcare Form
LRWD Cost Authorization Form
Overview

Workforce Innovation and Opportunity Program:
Supportive Services for adults and dislocated workers are defined in Sections 134 (d)(2)(A&B) of the Workforce Innovation and Opportunity Act. **Supportive services are services which are necessary to enable an individual to participate in activities authorized under WIOA Title I, but may only be provided when individuals are unable to obtain needed supportive services through other programs providing such services.** Supportive service needs will be identified in the participant’s Individual Service Strategy (ISS), then the Local Area/WIOA contractor will make every reasonable effort to arrange for, through community resources or WIOA, the needed supportive services. Supportive services means services such as transportation, child care, dependent care, housing, and needs-related payments or other reasonable expenses required for participation in the program activities and may be provided as in-kind or through cash assistance. **Although an allowable supportive service, at this time, the Lumber River Local Area will not provide needs-related payments as a supportive service but rather will seek alternative referral mechanisms for this service. The Local Area reserves the right to revisit this decision at its discretion.**

Specific Policies

Letters of commitment for a one-stop career center system have been established in Bladen, Hoke, Richmond, Robeson and Scotland Counties to provide for supportive service needs of eligible individuals. The partners have pledged support and involvement in insuring quality service delivery and customer satisfaction. If a supportive service is available at no cost or reduced cost to an individual, that source will be utilized first. If a supportive service need is not available through another agency and it is necessary for the individual to participate in a WIOA program, it will be provided as long as supportive service funds are available. **Documentation of availability or non-availability of funds from other agency(ies) must be included in participant file and documentation of need must be included on participant's ISS form. The ISS should be reviewed on a continuous basis (at least every 90 days) to assist participant in overcoming need for assistance.** Gifts of any kind are not allowable under WIOA. Supportive Services are to be for the direct benefit of the participant.

The Lumber River Local Area has adopted specific provisions regarding the payment of services, such as for transportation; other such as, health care; child care services; emergency or short-term housing assistance as outlined below. Transportation services may be provided to WIOA enrollees in Institutional Skills Training or Basic Skills Training. A special transportation services policy is available for On-the-Job Training Programs/Work Experience (WIOA enrollees). Child care services can be provided for enrollees in any program activity, if they are not available through another agency. All other services will be provided through referrals to other existing human service agencies.

The provision of supportive services will be based on the documented needs as outlined during the objective assessment and Individual Service Strategy (ISS)/Employment Plan (EP) process. The objective assessment process will be an ongoing process, with the ISS/EP reviewed at a minimum of every three (3) months, at which time the adequacy of supportive services will be determined to ensure that the enrollee is making satisfactory progress toward established goals and that the provision of needed supportive services is not impeding attainment of goals.
LUMBER RIVER WDB APPROVED SUPPORTIVE SERVICES:

Outlined below are the supportive services that can be supported by WIOA funds per Lumber River Workforce Development Board Policy to an individual enrolled in the WIOA program:

I. TRANSPORTATION:

Transportation services can be provided to ensure mobility between home and the location of training, employment, and supportive services for WIOA participants actively enrolled into the Adult, Dislocated Worker and Youth Programs as funding allows. Individuals will only be reimbursed for the miles actually driven not to exceed 200 miles per week. Enrollees in OJT/Transitional Jobs /Work Experience can be reimbursed for a maximum of three weeks not to exceed one hundred and eighty dollars ($180). *(LRLA Biweekly Transportation form is attached.)*

Listed below are examples of the different methods of incurring transportation costs and how payments may be administered in the Lumber River Local Area.

a. If the training enrollee is driving his/her car to the training site, the LA WIOA staff must verify this and then determine the round trip mileage and reimburse the enrollee on a per mile basis. The rate of reimbursement will be **$0.30/mile** for actual miles driven for a maximum mileage amount not to **exceed 200 miles per week** as mandated by the LRWDB. *Mileage Reimbursement is allowable for mileage between home and training destination. If a participant attends training both in the morning and evening, then reimbursement is allowable for both trips. Travel during breaks between classes is not an allowable expense. REMEMBER: There is a 200 mile max per week on mileage reimbursement per participant. No carrying forward/backward between weeks is allowed.*

The staff/contractor staff will be required to secure adequate source documents to support transportation costs, which will include a travel voucher. The staff/contractor staff also has the responsibility to ensure that travel costs are expended for days the enrollee attended class/work.

b. If an enrollee does not have a car but arranges to ride with another enrollee, the one driving can be reimbursed for actual miles driven and no more. The staff/contractor staff must verify the driver's mileage from home to the training center and on the travel voucher, the driver will certify the additional miles. The certification may be as simple as a statement like, "I certify that I provided transportation for John Doe, Bill Jones, and Bob White for a total of 30 actual miles." If an enrollee arranges to carpool with a non-enrollee, the staff/contractor staff must verify the carpooling arrangements and can reimburse the provider for actual miles driven at the same rate enrollees receive when driving their own car. The staff/contractor staff must secure adequate documentation for this arrangement and the check for payment should be to the provider, not to the enrollee. The staff/contractor staff will strongly encourage and advise enrollees to arrange carpools and for employers to arrange for transportation when feasible. Transportation services will be provided when possible through other human service agencies.

c. An alternative method for the provision of transportation will be the leasing of a van with routes established to pick up enrollees and return them home. Enrollees who ride a leased van will not be directly reimbursed for mileage nor will they be charged a fee for riding the van. This option would allow for the leasing of a van only, not a lease with an option to purchase and must be approved by the LRWDB Administrator so that coordination can take place with the respective county Transportation Development Plan (TDP).
d. Transportation can be provided through an arrangement with city, county, or private contractors to transport enrollees from their residence to the training site and back to their residence at a rate negotiated and approved by the LRWDB Administrator/One-Stop Career Center Manager/Service Provider(s) for total monthly mileage to only cover enrollees riding the van. These enrollees will not be directly reimbursed for mileage nor will they be charged an additional fee for riding the van. Please note these vendors must meet LRWDB policy on automobile insurance requirements. Procurement of private transportation vendors must be documented annually per contract award.

e. Enrollees in On-the-Job Training /Work Experience may be provided a transportation allowance for 3 weeks not to exceed a total of $180.00 for days actually worked and on a one time basis only. The need must be documented on participant’s ISS.

f. In certain immediate transportation needs, emergency financial assistance may be provided for a one-time emergency per participant up to $250. This need would be determined and documented on the ISS for reasonableness. This would tend to be for an unforeseen emergency or circumstance such as a minor automobile repair. Additional requirement for emergency transportation assistance would be three original quotes from three different vendors. WIOA funds can be used to pay any portion of the cost based on the participant’s need and ability to pay up to the maximum lifetime limit of $250. WIOA portion of the payment should be made directly to the vendor upon completion of the nature of the expense.

II. CHILD CARE:

Child care ensures the proper care of children while the parent participates in the program or is employed. Child care may include day care for children under six (school-age) and after school care for children over six. In many cases, the ability of a parent to obtain child care services, particularly at reasonable cost and in a convenient location determines whether or not that person will attempt to participate in a program. The staff/contractor staff will coordinate with the following agencies to provide child care services for enrollees if it is determined that child care is necessary for the individual to participate in a program: Departments of Social Services; Headstart Programs; and Lumbee Regional Development Association. These agencies receive federal funds to provide child care to low income families. Efforts will be made to secure assistance from these agencies to meet immediate child care needs, however, if not available, child care payments will be reviewed and determined by the LRWDB Administrator/One-Stop Career Center Manager/Service Provider(s) on an individual basis. In the event that child care services are authorized for payment, the following procedures will apply: *(LRLA Childcare form is attached)*

INCURRING CHILD CARE COSTS

a. Staff/Contractor staff will authorize child care services by completing a cost authorization form and documenting the need, duration, and service provider on the ISS/EP. Child care assistance is limited to a maximum of three months. Upon expiration of three month period, the staff will review participant’s current need, as well as, conformity to policy and procedures of the program for determination of continued assistance. Participant should be actively searching for other child care assistance. Child Care will be paid directly to the service provider.

b. Program funds will not be used to reserve a block of child care slots against the possibility that an enrollee might be enrolled that needs child care services. However, some child care providers require payment for normal business hours, even if the child is absent. For example, a child may be ill and not attend the child care center for a day or so. The day care center may require payment for those days in order to hold the slot until the child returns. This would be an allowable payment. If child care providers can be
secured that do not require payment for time when the child is absent, such providers should be utilized.

c. Centers providing child care for children of program enrollees must be registered or licensed with the North Carolina Department of Human Resources, Division of Facility Services, Child Day Care Section. It is the responsibility of the Staff/Contractor staff incurring child care costs to determine and document that the child care center is properly registered or licensed.

d. Reimbursement will be limited to whichever is lower, the rate charged to unsubsidized payors or the maximum county one-star market rates utilizing the rates as established by the NCDHR, Division of Facility Services, Child Day Care Section for subsidized day care services, updated on an annual basis. Current one-star market rates are as follows: (effective 10/01/2018)

**APPROVED CHILD CARE RATES**  
(Effective October 01, 2018)

<table>
<thead>
<tr>
<th></th>
<th>Infants/</th>
<th>Threes -</th>
<th>School-Age</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>One Yr Old</td>
<td>Twos</td>
<td>Fives</td>
</tr>
<tr>
<td>BLADEN</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Child Care Centers</td>
<td>424 ($98/wk)</td>
<td>390 ($90/wk)</td>
<td>368($85/wk)</td>
</tr>
<tr>
<td>Family Care Homes</td>
<td>379 ($88/wk)</td>
<td>356 ($82/wk)</td>
<td>335 ($77/wk)</td>
</tr>
<tr>
<td>HOKE</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Child Care Centers</td>
<td>424 ($98/wk)</td>
<td>390 ($90/wk)</td>
<td>368 ($85/wk)</td>
</tr>
<tr>
<td>Family Care Homes</td>
<td>379 ($88/wk)</td>
<td>356 ($82/wk)</td>
<td>335 ($77/wk)</td>
</tr>
<tr>
<td>RICHMOND</td>
<td></td>
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<td></td>
</tr>
<tr>
<td>Child Care Centers</td>
<td>424 ($98/wk)</td>
<td>390 ($90/wk)</td>
<td>289 ($73/wk)</td>
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<tr>
<td>Family Care Homes</td>
<td>379 ($88/wk)</td>
<td>356 ($82/wk)</td>
<td>335 ($77/wk)</td>
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<tr>
<td>ROBESON</td>
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<tr>
<td>Child Care Centers</td>
<td>289 ($67/wk)</td>
<td>289 ($67/wk)</td>
<td>276 ($64/wk)</td>
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<tr>
<td>Family Care Homes</td>
<td>379 ($88/wk)</td>
<td>356 ($82/wk)</td>
<td>335 ($77/wk)</td>
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<tr>
<td>SCOTLAND</td>
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</tr>
<tr>
<td>Child Care Centers</td>
<td>424 ($98/wk)</td>
<td>390 ($90/wk)</td>
<td>289 ($67/wk)</td>
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<tr>
<td>Family Care Homes</td>
<td>379 ($88/wk)</td>
<td>356 ($82/wk)</td>
<td>335 ($77/wk)</td>
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</tbody>
</table>

**PAYING CHILD CARE COSTS**

To pay day care costs, the staff/contractor staff must secure from the provider an itemized invoice showing the name(s) of the child or children; name(s) of the parent(s); time period and dates covered; and total charges. The invoices must also show the ID number assigned to the provider by the NCDHR Division of Facility Services, Child Day Care Section. A separate invoice will be completed and submitted for each period.

Child care payments may only be paid for the days the enrollee was in class or on the job, except as stated in II. b above. In a situation where a monthly maximum may be exceeded due to more weeks/pay periods falling within that month, as long as the above weekly amounts are not exceeded the cost would be allowable.
DOCUMENTING CHILD CARE COSTS

All invoices for child care services will be retained along with cost documentation for the purposes of audit. The staff must document that he/she has checked a birth certificate or other identification to prove that children do exist for which child care costs are paid and that the child belongs to the participant. The staff will coordinate child care services, making necessary arrangements and submitting necessary documentation for reimbursement of the provider.

III. EMERGENCY OR SHORT TERM HOUSING ASSISTANCE:

Assistance in securing housing or rental assistance will be provided to all enrollees as needed during regularly scheduled counseling sessions. Efforts will be coordinated with the local Housing Authorities and other agencies as appropriate. Emergency or short-term housing assistance may be provided with WIOA funds through use of the Cost Authorization Form (as a last resort after exhausting all other resources-provide documentation) and through referral to the Department of Social Services for the following situations:

1. To cushion the sudden increase in subsidized federal housing by paying the difference between the current monthly rent and the new monthly rate, once a client has gone to work. A three month time limit for payment will be utilized for housing rental assistance and payments will be made to the landlord or housing authority; and

2. For relocation of families into new rental housing (utility deposits, rental deposits, etc.) Payments for relocation assistance will be limited to deposits and/or two month’s rent.

Additionally, sometimes it may become necessary for a participant to leave his/her present home situation and be placed in a temporary living arrangement. According to individual trainee needs, the staff/contractor staff will make referrals to other human service agencies to make sure that the enrollee is provided a clean, comfortable place to eat, sleep and study. Temporary shelter will be obtained for all enrollees through coordination with other human service agencies such as: Departments of Social Services, Rape Crisis Centers, Family Violence Centers, Group Homes, etc.

IV. HEALTH CARE ASSISTANCE:

Enrollees may receive WIOA assistance with the following Health Care Assistance as it obtains to Job related healthcare expenses only: a physical examination, provided that: 1) they have not had a physical examination within the past year; and/or 2) an employer requires a physical examination prior to allowing an enrollee to work; and/or 3) it is a requirement of the participant’s training. The limit on health care costs to include physical examinations and required shots is $150.00 per participant per year unless prior special permission is obtained from the LRWDB Administrator. Again, services must have prior approval by WIOA staff on a Cost Authorization form. All routine physicals and routine lab tests should be conducted at the county health department if available. Staff/Contractor staff should try to secure health services without cost to WIOA by establishing contact with health departments, neighborhood clinics, and vocational rehabilitation agencies. Staff/Contractor staff must document services provided on the enrollee's ISS/EP. Drug Tests and background checks will not be supported by WIOA funds, as it relates to unsubsidized employment.

V. EDUCATIONAL FEES: (ONLY YOUTH PROGRAM)

Students enrolled in any public school system in the Lumber River Local Area may be assessed school fees. The fees are implemented at the discretion of the Local Education System (Superintendent, Board of Education and/or School Site Principal) in their respective county.
Fees may be imposed for required supplies for classes, required graduation items/fees, and educational testing fees. If listed fees cannot be waived or reduced for students who demonstrate real economic hardship, WIOA funds may be utilized as a last alternative. WIOA participants must be examined on an individual basis to determine if assistance is needed and funds are available. If this supportive service is provided, it must be documented and reviewed as part of the ISS. Funds must be paid directly to the school system/vendor.

**NOTE:** For Adult/DW Educational fees, please reference to the LRWDB Individual Training Account (ITA) & Occupational Skills Policy 2019-03.

VI. WORK EXPERIENCE/INTERNSHIP/OJT:

Students placed in a Work Experience, Internship, or OJT that require assistance with items such as, (uniforms, appropriate work attire, safety wear), may receive WIOA assistance with purchase of these items through a Cost Authorization Voucher. Assistance should be documented on the participant’s ISS. WIOA funds are limited to a maximum of 2 complete uniforms/work appropriate outfits, 1 pair of shoes unless approved by the WD Administrator.

**LUMBER RIVER WDB REFERRAL SERVICES POLICY:**

Listed below are the supportive services that are to be offered through a referral only process to appropriate agencies. No WIOA funds are to be spent on these services.

- Substance Abuse Counseling and Referral
- Individual and Family Counseling (Personal and Financial)
- Legal Assistance/Counseling
- Special Services and Materials for Individuals with Disabilities
- Job Coaches

Some suggested referral agencies include but are not limited to:

- N.C. Vocational Rehabilitation
- Alcoholics Anonymous
- Local Health Departments
- Local DSS offices
- Palmer Drug Prevention Program
- N.C. Commission for the Blind
- Neighborhood Health Clinics
- Lumbee River Legal Services
- Local Mental Health Centers
- Family Violence Centers
- Rape Crisis Centers
- Robeson Church and Community Center
- Guardian ad Litem Programs
- Food banks
- Local Housing Authorities

It is impossible to identify all services that an individual may need, but through an objective assessment and development of an Individual Service Strategy (ISS), services may be identified and addressed either through WIOA financial assistance or through another human services agency through the referral process. If needed assistance is other than what has been described within the Supportive Service Policies, WD Administrator approval must be received prior to incurring cost.
LUMBER RIVER WORKFORCE DEVELOPMENT CONSORTIUM
LRLA FISCAL MANAGEMENT POLICY 2019-09
July 1, 2019

SUBJECT: Fiscal Management Policy under the Workforce Innovation and Opportunity Act (WIOA)

BACKGROUND: The Fiscal Management Policy was established to adhere to the Workforce Innovation and Opportunity Act (July 22, 2014) and the OMB Uniform Guidance.

PURPOSE: This policy replaces any prior policies or revised versions of the Lumber River WD Fiscal Management Policy. The revision includes clarification on the procurement and contracting process; procurement cost analysis guide; and determination of reasonableness of profit in Attachment A. This revision also includes a Statement of Outreach Expenses Form.

ACTION: Lumber River Workforce Development Board Staff and Contractors should follow current Division of Workforce Solutions (DWS) Financial Management policies updated to reflect Workforce Innovation and Opportunity Act (WIOA) and Federal Office of Management and Budget (OMB) Uniform Guidance.

EFFECTIVE DATE: Immediately

EXPIRATION DATE: Indefinite

CONTACT: Any questions regarding this policy should be directed to Ms. Ann Bullard, Fiscal and Evaluation Coordinator, LRCO Workforce Development Division at (910) 775-9776.

DISTRIBUTION: All LRCOG Workforce Development Division Staff and WIOA Contractors.

Patricia Hammonds
Patricia Hammonds, Administrator
Workforce Development Division

Attachments: Lumber River Workforce Development Fiscal Management Policy
Attachment A – Competitive Procurement
Youth Program Activity Form
Statement of Outreach Expenses Form
# Financial Management Policy

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I. Terminology

LRWDB – Lumber River Workforce Development Board
LRWDD – Lumber River Workforce Development Division
LRWDC – Lumber River Workforce Development Consortium
LRCOG – Lumber River Council of Governments
CONTRACTOR – Recipients of WIOA Funds through contracts
RFP – Request for Proposals
CFP – Contract for Performance
WIOA – Workforce Innovation and Opportunity Act
LA – Local Area
DWS – Div. of Workforce Solutions, NC Dept. of Commerce
OMB – Office of Management and Budget
CFRs – Code of Federal Regulations

II. Fiscal Control and Accounting Procedures:

The fiscal control and accounting procedures are based on generally accepted accounting principles. The LA complies with the Local Government and Fiscal Control Act. The Contractor shall use accounting and recordkeeping procedures that assure proper accounting of funds, permit accessibility and verification in monitoring, performance evaluation and audit. The Contractor must assure compliance with the provisions of the WIOA and its regulations as applicable; the provisions of the WIOA contract; the applicable federal, state and LRWDB policies; the WIOA contract regarding record maintenance; and compliance with applicable OMB Uniform Guidance Circular and CFRs. The Contractor must also ensure that records are maintained which support all expenditures of WIOA funds and confirm adherence to policies regarding allowable costs and allocations of costs to appropriate cost categories.

LRWDB operates on a fiscal year basis beginning on July 1 and ending on June 30 (ex. July 1, 2019 – June 30, 2020) unless otherwise stated.

