

WORKFORCE INVESTMENT ACT of 1998

LOCAL TRANSITION PLAN MODIFICATION NO. 4

High Country Workforce Consortium Local Workforce Development Area Name

We affirm that the Local Workforce Development Board (WDB) and the Chief Elected Official(s) of the Local Area, in partnership, have developed and now submit this comprehensive, strategic Local Plan Modification in compliance with the provisions of the Workforce Investment Act of 1998 and instructions issued by the Governor under authority of the Act.

April 22, 2009

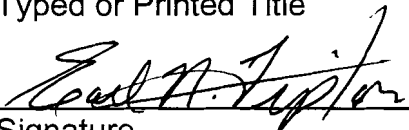
Submission Date

Earl. N. Tipton

Typed or Printed Name

Chairman, High Country Workforce
Development Board

Typed or Printed Title


Signature

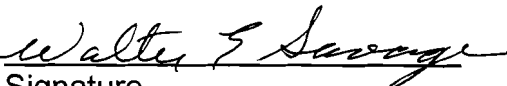
4-15-2009
Date

Walter E. Savage

Typed or Printed Name

Chief Elected Official, High Country
Workforce Development Board

Typed or Printed Title


Signature

4/15/2009
Date

TRANSMITTAL FORM

High Country Local Area

Local Workforce Development Area Name

ADMINISTRATIVE ADJUSTMENT/MODIFICATION TO THE LOCAL AREA PY 2009 TRANSITION PLAN MODIFICATION NO. 4

Submission Date:

Administrative Adjustment Number

Modification Number Modification # 4

Purpose of the Submission (include NFA # if applicable):

To submit Local Transition Plan Modification # 4 to reflect changes for Program Year 2009 that begins July 1, 2009.

Worksheet(s) Attached: Place An **X** By the Appropriate Fund Code

X	2010	Administrative Cost Pool
X	2020	Adult
X	2030	Dislocated Worker
X	2031	Other Statewide Activities
X	2040	Youth
X	2050	Statewide Activities
		Other (specify)

STAFF COMPLETING/CONTACT FOR QUESTIONS ON SUBMISSION:

Typed/Printed Name:	Don Sherrill
Typed/Printed Title:	Operations Director
Typed/Printed Telephone No:	(828) 265-5434
Typed/Printed E-mail Address:	dsherrill@regiond.org

AUTHORIZED LOCAL AREA SIGNATURE:

Typed/Printed Name:	Carole R. Coates
Typed/Printed Title:	Workforce Development Director
Signature:	<i>Carole R. Coates</i>

PY 2009 Local Area Information

1. **Local Area (LA) Official Name:** High Country Workforce Development Consortium

Local Area Data

2. **Local Area's Chief Elected Official:**
Walter Savage
Chairman, Yancey County Board of Commissioners
110 Town Square, Room 11
Burnsville, NC 28714
wsavage@yanceycountync.gov
(828) 682-3971
3. **Official CEO Mail Designation:**
Walter Savage
c/o Yancey County Manager
110 Town Square, Room 11
Burnsville, NC 28714
nbennett@yanceycountync.gov
(828) 682-3971
4. **Workforce Development Board Chair:**
Earl Tipton
Vice President
Young & McQueen Grading Co.
25 Crest View Rd.
Burnsville, NC 28714
etipton@youngmcqueen.com
(828) 682-7714
5. **Youth Council Chair:**
Marie Gwyn
Board of Directors
Habitat for Humanity
P.O. Box 882
Newland, NC 28657
mariegwyn@bellsouth.net
(828) 733-4269
6. **Administrative/Fiscal Agent:**
High Country Council of Governments
7. **Administrative Agent Signatory:**
Rick Herndon
Executive Director
High Country Council of Governments
P.O. Box 1820
719-A Greenway Rd.
Boone, NC 28607
rherndon@regiond.org
(828) 265-5434 (o)
(828) 265-5439 (fax)
8. **Local Area Workforce Director:**
Carole Coates
Workforce Development Director
High Country Council of Governments
P.O. Box 1820
719-A Greenway Rd.
Boone, NC 28607
[ccoates@regiond.org](mailto:cocoates@regiond.org)
(828) 265-5434 (o)
(828) 265-5439 (fax)
9. **Provide the Workforce Development Board By-Laws.**
Submitted in Plan Modification # 3, no change.
10. **Provide a listing of Youth Council members.**
See Attachment B
- 10-a. **Provide a listing of Workforce Development Board members.**
See Attachment B-1

Program Year 2008-2009 Achievements

11. Provide a brief synopsis of the most significant accomplishments by the Local Area during Program Year 2008.

Key achievements in Program Year 2008-2009 can be grouped under several broad categories, all of which support the Board's priorities of designing and directing resources; conducting and disseminating research and analysis; evaluating strengths and gaps; aligning assets; managing funds, programs, and initiatives; and supporting system solutions.

Workforce Development Board Initiatives: Policy, Leadership, and Development

- *Began implementation of three-year Strategic Plan with local performance measures;*
- *Planned Workforce Development Board meeting programs on the following current issues to inform board decision-making: Green Technologies; WIRED; Regionalism in Workforce Development; Regional Workforce Challenges; Engineering Technology;*
- *Developed and disseminated bi-monthly publication for board members, elected officials, and economic development leaders to highlight board initiatives, current workforce and economic issues, etc.;*
- *Established Board ad hoc advisory workgroup on economic recovery;*
- *Planned and conducted Workforce Development Board New Member Orientation sessions;*
- *Restructured departmental organization to increase efficiencies and mirror separation of Board and operational activities;*
- *Participated in NC Leadership Academy I;*
- *Continued to refine, improve, and expand HC WDB web site;*
- *Completed participation in USDOL National Business Learning Partnership;*
- *Recognized as High-Performing Workforce Development Board by NC Commission on Workforce Development.*

Regionalism

- *Participated in a Regional Collaboration Planning Grant with Region C WDB, Western Piedmont WDB, and AdvantageWest Economic Group, which evolved into a new regional organization, the Future Forward Workforce Alliance;*
- *Served as fiscal agent for Future Forward Regional Collaboration Planning Grant;*
- *Served as Chair and Secretariat for newly formed Future Forward Workforce Alliance, which included planning and facilitating meetings, serving as liaison with grant consultant, initiating communications on relevant issues, etc.;*
- *Participated in multi-regional Disability Program Navigator Grant;*
- *Participated in regional Allied Health Careers Grant;*
- *Organized 15-county partnership dialogue on business demand-driven approach to services;*
- *Provided assistance and support in development of AdvantageWest Labor Market Availability Study, Phase I (Employers) and II (Individuals).*

Convening and Facilitation

- *Planned and hosted training on NC Economic Development Intelligence System;*
- *Implemented Regional JobLink Networking Group;*
- *Convened and hosted regional CFNC training;*
- *Convened community energy forum;*
- *Planned and hosted multi-county SHARE Networking roundtable for community- and faith-based organizations.*

Partnership-Building, Information Dissemination, Asset Alignment

- *Represented High Country Workforce Development Board on following: Appalachian State University Institute and Health and Human Services Outreach Advisory Committee; Rotary Club of Spruce Pine; Chambers of Commerce, including Mitchell CoC Executive Board, Wilkes CoC Workforce Committee, Mitchell CoC Governmental Relations Committee; Wilkes Vision 20/20 Initiative; AdvantageWest Economic Development Group's Economic Development Advisory Committee;*
- *Represented High Country Workforce Development Board at regional summits and forums: Appalachian Regional Development Institute Future Forward Summit; Advantage West Regional Allied Health Summit; Alleghany Workforce Summit; Tennessee Valley Corridor Southeast Partnership Event; Triad Emerging Issues Energy Forum;*
- *Provided public information by maintaining Board web site, including series of headline articles; preparing feature articles and news releases for local media; making presentation, including the following: Workforce Innovations Conference, Blowing Rock Leadership Challenge, Wilkes Interagency Committee, Mitchell Chamber of Commerce Board, Spruce Pine Rotary Club.*

Operations

- *Began implementation of ARRA in High Country region: conducted meetings regarding effective, efficient, rapid use of ARRA funds with partner organizations, including three community colleges, NC Employment Security Commission, Departments of Social Services; participated in information and training sessions with state and federal representatives, including NAWB and USDOL webinar series; conducted training and information sessions with WIA service providers and JobLink partners; informed local elected officials, community organizations, and individuals of funding availability and intent, including meetings, news articles, and website articles; developed web page devoted to ARRA; hired and trained staff to assist with additional activities and services emanating from ARRA funding; began collecting weekly service provider reports to document ARRA activities;*
- *Provided financial and staff support for JobLink Centers and activities such as Career Awareness and Job Fairs;*
- *Planned and hosted regional JobLink rechartering meeting;*
- *Participated in planning to establish Goodwill Resource Center as JobLink Partner site;*
- *Facilitated addition of local libraries as JobLink Information and SHARE Network sites;*
- *Conducted research and analysis of workforce issues and economic trends for businesses, economic development commissions, local government, and school systems;*
- *Planned and conducted series of best practices "Swap Meets" with WIA service providers;*
- *Led/participated in rapid response efforts to serve individuals suffering job losses due to company closures and major lay-offs;*
- *Facilitated, reviewed, recommended, and provided oversight for Incumbent Worker Grant (3 issued in PY 2008 to date);*
- *Conducted on-going oversight and leadership of Workforce Investment Act services and operations.*

JobLink Career Centers

12. Describe the Local Area's JobLink Career Center system by identifying JobLink Center(s) location, chartering status and type; on-site partners [identify funding source as listed in WIA Regs. 662.200]; one-stop operator and method of selection; provider of WIA intensive services and method of selection; whether youth services provider is on-site and; whether training is available other than by Individual Training Accounts (ITAs).

XXX Submitted in Transition Plan Modification #3, no change.

_____ Changes made and provided as Attachment C.

13. Describe the Local Area's process for providing oversight to the JobLink Career Center(s) to include frequency of review, type of review, performance indicators and continuous quality improvement measures. [WIA Section 117(d)(4)]

___ Submitted in Transition Plan Modification #3, no change.

XXX Changes made and are described below.

The Workforce Development Board's Quality Assurance Committee oversees the performance of the JobLink Career Center system as a whole, including continuous improvement and customer satisfaction. The Quality Assurance Committee has developed JobLink-specific locally meaningful performance measures into its oversight procedures. The committee currently reviews swipe card usage, customer satisfaction reports, and JobLink MIS reports to obtain baseline data and set standards which are provided by the Special Projects Coordinator. New performance indicators, to become effective July 1, 2008 include numbers of individuals accessing self-service activities in centers and number of employers using JobLink services. The committee also takes an active role in helping resolve issues that arise from the individual centers. JobLink issues are reviewed by the committee on a quarterly basis at a minimum. Documentation of the committee's oversight is included in committee meeting notes which are distributed to all Board members.

The Special Projects Coordinator provides technical assistance to the region's JobLink Centers through participating in management team meetings, reviewing chartering applications and business plans, and providing feedback with regard to both. Customer feedback and continuous improvement plans are a required component of rechartering applications. A report is currently under development which will require each JobLink Center to submit a written activity report on a formal basis. On an annual basis, JobLink 101 training is provided to new JobLink staff and new management team chairs. This training encompasses information on the Workforce Development Board and its JobLink oversight role as well as the general manner in which the region's JobLink Centers are expected to operate and organize its management team meetings.

14. Submit a copy of the local Memorandum of Understanding (MOU) among the local Workforce Development Board and each JobLink Career Center partner concerning operation of the One-Stop delivery system in the Local Area

XXX Submitted in Modification # 3, no change.

_____ Changes made and provided as Attachment L.

Other Questions

15. Describe Local Area procedures to review expenditures and program activities to meet minimum 70% expenditure of current year allocations.

XXX Submitted in Modification #3, no change.

_____ Changes made and are described below.

16. Provide a description of how the Workforce Development Board will coordinate Workforce Investment Act activities carried out in the Local Area with Statewide Rapid Response Activities and Trade Adjustment Act activities.

XXX Submitted in Modification #3, no change.

_____ Changes made and are described below.

17. Provide a description of the competitive process used to award grants and contracts in the Local Area for activities under WIA [Section 118, (9)].

XXX Submitted in Modification #3, no change.

_____ Changes made and are described below.

18. Provide the Local Workforce Development Area's current Equal Opportunity Complaint Grievance procedure to address equal opportunity requirements. Describe methods to ensure updates are incorporated in the Procedure. Include the EO Assurance language that is in all Local Area contracts.

_____ Submitted in Transition Plan Modification #3, no change.

XXX Changes made and provided as Attachment M.

19. Provide a list of the contract agencies for Adult and Dislocated Worker Services as Attachment N. This list is effective as of July 1, 2009.

See Attachment N.

20. Identify agencies selected by the Workforce Development Board to receive contracts based on the recommendations of the Youth Council as Attachment O. This list is effective as of July 1, 2009. [665.200(b)(4) and (c)]

See Attachment O.

21. Provide Local Workforce Development On-the-Job Training Policy.

____ Submitted in PY 2005 Transition Plan or subsequent Modification # _____, no change.
XXX Changes made and provided as Attachment E.

22. Provide the Local Workforce Development Board policies on supportive services for adults and dislocated workers, including needs-related payments (i.e., amount, duration, qualifying criteria) as Attachment D.

See Attachment D.

23. Provide Local workforce Development Board Individual training Account (ITA) Policy as Attachment P.

See Attachment P.

Attachment A:
Workforce Development Board By-Laws
Submitted in Plan Modification Number 3, no change.