LRWDB operates on a cost reimbursement system. Contractors may request a one-time cash advance during the contract period to be used for initial start-up costs for that program year. The one-time advance can equal no more than a program’s total budget divided by the number of months the contract is for. {For example: Contract period July 1, 2018 – June 30, 2019; total fund budget of $120,000 = one-time advance would be $120,000 / 12 months = $10,000.} NOTE: advances will be deducted from contractor’s request for reimbursement in the last few months of the fiscal year based on the amount of the advance.
III. Competitive Procurement

A. Lumber River Workforce Development Consortium Procurement Procedures:

See Attachment A – LRWDC Competitive Procurement Procedures

NOTE: Procurement by competitive proposal shall be the primary method of procurement for Lumber River Workforce Development Board.

B. Request for Proposal (RFP’s):

A Request for Proposal packet will be made available during the specified time for any agency desiring to operate a project under the LRWDB. The RFP packet will also include a ‘Response Package Cover Sheet’; a ‘Budget Summary’ form(s) and the ‘Budget Planning Worksheets’. All of the budget packet must be completed in its entirety for each project for which the operator is submitting a proposal.

The contracts will be awarded through the competitive bid process. LRWDB staff and board committee(s) will evaluate proposals. Final selection of program operators will be determined by the full LRWDB.

Upon proposal acceptance by the LRWDB, appropriate WD staff will prepare contracts in duplicate for execution. The contracts will include the dollar amount for each individual project contracted, appropriate CFDA numbers, and all appropriate signatures. After obtaining all signatures, an original will be returned to the contractor to be placed in the WIOA Administrative file.

Based on funding availability, the option to extend the contract for a second and/or third year exists with the opportunity for re-negotiation to be initiated verbally or in writing by the LRWDB at least thirty days before the expiration date of the current contract. In order for the LRWDB to exercise its second and/or third year option, the contractor must meet performance requirements as outlined in the contract. However, the LRWDB is not bound to exercise a second and/or third year contract solely on stated performance criteria. SEE CFP SECTION.

C. Contract for Performance (CFP’s):

Per the Lumber River Workforce Development Plan, the LRWDB has the authority to continue contracting with current contractors for two additional years without benefit of competitive procurement not to exceed a total of three years. Each renewal shall be limited to a one-year period. Renewals will be negotiated based on previous program operations, performance accountability and cited monitoring findings in the areas such as fiscal, programmatic and reporting requirements/NCWorks Online System.

If applicable, a Contract for Performance packet will be made available during the specified time for current contractors desiring to continue to operate a project under the LRWDB. The CFP packet will also include a ‘Response Package Cover Sheet’; a
‘Budget Summary’ form(s) and the ‘Budget Planning Worksheets’. All of the budget packets are to be completed in its entirety for each project/each county for which the operator is submitting a proposal. LRWD Staff and board committee(s) will evaluate the proposals for completeness and accuracy. Final approval of operator proposals will be determined by the LRWDB.

Upon CFP acceptance by the LRWDB, appropriate WD staff will prepare contracts in duplicate for execution. The contracts will include the dollar amount for each individual project contracted, CFDA numbers and all appropriate signatures. After obtaining all signatures, an original will be returned to the contractor to be placed in the WIOA Administrative file.

**Procurement by Non-competitive Proposals:**

See Attachment A – LRWDC Competitive Procurement Procedures

**Procurement by Small Purchase Procedures:**

See Attachment A – LRWDC Competitive Procurement Procedures

**IV. FISCAL/CASH MANAGEMENT**

**A. Cash Drawdowns:**

Upon receipt of contractor monthly invoices and required backup documentation, the invoices will be processed for contractor reimbursements and submitted to the Lumber River Finance Director for payment. The Finance Director will prepare a “cash drawdown” request.

*WIOA: Requests submitted via NCWISE by 11:59 p.m. on Monday will be deposited on the following Friday, unless otherwise stipulated by DWS.*

*NOTE: Funds must be requested and deposited into LRCOG’s account prior to issuing contractor/other payments. Please allow a turnaround period of at least two weeks for receipt, processing and payment of invoices.*

**B. Contracts/Contract Amendments:**

Upon proposal acceptance and contract award from the LRWDB, the appropriate WD staff person will prepare contracts in duplicate for execution. The contracts will include the dollar amount for each individual project contracted, CFDA numbers and all appropriate signatures. After obtaining all signatures, an original will be returned to the contractor to be placed in the contractor’s administrative file. A copy will also remain at the LA level.

If a contractor’s project budget total changes, a contract amendment must be executed. This change could occur, but not limited to, reduction in available funding, increased availability of funding or voluntary transfer of funds.
The contract amendment is a one-page document that includes the amendment number, the new budget totals and the reason for the modification. The contract amendment requires the same signatures as the initial contract. Once the signatures have been obtained, an executed copy will be returned to the contractor to be included in the contractor’s administrative file. A copy will also remain at the LA level.

The contractor must perform in a manner satisfactory to the LRWDB and within Federal, state and local laws and policies, the services described in detail in the contractor’s RFP/CFP proposal as approved and/or subsequent approved amendments.

C. Initial Budgets and Carry Over Funds Budgets:

Program funds will be contracted to service providers, with line item budgets prepared for each funding source as approved by the LRWDB.

All costs incurred by the contractor under staff costs line items must comply and stay within budgeted amounts in the line item budget in the contractor's application or in an approved amended budget. Any overages within these line items will not be reimbursed if not in receipt of LRWD Administrator approval prior to overage.

Unless otherwise directed by the Local Area, budget amounts in any other line item may be exceeded by a maximum of ten percent of the line item budget amount without the written approval of the Local Area, provided that the subtotal budgeted for program and the subtotal budgeted for administration and the budgeted total project costs are not exceeded. All budgets that have line items with excesses (less than the 10% limitation) will be revised at the end of the program year to reflect actual expenditures. Once a line item exceeds its line item budget by 10% or more, a budget revision must be completed and submitted for review and approval prior to any additional reimbursements being made.

The Adult/Dislocated Worker budgets are to reflect as follows: 50% of total Contractor budget maximum for Non-Direct Services (Staff Costs) and 50% minimum within the Direct Services, unless otherwise approved by LRWD Administrator/LRWDB.

The WIOA Youth budgets are to reflect as follows: 25% maximum In-School / 75% minimum Out of School.

The budget packet consists of the following: Budget Summary form(s); and the Budget Planning Worksheets.

- The Budget Summary form(s) is the summary of all line item budgets.

- The Budget Planning Worksheets will serve as the detailed breakdown of each line item budget. All appropriate areas should be answered completely to include an itemization of the costs listed for that line item if specified.

NOTE: Budget packets are in Excel format and have built-in formulas.
The submitted budgets will be reviewed by the LRWDB Evaluation Committee/LRWDD Youth Committee and/or the appropriate LRWDD staff person(s) for completeness and accuracy. If all requested information is not included or if there are questions or concerns, additional clarification will be requested.

Contractors are to comply with the OMB Uniform Guidance: Administrative Requirements, Cost Principles and Audit Requirements and use internal controls to avoid incurring unallowable costs and/or over expending line item budgets. The appropriate LRWDD staff person(s) will review the contractor’s year to date expenditures on a monthly basis and will bring to the contractor’s attention of any line item overages. Copies of contractor monthly invoices and WD in-house fiscal reports will be provided to the appropriate WD Program staff by the Evaluation & Fiscal Coordinator for review of allowable costs/accuracy on a monthly basis as well. LRWDD staff are responsible for review of reported expenditures and will bring to the attention of the contractor any concerns and/or questionable costs. When a line item is over expended, a budget revision will be requested from the contractor. The LRWDD staff person may ask for copies of actual invoices for explanation of such cost at any time.

D. **Budget Revisions:**

The Budget Summary form(s) and the Budget Planning Worksheets are the appropriate forms to use to prepare a budget revision. NOTE: **The forms should be noted that it is a revision and a summary sheet explaining the revision must be attached to the forms.** The Budget Summary should have the actual date of revision on it as appropriate.

The Budget Summary form and the Budget Planning Worksheets should always be completed in their entirety during the revision; the Budget Summary form(s) should always equal the total budget for that specific project. {For example: your total project budget is $110,000; you need to move $500 from the other program costs line item 1070 to the Individual Training Accounts line item 1030 to cover an overage; the summary form(s) would show the change in the two line items and the total of the summary form(s) should equal to the total of that project budget which is $110,000}. Budget revisions should be completed immediately when an overage occurs. During a revision, make changes to the specific sections of the Budget Planning Worksheets that correspond with the requested revision. {For example: if you need to move monies from the other program costs line item 1070 to the Individual Training Accounts line item 1030, make changes to these two sections of the Budget Planning Worksheets}.

If a contractor decides to make changes in the proposed operation of a project or wants to obligate monies for costs not included in the approved budget, a narrative and a budget revision should be completed following the same guidelines as above, and submitted to the LRWDD Program Services Director for review. The Program Services Director will present the revision to the WD Administrator for final approval. Budget revision approvals must be received prior to any obligations being incurred.

**NOTE: The Workforce Development Administrator approves budget revisions.**

Upon approval, a copy of the above will be provided to the WIOA Contractor and all appropriate LRWD staff. It is stressed that all front-line staff should receive a copy of
the most updated approved budget in order to operate appropriately. This task will be at
the discretion of the WIOA Contractor Supervisor in order to black out personnel areas of
the budget as appropriate.

E. Monitoring: (also see actual Contract for Services)

Contractors and any subcontractors must cooperate with any monitoring, inspection, audit
or investigation of activities related to WIOA contracts. These activities may be
conducted by the North Carolina Division of Workforce Solutions, North Carolina Office
of Management and Budget, the State of North Carolina, the U.S. Department of Labor
and the LRWDB, and/or their designated representatives. This 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.

The Contractor assures that appropriate administrative procedures, fiscal controls and
records are maintained, that contract terms and conditions are being fulfilled and that
personnel and equal opportunity requirements are being met.
LRWDD staff will monitor each contractor at least once per program year. Additional
monitoring may take place at the discretion of the LRWDD/LRWDB. LRWDD may
request/require contractors to submit copies of all or a portion of monthly expenditure
documentation for monthly desk reviews to coincide with reimbursement of
expenditures.

The LRWDD will provide the Contractor with written notification of deficiencies
discovered in the monitoring review and provide the Contractor with reasonable time to
take corrective action. Reasonable time need not be given where there is a suspicion of
criminal conduct or gross misconduct and specific deficiencies need not be identified
where the matter has been referred to an investigatory or prosecutorial agency.

The contractor’s books of account will be the books of record and the basis for financial
reporting. These books will be reviewed during the monitoring visit with random samples
of documentation requested. Copies of the contractor’s books of account and backup
documentation of costs for the WIOA projects may be requested for inclusion to the
contractor’s fiscal monitoring file.

Expenditures will be monitored for allowable costs and compliance with the budget with
cost limitations and allocation of costs between projects and activities. The contractor
will be given an opportunity to correct and/or rebuke any areas cited within 15 days of
receipt of written report. Contractor monitoring reports and contractor responses will be
presented to the LRWDB Evaluation Committee/Youth Committee and/or the LRWDB
its review.

The failure of the LRWDD to discover or notify the Contractor of deficiencies does not
relieve the Contractor of its obligation to maintain administrative and fiscal management,
assure equitable personnel policies and nondiscrimination, and satisfy statutory,
regulatory or contractual requirements.
The Contractor is responsible for all funds received under contract. The Contractor shall repay the LRCOG from non-federal funds within 10 days any amounts expended under contract that are determined to be disallowable by the LRWDD, LRCOG, NC Office of Management and Budget, State or the USDOL.

F. Personnel Compliance:

The Contractor assures that as a condition to the award of a contract that it will comply fully with the nondiscrimination and equal opportunity provisions of the following laws: the Workforce Innovation and Opportunity Act of 2014, which prohibits discrimination against all individuals in the United States on the basis of race, color, religion, sex, national origin, age, disability, political affiliation or belief, and against beneficiaries on the basis of either citizenship/status as a lawfully admitted immigrant authorized to work in the United States or participation in any WIOA Title I financially assisted program or activity; Title VI of the Civil Rights Act of 1964, as amended, which prohibits discrimination on the bases of race, color and national origin; section 504 of the Rehabilitation Act of 1973, as amended, which prohibits discrimination against qualified individuals with disabilities; the Age Discrimination Act of 1975, as amended, which prohibits discrimination on the basis of age; Title IX of the Education Amendments of 1972, as amended, which prohibits discrimination on the basis of sex in educational programs.

The Contractor shall also assure that it complies with its agency’s personnel/hiring policies, as well.

V. FINANCIAL REPORTING

A. Invoice and Cost Reimbursement Procedures;

LRWDD will provide each contractor with an electronic version of the following forms via cd or email: ‘Monthly Invoice’ form and the ‘Backup Sheet’. LRCOG runs accounts payable checks each Friday. Time is allotted to allow LRWD staff to receive, review and process contractor monthly invoices. Fund drawdowns are allowed once per week to be keyed by Monday at 11:59 p.m. in order for funds to be received into the LRCOG bank account on the Friday of the same week, unless otherwise stated by the DWS. Contractors are to allow LRCOG at least a two week turnaround period for invoices to be received, reviewed, processed and funds drawn. Once the funds have been deposited into the LRCOG account, payment/reimbursement will be issued to the contractor via mail.

The Contractor must submit a Monthly Invoice form along with a detailed Backup form to the LRWDD for review for allowable expenses incurred on a monthly basis, no later than the 15th of the following month. In order to provide adequate expenditure information to the LRWDB, contractors must also include any accruals on the monthly invoice. Any WIOA refund(s) the contractor receives during the fiscal year should be credited back to the appropriate fund and shown in detail on the backup form in the month the credit is issued. Note: Youth Contractors must include the Youth Program Activity Form with invoices. Note: All Contractors must submit check stubs with OJT invoices and timesheets monthly for payment. Failure in compliance with this requirement will delay process of invoice payments reimbursable to the Contractor.
The backup form **must** be completed to include each individual check number, the check amount, to whom payment was made and type of payment. Contractor invoices will be reviewed by the appropriate LRWDD staff and submitted for payment to the LRCOG Finance Office. LRWDD **requires** contractors to submit copies of all monthly expenditure documentation for monthly desk reviews to coincide with reimbursement of expenditures. LRWDD also **requires** contractors to report accruals monthly due to de-obligation of funds. The Finance Office staff will prepare the check and mail to the contractor.

**NOTE:**

- Staff Costs line items will not be reimbursed for more than is listed in the most recent approved budget.
- The monthly reimbursement will be delayed until a budget revision is submitted and approved when any other line item is exceeded by 10% or more or when a cost is questionable.
- Overpayment of a participant timesheet will be deducted from the contractor’s monthly invoice amount. It will be the responsibility of the contractor to recoup the overpayment.
- Equipment is to be purchased only after prior approval is granted by the LRWDD and/or DWS in the budget process. Please adhere to the Property Management Policies. Equipment purchased with WIOA funds remain the property of the LRWDB and will be inventoried by the LRWDD. Copies of actual invoices to include serial numbers, model numbers, per unit costs and descriptions should accompany the monthly contractor invoice when equipment is purchased. Reimbursement will not be issued until this information is received.

The appropriate LRWDD staff will update a ‘Project Monthly Financial Report’ each month from the contractor’s invoice. This report includes the line item budget totals, line item year-to-date expenditures and line item budget balances. A copy of this report will be attached to the check mailed to the contractor, as well as, emailed to the Contractor Supervisor. This report is a good source for the contractor to monitor expenditures and budget balances also.

**NOTE:** Any cash advances made to contractors by LRCOG will be reconciled from the contractor’s monthly invoice payment at least by the end of the fiscal year (June 30) but may be as early as deemed necessary by LRWD staff to fully recoup advance.

Contractor expenditures are reported to the Evaluation Committee/Youth Committee and/or the LRWDB on a bi-monthly basis. Also, the Fiscal & Evaluation Coordinator conducts month end closeouts of expenditures which include reporting to the state. Therefore, it is important that Contractors submit monthly invoices and accruals on a timely basis. Contractor staff should be prepared to answer any questions concerning expenditure levels by LRWD staff and the LRWDB.
NOTE: Accurate and timely reporting of expenditures and obligations is necessary to properly manage fiscal compliance. Monthly invoices must include accruals. Contractors are to develop an internal system to properly manage obligations of funds. The system should include an ability to de-obligate based on actual funds expended per participant in order to effectively track and manage budgets verses expenditures.

Youth Work Experience- 20% Spending Requirement

Lumber River Youth Program Service Providers must expend not less than 20 percent of the funds allocated to them to provide in-school youth and out-of-school youth with paid and unpaid work experiences. Service Providers must track program funds spent on paid and unpaid work experiences, including wages and staff costs for the development and management of work experiences, and report such expenditures as part of the local WIOA youth financial reporting. The percentage of funds spent on work experience is calculated based on the total local area youth funds expended for work experience, rather than calculated separately for in-school and out-of-school youth. The 20 percent spending requirement is calculated after administrative costs have been subtracted from the total amount of youth funds.

B. Incumbent Worker Training Grant Report (IWT):

Incumbent Worker Training Grant contractors are to adhere to the policies and procedures as set forth in the Fiscal Management Policy. LRWDD appropriate staff will complete and submit as required the IWT Report to the Division of Workforce Solutions.

C. Transitional Jobs:

Not more than 10 percent of the funds allocated to the local area can be used to provide Transitional Jobs as defined in the Workforce Innovation and Opportunity Act of 2014. Contractors may not expend more that 10 percent of their budget on Transitional Jobs.

D. Work Based Learning:

Not less than 20 percent of the funds allocated to the local area shall be used to provide in-school youth and out-of-school youth with; paid and unpaid work experiences which may include summer employment opportunities, pre-apprenticeship programs, internships, job shadowing, and on-the-job training opportunities. Contractors must expend at least 20 percent of their budget on Work Based Learning Activities.

E. Financial Closeout Procedures:

The appropriate LRWDD staff will provide each LRWDB Contractor with a ‘Closeout Packet’ at the end of each fiscal year - or at end of contract completion/final invoice. A Closeout Document must be completed for each project/funding source the contractor operates (one for Adult, one for Dislocated Worker and one for Youth).
The Closeout Document will be due to the LRWDD by the 15th of July (or at contract completion/final invoice) in order for LRWDD staff to prepare for the closeout process which is due to be completed by the end of July.

Once the closeout process is completed, reimbursements for expenses incurred in the prior fiscal year will not be reimbursed for contractors not continuing operations.

For contractors who continue program operations into the new program year, expenses incurred in the prior fiscal year will be captured within the new program year and against the new program year budget. Therefore it is imperative that contractors obtain all outstanding invoices/bills (timesheets, travel reimbursements, tuition costs, etc.) for costs incurred by June 30th and include on the June Monthly Invoice. Expenses incurred on or before June 30th should be reported with that fiscal year to the extent possible.

The Closeout Document is a two page document that is to be submitted along with the June Invoice. It should be completed in its entirety. Section 4-V of the Closeout Document should equal the contractors June invoice.

The Closeout Document is required as part of the closeout process and must accompany the June invoice. Once the closeout document is reviewed, final payment will be issued.

If a contractor who is not continuing to operate the WIOA program(s) in the new fiscal year receives any refund of costs for the prior fiscal year after the closeout process has been completed, (ex. a refund of tuition from where a participant drops a class), a check should be issued to the LRCOG along with an explanation. The LRWDD staff will then contact DWS/USDOL for guidance as to how to handle the refund, but in most circumstances will be credited back to the appropriate funding stream in-house for use in current year operations.

F. **Program Income:**

Funds generated by services funded under this Contract, except for OJT, are program income, as is interest earned. Program income shall be calculated in a manner acceptable to the State and LRWDB/COG and in accordance with generally accepted accounting principles consistent with the current or reasonable accounting capabilities of the Contractor generating the program income, and program income shall be treated for all purposes as funds under this Contract. The Contractor is responsible for reporting program income as is required by the State and that adequate records to calculate program income are maintained. Program income may be retained only if such income is added to the funds committed to the particular contract under which it was earned and such income is used for allowable grant funded purposes and under the terms and conditions, including cost categories and limitations, applicable to the use of the contract funds. Program income shall be used prior to the submission of the final report for the funding period of the program year to which the earnings are attributable.
VI. Audit

A. Audit Requirements: WIOA

Non-Federal sub recipients that expend $750,000.00 or more in a year in Federal awards must have a single or program-specific audit conducted for that year in accordance with the provisions of OMB Uniform Guidance 2 CFR Part 200 Subpart F 200.501 Audit Requirements (Administrative Requirements, Cost Principles, and Audit). The payments received for goods or services provided as a vendor would not be considered Federal awards.

Each agency is responsible for arranging its own independent audit. In procuring audit services, auditees shall follow the procurement standards in 200.317 Procurement by states through 200.326 Contract provisions of Subpart D-Post Federal Award Requirements of this Part or the FAR (48 CFR Part 42), as applicable.

For-profit sub recipient (commercial organizations) audits shall be either:

1. An independent financial and compliance audit of Federal awards that includes coverage of WIOA title I within its scope, and is conducted and prepared in accordance with generally accepted government auditing standards; or

2. An organization-wide audit that includes financial and compliance coverage of WIOA Title I within its scope.

Except for the provisions of biennial audits provided, audits shall be performed annually. Any biennial audit must cover both years within the biennial period. All audits shall be completed and submitted within the earlier of 30 days after receipt of the auditor’s report(s), or nine months after the end of the audit period.

Unless prohibited by law, the cost of audits made in accordance with the provisions of these audit requirements are allowable charges to Federal awards. The cost of auditing a non-Federal entity which has Federal awards expended of less than $750,000.00 per year is an unallowable Federal award cost.

For sub recipients who expend less than $750,000 per year, case records must be available for review or audit by appropriate officials of the Federal agency, pass-through entity, and Government Accountability Office (GAO). Unless restricted by Federal statutes or regulations, the auditee must make audit available for public inspections.

B. Audit Resolutions:

The Local Area’s procedures for receipt, review and resolution of sub recipients’ audits including debt collection and administrative hearings for audit appeals will be in accordance with the OMB Uniform Guidance: Administrative Requirements, Cost Principles, and Audit Requirements.
The Workforce Development Division Administrator/staff requests a copy of the audit for a particular program year after it has been prepared, presented by the auditor to the appropriate board, and actual adoption of the audit by the approved board. The Workforce Development Division Administrator/staff keeps a tracking log for receipt and resolution of audits. The date of receipt is logged and the audit report is passed to the Lumber River Council of Governments’ Finance Director for his review of reported expenditures to our agency compared to the figures reported in the audit on the Schedule of Federal and State Financial Assistance. The Finance Director also reviews any noted compliance issues or findings. An audit review checklist is completed to record the audit review. After completion, the Finance Director returns the audit and review sheet to the WDD Administrator/staff to submit a findings and determination letter to the sub-recipient if applicable. If the findings and determination letter indicates questioned cost, the contractor has the right to request an administrative hearing. Outlined below are the procedures for the audit administrative hearing system:

### Procedures for Audit Administrative Hearing System

Contractors have the right to appeal the Findings and Determination of an audit where costs are deemed as being disallowed. If the Contractor desires to appeal the final determination, the calendar and process for an administrative hearing begins. The following outlines the steps and timeframes for this process:

The Contractor may file a formal request with the Lumber River Workforce Development Board for an administrative hearing regarding disallowed costs. A written request for the hearing must be submitted to the LRWDB Chairman, with a copy to the LRWDB Administrator, within fifteen (15) days from the date the contractor received the final determination letter.

The LRWDB Administrator will schedule an administrative review with the LRWDB within thirty (30) days from the date the contractor's request for a hearing is received and notify the contractor in writing of the date. At the hearing, the LRWDB may take oral or written evidence and may entertain oral or written arguments regarding the disallowed costs.

Within fifteen (15) days following the administrative hearing, the decision of the LRWDB shall be reached by majority vote in executive session.

The final determination of the LRWDB shall be rendered in writing to the contractor within forty-five (45) days following receipt of the written request for an administrative hearing. If the LRWDB's review determines questioned costs are allowed, the audit will be closed and the contractor notified in writing. If the LRWDB's review determines questioned costs are disallowed, the debt collection system is implemented.
VII. Property Procedures:

A. Equipment and Property Management:

The Contractor shall adhere to all State and Local procurement policies when acquiring all non-expendable property. Title to property acquired with WIOA funds vest with the Lumber River Workforce Development Board, who retains the title to the property and is responsible for the identification, accountability and inventory of such property.

Property means tangible non-expendable property, including exempt property, acquired by WIOA funds having a useful life of more than one year and an acquisition cost of $500 or more per unit (including taxes & shipping/handling).

It is the responsibility of the Contractor to provide LRWDD with a copy of an actual invoice for property to include: Manufacturer’s Name, Serial Number, Description of Item, Unit cost including taxes, shipping & handling, Location of property and date of delivery. This information will be required prior to reimbursement being issued by LRWDD.

B. Acquisition by Purchase:

Property with unit costs of $500 or more but less than $5,000 will be approved prior to purchase by the Workforce Development Division Administrator. The approval will be in writing and complete files will be maintained on purchases. The file will include the request, approval, and a copy of the paid vendor invoice. The item will be added to the Local Area's inventory system.

All Property with unit costs of $5,000 or more or an aggregate purchase (a purchase of multiple items of the same product) of $5,000 or more (taxes, shipping and handling costs included) must have DWS approval and written certification by a Financial Monitor that the Local Area is in compliance with applicable state and federal laws and regulations, and are necessary and reasonable. All requests to DWS will be accompanied by full justification of need and include the funding source; assurance that local procurement procedures were followed and that competitive bid determined the selection of one item over another; documentation that alternative methods of acquisition have been explored; location where property will be used; exact cost of property items, including installation, taxes, shipping and handling charges.

C. Lease Equipment

In order to minimize the use of Local Area funds for the purchase of non-expendable property having unit costs of $5,000 or more, subgrantees should explore alternate methods of acquisition rather than direct purchase.

All leases with options to purchase over $5,000 must have DWS's review and written compliance certification.
D. **Computer Equipment**

When submitting a request to purchase computer equipment, the unit cost must reflect the total sum of the individual cost of the components (keyboard, logic unit/ CPU, monitor/display screen, software both installed and acquired through licensing, and installation).

Software installed on computer hard drives and accessed through purchased licenses is considered and asset in 2 CFR 200 and becomes part of the computer cost.

E. **Acquisition by Transfer**

Property may be transferred between program operators. All transfers will be physically handled by the operators but must be reported/approved by LRWDD prior to transfer. Transportation will not be provided by the Local Area.

The transfer of property will be documented in writing and both program operators and the Local Area will sign the transfer document for audit purposes.

F. **Property Maintenance:**

All property will be periodically inspected by the operator's staff or qualified service representative. Records will be maintained of all service to mechanical or electrical equipment.

The records will be available for Local Area and DWS upon request. If a machine is malfunctioning, the operator will obtain a quote from a reliable service and repair facility so the Local Area can determine if it is economically feasible to repair the machine.

G. **Disposition of Property:**

Disposition of property will be the responsibility of the Local Area. Proper documentation of the disposition will be maintained by the Local Area for audit purposes. If the disposition is by sale (either public auction or sealed bid), the proceeds of the sale will be put back into the WIOA program as an applicable credit to the proper cost category.

Based on the DWS contract agreement that items valued at $500 or greater must be added to the asset listing/inventory, equipment items with a current per unit fair market value of less than $500 may be retained, sold or disposed of with no obligation to the North Carolina Division of Workforce Solutions.

For equipment with a fair market value of **$5,000 or more**, recipients of WIOA funds should take the following steps as outlined in 2 CFR 200.313 (5) (e) (1) (2) (3) (4), 29 CFR 97.32 (g) and 29 CFR 95.34 (c):

1. The recipient may use the equipment in the program or project for which it was acquired as long as needed, whether or not the project or program continues to be supported by federal funds.
2. If the equipment is no longer needed by the original program/project, the recipient shall use the equipment in connection with its other federally sponsored activities. Priority should be given to programs funded by the DOL Employment and Training Administration.

3. If the equipment is no longer needed by the program/project or used in connection with other federally sponsored activities, the recipient may:
   a. Retain the equipment for other uses
   b. Transfer the title to a third party or
   c. Sell the equipment

If the equipment is retained, transferred or sold, then compensation must be made for the WIOA federal funds used in the purchase. The amount of compensation shall be computed by applying the percentage of WIOA federal funds used in the purchase. If only WIOA federal funds were used for the purchase then the percentage would be 100 percent. If both WIOA federal and local funds were used in the purchase then use the WIOA federal funds percentage for the calculation. This percentage is applied to the fair market value or proceeds of the sale for the equipment. Recipients of sub grants are permitted to deduct actual reasonable selling and handling expenses ($500 or 10 percent of the proceeds of the sale, whichever is less) from the proceeds of the sale. The balance of WIOA federal funds must be sent within 30 days to the DWS Finance Unit. The Name of the Entity, Agreement Number, Program Year and Funding Stream must be provided when submitting the funds.

1. In the case of retention, transfer or sale of the equipment, a Request for Transfer or Disposition of Excess Property should be submitted and communicated to the DWS for pre-approval. All such forms, yearly inventory reports and requests for disposition approvals must be submitted to the respective DWS Financial Monitor at the DWS.

2. **Computation of "Fair Market" Value:** The selling price of an item that is sold through auction, advertisement, or a dealer is the fair market value of the item regardless of any prior estimates. An item that is not sold but retained by the entity has a fair market value based on similar items that are offered for sale, using the selling price if known. Methods for determining fair market value include, but are not limited to: Auction, Classified advertisements for similar used item, Dealers and Licensed appraisers. (For automobiles, trucks, and vans, the standard authority on the value of used vehicles is the Kelley’s Blue Book).

**Property Records Retention:** Property records (for all WIOA property items costing $500 and above) must be maintained from the date of acquisition, through final disposition. Sub recipients must also retain those records for a period of three years from the date of their last expenditure report submitted to the DWS. If any litigation, claim, or audit is started before the expiration of the three-year period, all records must be retained until all findings have been resolved and final action taken.
H. **Inventory:**

The Local Area will attach numbered inventory identification decals to each property item purchased that has a unit cost of $500 or more and enter those items and numbers into its inventory system. The following additional information will be entered to accurately identify an item:

1. Funding source (to distinguish WIOA-funded purchases)
2. Manufacturers name
3. Serial Number (if applicable)
4. Description of item
5. Unit cost including tax, shipping, and installation
6. Location of property
7. Date of delivery

The inventory records will be maintained by the Workforce Development Division. For accountability purposes, the Local Area will conduct and document an annual inventory check of all WIOA property.

I. **Missing, Stolen, or Maliciously Damaged Property:**

Each operator will report any missing, stolen, or maliciously damaged property to the Local Area immediately. All such instances will be reported to DWS immediately. The Local Area will require the operator to obtain a written report from the proper law enforcement agency and submit a copy of the report to the Local Area to be submitted to DWS, as applicable.

VIII. **Consultants and Professional Services:**

Consultants and Professional Services contracts, with a cost of $500 or less must have the LRWD Administrator’s approval prior to entering into contract. Costs of more than $500 must have LRWDB approval prior to entering into contract. Costs of $5,000 or more must also have DWS review and written compliance certification before the contract is finalized. This pertains to both LRWDD in-house use and contractor use. Contractors should submit their request to their corresponding LRWDD program coordinator in a timely manner. The coordinator will then present the request to the WD Administrator/Youth Committee/Evaluation Committee/WDB and DWS, as appropriate. Not adhering to policy will result in WIOA not reimbursing for expenses incurred.

Contracts for consultants and professional services should follow the LRWDB Procurement Policy. Proof of compliance should accompany the requests.

The following must be adhered to for consultant contracts, purchase of personal services and planned purchase agreements (quotes, purchase orders, requisitions, etc.) when the deliverables are specifically defined and priced at or over $5,000. The contracts and purchase agreements must be filed with the DWS Financial Monitor before the contract is finalized. The filing is to be submitted to DWS a minimum of **ten (10) business days** prior to execution of contract. The Financial Monitor will review the filing and provide feedback as needed. During the onsite monitoring, the
DWS Financial Monitor will review the contract documentation against the filing submitted to DWS. The filing submitted to the Division must include:

1. The cost of the proposed consultant contract, personal services contract and/or purchase agreement;
2. The starting and ending dates of planned contract or agreement;
3. The purpose of the consultant contract, personal services contract, and/or purchase agreement;
4. List whether the procurement is Competitive or Non-Competitive; and
5. The funding source to be used.

Once approval from the LRWDB has been given, the corresponding LRWDD program coordinator/staff is to provide an electronic version of the request (as presented to the LRWDB) to DWS for approval if needed. Once DWS approval is received and/or once the LRWDB approves the request, the appropriate LRWDD staff will notify the contractor of the status of the Consultant/Professional Services request.

IX. Technical Assistance:

The appropriate LRWDD staff will provide technical assistance regarding financial issues upon request. Financial workshops/training sessions will be provided as needed.

X. Conflict of Interest/Nepotism Policy:

Interest of Contractor
The Contractor agrees that neither the Contractor nor its agents or employees presently has an interest, nor shall acquire an interest, direct or indirect, which conflicts in any manner or degree with the performance of its service hereunder, or which would prevent, or tend to prevent, the satisfactory performance of the Contractor's service hereunder in an impartial and unbiased manner. The Contractor further agrees that in the performance of this contract no person having any such interest shall be employed by the Contractor as an agent, subcontractor, or otherwise.

Interest of Members of Council and Others
No officer, member or employee of the COG, the Lumber River Workforce Development Board, and no public official of any local government which is affected in any way by the WIOA activities, shall participate in any decisions relating to this contract which affects his personal interest or the interest of any corporation, partnership, or association in which he is directly or indirectly interested; nor shall any such person have any interest, direct or indirect, in this contract or the proceeds arising therefrom.

Officials not to Benefit
No member of or delegate to the Congress of the United States of America, resident commissioner or employee of the United States Government, shall be entitled to any share or part of this contract or any benefits to arise herefrom.
**Nepotism**

Government contractors agree for itself and its governmental subcontractors that no two members of an immediate family shall be employed within the same agency if such employment will result in one supervising a member of his immediate family, or in one occupying a position which has influence over the other's employment, promotion, salary administration, and other related management or personnel considerations. Immediate family is described as wife, husband, mother, father, brother, sister, son, daughter, mother-in-law, father-in-law, daughter-in-law, son-in-law, grandmother, grandfather, grandson, granddaughter, stepmother, or stepfather. This section shall also apply to applicants, participants, Contractor staff, and subcontractor staff involved in WIOA activities.

**XI. Insurance and Bonding:**

**Bonding**

The Contractor shall also procure a fidelity bond for all persons authorized to receive or disburse WIOA funds and public agencies shall procure a public employee's faithful performance blanket bond. Non-governmental agencies shall procure either a blanket fidelity bond, or name schedule fidelity bond. The bond coverage limit shall be for the total contracted amount or $50,000, whichever is less.

The Contractor shall provide the COG with a copy of the bonding document(s) issued by its insurance company. The Contractor shall maintain all bonding in force for the period of this agreement. The Contractor shall give the COG written notice fifteen (15) calendar days prior to the bond being reduced or canceled from the original limits stated on the bonding document(s).

**Insurance**

For insurance of loss, cost, damages, expense, and liability caused by an accident or other occurrence causing bodily injury, including death, sickness and disease to any person; or damage or destruction to property, real or personal, which may arise from operations, or services rendered by the Contractor under this Contract, the Contractor shall maintain general public liability insurance or general liability in an amount of at least $500,000 single limit coverage except where a lesser amount may be agreed to by the COG. A certificate of insurance must be submitted to the Consortium prior to the start of program operations.

The Contractor, administering or in operating programs funded under the WIOA, assures that all participants employed in any activity will be covered by workers compensation insurance in accordance with state law, or where participants are not covered under the state’s worker compensation law, they shall be provided with adequate on-site medical and accident insurance; and that participants employed in subsidized jobs will be provided benefits and working conditions at the same level and to the same extent as other employees working a similar length of time and doing the same type of work. Contributions to a self-insurance plan, to the extent that they are comparable in cost and extent of coverage had insurance been purchased, are allowable upon prior approval by the State (DWS), through the LRWDB. Requests for such approval are to be submitted in writing to the LRWDB.
XII. Program Requirements and Restrictions (WIOA):

- No WIOA Title I funds described in Section 134 of the WIOA Act is to be used to develop or implement education curricula for school systems in the state.

- WIOA Title I funds are not to be used to duplicate services available in the local area per WIOA Act Section 194(2).

- Per Section 194(5) of the WIOA Act, participants are not to be charged fees for placement or referral.

- Per Contract for Services, Part I, Section 1.1 Purpose, contractors agree to abide by the WIOA Acts as applicable, regulations, Local Area Plan, Policies, and Issuances.

- Per Contract for Services, Part II, Section 3.11 Sanctions, Financial Liability, the contractor is responsible for all funds received under the executed contract. The contractor shall repay the COG from non-federal funds within 10 days of any amounts expended under the contract by it or its subcontractors that are determined to be disallowed by the COG, the State, or the United States Department of Labor.

- De-Obligation and Reallocation, consistent with WIOA expenditure policies, it is the policy of the State of North Carolina that all Local Areas expend their full WIOA allocations within a two-year time frame from the original award year as further described below. Any exceptions will be noted in correspondences issued by DWS.

  1. Effective at June 30 of the second full fiscal year after a WIOA allocation, all funds must be expended. Any unspent funds will be de-obligated from the Local Area and returned to the state via WISE.
  2. Any changes in funding necessitated by the de-obligation/reallocation policy will be made on a NFA.

Rapid Response or State Set Aside funding follow the end date as stated on the NFA Letter. DWS will redistribute de-obligated funds.