Attachment B: Youth Council Membership

Youth Council Membership Listing
High Country Workforce Development Board

(Local Workforce Development Area Name)

Indicate the authorized maximum number of Youth Council members **(19)**

Member's Name and Title	Employer/Agency (if applicable) Address, Telephone Number (e-mail address as appropriate)	Employer, Agency or Sector Represented Examples: Members of Board, Juvenile Justice/Law Enforcement, Public Housing Authority, Parent of Eligible Youth, Job Corps	WDB Member	Term (begin and end dates)	County
Youth Council Chair Marie Gwyn	At-Large CBO Member Habitat for Humanity P.O. Box 882 Newland, NC 28657 (828) 733-4269 (h) (828) 773-5479 (cell) mariegwyn@bellsouth.net	Avery Habitat for Humanity - CBO	X	7/01/08-6/30/10	Avery
Connie Barnette	Manager Vocational Rehabilitation Services 245 Winklers Creek Rd. Suite A Boone, NC 28607 (828) 265-5396 connie.barnette@ncmail.net	Vocational Rehabilitation Services; youth services	X	7/01/07-6/30/09	Mitchell

Kathy Bishop	871 Pumpkin Run Rd. Purlear, NC 28665 (336) 973-4682 busygrandma45@aol.com	Parent		7/01/08-6/30/10	Wilkes
Maria Cunningham	Operations Area Manager Vice President Wachovia Bank 424 Brushy Mountain Rd. Wilkesboro, NC 28697 (336) 651-5517	Private Sector	X	7/01/07-6/30/09	Wilkes
Gunther Doerr	Chief Appalachian State University Police Dept. 461 Rivers St. Boone, NC 28608 (828) 262-2150 (o)	Law Enforcement		7/01/08-6/30/10	Watauga
Jennie Harpold	Independent Consultant 2000 Land Harbor Newland, NC 28657 (828) 733-2267 jennijh@sbcglobal.net	Experience with youth		7/01/07-6/30/09	Avery
Ophea Huntsman	High Country Housing Representative NW Regional Housing Authority P.O. Box 2510 Boone, NC 28607 (828) 264-6683 ophea@nwrha.com	Public Housing Authority		7/01/07-6/30/09	NW Regional Housing

Joallen Lowder	Ashe County Schools P.O. Box 604 Jefferson, NC 28640-0604 (336) 846-2400 (336) 846-2411 (fax) jlowder@ashe.k12.nc.us	Education	X	4/01/08-6/30/09	Ashe
Suzanne Owens	President Mayland Community College 200 Mayland Dr. Spruce Pine, NC 28777 (828) 765-7351 ext. 201 sowens@mayland.edu	Education		7/01/07-6/30/09	Avery, Mitchell, Yancey
Jayne Phipps-Boger	WCC Alleghany Center 115 Atwood St. Sparta, NC 28675 (336) 372-5061 ext. 231 (336) 372-8738 (fax) jayne.boger@wilkescc.edu	Education	X	7/01/07-6/30/09	Alleghany
Sandra Reese	Human Resources Director TT Electronics/IRC P.O. Box 1860 Boone, NC 28607 (828) 263-5300 (828) 262-1972 (fax) sandy.reese@ircct.com	Private Sector	X	7/01/07-6/30/09	Watauga
Eddie Reeves	NC Dept. of Labor 1212 Ararat Rd. Pilot Mountain, NC 27041 (336) 813-4540 eddie.reeves@nclabor.com	Experience with Youth		7/01/08-6/30/10	Avery

Julia Rowland	Assistant Director Center for Entrepreneurship Appalachian State University ASU Box 32089 Boone, NC 28608-2089 (828) 262-8325 (828) 262-8685 (fax) rowlandja@appstate.edu	Education		7/01/08-6/30/10	Watauga
Stacy Sears	Appalachian State University P.O. Box 1163 Boone, NC 28608 (828) 262-6111 searssr@appstate.edu	Experience with youth	X	7/01/08-6/30/10	Watauga
Amanda Smith	149 Countryside Lane Sparta, NC 28675 (336) 372-6037 smithad@appstate.edu	Youth Representative, ASU Student/ Participant		7/01/08-6/30/10	Watauga
Sherry Wood	Wachovia Bank 424 Brushy Mountain Rd. Wilkesboro, NC 28697 (336) 651-5518 sherry.wood@wachovia.com	Private Sector		7/01/08-6/30/09	Wilkes

Attachment B-1: Workforce Development Board Membership

Workforce Development Board Membership Listing

High Country Workforce Development Board (Local Area Name)

Maximum number of WDB members
authorized by current bylaws: [**23**]

Member's Name and Title	Employer/Agency (if applicable) Mailing Address & Telephone	Category Represented	Term (begin and end dates)	County
Board Chair: Earl Tipton	Vice President Young & McQueen Grading Co. 25 Crest View Rd. Burnsville, NC 28714 (828) 682-7714 (o) (828) 682-4145 (fax) etipton@youngmcqueen.com	Private	7/01/07-6/30/09	Yancey
Vanya Baker	Director, Human Resources Wilkes Regional Medical Center 1370 West D St. North Wilkesboro, NC 28659 (336) 651-8167 (o) (336) 651-8133 (fax) vbaker@wilkesregional.com	Private	7/01/08-6/30/10	Wilkes
Barbara Barlow	Human Resources Manager United Chemi-Con 185 McNeil Rd. Lansing, NC 28643 (336) 384-6903 (o) (336) 384-6942 (fax) bbarlow@chemi-con.com	Private	7/01/08-6/30/10	Ashe

<p>Connie Barnette</p>	<p>Manager Vocational Rehabilitation Services 245 Winklers Creek Rd. Suite A Boone, NC 28607 (828) 265-5396 (o) connie.barnette@ncmail.net</p>	<p>Public: Vocational Rehabilitation</p>	<p>7/01/07-6/30/09</p>	<p>Mitchell</p>
<p>Jake Blood</p>	<p>Executive Director Yancey County Economic Development 106 W. Main St. P.O. Box 246 Burnsville, NC 28714 (828) 682-7722 (o) (828) 682-4320 (fax) yanceyedc@gmail.com</p>	<p>Public: Economic Development</p>	<p>7/01/08-6/30/09</p>	<p>Yancey</p>
<p>Anne Bowlin</p>	<p>Local Office Manager ESC 320 Wilkesboro Ave. North Wilkesboro, NC 28659 (336) 838-5164 (o) (336) 838-9953 (fax) anne.bowlin@ncmail.net</p>	<p>Public: Employment Service</p>	<p>7/01/07-6/30/09</p>	<p>Watauga</p>
<p>John Brubaker</p>	<p>Boone Area Chamber of Commerce 149 Jefferson Rd. Boone, NC 28607 (828) 263-8901 (o) (828) 265-2045 (fax) jbrubaker@highcountrybank.com</p>	<p>Public: CBO</p>	<p>7/01/08-6/30/09</p>	<p>Watauga</p>

Maria Cunningham	Operations Area Manager/ Vice President Wachovia Bank 424 Brushy Mountain Rd. Wilkesboro, NC 28697 (336) 651-5517 (o) (336) 651-5699 (fax) maria.cunningham@wachovia.com	Private	7/01/07-6/30/09	Wilkes
Marie Gwyn	Board of Directors Habitat for Humanity P.O. Box 882 Newland, NC 28657 (828) 733-4269 (h) (828) 773-5479 (cell) mariegwyn@bellsouth.net	Public: CBO	7/01/08-6/30/10	ALL
Jim Halsey	Human Resources Manager Louisiana Pacific Corporation P.O. Box 98 Roaring River, NC 28669 (336) 696-3470 (o) (336) 696-3411 (fax) jim.halsey@lpcorp.com	Private	7/01/07-6/30/09	Alleghany
Fonda Harris	Director of Human Resources Blue Ridge Regional Hospital P.O Box 9 Spruce Pine, NC 28777 (828) 765-4201 (o) (828) 765-8519 (fax) spcfbh@msj.org	Private	7/01/08-6/30/10	Mitchell

Dwayne Howell	HR/HS Manager Gates Corporation 101 Gates Lane Jefferson, NC 28640 (336) 846-1938 (o) (336) 846-8007 (fax) <u>bh7055@gates.com</u>	Private	7/01/07-6/30/09	Ashe
Tom Hughes	Director Avery County DSS P.O. Box 309 Newland, NC 28657 (828) 733-8248 (o) (828) 733-8245 (fax) <u>tom.hughes@ncmail.net</u>	Public: Social Services	7/01/08-6/30/09	Avery
Joallen Lowder	Ashe Chamber of Commerce P.O. Box 604 Jefferson, NC 28640-0604 (336) 846-2400 (o) (336) 846-2411 (fax) <u>jlowder@ashe.k12.nc.us</u>	Public: CBO	7/01/08-6/30/09	Ashe
Scott Moncrief	Plant Manager Martin-Marietta Composites 114 Industrial Park Rd. Sparta, NC 28675 (336) 372-6311 (o) <u>scott.moncrief@martinmarietta.com</u>	Private	7/01/08-6/30/10	Alleghany

Charley Nash	Dentist Owner 338 N. Mitchell Ave. Bakersville, NC 28705 (828) 688-2193 cnash@mitchell.main.nc.us	Private	7/01/08-6/30/09	Mitchell
Bryan Peterson	Human Resources Manager Altec Industries 150 Altec Dr./P.O. Box 130 Burnsville, NC 28714 (828) 678-5502 (o) bryan.peterson@altec.com	Private	1/09-6/30/10	Yancey
Jayne Phipps-Boger	Director WCC Alleghany Center 115 Atwood St. Sparta, NC 28675 (336) 371-5061 x.231 (o) (336) 372-8738 (fax) jayne.boger@wilkescc.edu	Public: Education	7/01/07-6/30/09	Alleghany
Doug Pratt	Owner Boone Paint & Interiors 1852 Highway 105, Suite 1 Boone, NC 28607 (828) 264-9220 (o) (828) 265-2072 (fax) boonepaint@bellsouth.net	Private	7/01/08-6/30/10	Watauga
Sam Ray	Retired Business Owner P.O. Box 626 Newland, NC 28657 (828) 733-9248 (h)	Private	7/01/08-6/30/10	Avery

<p>Sandra Reese</p>	<p>Human Resources Director TT Electronics/IRC P.O. Box 1860 Boone, NC 28607 (828) 263-5300(o) (828) 262-1972 (fax) <u>sandy.reese@ircctt.com</u></p>	<p>Private</p>	<p>7/01/07-6/30/09</p>	<p>Watauga</p>
<p>Stacy Sears</p>	<p>State Employees' Association of NC Appalachian State University P.O. Box 1163 Boone, NC 28607 (828) 262-6111 (o) <u>searssr@appstate.edu</u></p>	<p>At-Large Labor Member</p>	<p>7/01/08-6/30/10</p>	<p>ALL</p>
<p>Sallie Woodring</p>	<p>Volunteer Services Director Appalachian Regional Health System 351 Balsam Lane P.O. Box 1796 Banner Elk, NC 28604 (828) 737-7538 (o) <u>swoodring@apprhs.org</u></p>	<p>Private</p>	<p>1/09-6/30/11</p>	<p>Avery</p>

Attachment C: JobLink Career Centers

JobLink Career Center System

(Reflects Local Area Structure as of March 8, 2009)

High Country
Local Area

A JobLink Center Name & Address, Chartering Status, and Type*	B Date Charter Expires	C Counties Served	D On-Site JobLink Partners	E One-Stop Operator & Method of Selection**	F WIA Intensive Services Provider(s) & Method of Selection**	G Youth Service Provider On-Site (Yes/No)	H Training Available Other Than By ITA***
Alleghany County JobLink 115 Atwood St, Suite C Sparta, NC 28675 Not Chartered (N)	Expired - 12/01/2007	Alleghany	Wilkes Community College: WIA Title I; adult education and literacy activities authorized under Title II; postsecondary vocational education activities authorized under the Carl D. Perkins Vocational and Applied Technology Education Act (20 U.S.C. 2301 et seq.); HC Council of Governments: youth services authorized under WIA Title I; ESC: programs authorized under the Wagner-Peyser Act (29 U.S.C. 49 et seq.); activities authorized under chapter 2 of title II of the Trade Act of 1974 (19 U.S.C. 2271 et seq.); activities authorized under chapter 41 of title 38, United States Code; programs authorized under state unemployment compensation laws; VR: programs authorized under Title I of the Rehabilitation Act of 1973 (29 U.S.C. 720 et seq.); Blue Ridge Business Development Center; New River Community Partners; Urban League of Winston-Salem Senior Services	Wilkes Community College, ESC, and Vocational Rehabilitation (CM)	Wilkes Community College; High Country Council of Governments (CP)	Yes	OJT; CT; continuing education; GED

A JobLink Center Name & Address, Chartering Status, and Type*	B Date Charter Expires	C Counties Served	D On-Site JobLink Partners	E One-Stop Operator & Method of Selection**	F WIA Intensive Services Provider(s) & Method of Selection**	G Youth Service Provider On-Site (Yes/No)	H Training Available Other Than By ITA***
<p>Ashe County JobLink 626 Ashe Central School Road Suite 3 Jefferson, NC 28640</p> <p>Chartered (N)</p>	10/01/09	Ashe	<p>Wilkes Community College: WIA Title I; adult education and literacy activities authorized under Title II; postsecondary vocational education activities authorized under the Carl D. Perkins Vocational and Applied Technology Education Act (20 U.S.C. 2301 et seq.); HC Council of Governments: youth services authorized under WIA Title I; ESC: programs authorized under the Wagner-Peyser Act (29 U.S.C. 49 et seq.); activities authorized under chapter 2 of title II of the Trade Act of 1974 (19 U.S.C. 2271 et seq.); activities authorized under chapter 41 of title 38, United States Code; programs authorized under state unemployment compensation laws; VR: programs authorized under Title I of the Rehabilitation Act of 1973 (29 U.S.C. 720 et seq.); DSS: WorkFirst programs authorized under section 403(a)(5) of the Social Security Act (42 U.S.C. 603(a)(5)) (as added by section 5001 of the Balanced Budget Act of 1997); Ashe Partnership for Children; Ashe County Child Care Resource and Referral; Family Resource Center; Developmental Evaluation Center; Transition to Kindergarten Program; Family Literacy Program; A Safe Home for Everyone; More at Four Pre-K Program; New River Behavioral Healthcare/PACT Program; Governor Morehead Preschool Program; Urban League of Winston-Salem Senior Services; Ashe Medication Assistance Program</p>	Wilkes Community College, ESC, and Vocational Rehabilitation (CM)	Wilkes Community College; High Country Council of Governments (CP)	Yes	OJT; CT; continuing education; HRD; GED
<p>Avery County JobLink 175 Linville Street Newland, NC 28657</p> <p>Not Chartered (N)</p>	Expired - 10/01/08	Avery	<p>Mayland Community College: WIA Title I; adult education and literacy activities authorized under Title II; postsecondary vocational education activities authorized under the Carl D. Perkins Vocational and Applied Technology Education Act (20 U.S.C. 2301 et seq.); ESC: programs authorized under the Wagner-Peyser Act (29 U.S.C. 49 et seq.); activities authorized under chapter 2 of title II of the Trade Act of 1974 (19 U.S.C. 2271 et seq.); activities authorized under chapter 41 of title 38, United States Code; programs authorized under state unemployment compensation laws; VR: programs authorized under Title I of the Rehabilitation Act of 1973 (29 U.S.C. 720 et seq.); DSS: programs authorized under section 403(a)(5) of the Social Security Act (42 U.S.C. 603(a)(5)) (as added by section 5001 of the Balanced Budget Act of 1997);</p>	ESC is the operator	Mayland Community College (CP)	Yes	OJT; CT; continuing education; HRD

A JobLink Center Name & Address, Chartering Status, and Type*	B Date Charter Expires	C Counties Served	D On-Site JobLink Partners	E One-Stop Operator & Method of Selection**	F WIA Intensive Services Provider(s) & Method of Selection**	G Youth Service Provider On-Site (Yes/No)	H Training Available Other Than By ITA***
Mitchell County JobLink 100 Kim Thickets Road Spruce Pine, NC 28777 Chartered (C)	10/01/09	Mitchell	Mayland Community College: WIA Title I; adult education and literacy activities authorized under Title II; postsecondary vocational education activities authorized under the Carl D. Perkins Vocational and Applied Technology Education Act (20 U.S.C. 2301 et seq.); ESC: programs authorized under the Wagner-Peyser Act (29 U.S.C. 49 et seq.); activities authorized under chapter 2 of title II of the Trade Act of 1974 (19 U.S.C. 2271 et seq.); activities authorized under chapter 41 of title 38, United States Code; programs authorized under state unemployment compensation laws; VR: programs authorized under Title I of the Rehabilitation Act of 1973 (29 U.S.C. 720 et seq.);	ESC is the operator	Mayland Community College (CP)	Yes	OJT; CT; continuing education; HRD
Watauga County JobLink 207 Winkler's Creek Road Boone, NC 28607 Not Chartered (N)	Expired - 12/01/2007	Watauga	Mayland Community College: WIA Title I HC Council of Governments: youth services authorized under WIA Title I; ESC: programs authorized under the Wagner-Peyser Act (29 U.S.C. 49 et seq.); activities authorized under chapter 2 of title II of the Trade Act of 1974 (19 U.S.C. 2271 et seq.); activities authorized under chapter 41 of title 38, United States Code; programs authorized under state unemployment compensation laws; VR: programs authorized under title I of the Rehabilitation Act of 1973 (29 U.S.C. 720 et seq.) (housed next door); Urban League of Winston-Salem Senior Services; Small Business Administration; Consumer Credit Counseling	ESC is the operator	Mayland Community College High Country Council of Governments (CP)	Yes	OJT; CT; continuing education