XIII. Suspension of Funding List (SOFL):

To assist in the management and oversight of funds provided to non-state entities, the General Assembly adopted G.S. 143C-6-23 which requires that the Office of State Budget and Management (OSMB) maintain a “Suspension of Funding” list (SOFL) accessible to any interested party. WIOA funds are prohibited from entities included on the “Suspension of Funding” list and grant funds should not be disbursed or obligated until the entity has been removed from the SOFL. It is the responsibility of the WIOA contractor staff to verify this requirement. It is the responsibility of the suspended entity to address and rectify the issue. If an entity becomes listed during obligation period, reimbursements/disbursements of WIOA funds should be withheld until issue has been resolved and entity is removed from list. It is the contractor staff’s responsibility to verify entity has been removed prior to continuing WIOA payments.
## Lumber River Local Area
### Assignment of Expenses to Cost Categories (WIOA)
#### Attachment E1

## Staff Non-Direct Costs

<table>
<thead>
<tr>
<th>Line</th>
<th>Description</th>
<th>Examples/Explanation</th>
<th>Supporting Documentation</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>1000</td>
<td>Staff Salaries</td>
<td>Wages paid to staff assigned to directly work with the participants. Examples include assessment and development of ISS after eligibility is determined, teach a class, monitor a worksite, counsel participant, development of training plans and curriculum for participants. Titles might include: Teacher, Instructor, Counselor, Case Manager, Job Developer, Secretary or Administrative Assistant who supports one of the above.</td>
<td>Evidence of employment by agency. Job Description, staff work schedule, time and attendance records, justification of any prorations of salary, daily logs/reports, payroll records/ledgers, etc.</td>
<td><em>This is the true monthly gross wage of staff.</em></td>
</tr>
<tr>
<td>1010</td>
<td>Staff Fringe Benefits</td>
<td>Paid on the wages of the aforementioned staff: FICA, WC, HI, Pension, UI, other. Staff bonding costs.</td>
<td>Payroll records, proof of FICA and taxes being properly withheld and paid, proof of other fringes being properly paid, etc.</td>
<td></td>
</tr>
<tr>
<td>1020</td>
<td>Staff Monthly Mileage/Travel &amp; Professional Development</td>
<td>Monthly travel expenditures for staff noted in the staff salary section 1000 above. Conference/workshop costs (lodging, associated transportation, meals, attendance fees, etc.) for staff noted in the staff salary section above. Also includes due to professional organizations related to WIOA for staff noted in Section 1000.</td>
<td>Properly approved travel requests, travel vouchers, mileage forms, receipts, copies of checks, finance records, proof of attendance, application, membership notice, etc.</td>
<td></td>
</tr>
<tr>
<td>1080</td>
<td>Equipment</td>
<td>DWS Policy Statement PS 19-2013, Sec. VII A: Property means tangible non-expendable property, including exempt property, charged directly to the award having a useful life of more than one year and an acquisition cost of $500 or more per unit.</td>
<td>LRWD Procurement Policy (Fiscal Management Guide): quotes from a minimum of three (3) qualified sources.</td>
<td></td>
</tr>
<tr>
<td>1090</td>
<td>Supplies/ Miscellaneous</td>
<td>Costs of items used by staff who provide direct services to the participants and support staff. Examples: copy costs, paper, pencils, pens, reference material, postage, advertising related to training activities</td>
<td>Evidence of need, purchase order, invoice, packing slip, voucher, bills, copies of advertisements, physical evidence of receipt/use, etc.</td>
<td></td>
</tr>
<tr>
<td>1160</td>
<td>Overhead/ Indirect &amp; Profit Costs</td>
<td>Program Indirect Costs to include allowable/approved profit. Provide copy of Indirect Cost Plan or other documentation.</td>
<td>Indirect Cost Plan or other acceptable documentation per Uniform OMB Circular</td>
<td></td>
</tr>
</tbody>
</table>

**NOTE:** Lumber River Workforce Development Board Policy – maximum of 10% of total budget can be charged as Indirect to WIOA. Profit margin is negotiable on a case by case basis and is included within the 10% maximum.
## Participant Direct Costs

<table>
<thead>
<tr>
<th>Line</th>
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<th>Supporting Documentation</th>
</tr>
</thead>
<tbody>
<tr>
<td>1030</td>
<td>Individual Training Accounts</td>
<td>Tuition for course, fees, required student insurance, required books, required uniforms, supplies, tools, shots, physicals, certification exams, graduation fees/requited items, background check, fingerprinting and other training required items. Must be for a training activity and training provider that has been approved by Lumber River Workforce Development Board located on NCWORKS ONLINE or have prior approval from WD Administrator for provider not approved by LRWDB on form LRLA-6. Training must be on the approved Occupational list or have prior approval from WD Administrator for training not on LRWDB approved list. Maximum ITA $5,500 per year per customer with a lifetime maximum of $11,000 per customer. Must be enrolled into WIOA prior to obligating/incuring cost. NOTE: if participant is currently attending or has previously attended post-secondary training, or has exhausted Pell Grant Funding-- WIOA Contractor Supervisor must approve and submit to WD Administrator for review and final approval/denial per LRLA-6 form.</td>
<td>ISS documentation of appropriateness of course enrollment backed up by assessment data and the following: a) an official registration form which includes the class schedule and (if applicable) an acceptance letter, b) bookstore/supply receipts to include participant’s name, c) any additional approved expense receipt forms, d) copies of semester grades, certificates, degrees, etc. ITA form should be completed from the Financial Award Analysis form (FAA). FAA should have attached as applicable the following: training acceptance letter/school registration to include schedule and costs, book and supply estimates, uniform estimates, letter from instructor/school to list required items for training. Note: Tools for training such as mechanics, etc. must be pre-approved by LRWDB administrator on a case by case basis. *Uniforms are limited to two complete sets (pants, shirt, dress). The following items are limited to one per participant: nursing shoes, watch, stethoscope, lab coat, name badge, etc.</td>
</tr>
<tr>
<td>1040</td>
<td>Customized Training Costs</td>
<td>Customized Training may be designed to meet the special requirements of an employer (including a group of employers). Customized training can only be conducted with a commitment by the employer to employ, or in the case of incumbent workers, continue to employ, an individual upon successful completion of the training. The employer is responsible for a significant cost of the training as determined by the LRWDB. Additional information/requirements can be found in the WIOA NPRM/Reg’s. Contact LRWDB in reference to the ‘significant cost’.</td>
<td>Eligibility and enrollment showing on NCWORKS system for trainee. Incumbent Workers must not be currently earning a self-sufficient wage as determined by the LRWDB. Properly selected worksite. Signed timesheets, payroll records, Customized Training contract, Customized Training outline, etc.</td>
</tr>
<tr>
<td>Line</td>
<td>Description</td>
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</tr>
<tr>
<td>1060</td>
<td>Employer OJT Incentives (On the Job Training)</td>
<td>Financial incentives provided to employers for participation in the OJT program. Only available for Adult &amp; Dislocated Worker Programs. Must be enrolled into WIA prior to obligating/incursing costs. See OJT Policies/Procedures. NOT AVAILABLE FOR LUMBER RIVER WIA YOUTH PROGRAMS PER LA PLAN.</td>
<td>Eligibility and enrollment showing on MIS system for trainee. Meets self-sufficiency definition. Properly selected worksite. Signed timesheets, payroll records, OJT contract, OJT training outline, etc. OJT Wage Reimbursement Cap of $18.95</td>
</tr>
<tr>
<td>1120</td>
<td>Work Experience/Internship Wages</td>
<td>These activities are planned, structured learning experiences that take place in a workplace for a limited period of time as set by the Lumber River Workforce Development Board. Worksites may be private-for-profit, non-profit or public sector. <strong>Adult/DW:</strong> maximum contract hours of 500 hours with a maximum of 25 hours per week up to 20 weeks at a rate of $10 per hour. <strong>YOUTH PROGRAM:</strong> maximum contract hours of 520 (WE = max of 260 hours; Internship = max 520 hours) hours with a maximum of 25 hours per week at a rate of $10 per hour.</td>
<td>ISS, timesheets, tax forms, I-9, SY Worksite Agreement, Job Description See appropriate LRWDB Policies for required documentation. (Policy # 2017-12 &amp; #2017-17)</td>
</tr>
<tr>
<td>1130</td>
<td>Work Experience &amp; Internship Fringe Benefits</td>
<td>Paid on work experience/internship wages for participants: FICA, Worker’s Compensation <strong>NOTE:</strong> These wages are not eligible for Unemployment Insurance.</td>
<td>Payroll records, proof of FICA and taxes being properly withheld</td>
</tr>
<tr>
<td>1140</td>
<td>Summer Youth Wages</td>
<td>Wages paid to participants in the Summer Youth component. SY will link academic and occupational learning. Participants will be placed in public or private non-profit worksites. Group activities that emphasize general workplace readiness, basic academic skills and successful adult living skills may be incorporated. <strong>NOTE:</strong> SY slot maximum of 175 hours per participant at minimum wage. See current budget for actual maximums per Program Year.</td>
<td>ISS, timesheets, tax forms, I-9, SY Worksite Agreement, Job Description See appropriate LRWDB Policies for required documentation. (Policy# 2017-12 &amp; #2017-17)</td>
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</tbody>
</table>
| 2040 | Participant Support Costs* | **Supportive Services are available for youth during the follow-up period** *(Assistance with childcare, transportation, housing and work related attire/tool costs; referrals to medical and community services-{per WIOA Reg’s 681.570})* | Documentation of:  
1. Need  
2. Reasonableness of Expense  
3. Reason why WIOA funds are needed to pay (what other avenues of payment were explored?)  
**see separate sheet with details.**  
Cost Authorization Vouchers are required for obligation of supportive services. |
|      |             | **TRANSPORTATION:** allowable for mobility between home and the location of training, employment of actively enrolled WIOA participants. Maximum 200 miles per week at a rate of .30 cents per mile. Enrollees in OJT/Transitional Jobs/WE/Internship can be reimbursed $2 per day for a maximum of three weeks not to exceed a total of $30.  
**CHILD CARE:** (maximum 3 months) – assistance while the parental enrollee participates in the WIOA program or employed. See supportive services policy for approved rates.  
**EMERGENCY/SHORT-TERM HOUSING:** see Supportive Services Policy for allowable costs and time frames.  
**HEALTHCARE:** allowable assistance as it obtains to Job Related healthcare expenses only. See Supportive Services Policy for limitations.  
**EDUCATIONAL FEES:** See Supportive Services Policy for limitations/allowable costs.  
Drug tests/background checks are only allowable if required in the training curriculum – not allowable as it relates to employment.  
Other items as needed during the follow-up period as outlined to the left for Youth. | |
| 2050 | Participant Incentives | Allows incentive payments to youth participants for recognition and achievement directly tied to educational activities.  
**NOTE:** Comply with LRWDB Youth Incentives Policy #2017-19. | Documentation:  
1. Need  
2. Reasonableness of Expense  
3. Documentation of Incentives  
4. Youth Incentives Form  
5. Cost Authorization form  
Any incentive received by the participant must be documented as a case note in the appropriate section in the participant’s file. |
## Lumber River Local Area
### Assignment of Expenses to Cost Categories (WIOA)

**Attachment E1**

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<tr>
<th>Line Item</th>
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<tbody>
<tr>
<td><strong>2060</strong></td>
<td>Other Participant Costs</td>
<td>Allowable educational Field trip costs and food for meetings with participants. Documentation of expense, explanation and reasonableness of expense, receipts, sign-in sheets.</td>
</tr>
<tr>
<td><strong>4700</strong></td>
<td>Contractual Costs (Tutors, Bus Drivers, Professional Services)</td>
<td>Wages/contractual wages paid for tutorial services and bus drivers for the direct benefit of the participant. Consultants and Professional Services contracts (this pertains to both LRWD and contractor use.) Documentation: 1. Need and Reasonableness of expense, 2. Contracts, timesheets, etc., 3. LRWDB approval for Professional Services &amp; Contr. for Professional Services to include description of service, timeframe, cost, etc.</td>
</tr>
</tbody>
</table>

### Line Item 2040: Participant Support Cost

**Note:** Whenever possible, checks are to be made out and mailed to the vendor.

Supportive services are services which are necessary to enable an individual to participate in activities authorized under WIOA, Title I. These services may only be provided when individuals are unable to obtain needed supportive services through other programs providing such services and such has been documented in the participant’s file. If documentation is not provided in participant’s file, the cost could be deemed unallowable, and therefore become the responsibility of the contractor.

Need must be documented in the ISS. Adequacy of support services to be evaluated and documented at least quarterly and adjusted to meet current need. Youth may receive **non-cash** supportive services up to one year following termination during follow-up. Supportive Services must be included in the contractor’s approved budget and adequacy of funds must be available prior to incurring costs.

*GIFTS OF ANY KIND ARE NOT AN ALLOWABLE WIOA COST. SUPPORTIVE SERVICES ARE TO BE FOR THE DIRECT BENEFIT OF THE PARTICIPANT!*
<table>
<thead>
<tr>
<th>Item</th>
<th>Documentation of Need</th>
<th>Test of Usual, Reasonable, and Customary</th>
<th>Test of WIOA Payment</th>
<th>Limitations/Exclusions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Transportation</td>
<td>Request from participant for mileage, cab, bus, or other transportation fees to attend training</td>
<td>Mileage rate set by LRWDB, cost set by vendor of service.</td>
<td>Need justified and documented on participant’s ISS and reviewed at least every three months. Mileage verified by staff.</td>
<td>Paid for reimbursement for driving/riding with others (except vendor). Use WIOA travel voucher for mileage. Mileage limited to 30¢/mile for a maximum of 200 miles per week for miles traveled while actively engaged in training activities. May contract for transportation (van, bus, etc.) OJT/WE/ Internship enrollees - $2/day for a maximum of 3 weeks not to exceed $30.</td>
</tr>
<tr>
<td>Housing or Rental Assistance Utilities: electric, water, heating</td>
<td>Demand letter for payment of rent or mortgage in participant’s name. Documentation from social agency of individual being homeless. Demand letter from vendor in participant’s name.</td>
<td>Amount stated in demand letter. Local knowledge of cost of shelter in area.</td>
<td>Participant to provide proof of being turned down for help by DSS and other appropriate agencies available in area.</td>
<td>Pay difference in current subsidized federal housing monthly rent and new monthly rent – 3 month limit Relocation into new rental housing (utilities, rental deposits) limit is deposit and/or two months’ rent</td>
</tr>
<tr>
<td>Counseling: Substance abuse, legal, individual, family</td>
<td>Letter from professional stating need.</td>
<td>Note: Comply with LRWDB Supportive Services Policies and Limitations/Exclusions. A Cost Authorization should be issued.</td>
<td>Referral Only</td>
<td>Not Applicable</td>
</tr>
<tr>
<td>Educational Fees – Youth Program Only</td>
<td>Documentation from school principal, superintendent or BOE.</td>
<td>Required supplies for classes, required graduation items/fees, educational testing. Fees should be attempted to be waived or reduced who demonstrate economic hardship. Fees must be paid directly to the vendor Does not include assistance with money owed for fund raisers, school pictures, rings, etc. Items must be considered a required “need”.</td>
<td>Student provide documentation of need</td>
<td>Letter/documentation from appropriate school representative, must be included on the enrollees ISS.</td>
</tr>
</tbody>
</table>

**Lumber River Local Area**

**Assignment of Expenses to Cost Categories (WIOA)**

**Attachment E1**
<table>
<thead>
<tr>
<th>Item</th>
<th>Documentation of Need</th>
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<th>Test of WIOA Payment</th>
<th>Limitations/Exclusions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Child Care Dependent Care</td>
<td>Request from participant for daycare, dependent care or after school care. Proof that child, children, or dependent for whom request is made is a blood relative of the participant and that they reside in the same household. (copies of birth certificates, marriage or divorce documents, lease or DSS document showing child or dependent as residing with participant, etc.)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Use judgment. After school care costs or dependent care costs are not warranted unless participant attends training program during the time period and days for which care is to be paid.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td><strong>Note:</strong> Comply with LRWDB Supportive Services Policies</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Participant is to provide proof of being turned down for help by DSS, Smart Start (where operating) and other appropriate agencies available in area. If participant is approved for help by one of the above, but there is a documented waiting list and waiting would delay participant’s entry or continuation in training—OK to consider paying.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Take into account amount available in budget and encumber funds. Providers must be registered/licensed centers. Maximum 3 months assistance. Any assistance beyond 3 months will require WD Administrator’s approval.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>See Supportive Services Policy for rates.</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Lumber River Workforce Development Board
Integrated Services Delivery
Policy & Procedures

The Lumber River Workforce Development Board has adopted the Integrated Services Delivery System as outlined in the *Framework for the Re-Engineering North Carolina Workforce Delivery System* by N.C. Division of Workforce Solutions. As a result, each NCWORKS Career Center in the Lumber River Local Area must implement the procedures as listed below.

**Policy:**

**Integrated Service Customer Pool:**

All Centers will:

- Provide an overview of Center services/Orientation to Center/Assessment of customers (including jobseekers and employers)
- Provide a one-on-one service to include assisting customers with self-registration services by the Welcome Function
- Enroll all center customers in both the Wagner Peyser (WP) and WIOA Title 1 Adult/Dislocated Worker Core Services by the Welcome Function at initial visit (must have appropriate verification sources)
- Enroll all Trade Adjustment Assistance customers in WIOA Title 1 Dislocated Worker (DW) Core Services
- Enroll all Unemployment Insurance (UI) customers in WIOA Title 1 Dislocated Worker (DW) Core Services, when eligible
- Evaluate the job seeker service needs/barriers to employment and refer to appropriate Function
- Evaluate the employer service needs and refer to appropriate Function

**Procedures:**

**Integrated Service Customer Flow:**

**Four Major Components:**

1) Initial customer welcome with immediate response to customer need(s) fulfilled by cross-trained functional staff; with customer’s access to all available services provided in the product box

2) Provide staff-assisted services and promote Center services in the Skills Development and Employment Function
3) Continuously provide services to customers until customer’s goal(s) has been achieved
4) Provide staff assisted services to employers to ensure that employer needs are met

**Component #1: Initial customer welcome with immediate response to customer need(s)**

fulfilled by cross-trained functional staff with customer’s access to all available services
provided in the product box.

All first time customers will have a one-on-one welcome meeting with a Center “Greeter”; The meeting will include (at a minimum) the following components:

a) All customers will be greeted with a sincere and genuine, “Good Morning” or “Good Afternoon”, “How may we be of assistance to you today?”
b) Determine what brought the customer to the Center today and conduct a brief/concise initial assessment of the customers’ need(s);

Customers will then be referred to the Welcome Function Team to receive the following services:

c) Provide a brief overview of Center services and orientation to the Center
d) Offer/promote additional one-on-one services during initial visit; staff assisted/self-registration online
e) Dually enroll customer in the WP and WIOA Adult or DW Core Services at initial visit to the Center; capture the orientation services in WP and WIOA Core as well
f) Based upon assessment, refer to Skills Development or Employment Functional staff

**Component #2: Provide staff-assisted services and promote Center services in the Skills Development and Employment Function.**

Upon completion of the welcome function, customers will be referred to the skills development staff for an approved initial skills assessment, with access to a wide range of skill development services to include options to improve their employment opportunities through skills upgrading, skills validation and credentialing:

a) All customers will have a one-on-one assessment completed in the skills development to determine job readiness skills of customers; additional services offered through the product box will be scheduled if applicable
b) All functional staff will be cross-trained to assist/facilitate/schedule all customers in all services in the product box
c) All services will be captured in NCWorks Online under WP and WIOA Adult or DW Core Services as appropriate
d) WIOA staff will ensure program eligibility prior to enrollment in intensive or training services
e) Customers will be given immediate access to a wide range of short-term skill development opportunities through multiple service delivery methods
f) Determine appropriate referral, if applicable

**Component #3: Continuously provide services to customers until customers’ goal(s) has been achieved.**

All staff will be customer-focused and emphasize staff-assisted services. Center services of the product box will be continuously promoted and provided until customer’s goal(s) has been met:

a) All Center “product box” services will be easily accessible to all customers
b) All staff will schedule services from the “product box” for all customers at every center visit and until the customer’s employment goal is achieved
c) All customers will have the opportunity to assess their skills, improve their skills, and obtain the best job possible with their skills
d) Customers will have the opportunity to enroll in approved WIOA intensive or training services if all eligibility requirements are met
e) All services will promote entered employment services as the desired outcome

**Component #4: Provide staff assisted services to employers to ensure needs are met.**

All staff will be employer-focused and emphasize staff-assisted services. Center services of the product box will be continuously promoted and provided until employer’s goal(s) has been met:

a) All Center “product box” services will be easily accessible to all employers
b) Employer Function Team will assist employers with registrations and posting job vacancies in NCWorks Online
c) Employer Function Team will assist with specialized recruitment (Veterans, Title V, Migrant Seasonal Farm Workers(MSFW) and Youth
d) Employer Function Team will properly recruit/screen/refer qualified applicants
e) All Center staff will market Center services
f) Determine appropriate employer referral, if applicable

**Customer Flow Chart: Please reference to Attachment A**
PRODUCT BOX

The Product Box consists of services available at each Center for the job-seeker and employer.

**Employer Sponsored Skills**

- OJT
- Work Experience
- Applicant screening
- Job fair
- TRA/TAA
- Technical Assistance
- Resources Guide
- Labor Market Information
- Dedicated Business Services Representative

**Job Getting and Job Readiness Services**

- WorkKeys Assessment/Career Readiness Certification
- WorkKeys Assessment Enhancement
- Job Readiness Services (Employment Application completion, Resume Prep, Soft Skills, Interviewing, Work Ethics, Job Search/Placement)
- Transitional services

**Skill Development and Improvement Services**

- Professional development
- Basic skills assessment/Enhancement
- Adult Basic Education GED Prep
- Upgraded technology
- Information on Upgrading Skills
- Financial literacy
- Special Services to Disabled
- Supportive Services Information

**Occupational Training Services**

- Career planning/counseling
- Customer service skills
- Occupational skills training
- Customized training

**Specialty Programs Available at Each Center**

Each center must have an available listing of other programs provided on-site. Being able to provide a link to Partner Services (DSS, Community Colleges, Universities Vocational Rehabilitation, Veterans, etc.)
Job Descriptions for Integrated Center Staffing:

**Center Manager/Functional/Formal Leader:**
Responsible for the overall supervision of the Center, without regards to the program that funds an individual staff member and will focus on day-to-day supervision of service delivery efforts. The Center Manager will also perform the formal leadership responsibilities for the employer of record.

**Functional Leader**
- Create daily work schedules, team assignments and work flow based upon operational needs
- Coordinates staff vacations/unscheduled absences with the formal leader to ensure service coverage by Center staff
- Ensures staff are properly trained/provided technical assistance as needed
- Provides constructive feedback to team staff regarding duties
- Maintains open communication among the other functional leaders and all staff in the Center to facilitate efficient and effective Center operations
- Provides input to the formal leader on the work performance of staff under their direct report
- Notifies the formal leader immediately of any staff leave requests or unexcused absences, disciplinary needs, or changes in employee status
- Demonstrates effective leadership throughout the Center by identifying and facilitating timely resolution of complaints, problems, and any other issues
- Provides and/or contributes reports of Center activities as requested by Lumber River WDB and DWS

**Formal Leader- (Only for DWS Center staff under their direct report):**
- Exhibit practical and strategic planning to ensure DWS programs are integrated locally
- Provide direct oversight and administration for planned activities to align with Center Certification goals and ensure DWS program priorities are met
- Plan, Coordinate, and participate in public activities/efforts to increase awareness of Center Certification products and services with focus on customer satisfaction feedback
- Responsible for all personnel information or actions of DWS Center staff
- Conducts performance appraisals and disciplinary actions for Center DWS staff
- Approves payroll records, travel requests and reimbursement
- Approves and assists with procurement and other fiscal matters that obligate State or federal funds under their report
- Coordinate with Lumber River WDB and Regional Manager on all activities of the Center
Welcome Function:
Responsible for providing prompt, courteous engagement of customers to initially assess skills and needs of all customers. Accurately direct all customers to the appropriate services and opportunities

Job Duties:
- Promptly greet all customers in a courteous and professional manner upon entrance at Center providing an overview of Center services and Orientation to Center
- Accurately and efficiently determine customer’s need(s)
- Possess and show proficiency and a thorough understanding of Center services and resources
- Engage with customers to begin initial assessment of skills/needs and make accurate assessments of customer abilities and need(s)
- Dually enroll all customers in Wagner Peyser and WIOA Title I Adult/Dislocated Worker Core Services at initial visit
- Provide thorough and accurate input of customer data into NCWorks Online and ensure data integrity
- Demonstrate definitive and proportional effort in serving total customer flow
- Answer telephone in a prompt, courteous and professional manner; determine the purpose of call; monitor “hold” times, answer general questions; take messages and deliver to appropriate staff
- Respond to all voice mails within a 24 hour time frame; if applicable

Skills Development Function:
Provide all customers with quality skill development information and assistance to improve the employability of all customers

Job Duties:
- Provide all customers with quality, thorough and knowledgeable assessment of customer skills, aptitudes, interest and supportive service needs
- Develop a quality service strategy for customers with appropriate career goals and detailed plan steps
- Make a demonstrable and proportionate number of referrals to in-house workshops, training activities or partner services
- Maintain full data integrity for eligibility items, case notes, etc for all interactions
**Employer Function:**
Responsible for providing all customers with high quality job search assistance and referrals to employment and to provide high quality of service to employers in the service delivery area to market all services and programs offered through the Center.

**Job Duties:**
- Provide customers with high quality and well matched job search assistance
- Demonstrate quality job referrals as related to employer requirements
- Exhibit focus on finding employment opportunities for customers via proportionate number of Entered Employments and Percentage of customers employed due to direct job referral
- Accurately and timely acquire and input job order requirements from employers
- Develop and maintain relationships with employers in service delivery area
- Develop job leads and contacts
- Establish a rapport with employers to promote services of the Center
- Ensure data input into *NCWorks Online* accurately reflects employer’s needs and requirements
- Deliver timely job order follow up to employers and provide quality information to businesses on how to self-serve using *NCWorks Online*.
- Demonstrate a proportionate level of job order intake and specific employer related servicing, including workshops to focus on product box services
LUMBER RIVER WORKFORCE DEVELOPMENT CONSORTIUM
LRLA ADULT & DISLOCATED WORKER WORK EXPERIENCE POLICY 2019-12
July 1, 2019

SUBJECT: Work Experience Policy and Procedures for Workforce Innovation and Opportunity Act (WIOA) Adult and Dislocated Worker Programs.

PURPOSE: To provide the Lumber River Workforce Development Board with additional information and clarification on guidance regarding the use, documentation, and tracking of Workforce Innovation and Opportunity Act (WIOA) Title I funds in the provision of Work Experience (WEX) opportunities adult and dislocated worker participants and rescind Policy Statement 09-2017.

BACKGROUND: “Work Experience (WEX) Training” is planned, structured learning experience that occurs in a workplace for a specified, limited period of time. The purpose of the WEX activity is to provide the WIOA Title I participant with opportunities for career exploration, skill development, and reinforcement of the work ethic.

WEX Training may include paid or unpaid wages and may be in the private for-profit sector, the non-profit sector, or the public sector. Under WIOA, Adult and Dislocated Worker WEX must be linked to a career goal and based upon the participant’s interest and aptitude.

The intent of WEX is not to benefit the employer, although the employer may, in fact, gain from the activities performed by the participant, and in some cases may result in an employment offer. WEX activities shall not reduce current employees’ work hours, displace current employees or create a lay-off of current employees, impair existing contracts or collective bargaining agreements, and/or infringe upon the promotional opportunities of current employees as defined by the Fair Labor Standards Act.

ACTION: Work Experience is an Individualized Career Service in the WIOA Adult and Dislocated Worker Programs. In order to be considered for a Work Experience, participants must meet program specific eligibility guidelines and adhere to Section 134(c)(3)(E) of WIOA which establishes a priority requirement with respect to funds allocated to a local area for adult employment and training activities. Please reference LRLA Priority of Service Policy 2019-06 for established LRWDB policy.
The Individual Employment Plan (IEP) will document the necessity for Work Experience placement. Adults and Dislocated Workers may participate in planned, structured learning experiences.

Staff must consider appropriate work week hours if and/or when a participant is attending school while working. For example, if a participant is attending post-secondary education it would be ideal to limit the number of work hours in order to not interfere with educational attainment. The specific number of hours the participant has been assigned will be indicated on the signed agreement. **No participant may work more than 40 hours in any week.**

Each participant in a Work Experience opportunity must be compensated at the same rates, including periodic increases, as trainees, or employees who are similarly situated in similar occupations by the same employer and who have similar training, experience, and skills.

**EFFECTIVE DATE:** Immediately

**EXPIRATION DATE:** Indefinite

**CONTACT:** Any questions regarding this policy should be directed to Patricia Hammonds, LA Administrator, Workforce Development Division at (910) 775-9764.

**DISTRIBUTION:** Lumber River Local Area Adult & Dislocated Worker Program Service Providers and Lumber River Workforce Development Division Staff

**Patricia Hammonds**
Patricia Hammonds, Local Area Administrator
Workforce Development Division

Attachments: Work Experience Policy
LRLA-28ADW-WORK EXPERIENCE (WIOA Adult & DW Work Experience Policy) participant

**Contract Agreement Documents:**
LRLA-28ADW (WIOA Work Experience Worksite Agreement)
LRLA-28ADW-A (Worksite Agreement Training Description/Outline)
LRLA-28ADW-WORK EXPERIENCE (WIOA Work Experience Worksite Agreement Change)
LRLA-29ADW (Work Experience Worksite Supervisor Orientation)
LRLA-30ADW (Work Experience Participant Evaluation Sheet)
Work Experience Time Sheet
I-9, NC-4, W-4 (use current year forms)
North Carolina New Hire Form
LRLA -38 Work Experience Tracking Form
Adult & Dislocated Worker
Work Experience Policy

“Work Experience (WEX) Training” is planned, structured learning experience that occurs in a workplace for a specified, limited period of time. The purpose of the WEX activity is to provide the WIOA Title I participant with opportunities for career exploration, skill development, and reinforcement of the work ethic. WEX Training may include paid or unpaid wages and may be in the private for-profit sector, the non-profit sector, or the public sector. Under WIOA, Adult and Dislocated Worker WEX must be linked to a career goal and based upon the participant’s interest and aptitude.

The intent of WEX is not to benefit the employer, although the employer may, in fact, gain from the activities performed by the participant, and in some cases may result in an employment offer. WEX activities shall not reduce current employees’ work hours, displace current employees or create a lay-off of current employees, impair existing contracts or collective bargaining agreements, and/or infringe upon the promotional opportunities of current employees as defined by the Fair Labor Standards Act.

Job Readiness Training

To participate in employment activities, the participant must be evaluated and assessed to ensure they are a viable candidate for the Work Experience activity. The evaluation and assessment process may include, but are not limited to, Human Resource Development Classes, Soft Skills Training, Effective Communication Workshops, and/or any work readiness workshops offered through the NCWorks Career Center. It is imperative that the participant is equipped with preliminary job-readiness skills prior to going to work.

Worksite Selection

Matching a WIOA participant with the appropriate worksite is critical to a successful job assignment. Worksite supervisors need to have a clear understanding of the objectives of the job assignment and realistic expectations of the work products and productivity that a WIOA participant may demonstrate. The participant must have adequate supervision, as any other entry-level employee. The worksite must be willing to allow Board staff, the North Carolina Division of Workforce Solutions and/or US Department of Labor to perform onsite monitoring to ensure compliance with the worksite agreement, as well as, to monitor the progress of the participant.

Service Providers should use discernment when choosing worksites. When choosing employers, analyze the "value-added" contributions an employer is willing to make to the experience for the participant. Examples of such contributions are structured development/refinement of work readiness skills, provision of on-site educational services, and exposure to enhanced skills training and mentoring.

The Division strongly discourages the practice of placing participants in workforce training located at the board office, career center, or administrative entity due to the potential of conflicts of interest. Placement at these locations should only be allowed where there is specific documentation in the file that the particular experience meets the participant's career goals and skills needs AND there is no other placement opportunity available.
**Wages and Stipends**

Individuals participating in a Work Experience opportunity must be compensated at the same rates, including periodic increases, as trainees, or employees who are similarly situated in similar occupations by the same employer and who have similar training, experience, and skills. The rates may not be lower than the higher of the federal or state minimum wage.

A flat rate wage applied to all individuals participating in a paid Work Experience opportunity (e.g. $8.00/hour for all participants) would not be allowed if there are trainees or employees who are similarly situated in similar occupations with the same employer who receive wages that differ from the flat rate wage.

**Job Assessment and Training Plan**

Lumber River Local Area AD/DW Program Service Providers must ensure that the training for WIOA eligible participants is appropriate based on the needs identified by an objective and comprehensive assessment and as documented in the Individual Employment Plan (IEP). The Work Experience IEP clearly indicates how this activity is going to help the participant move from the Work Experience to unsubsidized employment or on to further training. Documentation of the need for Work Experience that is tied to and supported by academic and occupational education and the objectives of the Work Experience must be detailed in the IEP Training Plan.

Periodic evaluation of the participant's learning and attainment of skills during the Work Experience should be documented in NC Works Online. When possible, it is strongly encouraged that the Work Experience and its associated training components be directly tied to the attainment of a credential and documented in the IEP. Service providers should use either O*NET or other identified programs when developing the competencies to be learned and evaluated in the Work Experience. IEP should include: job skills needed, standard training hours, and estimated start and end date. If attending occupational skills training the academic and occupational components must be included.

The maximum duration of the Work Experience program should be specified per program year. The determination of the duration of the Work Experience should be based on the academic and occupational competencies the WIOA participant needs to develop or refine and must be specified in the Work Experience Training Plan. Academic skills training could be basic skills education or high school equivalency training. Occupational skills competencies may be gained through the Work Experience, Human Resources Development (HRD) classes or through courses specific to the job/career/occupation in which the individual is having the Work Experience.

A Work Experience Training Plan if developed in conjunction with the IEP allows service providers to monitor and evaluate the Work Experience. It serves as a baseline when establishing whether the needs of the WIOA participant and the employer's expectations of training and development have been met.

**Skills Analysis/Work Experience Training Plan Development**

An individualized Work Experience skills analysis must be performed to determine the acquisition of skills that the participant does not already possess. Skills the participant may have acquired from previous work or life experiences are potentially transferrable and can be used in every occupation, regardless of the type of work. Transferrable skills are unlike job-related skills, which tend to be used only in one type of work.
This analysis will contain occupationally specific skills that the employer requires for competency in the Work Experience occupation. An analysis of the trainee's prior work history, transferrable work skills, and the job skills gained must be compared to the job skills/job description the employer requires in the Work Experience occupation. The resulting gap in skills will be the basis for the development of the Work Experience.

There are a number of assessment tools available that may be used to conduct a skills gap analysis and provide adequate documentation of the process used to develop the Training Plan. These include Prove It!™, an Internet-based assessment tool used to determine an individual's level of skills in a particular occupation and to document skill deficiencies, as well as the O*NET Online website and www.myskillsmyfuture.org which have both been developed by the U.S. Department of Labor.

The Work Experience Trainee Evaluation Form must be used at the conclusion of training to document the mastery of the required skills. Completion of the final skills evaluation section of the form signals the successful completion of the Work Experience.

**The Work Experience Agreement**

There must be a Work Experience Worksite Agreement between the service provider and the employer that articulates the learning that is to take place, the length of the WORK EXPERIENCE, and the academic and/or occupational competencies to be obtained. The Worksite Agreement must be completed and signed prior to the start of the Work Experience. The service provider will use the Lumber River WDB Worksite Agreement developed by WDB staff. Additionally, the service provider must provide documentation that the employer received formal Work Experience training.

The purpose of the worksite agreement is to establish a formal training relationship with a worksite, to specify the responsibilities of each party to the agreement, and to provide a successful, enriching Work Experience for the WIOA participant. A signed original of the Worksite Agreement should be on file at the worksite and the service provider should maintain all Work Experience documents and case notes in NCWorks Online.

The following items are the minimum required terms and conditions of a Worksite Agreement:

1) Work Experience contracts require that the wages paid to participants is at least the prevailing entry wage for any specific occupation in the community.

2) The employer must comply with requirements of the Civil Rights Act with respect to equal opportunity in employment for the Work Experience position, as well as comply with all federal, state, and local laws.

3) The Service Provider must carry Workers' Compensation Insurance and make federal and state tax withholdings as required by law, as applicable. In addition, the individual trainee payroll tax records must be maintained and available for review for a minimum period of three years after the end of the training period. (The North Carolina Workers' Compensation Act requires that all businesses that employ three or more employees, including those operating as corporations, sole proprietorships, limited liability companies and partnerships, obtain Workers' Compensation Insurance or qualify as self-insured employers).

4) Conditions of employment and training will be in full accordance with all applicable federal, state, and local laws (including but not limited to health and safety laws), and be appropriate and reasonable with regards to the type of work undertaken and the proficiency of the participant.
5) The employer must certify that the participant will not displace any regular employee of the employer and that no person was displaced as a result of the relocation of the current business within the previous 120 days of signing the Work Experience Worksite Agreement.

6) The Work Experience employer will agree to adhere to the Lumber River Workforce Development Board's grievance process if a complaint arises in connection with the Work Experience participant and/or the training.

7) Work Experience participants will not be employed to carry out the construction, operation or maintenance of any part of a facility that is used or to be used for sectarian instruction or as a place for religious worship, or be required to participate in religious activities.

8) Participants may not enter a Work Experience position if a member of his/her family is engaged in an administrative capacity with the Work Experience employer, including a person with selection, hiring, placement, or supervision responsibilities for the Work Experience trainee.

9) The service provider must certify that neither the employing company nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or excluded from participation by any federal department or agency.

10) A participant may not be trained under a Work Experience Worksite Agreement at a particular employer if:
   a) any other individual is on layoff from the same or substantially equivalent job;
   b) the employer has terminated the employment of any regular, unsubsidized employee, or otherwise caused an involuntary reduction in its workforce with the intention of filling the vacancy so created with the WIOA participant; or
   c) the job is created in a promotional line that infringes in any way on the promotional opportunities of currently employed workers.

**Work Experience Contract Documents**

All Work Experience activities require a contract. No enrollee is allowed to begin participation in these activities until the contract has been completed and approved by the authorized agent. Contract packets must have all pages attached:

- LRLA-28ADW-WORK EXPERIENCE (WIOA Adult & DW Work Experience Policy)
- LRLA-28ADW (WIOA Work Experience Worksite Agreement)
- LRLA-28ADW-A (Worksite Agreement Training Description/Outline)
- LRLA-28ADW-WORK EXPERIENCE (WIOA Work Experience Worksite Agreement Change)
- LRLA-29ADW (Work Experience Worksite Supervisor Orientation)
- LRLA-30ADW (Work Experience Participant Evaluation Sheet)
- Work Experience Time Sheet
- I-9, NC-4, W-4 (use current year forms)
- New Hire Form
- LRLA -38 Work Experience Tracking Form (Optional)

If a Work Experience Job Contract has to be cancelled, modified, or terminated, please use the LRLA-28ADW-WORK EXPERIENCE (WIOA Work Experience Worksite Agreement Change)
Maximum Contract Hours

All employment activities that involve a written contract with the exception of On-the-Job Training (OJT) should not exceed 520 total contract hours unless otherwise approved by the Local Area Administrator.

A participant placed in a Work Experience must complete a federal and state tax form in addition to the completed top portion of the I-9 form. The WIOA Staff will complete the portion of the I-9, which certifies the documentation presented by the participant.

A copy of the contract agreement and the Work Experience Policy will be retained in the employer folder. Copies of tax forms and I-9 form & documentation, the Policy and Contract Agreement will be retained in the participant’s file. A copy of the agreement will also be provided and maintained at the worksite.

At the time of enrollment into the Work Experience, the WIOA Staff will insure the participant receives a copy of the Work Experience Pay Schedule and a copy of the completed Work Experience Policy.

a) It will be the responsibility of the WIOA Staff to submit a copy of the appropriate tax/I-9 forms along with the first timesheet for payment to the contractor’s accounting office.

b) Work Experience participants must be compensated at the same rates, including periodic increases, as trainees, or employees who are similarly situated in similar occupations by the same employer and who have similar training, experience and skills.

c) Enrollees in Work Experience can be reimbursed up to $60.00 per week for 3 weeks, not to exceed $180.00, per LRLA Supportive Services Policy 2017-02. Individuals will only be reimbursed for the miles actually driven at the rate of $.30/mile between home and training destinations not to exceed 200 miles per week.

d) The WIOA Staff will contact the participant, at least every two weeks to provide counseling and to monitor the participant’s progress and will document the results in the NC Works Online.

e) The WIOA Staff will be responsible for tracking the participant’s time to refrain from exceeding the approved contract hours, as well as, to keep the employer updated on the remaining hours of the participant’s contract agreement. This information should be documented in case notes in NC works Online for tracking. The tracking form is an optional form of tracking this information.

f) The worksite supervisor will complete a participant evaluation at the following times: 1) at conclusion of first pay period; 2) midpoint of the contract; and 3) final enrollee evaluation at end of the contract. The evaluations are to be submitted to the WIOA Staff upon each completion. Areas of improvement will be discussed with the participant and documented in case management notes.

The contractor will pay the participant upon proper submission and accuracy of the timesheet and any required documentation needed based on the individual contractor’s pay
schedule and format. The contractor will be responsible for deducting and reporting any applicable income taxes, garnishments, etc., as well as, providing participants with W-2 Wage and Tax Statements. **Work Experience wages are not Unemployment Insurance eligible.**

Work Experience may be provided with other services, either “concurrently or sequentially, which are designed to increase basic education and/or occupational skills of the participant” or lead to unsubsidized employment. **Work Experience contracts are not allowed to be executed with temporary employment/staffing agencies.**

Time sheets must be completed in ink (no pencil) and signed and dated by the designated worksite supervisor. Time sheets must be signed daily in ink by the participant for each day worked. Work Experience participants will not receive payment if time sheets are not signed by the worksite supervisor and/or the enrollee.