A JobLink Center Name & Address, Chartering Status, and Type*	B Date Charter Expires	C Counties Served	D On-Site JobLink Partners	E One-Stop Operator & Method of Selection**	F WIA Intensive Services Provider(s) & Method of Selection**	G Youth Service Provider On-Site (Yes/No)	H Training Available Other Than By ITA***
Wilkes County JobLink 312 Wilkesboro Ave. -- Midtown Plaza N. Wilkesboro, NC 28659 Chartered (C)	02/15/12	Wilkes	Wilkes Community College: WIA Title I; adult education and literacy activities authorized under Title II; postsecondary vocational education activities authorized under the Carl D. Perkins Vocational and Applied Technology Education Act (20 U.S.C. 2301 et seq.); HC Council of Governments: youth services authorized under WIA Title I; ESC: programs authorized under the Wagner-Peyser Act (29 U.S.C. 49 et seq.); activities authorized under chapter 2 of title II of the Trade Act of 1974 (19 U.S.C. 2271 et seq.); activities authorized under chapter 41 of title 38, United States Code, programs authorized under state unemployment compensation laws; VR: programs authorized under Title I of the Rehabilitation Act of 1973 (29 U.S.C. 720 et seq.); DSS: WorkFirst programs authorized under section 403(a)(5) of the Social Security Act (42 U.S.C. 603(a)(5)) (as added by section 5001 of the Balanced Budget Act of 1997); Sheltered Aid to Families in Emergencies, Inc.; Urban League of Winston-Salem Senior Services	Wilkes Community College, ESC, and Vocational Rehabilitation (CM)	Wilkes Community College; High Country Council of Governments (CP)	Yes	OJT; CT; continuing education; HRD
Wilkes JobLink Career Center at Goodwill Career Connections (affiliate site) 1821 US Hwy 421 Wilkesboro, NC 28697 Chartered (C)	02/15/12	Wilkes	Goodwill Career Connections – job search, resume assistance, career counseling Wilkes Community College – Continuing Ed classes, ESL classes, GED on-line	Wilkes Community College, ESC, and Vocational Rehabilitation (CM)	Wilkes Community College; High Country Council of Governments (CP)	Yes, if requested by customer	Continuing Education, HRD

A JobLink Center Name & Address, Chartering Status, and Type*	B Date Charter Expires	C Counties Served	D On-Site JobLink Partners	E One-Stop Operator & Method of Selection**	F WIA Intensive Services Provider(s) & Method of Selection**	G Youth Service Provider On-Site (Yes/No)	H Training Available Other Than By ITA***
Yancey County JobLink 1019 E US Hwy 19E Burnsville, NC 28714 Not Chartered (C)	N/A -- JobLink Information Site	Yancey	<p>Mayland Community College: WIA Title I; adult education and literacy activities authorized under Title II; postsecondary vocational education activities authorized under the Carl D. Perkins Vocational and Applied Technology Education Act (20 U.S.C. 2301 et seq.);</p> <p>ESC: programs authorized under the Wagner-Peyser Act (29 U.S.C. 49 et seq.); activities authorized under chapter 2 of title II of the Trade Act of 1974 (19 U.S.C. 2271 et seq.); activities authorized under chapter 41 of title 38, United States Code, programs authorized under state unemployment compensation laws;</p> <p>VR: programs authorized under Title I of the Rehabilitation Act of 1973 (29 U.S.C. 720 et seq.)</p> <p>WAMY Community Action, Inc.: employment and training activities carried out under the Community Services Block Grant Act (42 U.S.C. 9901 et seq.);</p>	ESC is the operator	Mayland Community College (CP)	Yes	OJT; CT; continuing education; HRD

- * Give street address for each JobLink Career Center and Chartering Status – Chartered or Not Chartered
- * Type - Comprehensive (C) or Non-Comprehensive (N)
- ** Consortium Method (CM) or Competitive Procurement (CP)
- *** Customized Training (CT), OJT, Special Populations (SP)

Attachment D: Supportive Services Policy

High County Local Area WIA Supportive Services Policy

Supportive services for adults, dislocated workers, and youth are defined at WIA sections 101(46) and 134(e)(2) and (3). They include services such as assistance for transportation, childcare, dependent care, and housing that are necessary to enable an individual to participate in activities authorized under WIA Title I. The key here is that the WIA case manager substantiates and documents the need for the supportive services to participate in WIA Title I services.

Supportive service payments must be paid directly to the vendor with WIA case managers having all the necessary documentation to support the costs. Payment directly to the vendor avoids a host of potential problems that may occur if payment is made directly to customers for expenses. An exception to this is the reimbursement of mileage for transportation costs. These costs are typically paid to the customer or to someone that has transported the customer to school, work activities, etc., to participate in WIA Title I activities. Payment is made based upon the High Country Local Area Transportation Policy. For this type of supportive service, it is totally appropriate to pay the person based upon documentation supporting that they drove a certain distance for the purpose of attending school or going to a worksite. An invoice/attendance form is to be used to support these costs that are signed by the participant and school instructor or worksite supervisor that verifies the person was in attendance on the days reported for reimbursement of travel costs.

Supportive Services allowed by High Country Local Area:

- Transportation – See Transportation Policy below
- Childcare and dependent care
- Housing
- Car Repairs
- Emergency Aid (one time or very rare expenses paid to allow a person to continue participating in Title I activities). Examples include payment of utility bills (electric, water, heating, etc.), a car insurance payment that cannot be paid by the participant without WIA assistance and is needed to continue going to school or participating in an activity such as a work experience, OJT, etc. If someone is having extreme financial difficulty, case managers should be assisting participant with needed financial management information (development of a budget, credit counseling, debt management, etc.).

Supportive services not allowed by High County Local Area:

- Supportive service payments that are not documented appropriately through supportive service invoices.

Who may receive supportive services? According to the regulations:

- (a) “Supportive services may only be provided to individuals who are:
 1. Participating in core, intensive or training services; and

2. Unable to obtain supportive services through other programs providing such services.
- (b) Supportive services may only be provided when they are necessary to enable individuals to participate in Title I activities.”

Supportive services payments may be made available on behalf of Adults and Dislocated Workers who are in follow-up services (follow up begins on the 1st day of employment). After exit, no supportive services may be paid from WIA funds, with the following exception: Supportive services may be offered to youth after exit per Section 664.450 of the WIA Regulations.

Effective July 1, 2004, participants who indicate a need for supportive services assistance are notified that there is a lifetime supportive services benefit. It is up to the participant to weigh needs against resources and consider current versus potential future circumstances prior to determining whether to request assistance now or later. It is the responsibility of the Career Development Counselor to ensure that customers understand the concept of the lifetime limit and to help customers think through the consequences of their choices.

Lifetime Supportive Services Benefit: Participants may receive transportation and childcare assistance when they are participating in an approved WIA activity and have demonstrated the need for such assistance and meet other Local Area transportation and childcare assistance policies.

In addition, if they indicate a need, participants are eligible for additional supportive services in an amount up to \$250 a year with a lifetime limit of \$750 during the course their enrollment in WIA. These funds may be used for needs previously designated by the Local Area as allowable supportive service costs.

In extreme circumstances, where the participant has used the lifetime limit or has an emergency need that exceeds that limit, the service provider organization can apply in writing to the Local Area Administrative/ Programmatic Systems Manager for approval for one-time emergency assistance, using the “Unusual Expense Pre-Approval Form”. (See “WIA Forms” Section of Manual for Unusual Expense Pre-Approval Form and example of completed form). Approval must be requested and received in writing prior to making the expenditure, and it is incumbent upon the service provider to ensure that the customer understands that, if approved, this is a one-time expenditure.

Supportive services are not to be the primary activity for any WIA customers. It is a means to assist customers find or provide the financial assistance needed to allow them to successfully complete their intensive and training services in their goal of obtaining self-sufficient employment. WIA is a workforce development program centered on training, education and work-based learning.

Documentation: Service providers are to maintain a stringent attitude towards documentation of all supportive services provided. Transportation and childcare are to be documented in the WorkforcePlus System once each semester; other supportive services are documented in WF+ each time a supportive service is provided. Each supportive service is documented in case notes when it occurs with an explanation of the need, effort to locate other resources and description of service provided.

Transportation and childcare are updated in case notes on a monthly basis to determine whether the need continues and at what level.

High County Local Area WIA Transportation Policy

Transportation, as with other supportive services, may be provided to WIA customers. The primary question that needs to be answered prior to provision of transportation assistance is as follows: “Is the transportation service/assistance necessary to continue WIA services? The answer must be “yes” for WIA to pay for these services.

Transportation assistance paid with WIA funds will be provided in the following ways:

- (1) as available, tokens will be provided for public transportation;
- (2) arrangements will be made with transportation providers for payment upon receipt of signed documentation of participation and/or receipt of services;
- (3) reimbursement will be made to participants who provide their own transportation for WIA activities, using the following method for daily travel:

0-10 miles/day	\$ 2.50
11-25 miles/day	\$ 5.00
26-40 miles/day	\$ 7.50
41-75 miles/day	\$10.00
76+miles/day	\$12.50

Provisions for Exception:

- Payment scale will be adjusted at the Board’s discretion based on economic conditions;
 - Payments to customers are made on a case-by-case determination of need.
- (4) reimbursement may be made to private individuals who provide transportation to WIA participants for allowable activities at the same rate as in No. 3 above, following receipt of signed and documented Participant Transportation Documentation Log. Individual does not receive duplicated reimbursement if transportation is provided to multiple participants.

Service providers must ensure verification/documentation of participant attendance in activity for which transportation is being reimbursed. Documentation of mileage and participant signature alone is not sufficient for Local Area reimbursement to service provider.

Attachment E: On the Job Training Policy

High Country Local Area ON-THE-JOB TRAINING

What is OJT Training?

On-the-Job Training (OJT) is a work based training opportunity for adults, dislocated workers, and youth customers.. OJT is only offered if a client is eligible for *training services* provided through the Workforce Investment Act. OJT contracts encourage employers to provide occupational training that result in hiring unemployed, underemployed or dislocated persons. OJT contracts:

- Provide for the WIA participant in exchange for the reimbursement of up to 50 percent of the wage rate to compensate for the employer's extraordinary costs.
- Are contracted for a limited period of time for a participant to become proficient in the occupation for which the training is being provided.
- Are developed with employers in the public, private or non-profit sector
- Require that clients must uphold the standards of the Hatch Act. Participant cannot do anything that is considered a political activity during working hours. This includes the following: soliciting, transporting voters, distributing campaign materials, working on or developing campaign materials, etc.

What type of client is suitable for OJT?

An OJT contract can be an extraordinary tool for employed and underemployed adults and dislocated workers, who need additional training to be successful in developing the necessary skills to work toward employment, maintain employment or advancement in employment. To receive training services and participate in an OJT contract employed and underemployed adults and dislocated workers must:

- a) Have met the eligibility requirements for intensive services, have received at least one intensive service and have been determined to be unable to obtain or retain employment through these services.
- b) After an interview, evaluation or assessment, and case management by the Employment Representative or One-Stop partner, have been determined to be in need of training services and have the skills/qualifications to successfully complete the training program.
- c) Select a training program that is directly linked to employment in the local area to where the individual is willing to relocate.
- d) Be unable to receive/obtain grant assistance from other sources to pay training cost.
- e) Be an individual served through WIA adult or dislocated worker funding after having been determined eligible for WIA services with priority given to low income individuals, recipients of public assistance, veterans, and dislocated workers. 663.310

If a client is employed, OJT contracts maybe written for eligible employed workers when:

- a) 1) An adult employee is not earning a self-sufficient wage at 200% of lower living standard income level (based on family size) and availability of family health insurance benefits.
- 2) A dislocated worker self-sufficiency – 90% of previous compensation level and availability of family health insurance or Adult Self-Sufficiency definition, whichever is higher.
- b) Requirements in 663.700 (Requirements for OJT) are met
- c) OJT relates to the introduction of new technologies, new production or service procedures, upgrading to new jobs that require additional skills, workplace literacy, or other appropriate purposes identified by the Local Board.

Choosing the right employer

Just as with a work experience, finding the right match of employer to client for OJT contracts can be challenging *and* rewarding. However, an OJT contract has certain criteria that an employer must meet before they are eligible to receive WIA funds. If an employer has “exhibited a pattern of failing to provide OJT participants with continued long-term employment, wages, benefits, and working conditions, a contract cannot be developed.” (663.700). The High Country Local Area has established the following policy for complying with this provision. The policy states:

- 1) A pre-award checklist will be used which requires the review of retention patterns of employers who have had two or more previous OJT contracts either under WIA or JTPA. Where a pattern of failure to hire without just cause is apparent, an OJT contract cannot be developed.
- 2) OJT contracts will specify that successful OJT participants will be offered long-term employment with wages, benefits and working conditions equal to those provided to regular employees with similar experience and responsibility. Pre-award checklist also requires review of past compliance with the requirement.
- 3) It is the Local Area’s policy that no OJT contract will be developed with an employer who has previously exhibited a pattern of failing to meet this requirement.

The Local Area also provides guidance regarding OJT pre-award review of relocating new and expanding industries:

- Employment Representatives will not solicit a company or use funds to entice a company to relocate to or expand in the service area.
- Prior to an employer participating in the OJT program, the employer will complete a Division of Workforce Development Issuance that was adjusted for local use survey to obtain information stipulated in Section 627.215 (d) of WIA Regulations.
- A company must have been in the area at least 120 days before contracting occurs.

- Companies that have participated previously, but not within twelve months, will be asked to verify that current employees will not be adversely affected by the OJT contract.

OJT Employers performance expectations

Performance expectations for each OJT contract should be 75% completion and 75% retention. If an employer is providing second or on-going OJT contracts, the Local Area staff should access the employer's past performance in training employees under previous OJT programs and should not undertake development of a OJT contract with an employer who has repeatedly failed to meet performance standards. The employer must exhibit a history of long-term employment of trainees as regular employees with wages and similar working conditioned at the same level.

An employer's retention rate for OJT Training is determined by the number of WIA enrollees who are retained in training related employment for at least 3 months following the completion of the OJT training project. Contract proposals from an employer who has had previous (or has current) OJT contracts are to include a past performance assessment of the employer's completion and retention under previous contracts. The company should have written policies on layoffs and grievances, which articulate its philosophy and approach to separation. The OJT trainees should be aware of, and subject to these procedures.

Conditions governing OJT payments to employers

Conditions governing the OJT payments to employers:

- a) OJT payment is deemed to be compensation for the extraordinary costs associated with training participants and the costs associated with the lower productivity of the participant.
 - b) Employers may be reimbursed up to 50% of the wage rate of an OJT participant for the extraordinary costs of providing the training and additional supervision related to OJT.
 - c) Employers are not required to document such extraordinary costs.
- 663.710

Determining the length of the contract

Negotiated training time for OJT should include a reasonable amount of time for orientation, coaching and counseling activities. These activities are frequently critical to the success achieved by many clients. Coaching may also be used to recognize praise-worthy work and to otherwise provide encouragement. Counseling includes assisting trainees with job-related problems, personal adjustment and other problems, both on and off the job, that will enhance their retention in unsubsidized employment. The OJT experience should provide sufficient time for the Employment Representative to meet the counseling needs of their client and for the employer to meet the training needs of the client.

Use of a book called the *Specific Vocational Preparation Manual* or *SVP Manual* is needed in determining training length for OJTsl. The manual, published by the U.S. Department of Labor, provides guidance in calculating training time based on the type of occupation. Listed with each occupation there is an SVP code. The SVP code describes the classification of difficult for each occupation. The higher the SVP code, the higher skilled or more complex the occupation, thus the more time the training will take. Under WIA legislation, OJT contract can be developed for occupations between SVP levels of two and eight. Other occupations are excluded because the training is either too simple or too complex. Although, the amount of time needed for training in a is stated in the SVP Manual, Employment staff may use their *professional judgment* to decrease the training time if a participant has prior experience in the particular job training area.

The following chart reflects the OJT time allowed for each Specific Vocational Preparation (SVP) level:

<u>SVP Level</u>	<u>Hours of Training Permitted</u>
2	Anything beyond short demonstration up to and including 1 month. (One month equals 240 hours or 30 days)
3	Over 1 month up to and including 3 months. (Three months equal 520 hours or 65 days)
4	Over 3 months up to and including 6 months. (Six months equals 1,040 hours or 130 days)
5	Over 6 months up to and including 1 year. (One year equals 2,080 hours or 260 days)

The SVP codes correspond with the maximum number of hours allowed under the "Hours of Training Permitted" column. Subcontracts may not be written for fewer than 160 hours.

The following example illustrates the computation of OJT costs:

Credit Clerk, DOT Code 205.367.022, SVP level - 4 has negotiated time for 800 hours. OJT costs for this occupation for one trainee, may be derived as follows:

Starting wage rate - \$5.50

One-half starting wage rate per training. $\$5.50 \times 800 \text{ hours} = \4400.00
Divided by 2 = \$2200.00

The SVP Chart shows that an SVP level of four has a maximum training time of 1040 hours. In this example, the employment representative accrued a savings of \$660.00 by writing the subcontract for fewer than the maximum hours permitted. The employer got a reasonable training time by negotiation, and the accrued savings will go a long way toward funding a slot for another needy participant.

1040 x \$5.50 = \$5720 divided by 2 = \$2860
\$2860 - \$2200 = \$660

Staff developing OJT subcontracts should be reminded that negotiation is an inherent part of the subcontracting process. Therefore, subcontracts negotiated for fewer than the maximum training hours will permit the operator to serve additional clients. However, use your **professional judgment** when setting up your client's OJT contract. Make your decision based upon your knowledge of the client and their needs and the employer and their needs. Assessing your client's past work history, interest, aptitude and classroom training or education levels should all be accounted for when making training time decisions.

Within the above framework, training time may range from a minimum of 30 days to a maximum of 260 days, interpreted, in every case, to mean "days to pay status." When claiming reimbursement, time should be recorded in terms of hours.

When determining the period of time needed for a client to acquire the necessary job task and skills, consideration should include recognized reference manuals, including, but not limited to the "Dictionary of Occupational Titles." In addition, a client's IEP, their education, skills, prior work experience and ISS should all be taken into consideration.

Providing upgrading and retraining through OJT

The Workforce Investment Act *does not* permit a Local Area to plan or operate OJT (regular, retraining, or upgrade) services with an enrollee's current or previous employer. Training an enrollee in the same occupation for virtually or nearly the same work, from which the participant had been laid off or separated, is not allowable when the enrollee already has the skills required for the job. In order to conduct skill upgrading, and retraining, conditions for eligibility and participation must be met and there must be a demonstrable difference between the job and skill requirements of the upgraded job for which the enrollee is being trained and those of current or prior employment. The operator will refer to the SVP and assessment results to determine prior skills of the participant.

What occupations are eligible for OJT contracts?

OJT should only be offered in those occupations, which provide opportunities not otherwise available, lead to economic self-sufficiency and provide upward mobility. Occupations that are eligible for WIA funding include:

- a) Occupations which offer a reasonable expectation of employment in the occupation for which training is offered. This means there is a demonstrated need for workers in the occupation and it has been identified by the Workforce Development Board as a "Occupation in Demand" or the case manager has sufficiently researched and determined that there is a local demand for the occupation.
- b) Occupations which are sufficiently skilled to require a training period of at least thirty (30) days or one hundred and sixty (160) hours duration.

- c) Occupations that meet prevailing standards with respect to wage, hours and conditions of employment.
- d) Occupations on a promotional line that do not infringe in any way upon the promotional opportunities of currently employed individuals.

For all customers, training must be in an occupation, which provides new skills distinct from those possessed by the customer. If an occupation is not identified as a 'Occupation in Demand' the High Country Local Area staff will consider other occupations on a case-by-case basis through written request.

Occupations that are not eligible for OJT contracts

Occupations for which training will not be approved include, but are not limited to:

- a) Occupations that have not traditionally required specific occupational training as a requirement for employment.
- b) Occupations with a substantial number of experienced and able workers presently unemployed and available to fill job openings with no extraordinary amount of training.
- c) Occupations dependent on commission as the primary source of income. (This does not exclude those jobs which have a guaranteed base wage of at least the federal minimum wage in addition to commission pay and such guaranteed wage will continue after the training period.)
- d) Intermittent seasonal occupations.
- e) Professional occupations requiring licensing, testing or certification, or training length extends beyond 1,040 hours (Unless training can be given on the job).
- f) Part-time occupations. (For definition purposes, full-time employment is the 40-hour week, except where fewer hours are normal to the occupation, but in NO case less than thirty-two (32) hours per week).
- g) Occupations that 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.
- h) Occupations where adequate supervision and/or monitoring is not available.

Length of Training

The length of training allowed in an OJT contract is limited to a period not in excess of that required for the participant to acquire the skills needed for the OJT position. The period of reimbursement to the employer under an OJT contract shall not exceed 1,040 hours of training. The 1,040 hours of OJT may be expressed in the number of hours, days, or weeks the enrollee is expected to work full-time.

Participant Wages

Wages above the average hourly wage are desired and preferred. Being able to offer up to a 50% reimbursement of wages provided through the OJT contract is an effective way to persuade an employer that through their additional savings, they should be able to start the participant at a higher wage.

In no event will wages paid job seekers be less than the highest of the following:

- the federal minimum wage
- the State or local minimum wage
- prevailing wage rates from persons similarly employed
- minimum entrance wage rate for inexperienced workers in the same occupation
- the wage rate required by applicable collective bargaining agreements
- prevailing rate established by the Davis-Bacon Act.

When the participants work overtime, reimbursements are made to the employer at the regular rate. The half-time rate cannot be reimbursed. The amount of the reimbursement is the total number of hours worked times the reimbursement rate. For example, if a participant works 40 hours per week at \$5.50 per hour, the reimbursement is \$110.00 (40 x \$5.50 divided by 2).

OJT Contract Modifications

A change or modification can be made to the OJT contract during the training period if necessary. A modification is necessary to increase the subcontract amount, to change the contract closing date, or to increase the number of training slots. The subcontractor and the contractor must mutually agree upon the modification. Authorized signatures of the subcontracting officer and the contracting officer must be on the modification.

Providing a Training Outline

Developing a training outline is an important part of setting expectations for the employee, employer and the WIA staff person. Training outlines are based on the negotiated training time of the OJT contract. Begin by obtaining a copy of the job description from the employer. If the company or business does not have a job description, the WIA staff may need to assist in the development and completion of a job description which outlines the skills necessary to measure job performance.

The job description is used to assign each task an estimated length of time it will take to acquire the skill. The number of hours for the individual skill will total the negotiated length of the contract. Knowing the person who will be training the participant and documenting this information is an important part of the training outline and developing good communication. The training outline is normally completed with the assistance of a representative of the company and is always reviewed by the employer before the contract is signed. A copy of the training outline is shared with the participant. A sample-training outline is included in your forms section of this notebook. The sample includes a detailed job description with a simple training outline. If the job description does not explain the details of a job, a more detailed outline is necessary. WIA staff should stay in close contact with the trainee, the employer and the person assigned to train the participant to ensure the proper skills are being obtained as outlined in the training plan. This monitoring needs to occur at least two times each month.

After the contract terms are negotiated, the contract is completed based on the information obtained during the negotiation process. The subcontractor's name, address, IRS number, and telephone number, the reimbursement amount, and the start date and termination date of the contract are included.

The OJT Cost Table and Hiring Schedule are completed based on negotiated hourly wages and training hours. The job description and training outline for each occupation are attached to the contract.

Before the subcontractor's signature is obtained, the terms of the contract should be explained a second time. The employer should clearly understand their responsibility and the responsibility of the High Country Local Area and its contractors. The employer needs to understand that the expectation is that the participant to be retained after training. The employer should also, realize that the goal of OJT program is long-term, full-time unsubsidized employment. If there are any problems or concerns that arise during the training, the appropriate WIA staff member and/or their supervisor will be available to provide assistance.

Problems that may arise during training should be solved with the employer, the participant, and the WIA staff member (may include the WIA supervisor). A good working relationship is needed with the participating employers and the enrollees to make the project a success. It is the WIA staff member's responsibility to help cultivate these relationships and ensure that the employer and the participant are following through on their responsibilities and doing their best to carry out the objectives of the plan.

How to complete OJT invoices

Copies of OJT invoices, timesheets and evaluations need to be maintained in the customer file. The OJT employers are asked to complete the timesheet on a monthly or biweekly basis and trainee evaluations are to be completed for every 80 hours of training completed. The participant's immediate supervisor is expected to complete and sign the timesheet and the evaluation. The WIA staff member completes the bottom portion of the timesheet based on the information in the contract.

The calendar on the timesheet is completed based on the dates the enrollee trained during the month. For example, if the enrollee trained 8 hours on Friday, March 5, a 5 is placed in the corner of the block on the first row of the calendar under Friday. A large 8 is also placed in the square. These numbers show that the enrollee trained 8 hours on March 5. This same procedure is followed for the entire month. WIA funds are not to be used to pay employers for benefits such as sick leave, annual leave or holiday pay since no training is taking place at this time.

Each WIA contractor will have a system for insuring the receipt of OJT invoices from employers in a timely manner for processing by the WIA contractor's finance office. A copy of the invoice is to be placed in the customer's file.

The immediate supervisor completes the evaluation based on the enrollee's work performance during the month. Any rating of a 4 or 5 must include a written explanation. The evaluation should be discussed with the participant in an effort to explain concerns and/or have the opportunity to receive positive feedback. This should occur prior to the evaluation being signed. After the timesheet has been reviewed and the evaluation discussed, the evaluation is signed by the supervisor and the participant.

The WIA staff member who is working with the customer should also review the employer evaluation. Low ratings should be discussed in a professional manner with the supervisor and the enrollee separately. High ratings deserve positive feedback and praise from the WIA staff to the customer.

Reasonableness of Cost: The Act provides that each contract "specify the types and duration of on-the-job training and other services to be provided in sufficient detail to allow for a fair analysis of the reasonableness of proposed costs..." The WIA Regulations prohibit the imposition of a requirement on employers to document extraordinary costs. Payments to employers should not produce a record-keeping burden on employers by requiring the documentation of extraordinary costs that would unnecessarily make OJT a less desirable training option. The WIA Regulations require no more record keeping of an employer that is already required of the employer for other purposes, (e.g., an employer would have to maintain payroll records to demonstrate that a participant worked the number of hours that were billed, but payroll records are already required to be kept for a variety of other federal and state purposes). The U.S. Department of Labor believes that the intent of this requirement is that the contract accurately reflect the basis for the contract costs, including the number of enrollees, occupations, wage rates, training content and the duration of training, provisions for adjustment (such as scheduled wage increases), and the basis for any other payments (such as separately scheduled classroom training as described in paragraph (d) (4) of this section).

Monitoring

The monitoring system for OJT should at a minimum include the following: compliance with the training outline, enrollees eligibility check, comparison of time and attendance with invoices, comparison of contracted wage rate vs. wages paid, and start date of employment vs. contract start date. Other areas of monitoring may include, EO issues, safety, participant interview, and/or supervision.

A monitoring review should be conducted whenever there are indications of problem areas, i.e., layoffs or rumors of layoffs, decrease in hours of reported training time, complaints from participant (either formal or verbal complaints), complaints from the employer (either formal or verbal), rumors of an employer filing bankruptcy, etc.

All monitoring reviews should be documented and the written documentation should become a part of the contract file. The report should include: all areas of non-compliance with the contractual agreement, review of the eligibility of participant(s) enrolled under the contract, any corrective actions necessary, and the findings of any ineligibility of WIA enrollees.

OJT PARTICIPANT TRAINING PLAN
High Country (Region D) Local Area

PARTICIPANT NAME:
 JOB TITLE:
 TRAINING START DATE:
 EMPLOYER:

TRAINER'S NAME:
 SVP LEVEL:

REPRESENTATIVE:

Tasks Required	Occ. Trng. Hrs.	Part. Trng. Hrs.	Training Method	Measurement Method	Skill Mastery Date	Evaluation Comment (initial; use back if needed)
1.			<input type="checkbox"/> Demonstration/Observation <input type="checkbox"/> Practice <input type="checkbox"/> Oral Instruction <input type="checkbox"/> Study/Review Written Procedure, Manuals, Video <input type="checkbox"/> Seminar Class	<input type="checkbox"/> Observation/Inspection <input type="checkbox"/> Product Review <input type="checkbox"/> Oral Test Question/ Answer <input type="checkbox"/> Simulation <input type="checkbox"/> _____		<input type="checkbox"/> Needs more Practice <input type="checkbox"/> Satisfactory <input type="checkbox"/> Above Average ____-____-____ Trainee ____ ____-____-____ Trainer ____
2.			<input type="checkbox"/> Demonstration/Observation <input type="checkbox"/> Practice <input type="checkbox"/> Oral Instruction <input type="checkbox"/> Study/Review Written Procedure, Manuals, Video <input type="checkbox"/> Seminar Class	<input type="checkbox"/> Observation/Inspection <input type="checkbox"/> Product Review <input type="checkbox"/> Oral Test Question/ Answer <input type="checkbox"/> Simulation <input type="checkbox"/> _____		<input type="checkbox"/> Needs more Practice <input type="checkbox"/> Satisfactory <input type="checkbox"/> Above Average ____-____-____ Trainee ____ ____-____-____ Trainer ____
3.			<input type="checkbox"/> Demonstration/Observation <input type="checkbox"/> Practice <input type="checkbox"/> Oral Instruction <input type="checkbox"/> Study/Review Written Procedure, Manuals, Video <input type="checkbox"/> Seminar Class	<input type="checkbox"/> Observation/Inspection <input type="checkbox"/> Product Review <input type="checkbox"/> Oral Test Question/ Answer <input type="checkbox"/> Simulation <input type="checkbox"/> _____		<input type="checkbox"/> Needs more Practice <input type="checkbox"/> Satisfactory <input type="checkbox"/> Above Average ____-____-____ Trainee ____ ____-____-____ Trainer ____
4.			<input type="checkbox"/> Demonstration/Observation <input type="checkbox"/> Practice <input type="checkbox"/> Oral Instruction <input type="checkbox"/> Study/Review Written Procedure, Manuals, Video <input type="checkbox"/> Seminar Class	<input type="checkbox"/> Observation/Inspection <input type="checkbox"/> Product Review <input type="checkbox"/> Oral Test Question/ Answer <input type="checkbox"/> Simulation <input type="checkbox"/> _____		<input type="checkbox"/> Needs more Practice <input type="checkbox"/> Satisfactory <input type="checkbox"/> Above Average ____-____-____ Trainee ____ ____-____-____ Trainer ____
5.			<input type="checkbox"/> Demonstration/Observation <input type="checkbox"/> Practice <input type="checkbox"/> Oral Instruction <input type="checkbox"/> Study/Review Written Procedure, Manuals, Video <input type="checkbox"/> Seminar Class	<input type="checkbox"/> Observation/Inspection <input type="checkbox"/> Product Review <input type="checkbox"/> Oral Test Question/ Answer <input type="checkbox"/> Simulation <input type="checkbox"/> _____		<input type="checkbox"/> Needs more Practice <input type="checkbox"/> Satisfactory <input type="checkbox"/> Above Average ____-____-____ Trainee ____ ____-____-____ Trainer ____
6.			<input type="checkbox"/> Demonstration/Observation <input type="checkbox"/> Practice <input type="checkbox"/> Oral Instruction <input type="checkbox"/> Study/Review Written Procedure, Manuals, Video <input type="checkbox"/> Seminar Class	<input type="checkbox"/> Observation/Inspection <input type="checkbox"/> Product Review <input type="checkbox"/> Oral Test Question/ Answer <input type="checkbox"/> Simulation <input type="checkbox"/> _____		<input type="checkbox"/> Needs more Practice <input type="checkbox"/> Satisfactory <input type="checkbox"/> Above Average ____-____-____ Trainee ____ ____-____-____ Trainer ____