The contractor will provide Workers Compensation insurance for Work Experience Participants.

Staff must consider appropriate work week hours if and/or when a participant is attending school while working. For example, if a participant is attending post-secondary education it would be ideal to limit the number of work hours in order to not interfere with educational attainment. The specific number of hours the participant has been assigned will be indicated on the signed agreement. **No participant may work more than 40 hours in any week.**

Participant work time must be calculated daily to the nearest quarter hour, for example: time in: 11:45 & time out: 3:00 would equal 3.25 hours. Timesheets are to be legible with no mark-thru and white out.

A copy of the Work Experience Description will be given to the participant.
LUMBER RIVER WORKFORCE DEVELOPMENT CONSORTIUM
LRLA ADULT AND DISLOCATED WORKER FOLLOW-UP POLICY 2019-15

July 1, 2019

SUBJECT: Follow-up Services for Workforce Innovation and Opportunity Act (WIOA) Adult and Dislocated Worker Program participants.

PURPOSE: To outline and identify the required documentation for follow-up services for WIOA Adult and Dislocated Worker participants.

BACKGROUND: Appropriate follow-up services must be made available to a participant placed in unsubsidized employment for a minimum of 12 months following the participant’s first date of employment. Follow-up services can be useful for participants in order to maintain employment. One-stop staff can provide workplace information and tips for success in a workplace environment. Additionally, follow-up services provide a continuing link between the participant and workforce system; these services allow the one-stop staff to assist with other services the participant may need once he or she obtains employment. Examples may include assistance with employer benefits, health insurance, and financial literacy and budgeting assistance.

ACTION: WIOA contractors must document follow-up services for a minimum of 12 months in the NCWorks Online system for all Adult and Dislocated Worker Program participants that exit WIOA. Follow-up should be keyed to include First Quarter Supplemental Data, Second Quarter Supplemental Data, Third Quarter Supplemental Data, Fourth Quarter Supplemental Data and Follow-Up Services including counseling regarding the workplace. Documentation must occur monthly during the 1 year follow-up period.

EFFECTIVE DATE: Immediately

EXPIRATION DATE: Indefinite

CONTACT: Any questions regarding this Issuance should be directed to Patricia Hammonds, LA Administrator, Workforce Development Division at (910) 618-5533.

DISTRIBUTION: All Lumber River Local Area WIOA Adult and Dislocated Worker Program Service Providers and Lumber River Workforce Development Division Staff

Patricia Hammonds
Patricia Hammonds, Local Area Administrator
Workforce Development Division
LUMBER RIVER WORKFORCE DEVELOPMENT CONSORTIUM
LRLA ON-THE-JOB TRAINING POLICY 2019-05
July 1, 2019

SUBJECT: On-the-Job Training (OJT) using Workforce Innovation and Opportunity Act (WIOA) Funds

PURPOSE: To communicate revisions to Local Area Policy requirements and forms for conducting On-the-Job Training activities under WIOA. The revision includes the removal hourly wage cap.

BACKGROUND: On-the-Job training presents North Carolina the opportunity to expand and enhance workforce service delivery to the state’s citizens, especially those hardest hit by the recession. OJT is a viable pathway for unemployed workers seeking employment; and for employers seeking workers, it offers the unique opportunity to offset initial training costs to fill skilled positions while building organizational productivity as the employee learns job requirements. An OJT arrangement can be the impetus for an employer to create a job opportunity now. The Lumber River Workforce Development Boards will consider OJT placements in the context of in-demand occupations or industries where career pathways exist with employer partners who have a documented plan to add jobs.

On-the-Job training is defined in WIOA section 3 (44) as training by an employer that is provided to a paid participant while engaged in productive work in a job that (a) provides knowledge or skills essential to the full adequate performance of the job; (b) is made available through a program that provides reimbursement to the employer of up to 50 percent of the wage rate of the participant, except as provided in WIOA Section 134 (c)(3)(H), (see note below) of the wage rate of the participant for the extraordinary costs of providing the training and additional supervision related to the training; and (c) is limited in duration as appropriate to the occupation for which the participant is being trained, taking into account the content of the training, the prior work experience of the participant, and the service strategy of the participant, as appropriate.
On-the-Job Training is a viable and compatible part of North Carolina’s Integrated Services Delivery product box. Local Workforce Development Board OJT policy is critical for consistency; for institutionalizing services the local board seeks to deliver; and for managing and leveraging OJT funds. Local OJT policy also provides guidance on how to comply with federal and state OJT requirements, and leverage other hiring incentives such as Work Opportunity Tax Credit (WOTC) or other initiatives that assist with gainful employment opportunities.

The Division approves an increase in the amount of reimbursement described in WIOA Section 3 (44) and WIOA Section 134 (c) (3) (H) to up to 75 percent of the wage rate of the participant taking into account such factors as:
(I) the characteristics of the participants;
(II) the size of the employer;
   • Up to 50 percent for employers with 251 or more employees
   • Up to 75 percent for employers with 250 employees or less
(III) the quality of employer-provided training and advancement opportunities; and
(IV) such other factors as the Governor or local WD Board, respectively, may be determined to be appropriate, which may include the number of employees participating in the training, wage, and benefit levels of those employees (at present and anticipated upon completion of the training), and relation of the training to the competitiveness of the participant. The aforementioned criteria must be present in order to be considered for a reimbursement amount up to 75 percent.

**ACTION:**

All WIOA Adult, Dislocated Worker and Youth Contractor must adhere to the attached OJT policies and use the included forms when providing WIOA On-the-Job training services. Local Area Policy states that the participant’s placed in OJT through the reverse referral process do not require basic skills testing (i.e.TABE testing).

**Note:** Students placed in On-the-Job Training that require assistance with items such as, (uniforms, appropriate work attire, safety wear), may receive WIOA assistance with purchase of these items through a Cost Authorization Voucher. Assistance should be documented on the participant’s ISS. WIOA funds are limited to a maximum of 2 complete uniforms/work appropriate outfits, 1 pair of shoes unless approved by the WDB Administrator.

**EFFECTIVE DATE:** Immediately

**EXPIRATION DATE:** Indefinite

**CONTACT:** Local Area Administrator
DISTRIBUTION: WIOA Contractors and LRWDD Staff

Patricia Hammonds
Patricia Hammonds, Administrator
Workforce Development Division

ATTACHMENTS: Lumber River WDB OJT Policy
OJT Contract Forms: Pre-Award Analysis
Employer Agreement
Training Plan
Trainee Evaluation
Monitoring Tool
PARTICIPANT ELIGIBILITY

On-the-job training (OJT) may be provided to eligible Workforce Innovation and Opportunity Act (WIOA) participants who are assessed and found to be in need of and suitable for training services in order to obtain or retain employment that leads to self-sufficiency. The participants must demonstrate a need for training as recorded on the Individual Service Strategy (ISS).

Employers will have the final selection authority for individuals to be hired. All trainees must meet certain WIOA eligibility criteria before training can begin. Only those individuals who meet the eligibility requirements for individualized career services, who have received an assessment and for whom an ISS has been developed may be considered for OJT. An individual referred as a potential candidate for OJT by an employer (reverse referral) may be considered for OJT with that employer only after the individual has met eligibility requirements for individualized career services, has received an assessment, and for whom an ISS has been developed that indicates OJT is appropriate.

Consideration should be given to the skill requirements of the occupation; the academic and occupational skill level of the participant; prior work experience; and the participant’s ISS. The results of objective assessment, as documented on the individual’s ISS must indicate that the participant is in need of, and can benefit from, the activity of OJT. The ISS must capture the past work history of the applicant from the official file, assess the test results, capture additional information from the applicant about past work experience, hobbies, volunteer experience, and identify strengths and weaknesses of the applicant. It must include documentation as to the new skills to be acquired during training and how skill gap deficiencies will be overcome with the training.

EMPLOYER ELIGIBILITY

The hiring and training may begin after the OJT Pre-Award Analysis form has been completed and the OJT Employer Agreement has been signed by all parties. The trainee becomes an employee of the company on the day the OJT begins.

Local Area staff should give careful consideration when selecting a suitable employer for OJT. General business practices in terms of working conditions (safety, health), the availability of health benefits, sustainable wage structure, turnover rates, adequate staff and equipment to carry out the training, and whether the employer is in compliance with federal, state and local laws, etc. are factors to consider while completing the OJT Pre-Award Analysis form.

When considering an employer to participate as an OJT worksite, staff should carefully review and determine the nature of the employment to ensure the employment is ongoing and not temporary, probationary or intermittent employment.

An On-the-Job training contract must be limited to the period of time required for a participant to become proficient in the occupation for which training is being provided. In determining the appropriate length of the training, consideration must be given to the skill gaps that exist when comparing the skill requirements of the occupation and the academic
and occupational skill level of the participant, prior work experience, and the participant’s ISS. **Note: If the employee is working in a salaried position, the employer must calculate the salary into hourly rate of pay.**

**NOTE: Any company requesting five or more OJT contracts per program year will require pre-approval from WD Administrator.**

**CONTRACT REQUIREMENTS**

On-the-Job training contracts require that the wages paid to trainees be at least the prevailing entry wage for any specific occupation in the community. If the employer operates under a collective bargaining agreement, the wage and benefits must be those specified in that union agreement and the job opening must be cleared with the appropriate union.

The employer must comply with requirements of the Civil Rights Act with respect to equal opportunity in employment for the OJT position as well as comply with all federal, state, and local laws.

Trainees hired under OJT will be subject to the same personnel policies, rules and regulations, afforded the same benefits, and compensated at the same rates as other employees of the company.

Employers must carry Workers’ Compensation Insurance and make federal and state tax withholdings as required by law. In addition, the individual trainee payroll tax records must be maintained and available for review for a minimum period of three years after the end of the training period.

Conditions of employment and training will be in full accordance with all applicable federal, state, and local laws (including but not limited to health and safety laws), and be appropriate and reasonable with regards to the type of work undertaken and the proficiency of the participant.

The employer must certify that the participant will not displace any regular employee of the employer and that no person was displaced as a result of the relocation of the current business within the previous 120 days of signing the OJT Contract Agreement.

The OJT employer will agree to adhere to the local Workforce Development Board’s grievance process if a complaint arises in connection with the OJT trainee and/or the training.

On-the-Job training participants will not be employed to carry out the construction, operation or maintenance of any part of a facility that is used or to be used for sectarian instruction or as a place for religious worship, or be required to participate in religious activities.

The OJT must be conducted at the employer’s place of business or a related location.

The OJT may not be subcontracted.
No individual (neither new hire nor incumbent) may enter an OJT position if a member of his/her family is engaged in an administrative capacity with the OJT employer, including a person with selection, hiring, placement or supervision responsibilities for the OJT trainee.

The OJT employer must certify that neither the employing company nor its principals are presently debarred, suspended proposed for debarment, declared ineligible, or excluded from participation by any federal department or agency.

The OJT employer will maintain and make available for review all time and attendance, payroll, and other records to support amounts reimbursed under OJT contracts.

A participant may not be trained under an OJT contract at a particular employer if:
1. any other individual is on layoff from the same or substantially equivalent job;
2. the employer has terminated the employment of any regular, unsubsidized employee or otherwise caused an involuntary reduction in its workforce with the intention of filling the vacancy so created with the WIOA participant; or
3. the job is created in a promotional line that infringes in any way on the promotional opportunities of currently employed workers.

**SKILLS GAP ANALYSIS /TRAINING PLAN DEVELOPMENT**

Following the execution of the OJT Employer Agreement, an individualized OJT Training Plan must be developed for the acquisition of skills that the trainee does not already possess. Skills the trainee acquired from previous work or life experiences are transferrable and can be used in every occupation, regardless of the type of work. Transferrable skills are unlike job-related skills, which tend to be used in one type of work. This plan will contain occupationally specific skills that the employer requires for competency in the OJT occupation. On-the-Job Training funds should not be used for orientation to standard operating procedures of the employer. An analysis of the trainee’s prior work history and the job skills gained must be compared to the job skills/job description the employer requires in the OJT occupation. The resulting gap in skills will be the basis for the development of the Training Plan. The Specific Vocational Preparation (SVP) data found in the O*NET Online database for that particular occupation will be used and adjusted to determine the length of training necessary to acquire the needed skills. Each skill description should be concise, but comprehensive and the individual tasks should be measurable and observable. The specific types and sources of information used to identify the scope of the skills gap along with an OJT narrative (justification documented in OJT activity case notes) must be included in the participant’s case file.

There are a number of assessment tools available that may be used to conduct a skills gap analysis and provide adequate documentation of the process used to develop the Training Plan. These include Prove It!™, an Internet–based assessment tool used to determine an individual’s level of skills in a particular occupation and to document skill deficiencies, as well as the O*NET Online website and www.myskillsmyfuture.org which have both been developed by the US Department of Labor.
NOTE: Participants placed in OJT through the reverse referral process are not required to be basic skills tested (i.e., TABE tested) however the aforementioned tools must be completed to determine the skills gap.

TRAINEE SKILL EVALUATION

At the midpoint of training, the trainee’s acquisition of the required occupational skills on the Training Plan will be evaluated by the employer/supervisor using the OJT Trainee Evaluation Form. This is an opportunity for the employer/supervisor and the trainee to interact and review the skills progress made by the trainee and to make any necessary adjustments to the training shown in the Training Plan.

The Trainee Evaluation Form will also be used at the conclusion of training to document the mastery of the required skills. Completion of the final skills evaluation section of the form signals the successful completion of the Training Plan and agreement by the employer to retain the trainee.

GENERAL PROVISIONS

A. Occupational Qualifications

The following guidelines will determine occupations that are eligible for OJT:

1. The occupation must be one in which there is a documented current or anticipated demand.
2. The occupation must not involve payment in the form of a commission as the primary source of reimbursement to the OJT Employee/Trainee.
3. The occupation must be one in which specific occupational training is a prerequisite for employment. The occupation must require at least 30 days or 240 hours of training to reach full productivity.
4. The occupation should provide for permanent, full-time employment. (Full-time employment is defined as a 40 hour work week, except where fewer hours are normal to the occupation, but in no case where the part-time hours does not average a weekly salary of $150 and must include the same benefits provided for other employees, on a pro-rata basis).
5. For dislocated workers, training must be in an occupation which provides new skills distinct from those possessed by the dislocated worker; and the occupation must be one in which the individual would not be hired without training.
6. OJT should not be used to substitute for the following training:
   a. Professional occupations requiring licensing, testing or certification.
   b. Clerical occupations which typically require classroom instruction (clerk typist, secretary, stenographer).
   c. Occupations which require an associate or baccalaureate degree as a condition of employment.
7. Training may not be provided for occupations which are currently, or will be included under an employee leasing contract whereby job openings for a particular occupation at a business facility are filled by staff of the leasing contractor.
8. Training may not be provided for occupations where adequate supervision and/or monitoring is not available. These include traveling salespersons, out-stationed job positions, truck or van drivers and other positions requiring more than an occasional trip from the worksite.
9. OJT training shall not be provided for waiters/waitresses.
10. If salaried position, the employer must calculate the salary into hourly rate of pay.

B. Supportive Services
Enrollees in the On-the-Job Training Program/Regular may be provided a transportation allowance at a rate of $0.30/mile for actual miles driven for a maximum mileage amount not to exceed 200 miles per week as mandated by the LRWDB on a one time basis for three (3) weeks. Mileage Reimbursement is allowable for mileage between home and worksite destination. **REMEMBER:** There is a 200 mile max per week on mileage reimbursement per participant. No carrying forward/backward between weeks is allowed. This is a one time basis for up to 3 weeks.

The Staff/Contractor Staff will contact the enrollee, the 1st week, 2nd week, and then at least on a monthly basis thereafter, to provide counseling and to monitor the enrollee's progress.

C. Marketing/Contract Development
It is the responsibility of the Staff/Contractor Staff/Business Services Coordinator to market and develop the OJT program using various methods such as: Economic Developers, Private Sector Board Members, LRWDB website, Career Centers, Community Colleges, Human Resources Associations, Local Chambers and employer visits.

Priority for OJT contract development shall be directed toward employers in the private sector; however, contracts may be developed with public sector employers when no other opportunities exist in the private sector. Priority should be given to employers within the growth industries who offer jobs reflecting the use of new technological skills.

Contract negotiations must be conducted with the employer/owner or a person who has the authority to act on behalf of, and make decisions for the company. The negotiation process must include a review of all WIOA-OJT contract rules and regulations in order to lessen audit exceptions and problems of non-compliance with the Act and the contract rules.

The cost of training will be determined as result of negotiating the program content and the length of training to be given by the employer. The present skill level of the participant(s), the specific job duties of the training position and the quality of training will determine the length of the contract and the cost of training. The job description must accurately reflect the duties of the job. By obtaining a thorough job description from the employer, and the average amount of time an employee will spend on each of the job duties within the position, a correct occupational code can be assigned and the proper length of training for the contract can be negotiated within the specified allowable maximums.

In those instances when a contract is negotiated for a new or expanding business, and not for a specific participant or group of participants, the Staff/Contractor Staff will use their knowledge of applicant skills within the local labor market as a guide for determining the length of training
D. Length of Training

Training need, training completion, and training length are determined trainee by trainee, using the instructions as follows:

1. The Service Provider representative, working with the employer, determines the job title for the position to be trained for, referencing the Occupational Network (O*NET). From O*NET, SVP parameters are obtained. It is within these parameters that the length of training is set. The provider representative should consider the training needs of each participant.

2. An OJT must be limited to the period of time required for a participant to become proficient in the occupation for which training is being provided. In determining the appropriate length of the contract, consideration must be given to the skill requirements of the occupation, the academic and occupational skill level of the participant, prior work experience, and any disability.

3. No OJTs should be written with a Training Period of less than four weeks or more than 26 weeks. Exceptions may be made on a case-by-case basis, with the prior approval of the Executive Director of the Local Area.

4. The Service Provider will use the Specific Vocational Preparation (SVP) Codes, as indicated in O*NET. It is recommended that the Service Provider access O*NET at the crosswalk to the Classification of Instructional Programs (CIP), Dictionary of Occupational Titles (DOT), Military Occupational Classification Codes (MOC), Registered Apprenticeship Information Codes (RAIS), and Standard Occupational Classification (SOC) codes/titles: [http://online.onetcenter.org/].

5. The SVP number will be used as a guide to determine the maximum number of training hours for a specific occupation.

<table>
<thead>
<tr>
<th>SVP Level</th>
<th>Maximum Training Time</th>
</tr>
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<tbody>
<tr>
<td>2</td>
<td>240 hours</td>
</tr>
<tr>
<td>3</td>
<td>520 hours</td>
</tr>
<tr>
<td>4</td>
<td>1040 hours</td>
</tr>
<tr>
<td>5 or greater</td>
<td>1040 hours</td>
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</tbody>
</table>

E. Case Management

The Case Manager shall make contact with the participant and OJT Employer at a minimum once each month and shall complete reports to be kept in the participant’s file concerning the progress of training and achievement of the training objectives as defined in the contract. Concerns and corrective action necessary to accomplish the objectives shall be recorded and appropriate action and follow-up shall be documented. This contact may be in person or by telephone. **Note: A copy of the OJT contract and OJT invoice must be provided to LRWDB Fiscal Staff**
F. Reimbursement

The Division approved an increase in the amount of reimbursement described in WIOA Section 3 (44) and WIOA Section 134 (c) (3) (H) to \textit{up to} 75 percent of the wage rate of the participant taking into account such factors as:

(I) the characteristics of the participants;

(II) the size of the employer;

* Up to 50 percent for employers with 251 or more employees
* Up to 75 percent for employers with 250 employees or less

(III) the quality of employer-provided training and advancement opportunities; and

(IV) such other factors as the Governor or local WD Board, respectively, may be determined to be appropriate, which may include the number of employees participating in the training, wage, and benefit levels of those employees (at present and anticipated upon completion of the training), and relation of the training to the competiveness of the participant.