TOTALS

Certification that trainee successfully completed training and is employed in training-related occupation at a rate at least equal to training wage

 Employer Signature

 Trainee Signature

 Date

OJT PARTICIPANT TRAINING PLAN

PARTICIPANT NAME:
 JOB TITLE:
 TRAINING START DATE:
 EMPLOYER:

TRAINER'S NAME:
 SVP LEVEL:
 REPRESENTATIVE:

Tasks Required	Occ. Trng. Hrs.	Part. Trng. Hrs.	Training Method	Measurement Method	Skill Mastery Date	Evaluation Comment (initial; use back if needed)
7			<input type="checkbox"/> Demonstration/Observation <input type="checkbox"/> Practice <input type="checkbox"/> Oral Instruction <input type="checkbox"/> Study/Review Written Procedure, Manuals, Video <input type="checkbox"/> Seminar Class	<input type="checkbox"/> Observation/Inspection <input type="checkbox"/> Product Review <input type="checkbox"/> Oral Test Question/ Answer <input type="checkbox"/> Simulation <input type="checkbox"/> _____		<input type="checkbox"/> Needs more Practice <input type="checkbox"/> Satisfactory <input type="checkbox"/> Above Average ____-____-____ Trainee ____ ____-____-____ Trainer ____

TOTALS

Certification that trainee successfully completed training and is employed in training-related occupation at a rate at least equal to training wage

 Employer Signature

 Trainee Signature

 Date

INDIVIDUAL MONTHLY TIME SHEET

All signatures must be in ink!!!

COMPANY NAME
ADDRESS

SUBCONTRACT NO.

Trainee:	Job Title:	Slot No.	Authorized Training Hours:
Name		001	
Date of Hire:	Beginning Hourly Rate:	Fixed Hourly Unit Cost:	Termination/Completion Date:
	\$	\$	

MONTH:

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31

TRAINEE'S SIGNATURE: _____ DATE: _____ TOTAL REIMBURSABLE HOURS: _____

EMPLOYER'S SIGNATURE: _____ DATE: _____ WIA SUPERVISORS SIGNATURE: _____ DATE: _____

WORKSITE SUPERVISOR'S EVALUATION

- _____ 1. **ON TIME FOR WORK:** The trainee reports to work regularly or calls in to report absence and is present at the designated starting hour and returns promptly at end of breaks/lunch.
- _____ 2. **DISPLAYS INITIATIVE:** Trainee is at designated place of duty and starts without being told and also starts at designated starting time.
- _____ 3. **WORKS CONSCIENTIOUSLY:** Trainee does not waste time or materials. Uses machines and tools carefully. Performs a reasonable amount of work during a workday.
- _____ 4. **FOLLOWS INSTRUCTIONS CAREFULLY:** Trainee is able to follow instructions in getting job completed without constant personal direction from supervisor.

- _____ 5. **WORKS WELL WITH OTHERS:** Trainee is cooperative with fellow workers and supervisors; is friendly, courteous; also ability to take constructive criticism.
- _____ 6. **APPLICATION OF SAFETY RULES:** Trainee follows all safety rules and precautions that are set forth at the worksite.
- _____ 7. **GENERAL WORK ATTITUDE:** Trainee respects authority and courteously accepts work assignments.
- _____ 8. **SUPERVISOR'S COMMENTS:**

RATINGS: 1=Exceptional; 2=Better than Average; 3=Adequate; 4=Often Unsatisfactory; 5=Unsatisfactory

**Workforce Investment Act
High Country (Region D) Local Area
ON-THE-JOB TRAINING PROGRAM
PAYMENT OF COSTS CONTRACT**

_____ hereinafter called the **CONTRACTOR**, and _____ hereinafter called the **SUBCONTRACTOR**, agree to the following terms and conditions.

**PART I
COVENANT AND CONSIDERATION**

1.1. *Purpose.* The Contractor agrees to engage the Subcontractor and the Subcontractor agrees to train individuals in connection with the Workforce Investment Act program. The Contractor and Subcontractor agree that the Subcontractor employ _____ person(s) and shall provide them with on-the-job training as described in the attached training plan(s), which plan(s) is made a part herein by reference. The on-the-job training portion of this subcontract may not be sublet.

1.2. *Period of Contract.* The services of the Subcontractor are to commence on _____, and shall be undertaken in such a manner to assure their completion by _____.

1.3 *Compensation.* The Contractor agrees, subject to the availability of federal funds as obligated under the above-referenced Grant, and subject to the conditions set out below, to pay the Subcontractor on a payment of costs basis for allowable costs properly incurred in training individuals under this Subcontract, but in no event will the total payments exceed the sum of _____.

**PART II
CONDITIONS**

2.1. *Scope of Service.* The Subcontractor shall perform, in a manner satisfactory to the Contractor and within state and federal law, the services specified in the attached training plan(s). A training plan shall contain, in writing the number of persons to be trained and a detailed description of the exact on-the-job training that such person(s) are to receive.

2.2. Reporting Requirements.

2.2.1. The Subcontractor shall maintain a timesheet for each individual being trained. The Contractor will complete an invoice itemizing the total reimbursement earned for the period. At a minimum, timesheets shall contain the name of the trainee and his/her supervisor, both their signatures, the trainee's job title and Social Security number, dates worked the previous month, hours worked per day, the fixed hourly rate, and the total reimbursable hours. **Do not document hours used for benefits such as sick leave, annual leave or holiday pay since no training is taking place at that time.**

2.2.2. The Subcontractor shall immediately notify the Contractor of all allegations of, suspicions of, or instances of criminal misconduct, fraud, willful misconduct, or gross misconduct in connection with the program.

2.3 Accounting and Record-keeping Requirements.

2.3.1. The Subcontractor shall use generally accepted accounting principles to assure the proper accounting of funds and permit accessibility and verification in monitoring and audit. The Subcontractor shall comply with any Contractor directives regarding accounting and audit procedures under the Contract.

2.3.2. The Subcontractor shall retain all financial, statistical, and supporting records pertinent to the Contract for a period of five years from the date of final payment, or, if later, the date of final release from responsibility under this Contract by the Contractor.

2.4 Payment.

2.4.1. The Contractor will reimburse Subcontractor for the on-the-job training costs based on a fixed unit cost of not more than fifty (50%) of the trainee's starting hourly wage times the allowable number of training hours. The number of training hours shall not exceed that period of time required for acquisition of skills needed for a particular position as described in the Dictionary of Occupational Titles or O'Net, specific vocational preparation codes. Any costs authorized under this Contract in addition to the training costs must be outlined and attached to this agreement.

2.4.2. The Subcontractor realizes that payment for contract activity extending into the next program year (beginning July 1 each year) is conditioned upon the availability of federal funds to the Division of Workforce Development and subsequently the Contractor in the ensuing program year. The Division of Workforce Development and the Contractor incur no obligation if such funds become unavailable.

2.5 Monitoring.

2.5.1. The Contractor shall monitor all fiscal and management activities of the Subcontractor under this Contract to assure that (a) performance goals are being met, (b) that appropriate administrative procedures, controls and records are being maintained, and (c) Contract terms are being fulfilled.

2.6. *Right to Enter Premises and Inspect Records.* The Subcontractor shall permit any authorized representatives of designees of the Contractor, Region D Service Delivery/Substate Areas, The Division of Workforce Development, the United States Department of Labor, or the Comptroller General of the United States to enter Subcontractor's premises, question participants in private or to review any records pertinent to this Contract.

2.7. *Trainee Eligibility and Employment.*

2.7.1. Contractor shall make all decisions regarding participant eligibility and shall be liable to any repayment of funds required, as a result of an erroneous decisions not the fault of the Subcontractor.

2.7.2. No participant may be hired by the Subcontractor prior to the effective date of this Contract. Employment shall not result in the displacement (partial or total) or the continued layoff of a current employee of the Subcontractor.

2.7.3. The Subcontractor agrees that its personnel policy shall apply to all persons employed under or funded by this Contract. Such personnel policy will include a grievance procedure with an opportunity for an oral hearing governed by the applicable provisions of the Workforce Investment Act program and the regulations promulgated thereunder, the North Carolina Administrative Procedures Act, and the North Carolina Administrative Code.

2.7.4. All training participants will be provided workers compensation coverage and benefits to the same extent as others similarly employed. If others similarly employed are not covered by the North Carolina Worker's Compensation Act, the Subcontractor shall provide adequate on-site medical and accident insurance to all participants.

2.7.5. If the employment positions to be filled under the Contract are covered by a collective bargaining agreement, the appropriate bargaining representative must concur in writing, as to the acceptability of the training program and the pay rates associated therewith. No payments shall be made to the Subcontractor for the training or participants during any period that the Subcontractor is affected by a work stoppage.

2.7.6. The Subcontractor agrees to maintain the participant(s) in unsubsidized employment upon successful completion of the on-the-job training.

2.8. *Equal Employment Opportunity and Affirmative Action.*

Subcontractor shall take affirmative action and as a condition to the award of financial assistance from the Department of Labor under Title I of WIA, the subcontractor assures that it will comply fully with the nondiscrimination and equal opportunity provisions of the following laws:

Section 188 of the Workforce Investment Act of 1998 (WIA), 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 WIA Title I-financially assisted program or activity;

Title VI of the Civic Rights Act of 1964, as amended, which prohibits discrimination on the basis 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; and
Title IX of the Education Amendments of 1972, as amended, which prohibits discrimination on the basis of sex in educational programs.

Affirmative action shall include, but not be limited to, upgrading employment, demotion and transfer, recruitment and advertisements, layoffs and termination, rates of pay, and selection for training.

2.9. *Financial Liability.*

2.9.1. The Subcontractor is liable for all funds received under this Contract except for any funds expended for training participants erroneously declared eligible by the Contractor. The Subcontractor shall repay the Contractor from non-federal funds any amounts expended under this Contract that are determined by audit, not allowable under the Contract or applicable state or federal law or WIA regulation. In the event the U.S. Department of Labor assesses interest charges from date of assessment, but in no event less than 30 days after the Contractor makes demand on the Subcontractor for repayment of disallowed costs.

2.9.2. Financial liability of the Subcontractor shall continue until all questioned costs under the contract are resolved, repaid, or forgiven by the Contractor and the Contractor has released the Subcontractor, in writing, from further liability.

2.10. *Amendment.* The Parties, by mutual consent, may amend this Contract agreement or any of the attachments incorporated into the Contract provided the modifications are in writing and signed by both parties. The Contract, and any federal statutory or regulatory requirements incorporated by reference may not be amended by course of dealing.

2.11. *Assignment.* The Subcontractor shall not assign or transfer any interest in this agreement without prior written approval of the Contractor.

2.12. *Termination for Cause.* If for any reason, the Subcontractor fails to fulfill its obligation in a timely and proper manner or violates any provision of this Contract, or if the Contractor has reason to believe that the integrity of the funds hereunder may be jeopardized, the Contractor may withhold payment or unilaterally terminate this Contract by giving written notice to the Subcontractor specifying the effective date of termination. Subcontractor shall be entitled to payment

of allowable expenses incurred prior to the effective date of termination subject to submission of any performance reports and financial documents required by the Contractor.

2.13. *Termination of Contract by Mutual Consent.* The Contractor and Subcontractor may terminate this Contract in whole or in part if both parties agree in writing to all termination conditions.

2.14. *Termination of Contractor for Convenience of Contractor.* Contractor may terminate this Contract without cause, at any time after giving the Subcontractor 30 days prior written notice of termination. The period of notice shall not be required if funding becomes unavailable. In the event of termination, Subcontractor shall be entitled to payment of all allowable expenses incurred prior to the effective date of termination subject to submission of any documentation required by the Contractor.

2.15. *Documents Incorporated by Reference.* The following documents are hereby made part of this Contract, and compliance with their applicable provisions is a condition of this Contract: (a) applicable federal laws, regulations, orders and circulars, (b) applicable state law and regulations, (c) issuances of the Division of Workforce Development, (d) training plan, (e) special conditions in the following attachments: OJT Description

The Subcontractor is bound by changes in federal and state law that occur subsequent to the effective date of this Contract provided such changes are incorporated only as of their effective date unless retroactive provisions are specifically provided.

2.16. *Severability; Discretion of State; Headings.*

2.16.1. In the event any provision of this Contract is determined to be unlawful or without effect, it shall be considered severable and shall not affect the remainder of the Contract.

2.16.2. The Contractor shall have the power and discretion to enforce any provision of this Contract, the failure of the Contractor to enforce a provision, however, shall not constitute a waiver of the provision of any other Contract term.

2.16.3. The headings used herein are for the convenience of the Parties and shall have no binding effect.

2.17. *Sectarian or Religious.*

2.17.1. No participant enrolled under the subcontract shall 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 of religious worship. Similarly, participants may not be trained or employed in sectarian activities.

2.18. *Political Activities.*

2.18.1. Participants employed under the provisions of this subcontract may not be assigned duties, which involve partisan or non-partisan political activities. Similarly, participants may not, at any time, represent themselves as spokespersons for the WIA program at partisan or non-partisan political functions.

2.19. *Debarment and Suspension.*

2.19.1. The Subcontractor certifies that neither it nor its principles are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency. Where the Subcontractor is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

IN WITNESS WHEREOF, the Contractor and the Subcontractor do mutually agree to abide by the terms and conditions in this subcontract and in all writings and documents specifically incorporated herein by reference, and to hereby execute this contract.

SUBCONTRACTOR:

Company Name
Street Address
City, State ZIP
Telephone

CONTRACTOR:

WIA Contractor Agency
Mailing Address
City, State & Zip
Telephone

BY: _____
(Authorized Signature) (Date)

BY: _____
(Authorized Signature) (Date)

(Negotiated By) (Date)

DESCRIPTION OF ON-THE-JOB TRAINING (Example)
(Use Separate Sheet for Each Occupation)

1. DOT Title and Code: Assistant Press Operator 651.585-010
2. Number of Trainees proposed for **this** occupation: 1
3. Proposed OJT time for this occupation (per participant): 1040 hours
4. Initial OJT reimbursement for this occupation \$4.175 per hour x number of hours worked, not to exceed \$4342
5. Schedule for re-negotiation of contract reimbursement, if necessary:
Training plan will be reviewed at the end of each month
6. Trainee hourly wage: \$ 8.35
7. Subcontractor's description of this occupation (be explicit):
 The purpose of this position is to help the press operator(s) on one or several presses with the operation of the printing press. The main objective is to insure that all the inputs to the press move in and out in a smooth flow. Additionally, this position trains to learn how to operate the press. Essential functions include: 1. Load and unload unprinted and printed rolls of material. 2. Assist the press operator with the changeovers, set-ups, and running of the flexographic press. 3. Perform quality control checks on finished products. 4. Box, label, and palletize finished product. 5. Check ink viscosities.
7. Based on above description, enter a list of basic job duties in which training will be given and show the estimated training hours for each.

DUTIES	HOURS OF TRAINING
1. New hire orientation to include safety program training, sponsorship and leadership development, skill and knowledge training, and flexography orientation.	100
2. Will acquire basic pressman skills to include press safe practices, housekeeping procedures, tools knowledge, proper use of raw materials, press inking operations, cylinder procedures, general clean-up duties, loading and unloading of materials, and fork lift training.	320
3. Will master basics of press operation to include knowledge of control panels, how to start press, how to operate press, and how to load and unload rolls.	220
4. Will demonstrate knowledge of inks to include different systems, kicked out, agitation, draw downs, QC job jackets, extender/solvents, and returns/workoff.	100
5. Will demonstrate knowledge of solvents and viscosity to include different blends, capabilities/purpose, safety issues, quantity, ideal operating, effect on print, and use of zahn cups.	100
6. Will learn color control to include color swatch/sample, match color standards, and light booth/x-rite.	100
7. Will demonstrate competence in completion of paperwork/administration to include job jackets, production sheets, spec sheets, work orders, scrap reports, vendor reject forms, ink/solvent usage forms, product labels, schedule reports, opti-check sheets, and weekly preventive maintenance.	100
	1040

DESCRIPTION OF ON-THE-JOB TRAINING
(Use Separate Sheet for Each Occupation)

- 2. DOT Title and Code: _____
- 8. Number of Trainees proposed for **this** occupation: _____
- 9. Proposed OJT time for this occupation (per participant): _____ **hours**
- 10. Initial OJT reimbursement for this occupation \$ _____ per hour x number of hours worked, not to exceed \$
- 11. Schedule for re-negotiation of contract reimbursement, if necessary:
Training plan will be reviewed at the end of each month
- 12. Trainee hourly wage: \$ _____
- 13. Subcontractor's description of this occupation (be explicit):

8. Based on above description, enter a list of basic job duties in which training will be given and show the estimated training hours for each.

DUTIES	HOURS OF TRAINING
1.	_____
2.	_____
3.	_____
4.	_____
5.	_____
6.	_____
7.	_____

	Hours

**Attachment F: Description of WIA
Youth Program Elements –
Information from DWD**

**Attachment G: Local Workforce Development
Area Youth Program Elements -
No changes**

**Attachment H: Program Year 2009
Allocations – Information from DWD
See following page.**

At the time Modification # 4 was submitted, the High Country Workforce Area had not received PY 2009 WIA Allocation Amounts from the NC Division of Workforce Development. Upon receipt of those allocations and the PY 2009 Budget Worksheets, the Local Area will complete the Budget Worksheets, and submit to the NC DWD for its review.

Attachment I: Description of Allocation Methodology – Information from DWD

**Attachment J: Allocation Worksheets
and Instructions - See following page.**

At the time Modification # 4 was submitted, the High Country Workforce Area had not received PY 2009 WIA Allocation Amounts from the NC Division of Workforce Development. Upon receipt of those allocations and the PY 2009 Budget Worksheets, the Local Area will complete the Budget Worksheets, and submit to the NC DWD for its review.

**Attachment K: Local Plan Administrative
Adjustment and Modification Procedure –
Information from DWD**

**Attachment L: Memorandum of
Understanding Submitted in Modification
Number 3, no change.**

Attachment M: Grievance Procedure

GRIEVANCE PROCEDURE

Purpose

To provide a just procedure for the presentation, adjustment and disposition of current employee grievances. To implement this policy and to assure all employees that their complaints and grievances will be answered and determined or decided fairly, quickly, equitably, and without refusal or threat.

This policy does not apply to those persons whose employment has been terminated.

Procedure

Whenever any current employee considers himself aggrieved, he shall have the right to discuss the matter with the appropriate official or officials. A grievance is any cause for dissatisfaction outside an employee's control which grows out of employment with High Country Council of Governments

1. All grievances shall first come to the attention of the immediate Supervisor who shall make every effort to solve the problem or correct any misunderstanding at this initial level.
2. If the Supervisor cannot solve the problem, the employee may ask to meet with the Executive Director.
3. If informal discussion with the Executive Director is unsuccessful in resolving the grievance, the employee may then appeal to the Board of Directors of High Country upon written notice to the Chairman with a copy to the Executive Director. When meeting with the Board, the employee has the right to be accompanied and assisted by any representative of the employee's own choice and expense.

The following grievance procedure applies to all WIA customers and is included on the Local Area's Participant Rights Form applicable to all WIA customers. This process could potentially apply to all WIA funded staff.

YOUR GRIEVANCE RIGHTS

If you feel it is necessary to file a complaint about the program, you should contact the agency Equal Opportunity (EO) Officer no more than 180 days after the incident occurred and (1) Make every effort to resolve the problem informally. If this is not possible, you should then (2) File the complaint in writing, with full details, to the agency EO Officer. The agency must send you a written decision within thirty (30) days. If you are not satisfied with this decision you have five (5) days to (3) Appeal in writing to: Ms. Laura Graham, High Country Council of Governments, P.O. Box 1820, Boone, NC 28607 Include your full name and address, a copy of the agency's written response to your complaint, and a statement of areas of disagreement. Ms. Graham will send you

and your agency a written response. Additional appeal rights should be addressed to N.C. Division of Workforce Development, 313 Chapanoke Road, Raleigh, NC 27699.

NOTE: The complaint processing procedures shall provide for alternative dispute resolution (ADR). The complainant shall have the choice of pursuing the customary investigation process or using the ADR process. If the parties do not reach an agreement under ADR at the sub-recipient or state level, a complaint may be filed with the Director of the Center for Civil Rights to US Department of Labor, 200 Constitution Avenue NW, Room N-4123, Washington, DC, 20210.

NOTE: Complaints on the basis of handicap follow the procedure explained above, but have different time requirements. If you have a complaint on the basis of handicap, contact the agency's EO Officer who will give you the information you need. Complaints on the basis of other forms of discrimination are to be filed directly to: Ms. Annabelle T. Lockhart, Director, Division of Civil Rights, US Department of Labor, 200 Constitution Avenue, Washington, DC 20210.

High Country Local Area expects its WIA service providers to update their organizational Equal Opportunity policies as changes occur within their organization that impacts their EO policy and procedures. Local Area staff monitors this information as part of our annual WIA monitoring process to insure that updates are made as necessary. High Country Council of Governments updates its EO policy and procedures as needed. In turn, the Local Area is dependent upon the Division of Workforce Development to keep the Local Area apprised of changes at the state and federal levels that impact our EO policy and procedures, so we can make the necessary changes to keep these documents up to date.

EO Language Included in WIA Title I Adult, Dislocated Worker, and Youth Service Provider Contracts:

3.8. Personnel: Equal Employment Opportunity.

3.8.1. The Contractor assures that its personnel policy will apply to all persons employed or funded in whole or in part under this Contract, and that merit-based personnel policies are followed.

3.8.2. The Contractor agrees not to discriminate on any basis prescribed in the Act or prohibited under state law. The Contractor shall designate a person other than its chief executive as its equal employment opportunity officer, who shall be responsible for the Contractor's nondiscrimination policy and for developing a procedure of investigation of and hearings on equal employment opportunity grievances.

EO Language Included in WIA Incumbent Worker Contracts:

5.9 Non-discrimination. (Company Name) will not discriminate against any employee employed in the performance of this Agreement, or against any applicant for employment because of race, color, religion, sex, marital status, national origin, age, disability, political affiliation, or belief.

EO Language Included in WIA On-the Job Training Contracts:

2.8. Equal Employment Opportunity and Affirmative Action.

Subcontractor shall take affirmative action and shall not discriminate against any employee, eligible applicant, or training participant, because of sex, race, color, religion, national origin, disability, or political affiliation. Affirmative action shall include, but not be limited to, upgrading employment, demotion and transfer, recruitment and advertisements, layoffs and termination, rates of pay, and selection for training.

Addendum to WIA Contracts: The following language has been added to all WIA service provider contracts, Incumbent Worker contracts, and On-the-Job Training Contracts as shown in Local Area Issuance No. 2008-11 Workforce Investment Act (WIA) Nondiscrimination/Equal Opportunity Standards and Complaint Procedures dated October 10, 2008.

As a condition to the award of financial assistance from the Department of Labor under Title I of WIA, the grant applicant/subcontractor assures that it will comply fully with the nondiscrimination and equal opportunity provisions of the following laws:

Section 188 of the Workforce Investment Act of 1998 (WIA), 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 WIA Title I-financially assisted program or activity;

Title VI of the Civil Rights Act of 1964, as amended, which prohibits discrimination on the basis 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;

and Title IX of the Education Amendments of 1972, as amended, which prohibits discrimination on the basis of sex in educational programs.

The grant applicant also assures that it will comply with 29 CFR Part 37 and all other regulations implementing the laws listed above.

**Attachment N: PY 2009 WIA Adult and
Dislocated Worker Activities and Service
Providers**

PY 2009 WIA Adult and Dislocated Worker Activities and Service Providers

Local Workforce Area Name: High Country Workforce Development BoardDate: April 17, 2009

Service Provider Name, Address, Phone Contact Person	Group to be Served (A or DW)	Estimated Number to be Served (A or DW)	Activity(ies) to be Provided (OJT, Case Mgmt, etc.)	Type Organization (State Agency, For Profit, Non-profit, etc.)	Type of Contract (Cost Reimbursement Fixed Price Performance Based; Hybrid, etc.)	County(ies) to be Served
Connectinc. 110 Fountain Park Dr. Suite A-2 Battleboro, NC 27809 (252) 442-3467 Jackie Savage, President	A & DW	180	Follow-up services only	Non-profit	Fixed price	Alleghany, Ashe, Avery, Mitchell, Watauga, Wilkes and Yancey
Mayland Community College P.O. Box 827 Spruce Pine, NC 28177 (828) 682-6618 Pam Wilson, WIA Workforce Development Director	A & DW	350	Full range of adult & DW services, except Follow-Up services	Community College	Reimbursement	Avery, Mitchell, Watauga and Wilkes
Wilkes Community College P.O. Box 120 Wilkesboro, NC 28697 (336) 651-2540 Ginger Shaffer, WIA Director	A & DW	350	Full range of Adult & DW services, except Follow-Up services	Community College	Reimbursement	Alleghany, Ashe and Wilkes

Attachment O: PY 2009 Providers of Youth Activities

PY 2009 WIA Providers of Youth Activities

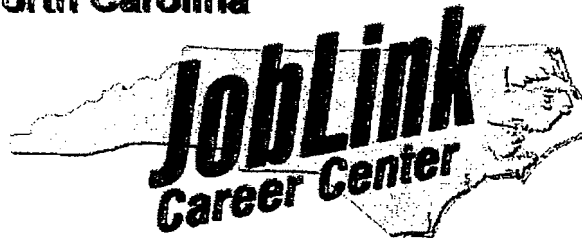
Youth Activity Provider Name, Address and Telephone Number	Contact Person, Title and E-mail Address	County/Counties Served	Type Organization (State Agency, For Profit, Non-profit, etc.)	Type of Contract (Cost Reimbursement Fixed Price Performance Based; Hybrid, etc.)
High Country Council of Governments P.O. Box 1820 Boone, NC 28607 (828) 265-5434	Misty Bishop-Price Youth Systems manager mbishop-price@regiond.org	Alleghany, Ashe, Watauga and Wilkes	Council of Governments	In-house services
Mayland Community College P.O. Box 827 Spruce Pine, NC 28777 (828) 682-6618	Pam Wilson WIA Workforce Development Director pam.wilson@ncmail.net	Avery, Mitchell and Yancey	Community College	Reimbursement

Attachment P: Individual Training Account Policy

THE STATE OF NORTH CAROLINA

INDIVIDUAL TRAINING ACCOUNT SYSTEM WORKFORCE INVESTMENT ACT

North Carolina



Career Planning, Training
& Placement Services

MARCH 2000

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WORKFORCE INVESTMENT ACT INDIVIDUAL TRAINING ACCOUNT VOUCHER SYSTEM

1. **PURPOSE.** The purpose for this procedure is to ensure uniformity and simplicity in the implementation and operation of a Workforce Investment Voucher System throughout the State of North Carolina for the Workforce Investment Act (WIA).
2. **USE OF THE TERM VOUCHER SYSTEM.** The term Voucher System is synonymous with the term Individual Training Account (ITA) as used in the subparagraph (d)(4)(G) of section 134 of the WIA.
3. **USE OF VOUCHERS.**
 - a. **In General.** Training services shall be provided to eligible adults and dislocated workers through the use of vouchers issued by the Local Workforce Development Board/Area or partner in accordance with procedures established herein.
 - b. **Exceptions.** Training services may be provided pursuant to a contract for services in lieu of a voucher if the requirements of Consumer Choice (subparagraph (d)(4)(F) of section 134 of the WIA) are met and if:
 - (1) such services are on-the-job training (OJT) provided by an employer or customized training;
 - (2) the Local Workforce Development Board determines there is an insufficient number of eligible providers of training services in the local area involved (such as in a rural area) to accomplish the purposes of a voucher system, or
 - (3) the Local Workforce Development Board determines that there is a training services program of demonstrated effectiveness offered in the local area by a community-based organization or another private organization to serve special participant populations that face multiple barriers to employment.
 - c. **Linkage To Occupations in Demand.** Training services provided under the Workforce Investment Act, except the above exceptions, shall be directly linked to occupations that are in demand in the local area, or in another area to which an adult or dislocated worker receiving such services is willing to relocate, except that a local board may approve training services for occupations determined by the local board to be in sectors of the economy that have a high potential for sustained demand of growth in the local area.

- d. **Definition.** The term “special participant populations that faces multiple barriers to employment” as used in paragraph 3.b(3) above, means a population of low-income individuals that is included in one or more of the following categories:
- (1) Individuals with substantial language or cultural barriers.
 - (2) Offenders.
 - (3) Homeless individuals.
 - (4) Other hard-to-serve populations as defined by the Governor.