\textbf{The aforementioned criteria must be present in order to be considered for a reimbursement amount \textit{up to} 75 percent.}

\textbf{The Reimbursement process:}

1. The subcontractor shall be reimbursed for training costs upon timely submission (within 15 days after the report period ends) of the Monthly Invoice and appropriately certified by the Subcontractor's signatory official. Payment shall be based on the hours actually worked for which wages are paid under each training slot, including overtime, times the negotiated fixed hourly rate. Additional overtime wages will be the responsibility of the employer and will not be reimbursed. Payment of overtime shall be restricted to work consistent with the training outline. Payment shall include reimbursement of costs associated with employment and training services and classroom training which has been integrated into the training outline and for which wages have been paid. Payments will be based on negotiated beginning wage rate.

2. OJT payments may not be based on overtime, shift differential premium pay, and other non-regular wages paid by the employer to participants.

3. No reimbursement shall be made for training costs incurred during a period of work stoppage at the employer's worksites which constitute training locations under this subcontract.

4. OJT payments may not be based upon periods of time such as illness, holidays, plant downtime or other events in which no training occurs.

5. Each trainee's wages shall be paid in full for the period for which reimbursement is being requested prior to the transmittal of an invoice for payment.

6. The hourly reimbursement on the OJT invoice must be calculated based on whole or quarter hours; i.e. 5.25, 5.5 or 5.75 or 6.
G. Financial and Programmatic Monitoring
The trainee’s progress under an OJT contract will be formally monitored at least once during the training period by the staff of the agency responsible for the development of the contract. Periodic communication with the OJT employer/supervisor and the trainee during the training period is required to insure the successful completion of the training.

The monitoring system should at a minimum include the following: compliance with the training outline/statement of work, comparison of time and attendance with invoices, comparison of contracted wage-rate vs. wages paid, and start date of employment vs. contract start date. The original documents which show the actual hours worked for a given time period should be reviewed rather than just a summary of hours (i.e. time card, time sheet, etc.).

OJT contracts, less than 520 hours, will be monitored when the first invoice is due. For OJT contracts, equal to or greater than 520 hours, two monitoring reviews will be conducted; one when the first invoice is due and another before the end of the contract. Employers, with more than three concurrent contracts, need to be monitored only once per quarter but at least one monitoring review should be conducted prior to all contracts expiring.

A monitoring review may also be conducted whenever there are indications of problem areas, i.e., layoffs or rumors of layoffs, decrease in hours of training as reported, complaints from participants (either formal or verbal complaints) rumors of employer filing for bankruptcy, etc.

The contractor monitoring reviews should be documented and this written documentation shall become a part of the contract file. The report must include: all areas of non-compliance with the contractual agreement, review of the eligibility of participant(s) enrolled under the contract, the corrective actions needed, and the findings of any ineligibility of WIOA participants.

OJT FORMS
The forms attached are the official documents to be used when conducting WIOA-funded On-the-Job training activities and are to be completed sequentially. The OJT contract package is incomplete if all forms (Pre-Award Analysis, Employer Agreement, Training Plan, and Trainee Evaluation) are not completed.

**NOTE: Staff must submit a copy of the OJT Training Plan with the initial invoice to the LRWDB Fiscal and Evaluation Coordinator. Staff must submit OJT invoices monthly thereafter.**
LUMBER RIVER WORKFORCE DEVELOPMENT CONSORTIUM
PRIORITY OF SERVICE POLICY 2019-06
July 1, 2019

SUBJECT: Priority of Services – Serving Priority Populations under WIOA

PURPOSE: To establish a priority of services and identifying those most in need of assistance under the Workforce Innovation and Opportunity Act (WIOA) program for Adult Funds.

BACKGROUND: Services provided to adults and dislocated workers under Title I of WIOA can be a pathway to the middle class and for maintaining and building the skills to remain in the middle class. WIOA provides a focus on serving “individuals with barriers to employment,” defined in WIOA section 3(24) and seeks to ensure access to these populations on a priority basis. The priority populations are discussed below:

Priority for Adult Funds
Section 134(c)(3)(E) of WIOA establishes a priority requirement with respect to funds allocated to a local area for adult employment and training activities. Under this section, one-stop center staff responsible for these funds must give priority to recipients of public assistance, other low-income individuals, and individuals who are basic skills deficient (at or below 8.0 grade level) in the provision of individualized career services and training services. Priority must be provided regardless of the level of funds.

“Veterans and eligible spouses will receive the first level of priority of service in universal access programs and services delivered through NC Career Centers for all USDOL funded programs, including the Wagner-Peyser and WIOA programs.” However, when programs are statutorily required to provide priority for a particular group of individuals, such as the WIOA priority described above, priority must be provided in the following order:

i. First, to veterans and eligible spouses who are also included in the groups given statutory priority for WIOA adult formula funds. This means that veterans and eligible spouses who are also recipients of public assistance, other low-income individuals, or individuals who are basic skills deficient would receive first priority for services provided with WIOA adult formula funds.
ii. Second, to non-covered persons (that is, individuals who are not veterans or eligible spouses) who are included in the groups given priority for WIOA adult formula funds.

iii. Third, to veterans and eligible spouses who are not included in WIOA’s priority groups.

iv. Last, to non-covered persons outside the groups given priority under WIOA.

**Note:** When past income is an eligibility determinant for Federal employment or training programs, any amounts received as military pay or allowances by any person who served on active duty, and certain other specified benefits must be disregarded for the veteran and for other individuals for whom those amounts would normally be applied in making an eligibility determination. Military earnings are not to be included when calculating income for veterans or transitioning service members for this priority, in accordance with 38 U.S.C. 4213.

*The statutory priority for use of adult funds does not apply to dislocated worker funds, and is not, therefore, subject to this requirement.*

**ACTION:**

In order to meet the priority of services policy established by WIOA and the Lumber River Workforce Development Board (LRWDB), the WIOA Adult Priority of Services Selection Criteria form (LRLA-3) has been revised and is to be used for all new participants enrolling in the WIOA Adult Program. The purpose of prioritization is to ensure most in need individuals are served accordingly. The original completed form scanned into NCWorks and placed in participants file folder.

**Note:** Services will be targeted for individuals residing in Bladen, Hoke, Richmond, Robeson and Scotland Counties.

**EFFECTIVE DATE:** Immediately

**EXPIRATION DATE:** Indefinite

**CONTACT:** Any questions regarding this policy should be directed to Patricia Hammonds, LA Administrator, Workforce Development Division at (910) 775-9764.

**DISTRIBUTION:** All Lumber River Local Area Adult Service Providers and Lumber River Workforce Development Division Staff

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*Patricia Hammonds*
Patricia Hammonds, Administrator
Workforce Development Division

**Attachment:** WIOA Priority of Service Selection Criteria Form (LRLA-3)
LUMBER RIVER WORKFORCE DEVELOPMENT BOARD
Local Area (Bladen, Hoke, Richmond, Robeson and Scotland Counties)

WIOA ADULT PRIORITY OF SERVICE SELECTION CRITERIA

Applicant: ___________________________  Last four S.S.#: ___________________________

Contractor/Agency: ___________________________  Date: ___________________________

Staff must check ‘yes’ or ‘no’ for each question below:

1. Is the applicant a qualifying Veteran?  Yes___ No___
2. Is the applicant an eligible spouse of a qualifying Veteran?  Yes___ No___
3. Is the applicant receiving Public Assistance?  Yes___ No___
4. Is the applicant low-income?  Yes___ No___
5. Is the applicant basic skills deficient (at or below 8.0)?  Yes___ No___
6. Is the applicant disabled?  Yes___ No___
7. Is the applicant a convicted offender?  Yes___ No___
8. Is the applicant non-custodial parent?  Yes___ No___
9. Is the applicant homeless?  Yes___ No___

In order to better serve priority population, staff should coordinate with partnering agencies, to include but not limited to, Vocational Rehabilitation, Adult Literacy, Department of Social Services, Wagner Peyser Employment Services, Veteran Services Representatives and Former Offender Liaisons.

_________________________  ___________________________
WIOA Staff Signature                  Date
SUBJECT: WIOA Funds and Pell Grants Coordination

PURPOSE: To provide guidance on the use of Workforce Innovation and Opportunity Act (WIOA) resources when combined with Pell Grants and the Financial Award Analysis Form.

BACKGROUND: The Workforce Innovation and Opportunity Act 134(c)(3)(B)(i)(I) states that WIOA funding for training is limited to participants who are unable to obtain grant assistance from other sources to pay the costs of their training, or require assistance beyond that available under grant assistance from other sources to pay the costs of such training.

WIOA Section 134(c)(3)(B)(ii) states that training services may be provided under this paragraph to an individual who otherwise meets the requirements of this paragraph while an application for a Federal Pell Grant is pending, except that if such individual is subsequently awarded a Federal Pell Grant, appropriate reimbursement shall be made to the local area from such Federal Pell Grant.

WIOA Section 134(c)(3)(F)(iii) states that program operators must coordinate training funds available and make funding arrangements with One-Stop career center partners and other entities. Training providers must consider the availability of Pell Grants and other sources of grants.
WIOA Final Regulations 680.230(b) states that one-stop center must consider the availability of other sources of grants to pay for training costs such as Temporary Assistance for Needy Families (TANF), state-funded training funds, and Federal Pell Grants, so that WIOA Title I funds supplement other sources of training grants. Per TEGL No. 19-16, veterans and spouses are not required to first use any available benefit entitlements associated with their military service before being considered eligible for WIOA funded training, and one-stop centers are not required to consider the availability of those funds.

The Workforce Innovation and Opportunity Act seek to ensure that financial resources and services are available to the individual seeking training. Other resources that may be available to the individual, including WIOA resources, should not be reduced based on the receipt of a Pell Grant unless the combination of such resources results in a level of support that exceeds an individual's cost of training and education-related expenses. Individuals who are potentially eligible for a Federal Pell Grant must apply. WIOA Title I service providers will coordinate funds available with the financial aid office of the training provider. The Federal Pell Grant is an entitlement and the student is eligible to receive it regardless of receiving funds from external sources.

All individuals seeking WIOA financial assistance must apply for a Federal Pell Grant. Service Providers must complete a Financial Award Analysis form (attached), for individuals as a means to determine shortage/surplus of resources available. If the selected training provider refuses to complete/sign the participant's provided Financial Award Analysis form, the Service Provider may complete the form and note the signature as "Not Applicable" and check the corresponding box that the data contained herein was obtained from the training provider's handbook or catalog.

WIOA Section 134(c)(3)(B)(iii) states that in determining whether an individual requires assistance under clause (i)(II), a One-Stop Operator (or one-stop partner, where appropriate) may take into consideration the full cost of participating in training services, including the costs of dependent care and transportation, and other appropriate costs to determine full training and education-related expenses.

Therefore, where a Pell Grant payment is received by a training provider in an account first, the Division emphasizes applying WIOA Title I funds towards tuition, books, fees, and supplies while the Pell Grant funds may be applied toward the additional training and education-related expenses to include dependent care and transportation, and other appropriate costs as determined in the completed Financial Award Analysis or alternate form containing the same information.
The WIOA Service Provider will work with the individual to determine if there’s a need for WIOA resources prior to issuing an Individual Training Account (ITA) voucher. The Financial Aid Officer will complete the FAA form and return or fax to the WIOA Service Provider. Based upon completed FAA, the WIOA Service Provider will determine the need for WIOA resources. If applicable the Service Provider will process an ITA voucher on behalf of the individual. The ITA voucher will be submitted to the training institution. *(Please note: While the Division emphasizes applying WIOA Title I funds towards tuition, books, fees and supplies before Pell Grant funding, the Lumber River local area policy states that the Pell Grant funding should be applied first.*

**EFFECTIVE DATE:** Immediately  
**EXPIRATION:** Indefinite  
**CONTACT:** WDB Administrator  
**DISTRIBUTION:** WIOA Contractors and LRWDB Staff

*Patricia Hammonds*  
Patricia Hammonds, Administrator  
Workforce Development Division  

**Attachments:**  
Lumber River WDB Financial Aid Policy  
Financial Award Analysis Form, Rev. 9/18
Lumber River Local Area  
WIOA Adult & Dislocated Worker Programs  
Financial Aid Policy

This policy is intended to outline procedures for administering WIOA funds to individuals enrolled in the WIOA Adult and Dislocated Worker Programs that need additional funds to cover training costs. Prior to determining a need for financial assistance, the customer must provide a letter of acceptance from the selective training institution to the WIOA Service Provider.

Coordination of WIOA Training Funds and Other Grant Assistance
According to WIOA Section 134 (3)(B)(i)(II)(ii), WIOA funds for training is limited to participants who:
- Are unable to obtain grant assistance from other sources to pay for the costs of their training, or
- Require assistance beyond that available under grant assistance from other sources to pay the costs of such training.

Program Operators and training operators must coordinate funds available to pay for training. This includes State-funded training funds and Federal Pell Grants so that WIOA funds supplement other sources of training grants.

Application for the Pell Grant
When developing financial aid packages for individuals who are potentially eligible for a Federal Pell Grant, the following will apply:
- All participants must apply for Pell Grant. Appropriate WIOA Service Providers in the Lumber River Local Area must work with the participant to ensure that the Free Application for Federal Student Aid (FAFSA) is completed and submitted to the Federal Processor and all supporting documentation is completed and submitted to the financial aid office of the selected training provider. A copy of the Pell Grant award or denial letter is to be included in the participant’s file.

Determination of full cost of training for an individual
Appropriate WIOA Service Providers in the Lumber River Local Area will coordinate funds available for training with the Financial Aid office of the selected training provider. The financial aid office of the selected training provider shall determine the full cost of training based on the individual’s circumstances. This cost will take into account the estimated costs of tuition, fees, books, supplies, and other required education-related expenses. This information should be recorded on Section B of the Financial Award Analysis Form (Attachment A).

Determination of resources available for training
WIOA Service Providers will coordinate with the Financial Aid Office to determine resources available for training by completing Section C of the Financial Award Analysis form for each student receiving Pell Grant. The WIOA Service Provider will review the Financial Award Analysis form to (a) first identify all other resources available to support the student, including Pell Grant then apply needed WIOA resources, and (b) compare these resources with the individual’s full cost of training to arrive at a shortage/surplus of resources. When determining all available resources, loans should be excluded.

Completing the Financial Award Analysis
WIOA Service Providers in the Lumber River Local Area in cooperation with the Financial Aid Office of the training provider will complete a Financial Award Analysis form (Attachment A) for each individual enrolled in the WIOA Adult or Dislocated Worker Program that requests assistance with training costs. This form is used to determine the full
cost of training and resources available for training. **NOTE:** A new FAA must be completed for each semester.

**Section A:**
The WIOA Service Provider will complete Section A of this form prior to giving it to the individual:

1. Record the name of the WIOA Participant
2. Record the Participant’s Social Security Number.
3. Record the Participant’s Telephone Number.
4. Record the Training Start Date.
5. Record the Training End Date.
6. Record the Name/Type of Training.
7. Record the Current Semester/Calendar Year needed to complete training.
8. Record the Training Provider Contact Person that the form should be completed by at the Financial Aid Office of the school selected.
9. Record the Telephone Number of the Financial Aid Office Staff.
10. Record the Fax Number of the Financial Aid Office Staff.

**Section B:**
The Training Provider will complete Section B in its entirety as this projects the total cost of the training activity:

- **Column A:** This is a list of all training items as it relates to the entire cost of the training. Under **Other Required Cost,** please record the training item.
- **Column B:** Record the Funding Sources (Pell Grant, Scholarship, etc.) that will be utilized to pay for the training.
- **Column C:** Record the Projected Cost of each line item for the Semester.
- **Column D:** Record the Number of Semesters or Quarters
- **Column E:** Record the Total Cost of Training Services for each line item

**NOTE:** If any part of Section B is not completed, the Service Provider may coordinate with the Financial Aid Office and the individual to include additional information relative to total cost of training.

**Section C:**
The Financial Aid Office will complete Section C in its entirety as this outlines resources available to pay for the training:

- **Column A:** This is a list of Available Funding Sources; on **Line Item 3: Other Sources** - Do not include student loans. Attach copy of award letters.
- **Column B:** Record the amount of Aid for the Semester that the individual will receive from each funding source.
- **Column C:** Record the number of Semesters or Quarters requested for funding.
- **Column D:** Record the Total Available Resources from each funding source

**Section D:** The WIOA Customer, Training Provider and WIOA Service Provider must sign the form. In summary, the Financial Award Analysis shall serve to allocate Pell Grant, other financial aid resources and WIOA resources for the student to ensure that the student’s needs are met. Alternate forms will not be accepted.

**Allowable WIOA costs**
WIOA resources may be used for allowable WIOA cost previously defined in **Determination of full cost of training for an individual** section that supports the individual's full cost of training in an approved WIOA-funded program as long as it does not exceed LRWDB maximum amounts.
When WIOA resources may be used/Level of WIOA resources

WIOA funds must be used in conjunction with all financial aid funds. WIOA funds may be used before and/or after financial aid is in place. However, upon receipt of financial aid, all resources (loans excluded) must be applied towards all costs incurred directly through the training institution then, if necessary, WIOA funds may be applied to remaining allowable cost.

It is anticipated that, in most cases, the combined financial aid resources and the WIOA resources will not exceed the individual’s full cost of training. In this situation, WIOA funds may be used to support up to the full cost of training so long as (a) these costs are not already addressed by other resources; (b) the use of WIOA funds will not result in an available level of resources that exceeds the individual's full cost of training; and (c) does not exceed the maximum LRWDB amounts.

If WIOA funds are used first and the addition of financial aid funds results in an available level of resources greater than the individual's full cost of training, the WIOA funding must be reduced to ensure that total resources available do not exceed the full cost of training. In this situation, the training provider will refund the appropriate amount of WIOA funds to the WIOA Service Provider in the Local Area on behalf of the student.
LUMBER RIVER WORKFORCE DEVELOPMENT CONSORTIUM
LRLA ELECTRONIC DATA STORAGE AND PROTECTING PERSONALLY IDENTIFIABLE INFORMATION POLICY 2019-21
July 1, 2019

SUBJECT: Electronic Data Storage and Protecting Personally Identifiable Information

PURPOSE: To provide guidance and procedures for the use of electronic data storage and retrieval and to ensure protection of Personal Identifiable Information (PII) of participant, program, and financial documents for compliance with Federal and State laws and regulations. The revision includes guidance on electronic case file maintenance procedures.

BACKGROUND: Effective immediately, the Lumber River Local Area must scan, store, and retrieve all participant and program related documents into NCWorks Online for WIOA funded Youth Services and Adult/Dislocated Workers programs. This includes redacting any unnecessary personal identifiable data when using for verification. The Lumber River Local Area (LRLA) and the North Carolina Division of Workforce Solutions (DWS) must maintain many forms of documentation and data for federal funds purposes. Documents and data electronically stored must protect PII and must be retrievable. The Lumber River Local Area and providers will take the measures included in this policy to mitigate the risks associated with the collection, storage, and dissemination of sensitive data including PII.

ACTION: Contractors providing WIOA Youth, Adult and Dislocated Worker Services must electronically scan, store, and retrieve participants’ and program related documents using NCWorks Online that were active on July 1, 2015. Lumber River Local Area, its representatives, and contractors must adhere to the procedures outlined in this policy when collecting, scanning, uploading, storing, and retrieving Personally Identifiable information (PII). Lumber River Local Area Providers must use all preventive measures to ensure that the confidentiality and integrity of PII remains intact which will include redacting protected PII that if disclosed, could result in harm to the individual whose name or identity is linked to that information.

Equal Opportunity Employer/Program
Electronic File Data, Documents & NCWORKS Data Procedures

Data and Documents Program Year 2015 and Thereafter

All Eligibility, Intake, Assessment, Individualized Employment Plan, Follow-up, and Outcome documentation and data must be stored using NCWORKS online for all eligible applicants and all participants enrolled in WIOA Youth, Adult, and Dislocated Worker Programs that were active as of July 1, 2015.

Documents that support an update to the Individualized Employment Plan must be scanned into NCWORKS. Documents and data should include those to support updates to the Objective Assessment and the Individualized Employment Plan. Documents that are provided for verification must be electronically stored into the NCWorks Online system.