4. STRUCTURE OF WORKFORCE INVESTMENT VOUCHER SYSTEM.

- a. **Flexibility.** The system is flexible by design and requires that each Local Workforce Development Board/Area implement and operate its own Workforce Investment Voucher System based on requirements and guidelines contained herein.
- b. **System Established and Maintained at the Local Level.** The Local Workforce Development Board/Area may adapt the procedures and vouchering instruments contained herein or develop their own, however, locally developed procedures and vouchering instruments shall include all of the “Core Elements and Requirements” included herein. Core elements are defined as “**those elements contained in these procedures and each of the vouchering instruments as presented herein.**” Each Local Workforce Development Board/Area shall establish and maintain a Workforce Investment Voucher System by completing the following STEPS or FUNCTIONS in correlation with the annual Program Year Cycle.
- (1) Procure eligible providers of training services by issuing a solicitation and instructions for completing an application for potential training providers to be placed on the Statewide List of Eligible Training Providers. The following entities are grandfathered for the initial eligibility period from January 1, 2000 through June 30, 2001.
 - (a) post-secondary educational institutions who are eligible to receive Federal funds under Title IV of the Higher Education Act of 1965 (20 U.S.C. 1070 et seq.) and provides a program that leads to an associate degree, baccalaureate degree, or certificate;
 - (b) entities that carries out programs under the Act of August 16, 1937 (commonly known as the “National Apprenticeship Act,” 50 Stat.664, chapter 663, 29 U.S.C. 50 et seq.), or
 - (2) Review and approve warranted applications or disapprove unwarranted applications. Successful or approved applicants shall be eligible to receive an approved Local Workforce Development Board/Area voucher.
 - (3) Submit to the appropriate State agency within fifteen (15) calendar days for placement on the Statewide list of eligible providers of training services, applications accompanied by any program performance and program cost information.

c. **Control of Vouchers**

- (1) Each fully executed voucher shall be assigned a number. The concept for developing Voucher System (VS) numbers throughout the state shall be as follows:
 - (a) the first two spaces shall be allotted for the State (Example: NC for North Carolina).
 - (b) the third and fourth space for the Local Workforce Development Board/Area that issues the voucher.
 - (c) the fifth and sixth spaces shall be allotted as a local identifier for multiple sites that issue vouchers.
 - (d) the seventh and eighth spaces shall be allotted for the specific Program Year.
 - (e) the ninth, tenth, eleventh and twelfth spaces shall be allotted for the first voucher number (Example: 1000).
 - (f) the thirteenth, fourteenth, fifteenth and sixteenth space shall be used as an identifier for the training provider.
- (2) The voucher system (VS) number for the first fully executed agreement during Program Year 1999 for the Mountain Area Workforce Development Board would look like this: NC29009910010134.
- (3) Each fully executed amendment to a voucher shall be assigned a number in parenthesis adjacent to the original voucher number. The first amendment of the voucher number used above would look like this **NC29009910010134 (1)**.

5. **REFERRAL FOR TRAINING SERVICES.** Once the providers of training services have been placed on the Statewide list of eligible providers of training services, the JobLink Career Center or partner is ready to begin the process of referring adults and dislocated workers for training services through the use of a voucher. However, referral for training services in which vouchers will be used shall be limited to the those adults and dislocated workers that meet the following criteria:

- a. who have met the eligibility requirements for intensive services under subparagraph (d)(3)(A), of section 134 of the WIA and who are unable to obtain or retain employment through such services;
- b. who after an interview, evaluation, assessment and/or case management, have been determined by the JobLink Career Center or partner, as appropriate, to be in need of training services and have the skills and qualifications to successfully participate in the selected program of training services;

- c. who select programs of training services that are directly linked to the employment opportunities in the local area involved or in another area in which the adult or dislocated worker receiving such services is willing to relocate;
- d. who meet the qualification requirements cited in subparagraph (d)(4)(B), of section 134 of the WIA (see who shall meet qualifications requirements below), and
- e. who are determined to be eligible in accordance with the priority system, if one is in effect under provisions of subparagraph (d)(4)(E), of section of 134 of the WIA.

6. WHO SHALL MEET QUALIFICATION REQUIREMENTS?

- a. **Requirement.** Except as provided in clause 6.b below, training services shall be limited to adults and dislocated workers whom:
 - (1) are unable to obtain other grant assistance for such services, including Federal Pell grants, or;
 - (2) require assistance beyond the assistance made available under other grant assistance programs, including Federal Pell Grants.

7. ALLOWABLE TRAINING SERVICES. Training services may include:

- a. occupational skills training, including training for nontraditional employment;
- b. on-the-job training (OJT);
- c. programs that combine workplace training with related instructions, which may include cooperative education programs;
- d. training programs operated by the private sector;
- e. skill upgrading and retraining,
- f. entrepreneurial training;
- g. job readiness training;
- h. adult education and literacy activities provided in combination with services described in any of the clauses 7.a. through 7.g. above; and
- i. customized training conducted with a commitment by an employer or group of employers to employ an individual upon successful completion of the training.

8. ALLOWABLE VOUCHER EXPENSES

Voucher expenses as determined by the State in the Workforce Investment Plan include:

- a. tuition,
- b. books,
- c. fees, and
- d. supplies.

PRIORITY FOR TRAINING SERVICES. In the event that funds allocated to the Local Workforce Development Board/Area for adult employment and training activities under provisions of paragraph (b)(2)(A) or (3) of section 133 of the WIA are limited, priority shall be given to recipients of public assistance and other low-income individuals for intensive services and training services.

9. CONSUMER CHOICE REQUIREMENTS.

- a. **In General.** Training services shall be provided in a manner that maximizes consumer choice in the selection of an eligible training provider of such services.
- b. **Eligible Providers.** Each Local Workforce Development Board/Area, shall make available through JobLink Career Centers and/or partner sites:
 - (1) the State list of eligible providers of training services (required under section 122(e) of the WIA), with a description of the programs through which the eligible training providers may offer the training services, and the information identifying eligible providers of on-the-job training and customized training (required under section 122(h) of the WIA); and
 - (2) the performance information and performance cost information relating to eligible providers of training services described in subsections (e) and (h) of section 122 of the WIA

10. SOLICITATION OF ELIGIBLE TRAINING PROVIDERS. A solicitation for providers of training services shall be published at least annually approaching the start of the new program year, with provisions for accepting applications at any time during the program year. The solicitation should be sent directly to current and former providers of training services and made available to all others requesting copies in response to the public solicitation notice. Public solicitation is defined as a solicitation having been run for a minimum of three (3) days in the various local and/or non-local newspaper(s) circulating within and about the particular Local Workforce Development Board/Area and in proximity of the intended or likely entities to respond. The solicitation document or package should include:

- (1) the Solicitation process;
 - (2) instructions for completing an Application;
 - (3) a copy of the Application;
 - (4) a copy of the Application Review Criteria; and
 - (5) time frames, or
 - (6) may include the web site where training providers may complete an on-line application. That web site address will be: [www@ncstars.gov](http://www.ncstars.gov)
- a. **Providers of Training Services Application.** Each training entity wishing to become a provider of training services shall complete an application and submit to the Local Workforce Development Board/Area. This process may be completed on-line through the web address listed above. Critical mandated performance and program cost information, as well as other information included by the Governor and/or the Local Workforce Development

Board/Area, must be submitted as part of the application. The application has been designed to meet requirements for both the initial year of operations under provisions of the WIA, as well as subsequent years. An application should be included in each solicitation package.

- b. **Application Review Criteria Sheet.** Each application received by the Local Workforce Development Board/Area shall be reviewed against a set of predetermined criteria and a determination made regarding the applicant's worthiness to be placed on the Statewide list of eligible providers of training services.
- c. **Voucher System Agreement.** Local Workforce Development Boards/Areas may choose to enter into a Voucher System Agreement with potential training providers.

11. **VOUCHER SYSTEM CERTIFICATE.** The Local Workforce Development Board/Area shall issue the Voucher Certificate to WIA customers, JobLink Career Center and/or partners in accordance the conditions established in paragraphs 4. through 9. of this document. Each voucher certificate shall be assigned a control number and tracked much the same as an outstanding check would be tracked. The provider of training services is expected to, at some point, return (redeem) the voucher for cash in the amount that is shown on the voucher as the total cost for training services. The control numbering sequence shall start with the number 1000 and continues across program years.

- a. **WIA Authorization for Training.** Local Workforce Development Boards, JobLink Career Centers or partner sites will use the attached Authorization for Training, commonly referred to as a voucher.
- b. **WIA Customer Training Services Budget.** Each Local Workforce Development Board/Area or partner site will also use the attached WIA Customer Training Services Budget as a component of the WIA Voucher System. The Training Services Budget is completed by the WIA customer's case manager and the training institution and is used to determine the amount of WIA funds that will be committed to the WIA customer's training services, as well as to determine additional financial resources needed.
- c. **Voucher System Certificate Control Log.** Each Local Workforce Development Board/Area shall establish and maintain a Voucher System Certificate Control Log. Ideally, this control log should be computerized on an area network (WAN) configuration and accessible to all appropriate local area one-stop operators and partners, as well as other authorized Local Workforce Development Board/Area financial coordinators and management personnel. In the absence of such computerized system, a form is provided for the maintenance and control of voucher system certificates issued on behalf of WIA customers. At a minimum, the control log shall include:
 - (1) the certificate control number;
 - (2) the provider of training services entity;

- (3) the WIA customer's name and social security number; and
- (4) the amount of approved training services cost (total cost shown on the voucher system certificate).

THE STATE OF NORTH CAROLINA
Workforce Investment Act
Voucher Certificate
AUTHORIZATION FOR TRAINING

VOUCHER CONTROL NUMBER: NC - _____ - _____ - _____ - _____
LA (2) Local (2) Year (2) Voucher # (4) Provider (4)

WIA Customer: _____
 Social Security Number: _____ Expected Completion date: _____
 Approved Course of Study: _____ Applied for Pell: **Y N N/A**
 Adult Dislocated Worker ETGP Semester/Year: _____

JobLink Center: _____	Training Provider: _____
_____	_____
_____	_____
Contact Person: _____	Contact Person: _____
Phone: _____	Phone: _____
Fax: _____	Fax: _____
E-mail: _____	E-mail: _____

Approved Services: (please fill in the approved amount for each service)

Application/Registration		Fees	
Tuition		Supplies	
Books (required only)		Other (please specify)	

Total amount of approved funds: \$ _____ dollars

Written amount _____

This Voucher Certificate is approved and issued by:

Authorized Signature Printed Name Date

Redemption of Voucher

The above-named individual has been determined eligible and is being referred for training services. If applicable, WIA and the training provider will ensure that the eligible participants apply for federal grants (including PELL Grant) and also assure that double-billing for identical training services does not occur for those recipients who receive federal financial aid.

To Redeem: The training provider must return this voucher along with sufficient documentation to support the amount of money being requested for services rendered to the Workforce Investment Act customer.

Type of service	Cost	Type of service	Cost
Application/Registration		Fees	
Tuition		Supplies	
Books		Other (please specify)	

Total Cost →		← Total Cost
---------------------	--	---------------------

Authorized Signature Printed Name Date

*Please submit to Local Area Workforce Development Board
 The Local Area Workforce Development Board does not discriminate
 on the basis of race, color, national origin, creed, sex, religion, age, or disability.*

VOUCHER CONTROL LOG

1. The purpose of the Voucher Control Log is to obtain records of which vouchers have been redeemed, and which vouchers are still outstanding. This is done through the tracking of the Control Numbers.
2. Each Local Workforce Development Board, or its agent, shall develop a specific system to maintain the Voucher Control numbers.
3. Another purpose of the Voucher Control Log is to have documentation for when the vouchers have been redeemed and payment has been rendered to the Training Provider.
4. Enclosed is an example of the Voucher Control Log.

SERVICES BUDGET

The Services Budget is used to:

%%% determine the amount of WIA funds committed to the WIA Customer's Account.

%%% define the anticipated financial needs of the WIA customer.

%%% project needs. The Services Budget will be used to justify allocated WIA funds, and to project allocations of WIA funds. Additionally the Services Budget will be used to determine if the customer is receiving Pell grants and can be used to avoid duplicative payments for the student. Each WIA Customer must have a Services Budget filed along with the Voucher Certificate.

SERVICES BUDGET

TRAINING PROVIDER: _____
 PHONE: _____ FAX: _____

WIA Customer: _____ SS#: _____
 Number of Semesters: _____ Completion date: _____

JobLink Center:

Contact Person: _____
 Phone: _____
 Fax: _____

Financial Award Analysis: (to be completed by Financial Aid Office)

Cost of Attendance	
-PELL Award Amount	
-SEOG Award Amount	
-Other Aid Amount (Please Specify)	
-Other Aid Amount (Please Specify)	
= Remaining Need	

Semester(s) to be received: (check all that apply) Fall _____ Spring _____ Summer _____

Comments:

Authorized Signature _____ Title _____ Date _____

High Country Workforce Development Board ITA Policy

The High Country Workforce Development Board encourages the use of ITAs for providing training services when appropriate with the following limitations:

- The Workforce Development Board's primary intent is to pay for training up to two years through the ITA process, acknowledging that some two year degree programs may take longer than the normal two years to complete and should be allowed. Training to become a Registered Nurse is an example. The Board acknowledges that longer-term training (four year degree programs) should be allowed. The Board has directed staff to review requests for approval of four year degree programs on a case by case basis to insure the programs meet the criteria established in the Occupational Demand Areas for our Local Area
- The targeted curriculum program must be for an occupation that has been determined to be in demand and the successful completion of the training program results in a degree, diploma, certification and/or license.
- The maximum amount to be spent on an Individual Training Account is \$4300 per customer per year. In addition, the maximum lifetime amount to be spent on an ITA is \$8600 per customer. The actual ITA expenditure will not exceed the cost of the training program (tuition, books, and fees) not paid by other grants.
- Pell Grant application will be completed electronically to speed the process.
- Training costs will not be paid until after Pell Grant application has been completed and an answer has been received regarding the award of the grant, unless approval is granted from the Local Area. If the Pell Grant awarded is less than the cost of the training, the ITA will only cover the difference between the cost of the training and the Pell Grant amount. If the customer is clearly not eligible for a Pell Grant, a voucher will be issued on a per semester basis.
- ITAs are issued for training on a semester by semester basis. Customers are made aware that funding changes from year to year may affect WIA's ability to fund training for the entire training time.
- The WIA intensive service provider will be responsible for issuing the training voucher. Payment will be made directly to the training provider.
- In the event that the intensive service provider is the same agency as the training service provider, then a system will be developed to ensure that the ITA is based on customer choice and that there are safety measures in place to document why the service provider was chosen over other certified training providers.
- The service provider is also expected to maintain a tracking log of (1) all ITA expenses; (2) field of study and progress toward completing the training program; and (3) achievement of a credential, as defined by WIA. Both the High Country Local Area and the NC Division of Workforce Development monitor this tracking system.

ITA/VOUCHER SYSTEM

QUESTIONS AND ANSWERS

ARE TRAINING PROVIDERS WHO ARE CERTIFIED BY THE NORTH CAROLINA COMMUNITY COLLEGE SYSTEM INCLUDED ON THE ELIGIBLE TRAINING PROVIDER LIST?

Eligible Training Provider Applications were sent to all entities approved to provide training in North Carolina, including entities that the Community College System certifies. If the entity did not complete an application and submit it to the local WDB, the training entity not appear on the State list.

HOW WILL LOCAL PROVIDERS KNOW TO SUBMIT AN APPLICATION?

Periodically, Local Workforce Development Boards (LWDBs) should advertise the instructions for how to make a local application or should publish the web-site address where training providers can input their own data. The web-site address will be: www.ncstars.gov

WHAT ARE THE APPEAL PROCEDURES THAT APPLY TO TRAINING PROVIDERS WHO MAY HAVE PROGRAMS THAT ARE DENIED APPROVAL?

Training providers denied inclusion on the eligible provider list may file a grievance according to the guidelines set forth in the Eligible Training Provider Application.

ARE AGREEMENTS REQUIRED BETWEEN LWDBS AND ELIGIBLE PROVIDERS OF TRAINING SERVICES?

As yet, written agreements are not required by the state, however there are several elements in the process that would lend itself to the establishment of agreements with providers, such as:

- billing procedures, refunds, or cancellations;
- limits on student liability;
- coordination of funding sources.

HOW WILL PERFORMANCE INFORMATION BE COLLECTED ON PROVIDERS?

As training providers access the STARS System, there will be an agreement page where the training providers agree to provide certain information to the collecting State agency. If the training providers do not agree to release certain information on their trainees, they may not be included on the Eligible Provider List.