Activity/Service documents including, but not limited to cost authorizations, attendance records, and fiscal records must be scanned into NCWORKS beginning July 1, 2015 based upon the participant’s Individualized Employment Plan (IEP). Outcome support documentation including, but not limited to test scores, proof of employment, job retention, and entrance into education must be scanned into NCWORKS dating back to July 1, 2015.

EFFECTIVE DATE: Immediately
EXPIRATION DATE: Indefinite

CONTACT: Any questions regarding this Issuance should be directed to Patricia Hammonds, LA Administrator at (910) 775-9764.

DISTRIBUTION: All Lumber River Local Area Adult and Dislocated Worker Service Providers and Lumber River Workforce Development Board Division Staff.

Patricia Hammonds
Patricia Hammonds, Local Area Administrator
Workforce Development Division

ATTACHMENTS:
I. North Carolina Guidance for Workforce Innovation and Opportunity Act and Other Federal Funds Electronic Image Storage

II. North Carolina Guidance for Workforce Innovation and Opportunity Act and Other Federal Funds Protection of Personally Identifiable Information (PII)

III. North Carolina Guidance for Workforce Innovation and Opportunity Act and Other Federal Funds Scanning Procedures for Consumer Documents in NCWorks
IV. Electronic File Storage and Protecting Identifiable Information Guidance

V. NCWorks Online - Redacting Documents

VI. Electronic Case File Maintenance Procedures
At a minimum, Electronic Storage and Retrieval Systems must:

- Ensure the integrity, accuracy, authenticity, and reliability of the records kept in an electronic format;
- Be capable of retaining, preserving, retrieving, and reproducing the electronic records;
- Be able to update/convert the records as new technology develops;
- Organize documents in a manner consistent with applicable Division of Workforce Solutions policies;
- Ensure that financial and program records maintain a completeness of documentation, are organized by Program Year, and are sufficient for a complete audit trail;
- Have adequate disaster recovery plans, including proper anti-virus protection, tamper proof secondary/supplementary data storage facilities such as regular backup in an external hard drive, and stored in a safe location;
- Ability to convert paper originals stored in electronic format back into legible and readable paper copies; and
- Have adequate records management practices in place.

Before implementing the use of an Electronic Storage and Retrieval System, the following requirements must be met by the Lumber River Local Area:

- Electronic Data Storage and Retrieval Policies, Procedures and/or Guidelines in place that adhere to all federal, state, and local laws and policies governing the use and storage of electronic data.
- Adequate computer hardware necessary for implementation, including scanners.
- Appropriate electronic document storage and retrieval software to include capacity to scan and retrieve documents in universally accepted file formats such as PDF.
- Adequate organization server storage capacity which complies with record retention and access regulations as outlined by the Workforce Innovation and Opportunity Act, Public Law 113-128, Section 185.
- Adequate security measures, for example, password protected assigned access.
- Documented compliance with vendor recommendations regarding security and login identification and conformity with all software vendor licensing guidelines.
- Appropriate licensure for software including adequate user licenses as recommended by vendor.
- Appropriate archiving procedures for storing outdated and/or no longer useful documents.
- Access capability for DWS and federal officials for data validation, monitoring, and auditing as needed.
- A notification system to contact impacted individuals if data is compromised.
PROTECTION OF PERSONALLY IDENTIFIABLE INFORMATION (PII)

Lumber River Local Area must take all necessary precautions to protect the Personally Identifiable Information (PII) of consumers. USDOL Training and Employment Guidance Letter (TEGL) No. 39-11 gives the following definitions and information related to PII:

Personally identifiable Information (PII) – Federal Office of Management and Budget defines PII as information that can be used to distinguish or trace an individual identity, either alone or when combined with other personal or identifying information that is linked or linkable to a specific individual.

- Sensitive Information – any unclassified information whose loss, misuse, or unauthorized access to or modification of could adversely affect the interest or the conduct of federal programs, or the privacy to which individuals are entitled under the Privacy Act.

- Protected PII and non-sensitive PII- the U.S. Department of Labor has defined two types of PII, protected PII and non-sensitive PII. The differences between protected PII and non-sensitive PII are primarily based on an analysis regarding the "risk of harm" that could result from the release of the PII.

Protected PII is information that if disclosed could result in harm to the individual name or identity is linked to that information. Examples of protected PII include, but are not limited to, Social Security numbers (SSNs), credit card numbers, bank account numbers, home telephone numbers, ages, birthdates, marital status, spouse name, educational history, biometric identifiers (fingerprints, voiceprints, iris scans, etc.), medical history, financial information, and computer passwords.

Non-sensitive PII is information that if disclosed, by itself, could not reasonably be expected to result in personal harm. Essentially, it is stand-alone information that is not linked or closely associated with any protected or unprotected PII. Examples of non-sensitive PII include information such as first and last names, email addresses, business addresses, business telephone numbers, general education credentials, gender, or race. However, depending on the circumstances, a combination of these items could potentially be categorized as protected or sensitive PII.

To illustrate the connection between non-sensitive PII and protected PII, the disclosure of a name, business email address, or business address most likely will not result in a high degree of harm to an individual. However, a name linked to a Social Security number, a date of birth, and mother's maiden name could result in identity theft. This demonstrates why protecting the information of our program participants is so important.

TEGL 39-11 lists a number of requirements that must be followed by all grantees to ensure the protection of PII including taking the steps necessary to protect the data from unauthorized disclosure. In addition, the appendix of TEGL 39-11 lists a number of federal laws related to data privacy, security, and protecting PII. These laws need to be reviewed and followed by
each local Workforce Development area in order to fully protect consumer PII from being inappropriately disclosed. Lumber River Local Areas need to make sure they stay abreast of current federal, state, and local legislation pertaining to privacy and security of consumer data.

When uploading verifying documentation in NCWorks Online, be sure to redact protected PII that, if disclosed, could result in harm to the individual whose name or identity is linked to that information. At a minimum all instances of an individual's driver's license and the first five digits of the SSN must be redacted. Please consult the scanning procedures in Attachment III of this document for specific information on how to redact information in NCWorks. NC General Statute 20-30 makes it unlawful "To make a color photocopy or otherwise make a color reproduction of a driver's license, learner's permit or special identification card..." When scanning driver's licenses and social security cards into NCWorks, please be sure that all images are in grayscale.

No PII data that is loaded into the state's NCWorks Online system should be stored or transferred on any portable devices. This includes laptops, tablets, mobile phones, thumb drives, CDs or other similar devices that are not protected by "Encryption Technology" (North Carolina Statewide Information Security Manual section 0401002).
NORTH CAROLINA GUIDANCE FOR WORKFORCE INNOVATION AND OPPORTUNITY ACT (WIOA) AND OTHER FEDERAL FUNDS

SCANNING PROCEDURES FOR CONSUMER DOCUMENTS IN NCWORKS

In order to ensure consistent consumer information is entered in NCWorks and case files are as complete as possible while still ensuring the protection of consumer personally identifiable information (PII), the following processes and procedures must be followed when scanning documents into the system.

- NC General Statute 20-30 makes it unlawful "To make a color photocopy or otherwise make a color reproduction of a driver's license, learner's permit or special identification card ..." All documents that are scanned into NCWorks will be scanned in grayscale.
- In addition to the items outlined in NCGS 20-30, any document that would pose an identity theft risk to the individual if stolen should not be scanned in color. This includes but is not limited to the following: social security cards, passports, and birth certificates.
  **NOTE: DO NOT SCAN ANY PARTICIPANT DOCUMENTS IN COLOR**
- Each document must be reviewed carefully prior to scanning to identify all items needing redaction. At a minimum, all instances of the driver's license/identification number and the first five digits of the social security number must be redacted.
- Verify that the documents are complete before scanning. Signature pages should not be scanned separately from the core document. Examples: Applications/intakes, Individual Employment Plans (IEPs), and Individual Service Strategy (ISS) documents.
- Documents must be scanned as separate files into the system rather than as one electronic file containing all of the consumer's records. This includes scanning identification documents such as the driver's license and social security card separately. *(For example, staff should copy the participant driver’s license on one sheet & copy the social security card on another sheet)*
- Document tags and, where possible, filenames must be clear so that it is obvious what each document in the file list is prior to opening it. Use of a standardized naming system within the board is encouraged.
- After scanning/uploading documents into NCWorks Online, use the 'redaction tool' found in the "Create Annotations" toolbar to draw a shape over information that needs redacting. Before saving the altered image, make certain you have chosen under the "Annotation Options" to make the redaction a "Separate layer that can be changed later". **Do NOT try to redact information PRIOR to loading it into NCWorks Online.**
- The contents of the electronic file in NCWorks Online should be identical to the hard copies (or originals) used by staff to capture the information electronically. If a document is updated, such as the IEP or work experience agreement, the entire updated document must be scanned into the system as a separate file. Once documents are preserved in NCWorks Online, when appropriate, their originals should be securely destroyed to further protect customers' information.
  - The participant information should be collected and secured in a two prong folder with application and eligibility forms included.
  - Upon Supervisor review, the supervisor will review and sign the verification summary verifying that the signed WIOA application and eligibility documentation has been reviewed and paperwork has been scanned into NCWorks Online successful.
  - The signed verification form should also be scanned into the NCWorks Online system.
ELECTRONIC FILE STORAGE AND PROTECTING PERSONAL IDENTIFIABLE INFORMATION (PII) GUIDANCE

Documents scanned into NCWorks Online must follow redaction guidelines to protect PII. DWS Staff and federal officials must have the ability to access redacted information for data validation, monitoring and auditing purposes. Therefore, redaction should be done in NCWorks Online ONLY so that the ability to convert paper originals stored in electronic format back into legible and readable paper copies remains.

When uploading documents into NCWorks, the following guidelines must be adhered to:

- All documents provided for verification must be scanned or uploaded into NCWorks Online in their original format.
- TABE test should be scanned into the system for each customer. If Basic Skills Deficient, scan TABE test in during application when verifying the response to the Basic Skills Deficient/Low Levels of Literacy question. If not Basic Skills Deficient, scan TABE test under Staff Documents and label as TABE Test.
- When scanning an ITA or Cost Authorization, please include all backup documentation used to determine the payment amount and label “ITA # or CA Packet”
- All scanned documents provided for verification should be named and tagged to clearly recognize what the verification document is. The attached chart assists with document names and document tags. Items not covered in the chart should be named what they are, and be clearly dated. For example, if inputting a timesheet for a specific pay period, the name should be labeled as Timesheet for Pay period (1/2/2017-1/16/17). There should be no abbreviated names for documents.
- All documents provided for verification scanned into NC Works Online must be redacted to protect all PII.
- Once eligibility documents are scanned into NCWorks Online, DO NOT SHRED DOCUMENTS. Place in manila folder and store all customer files in a secure location until the supervisor has verified eligibility information in NCWorks.
- You may group documents from files that are dated prior to July 1, 2017. Please label these files accordingly and date so that it is clearly identified. Be sure that all redaction has been completed when grouping. For example, all timesheets should be reviewed for PII information such as the social security number.
- When scanning documents for an activity, documents should be scanned in collectively as it pertains to that activity(For example, staff can scan in the ITA along with supporting documentation (class schedule, Financial Award Analysis form),
- Keep linking of documents to a minimum. However, if linking, be careful, if you make an error and delete the document, the document will be deleted from every location it’s linked to. Also when linking documents, all redactions made to the linked document will appear in every location the document is linked.
- Ensure all information being used for verification is included on document linking. For example, if linking the self-attestation form to various locations, ensure that the
information that the form is being utilized to verify is clearly stated such as family size, income, employment status, etc.

- Be sure to release individuals before assisting a new individual to eliminate merging individual’s information. You must press RELEASE INDIVIDUAL from the left column and then press confirm before you assist an individual.

- All youth services must align with the 14 WIOA Youth Program Elements. Incentives should be scanned into NC Works under the activity that is supporting that incentive. Support Services can also be a valid location to document a youth incentive.

- **Local Area Forms (16, 23, 24)** – should be uploaded through the Staff Documents section and labeled as **Local Area Orientation Forms**.

- **EEO Form (LRLA-4)** should be scanned in separately and labeled Signed EEO Form to ensure it is easily identifiable for monitoring.

- When using the Self-Attestation (LRLA 40) please ensure that all information is listed on the document that is being used for verification. (For example, check to ensure family size and employment status is listed if using for verification). If using the LRLA-40 to verify family size, you must also use the LRLA-27 (Letter of Collateral Contact) form to indicate the household members.

- The Signed WIOA application should be scanned under Staff Documents and labeled as WIOA Signed Application.

Please remember that all active files as of July 1, 2015 to present must be scanned into NCWorks online. Priority should not be given to one group of files. Monitoring will be completed through NCWorks online, if the documents are not scanned into the system, this will result in a finding.

**Redacting Documents**

The attached spreadsheet covers frequently used verification documents, covering redaction and document tag/name that should be utilized. When redacting, it is key to redact information that is not required for verification using the spreadsheet and the above examples as a reference. Strong emphasis on redacting the Driver’s License number from the Driver’s License, the Social Security Number from the Social Security Card and bank account numbers from financial documentation.
1. Scan your document using the Documents folder:

![NCWorks Online - Redacting Documents](image)

<table>
<thead>
<tr>
<th>Document Name</th>
<th>Category</th>
<th>Size</th>
<th>Modify Date</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>TAA_Determination_111</td>
<td>Verification</td>
<td>6,903 KB</td>
<td>05/25/2017 03:18</td>
<td>View, Edit</td>
</tr>
</tbody>
</table>

Uploaded and scanned documents with spaces in the document name may be incompatible with some browsers. These spaces will be replaced with _ when saving the document in our system.
Enter the necessary information regarding program, application ID, verification item (if applicable), document tag, document name & select **Scan Document**
2. After scanning your document, enter document name, then select **Upload and Edit Document**

Note the pop-up confirming the document has been uploaded successfully.

The document has been uploaded successfully. Click the Ok button to edit this image.
3. Redaction tools are located above the scanned document. Select the black rectangle to draw a redaction on your document.
Once you have finished redacting and editing, select **Save Image Changes**

You are now finished and can select **Return to Previous Page**
Effective July 1, 2019, all Lumber River local area customer case files will be maintained electronically in the NCWorks Online system. All eligibility documents are to be shredded once approved by the program supervisor.

**WIOA Application Completion**

When completing the WIOA application, all eligibility verification documents are to be scanned into NCWorks Online, labeled appropriately and linked to the applicable verification element within the application. **Do Not Shred Hard Copies!**

Upon completion of the WIOA application, print the corresponding verification summary from NCWorks Online. Compile all hard copies of eligibility verification documents used, the signed WIOA application, and the verification summary in a manila folder and submit to the WIOA supervisor.

**WIOA Eligibility Review**

The WIOA supervisor is responsible for all program eligibility review. Upon receipt of a completed WIOA application folder, the supervisor will go into the verification summary in NCWorks Online and review each verification document individually for accuracy.

- Acceptable verification document
- Appropriate redacting
- Verification document linked to applicable element

Upon completion of reviewing each verification document, the supervisor will utilize the hard copy of the Verification Summary to check off each document, sign, and date indicating accuracy.

**WIOA Program Enrollment**

Upon approval of the WIOA supervisor, the Career Advisor will proceed with enrollment into WIOA. The signed Verification Summary will be scanned into NCWorks Online and labeled as “verification summary”. At this point, all documents compiled in the manila folder will be shredded. **Shred All Hard Copies!**

All documents collected after program enrollment will be scanned into NCWorks Online attached to a case note and labeled accordingly.
## SIX PRIMARY INDICATORS OF PERFORMANCE

### A. Employment Rate - 2nd Quarter After Exit
The percentage of participants who are in unsubsidized employment during the second quarter after exit from the program (for title I Youth, the indicator is the percentage of participants in education or training activities, or in unsubsidized employment during the second quarter after exit).

### B. Employment Rate - 4th Quarter After Exit
The percentage of participants who are in unsubsidized employment during the fourth quarter after exit from the program (for title I Youth, the indicator is the percentage of participants in education or training activities, or in unsubsidized employment during the fourth quarter after exit).

### C. Median Earnings - 2nd Quarter After Exit
The median earnings of participants who are in unsubsidized employment during the second quarter after exit from the program.

### D. Credential Attainment
The percentage of those participants enrolled in an education or training program (excluding those in on-the-job training (OJT) and customized training) who attain a recognized postsecondary credential or a secondary school diploma, or its recognized equivalent, during participation in or within one year after exit from the program. A participant who has attained a secondary school diploma or its recognized equivalent is included in the percentage of participants who have attained a secondary school diploma or its recognized equivalent only if the participant also is employed or is enrolled in an education or training program leading to a recognized postsecondary credential within one year after exit from the program.

### E. Measurable Skill Gains
The percentage of program participants who, during a program year, are in an education or training program that leads to a recognized postsecondary credential or employment and who are achieving measurable skill gains, defined as documented academic, technical, occupational, or other forms of progress, towards such a credential or employment. Depending on the type of education or training program, documented progress is defined as one of the following:

1. Documented achievement of at least one educational functioning level of a participant who is receiving instruction below the postsecondary education level;
2. Documented attainment of a secondary school diploma or its recognized equivalent;
3. Secondary or postsecondary transcript or report card for a sufficient number of credit hours that shows a participant is meeting the State unit's academic standards;
4. Satisfactory or better progress report, towards established milestones, such as completion of OJT or completion of one year of an apprenticeship program or similar milestones, from an employer or training provider who is providing training; or
5. Successful passage of an exam that is required for a particular occupation or progress in attaining technical or occupational skills as evidenced by trade-related benchmarks such as knowledge-based exams.

### F. Effectiveness in Serving Employers
Effectiveness in Serving Employers: WIOA sec. 116(b)(2)(A)(j)(VI) requires the Departments to establish a primary indicator of performance for effectiveness in serving employers. The Departments are piloting three approaches designed to gauge three critical workforce needs of the business community.

- **Approach 1 - Retention with the same employer** - addresses the programs' efforts to provide employers with skilled workers;
- **Approach 2 - Repeat Business Customers** - addresses the programs' efforts to provide quality engagement and services to employers and sectors and establish productive relationships with employers and sectors over extended periods of time; and
- **Approach 3 - Employer Penetration Rate** - addresses the programs' efforts to provide quality engagement and services to all employers and sectors within a State and local economy.

Since this indicator is a new approach for measuring performance under WIOA's six core programs, the Departments have implemented a pilot program during which States must select two of the three approaches to report data that the Departments will use to assess a permanent indicator. States may also voluntarily develop an additional State-specific approach. The Departments will evaluate State experiences with the various approaches and plan to identify a standardized indicator that the Departments anticipate will be implemented no later than the beginning of Program Year 2019.
**This Form must be signed & returned by the vendor, bidder, or contractor when bid is submitted or contract is signed**

RFP or Contract Number:

Name of Vendor, Bidder, or Contractor:

IRAN DIVESTMENT ACT CERTIFICATION REQUIRED BY N.C.G.S. 143C-6A-5(a)

As of the date listed below, the vendor or bidder listed above is not listed on the Final Divestment List created by the State Treasurer pursuant to N.C.G.S. 143-6A-4.

The undersigned hereby certifies that he/she is authorized by the vendor, bidder, or contractor listed above to make the foregoing statement.

Signature  Date

Printed Name  Title

Notes to persons signing this form:

N.C.G.S. 143C-6A-5(a) requires this certification for bids or contracts with the State of North Carolina, a North Carolina local government, or any other political subdivision of the State of North Carolina. The certification is required at the following times:

- When a bid is submitted
- When a contract is entered into (if the certification was not already made when the vendor made its bid)
- When a contract is renewed or assigned

N.C.G.S. 143C-6A-5(b) requires that contractors with the State, a North Carolina local government, or any other political subdivision of the State of North Carolina must not utilize any subcontractor found on the State Treasurer's Final Divestment List.

The State Treasurer's Final Divestment List can be found on the State Treasurer's website at the address www.nctreasurer.com/Iran and will be updated every 180 days.