ARE ITA/VOUCHERS ISSUED TO A CUSTOMER FOR A SPECIFIC TRAINING PROGRAM AND TO A SPECIFIC PROVIDER?

Yes. ITA/Vouchers are issued to customers for a specific program and a specific provider based on informed choice and consultation with the JobLink Career Center case manager.

CAN ITA/VOUCHERS BE LIMITED IN DOLLAR AMOUNT AND DURATION?

Yes. This is a Local Workforce Development Board decision.

CAN ITA/VOUCHERS BE CANCELLED, TRANSFERRED, INCREASED OR DECREASED?

Yes. This is a Local Workforce Development Board decision.

IS A CUSTOMER LIMITED TO ONLY ONE ITA/VOUCHER IN A LIFETIME?

This is a Local Workforce Development Board decision.

CAN ITA/VOUCHERS BE PERFORMANCE-BASED WITH JOB PLACEMENT TRIGGERING FULL PAYMENT.

This is a tricky area. Performance payments can be made upon determination that the customer has completed at least 50% of the program and has entered training-related employment. Local Workforce Development Boards have general discretion in this area, however in doing so, Local Workforce Development Boards should take into account in determining performance-based payments, other costs above those normally covered by tuition, such as assessment, job development and placement and other training costs.

IS THERE A MINIMUM/MAXIMUM AMOUNT THAT MUST BE ALLOCATED TO THE ITA/VOUCHER SYSTEM?

No. As of yet, the State has not made a determination on specific allocations to the ITA/Voucher system. However, some states have stated that certain percentages of funds must be set-aside for the vouchering system.

CAN YOUTH BE SERVED UNDER THE ITA/VOUCHER SYSTEM?

Youth may be served with an ITA/voucher if the youth is over 18 years of age and in need of such services and considered to be part of the adult program. The youth must be enrolled in the adult program and the expenditures must be part of the adult expenditures. Therefore, the youth is treated as an adult for purposes of issuing a voucher. Generally speaking, the ITA/Voucher system is designed for adults and dislocated workers. Youth under 18 years of age should not be included in the ITA/voucher process.

HOW WILL LOCAL WORKFORCE DEVELOPMENT BOARDS KNOW ABOUT NEW PROVIDERS?

Once the STARS system is ready, providers will be able to enter data on-line. When Local Workforce Development Boards and staff log on to the system, a screen will notify them that new information has been submitted X this will allow the Local Workforce Development Board to certify the new training provider.

CAN A CUSTOMER SELECT A PROVIDER THAT HAS NOT BEEN APPROVED BY A LOCAL WORKFORCE DEVELOPMENT BOARD?

No. Customers can select only providers that have been approved by a Local Workforce Development Board.

CAN A CUSTOMER SELECT A PROVIDER IN ANOTHER WORKFORCE DEVELOPMENT BOARD AREA?

Yes. Training may be provided in another Workforce Development Board area.

CAN ITA/VOUCHERS BE USED FOR REMEDIATION HOURS?

Yes. The state work group has agreed that up to 45 hours of remedial education is an allowable use for the voucher for one- and two-year curriculum programs. Up to 45 hours of remediation should be included as part of the overall total number of hours when calculating length of time and financial obligations for the voucher.

CAN ITA/VOUCHERS BE USED FOR PRE-REQUISITE COURSES?

Yes. ITA/vouchers may be used to acquire pre-requisite courses.

ELIGIBLE TRAINING PROVIDER INFORMATION

GENERAL INFORMATION

REASON FOR APPLICATION

Local Workforce Development Boards (WDBs) are soliciting applications from providers of adult and dislocated worker training programs for certification to provide training services under the Workforce Investment Act. Training providers of program(s) whose performance qualifies them to receive WIA funding will be placed on a statewide listing of eligible training providers. Individuals seeking training will be able to access the list on the Internet through a variety of web sites.

Individuals eligible for training will receive a voucher that may be used at the training provider of their choice selected from the statewide training list. The applicable program(s) offered by a training provider must be on the statewide list to be eligible to redeem the WIA-issued training vouchers under the Individual Training Account System.

WHO QUALIFIES AS A TRAINING PROVIDER?

The following organizations may apply to the Local Workforce Development Board to certify training programs:

- ✓ All programs provided by postsecondary educational institutions under Title IV of the Higher Education Act of 1996 that lead to associate degrees, baccalaureate degrees, and/or certificates;
- ✓ All programs provided under the National Apprenticeship Act; and
- ✓ Another public or private provider of a program of training services.

All organizations with eligible programs must make application to the Local Workforce Development Board or to any other Workforce Development Board in the State. Performance data must meet the approval of the Workforce Development Board in order to be forwarded to the State for approval and inclusion on the statewide list of eligible training providers. Initial Eligible Training Providers are approved for a period of 18 months from January 1, 2000 until June 30, 2001.

WHAT IS THE STATEWIDE LIST AND HOW DO I GET ON THE STATEWIDE LIST?

Apply annually to the Local Workforce Development Board. Applications received and approved by Local Workforce Development Boards will be forwarded to the North Carolina Community College System to be included on the statewide list of eligible training providers.

IMPORTANT: Only one successful application must be completed to any Workforce Development Board in the state in order to be published on the statewide-certified Training Provider List. Duplicate applications are not necessary to multiple Workforce Development Boards.

WHAT IS AN ELIGIBLE PROGRAM OF TRAINING?

An eligible program of training includes:

- a. One or more courses or classes that, upon successful completion, leads to :
 - (1) A certificate, an associate degree, or baccalaureate degree, or
 - (2) A competency or skill recognized by employers; or
- b. A training regimen that provides individuals with additional skills or competencies generally recognized by employers.

An application by **PROGRAM** not organization is **MANDATORY** for all entities who wish to provide training services supported by funds authorized by the Workforce Investment Act (WIA) of 1998 for conducting adult and dislocated worker training. If your organization offers more than one program, separate applications must be completed for each program to be considered eligible to redeem WIA-funded vouchers.

WHAT TYPES OF TRAINING REQUIRE AN APPLICATION?

Training providers must submit an application to a Local Workforce Development Board for the following training:

- ✓ each course of study or program being proposed, and
- ✓ inclusive program performance and cost information about the application program.

The following is a list of training services that require eligibility determination and the completion of an application. This list is not all-inclusive and additional training services may be provided. All proposed training services must be certified eligible in order for WIA-funded individuals to use the ITAs or vouchers:

- a. Occupational skills training, including training for nontraditional employment;
- b. Basic and literacy skills (**only when combined with occupational skills training**);
- c. Programs that combine workplace with related instruction, which may include cooperative education programs;
- d. Skill upgrading and retraining;
- e. Entrepreneurial training; and
- f. Job readiness skills.

WHAT ARE THE DEADLINES FOR APPLICATION?

The deadline for the initial eligibility application is December 1999. The deadlines for subsequent eligibility recertification applications are May 1, 2001, May 1, 2002, May 1, 2003, etc. These dates also apply to those who are submitting applications for the first time the second year.

WHAT IS AN INITIAL APPLICATION?

An initial application contains information, which describes the program to be offered by the provider. Initial eligible training providers are approved for a period of 18 months from January 1, 2000, until June 30, 2001.

ARE ALL APPLICATIONS FOR PROGRAMS OF TRAINING APPROVED BY A LOCAL WORKFORCE DEVELOPMENT BOARD?

Yes. In the initial eligibility determination period, applications will be approved by a Local Workforce Development Board and submitted to the State to be included on the statewide list, if the program of training meets a Local Workforce Development Board's performance criteria and the application is complete and accurate. Subsequent applications must meet the performance criteria of the Local Workforce Development Board for service to WIA-funded individuals. In subsequent eligibility periods, Local Workforce Development Boards may apply additional criteria.

DOES APPROVAL OF A TRAINING PROVIDER BY A LOCAL WORKFORCE DEVELOPMENT BOARD GUARANTEE THE TRAINING PROVIDER VOUCHERS?

No. Approval of a program of training by a Local Workforce Development Board places the provider on the statewide list. Vouchers will be issued to eligible individuals who choose an eligible training provider.

HOW OFTEN DO I NEED TO APPLY FOR CERTIFICATION?

All training providers will be required to apply for certification annually after the initial certification period. Performance data will be updated and any performance data regarding service to WIA-funded individuals must be submitted at subsequent certification periods.

WHAT IS REQUIRED FOR INITIAL ELIGIBILITY CERTIFICATION?

For a provider of training services to be determined to be initially eligible for certification, the provider must submit the following verifiable program-specific performance information for individuals in the applicable program. This information should reflect training in the applicable program over the most recent two-year period.

- ✓ the program completion rates for all individuals participating in the applicable program conducted by the provider;
- ✓ the percentage of all individuals participating in the applicable program who obtain unsubsidized employment;
- ✓ the wages at placement in employment of all individuals participating in the applicable program; and
- ✓ program costs – tuition fees and other related costs, which include, but are not limited to, books and supplies.

WHAT IS REQUIRED FOR SUBSEQUENT CERTIFICATION DETERMINATION?

All providers of a program of training services are subject to subsequent eligibility determination procedures. For a provider of training services to be determined to be subsequently eligible to receive WIA vouchers, the provider shall submit the following verifiable program-specific performance information for **ALL** individuals participating in the application program, program-specific performance information for WIA-funded **ONLY** individuals, and program costs for each group:

1. Performance Data

a. For ALL individuals in the applicable program, submit

- ◆ the program completion rates for all individuals participating in the applicable program conducted by the provider;
- ◆ the percentage of all individuals participating in the applicable program who obtain unsubsidized employment; and
- ◆ the wages at placement in employment of all individuals participating in the applicable program.

b. For WIA-funded ONLY individuals, submit

- ◆ the percentage of participants who have completed the applicable program and who are placed in unsubsidized employment;
- ◆ the retention rates in unsubsidized employment of participants who have completed the applicable program as of 6 months after the first day of the employment;
- ◆ the wages received by participants who have completed the applicable program, 6 months after the first day of the employment involved; and
- ◆ where appropriate the rates of licensure or certification, attainment of academic degrees or equivalents, or attainment of other measures of skills of the graduates of the applicable programs.

2. Program Costs – For all individuals, both WIA-funded and non-WIA funded individuals

Tuition fees and other related costs, which include, but are not limited to, books and supplies.

3. Supplementary Information

A Local Workforce Development Board may accept program-specific performance information, consistent with the requirements for eligibility under Title IV of the Higher Education Act if the information is substantially similar to the information otherwise required.

CAN THE LOCAL WORKFORCE DEVELOPMENT BOARD REQUIRE THAT THE PROVIDER SUBMIT ADDITIONAL DATA BEYOND THE CONTENTS OF THE APPLICATION?

Yes. The Local Workforce Development Board may require that the provider submit additional data for subsequent eligibility certification beyond what is required on the application.

HOW DOES A PROVIDER GET REMOVED FROM THE STATE LIST?

The State, in conjunction with Local Workforce Development Boards, will use the following criteria for removing providers from the list. All requirements and sanctions, and the appeals processes will be

transmitted to training providers and Local Workforce Development Boards in writing so they will be aware of their responsibilities, rights and sanctions.

Accuracy of Information: If a Local Workforce Development Board or State staff determine that a provider has intentionally provided inaccurate information on an application, that provider will lose eligibility for two years from the date of determination. Upon such determination, all Local Workforce Development Boards, Training Providers Career Center operators and other training providers will be notified immediately of the removal of a provider from the State approved list.

Non-compliance: If local Workforce Development Board or the State staff determine that a provider has violated any requirement under the Workforce Investment Act, that provider may lose eligibility for a period of one year, or other sanctions may be imposed. Upon such determination, all local Workforce Development Boards and JobLink Career Centers operators will be notified what conditions have been imposed. Other sanctions include the repayment of funds, loss of eligibility for a period of three years, or both. Loss of eligibility for a period of one year shall be for failure to submit performance information, or filing erroneous reports. Loss of eligibility for a period of three years and/or repayment of funds will be for submission of incorrect data to deliberately misrepresent the performance of the training provider and/or violations of the Workforce Investment Act and regulations.

Lack of Performance: If the annual review and reporting process indicates that a provider did not meet the applicable performance criteria during the previous year, that provider will not be approved for the next year. Meeting the performance criteria will be the main factor in reestablishing eligibility. Again, all Local Workforce Development Boards and JobLink Career Centers operators will be notified. All requirements, sanctions, and the grievance processes will be transmitted to training providers in writing so they will be aware of their responsibility, rights, and sanctions. If a Local Workforce Development Board or the State staff determine that a provider has substantially violated any requirement under the Workforce Investment Act, that provider may lose eligibility for a certain period of time, or other sanctions may be imposed. Upon such determination, all Local Workforce Development Boards and JobLink Career Center operators will be notified what conditions have been imposed on that provider.

Repayment: A provider whose eligibility is terminated may be liable for re-payment of all WIA funds received for the program during any period of non-compliance.

Grievance: A provider of training services whose eligibility has been terminated can appeal that determination by submitting a written request for a hearing to:

Chief of Planning and Development
Division of Employment and Training
NC Department of Commerce
4316 Mail Service Center
Raleigh, NC 27699-4316

This hearing--conducted by the Division of Employment and Training--must take place within 30 calendar days of receipt of the request by the Division of Employment and Training.

- The hearing shall include a rendering as to why the eligibility was terminated by the State and an appeal by the training provider as to why the decision should be reversed or a compromise established; and
- Within 10 working days of the hearing a final written judgement by the State will be rendered and will include the length of time the provider must remain ineligible, if any, and all conditions that will justify re-establishing eligibility.

ARE THERE ANY EXEMPTIONS TO THE ELIGIBILITY CERTIFICATION PROCESS?

Providers of On-the-Job Training (OJT) and/or customized training are not subject to the requirements outlined in the Eligible Provider/Program Application which require the submission and certification of an application unless deemed necessary by a Local Workforce Development Board.

*High Country Local Area
WIA Occupational Training Programs PY 2007*

Revised August 9, 2007

The following training programs are authorized by the High Country Workforce Development Board as allowable training programs for training services funded by WIA Title I Adult and Dislocated Worker Funds and NC Employment Training funds for Adults and Dislocated Workers.

- Health Care
- Trade, Transportation, Utilities
- Accounting, Business Administration, and Office Systems
- Finance
- Computer Science and Information Systems Programs
- Industrial Engineering and Industrial Maintenance Programs
- Criminal Justice and Law Enforcement
- Retail/Hospitality
- Teacher Certification
- Auto Repair and Servicing
- Construction and Building Trades
- Advanced Manufacturing

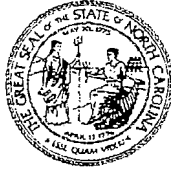
Payment for such training with Workforce Investment Act funds will be authorized through the use of Individual Training Accounts (ITAs).

WIA Title I Service Providers may request approval for other occupations on a case by case basis. Case managers requesting to fund training for an occupation not included in the list above shall research the occupation and the local labor market demands. The research needs to determine:

1. The occupation is in demand locally; or
2. The occupation is in demand in another area to which the customer is willing to relocate; and,
3. The occupation has the potential to provide a wage that meets the self-sufficiency standard set by the High Country WDB.

The proposed training/occupation shall be in accordance with the needs of the prospective customer relative to their interests, aptitudes and abilities.

The Quality Assurance Committee will be responsible for determining whether other occupations need to be added to the list as labor market demands change.



North Carolina
Department of Commerce
Division of Employment and Training

James B. Hunt Jr., Governor
Rick Carlisle, Secretary

Alan Alexander, Director

June 26, 2000

LOCAL AREA ISSUANCE NO. 2000 - 02

SUBJECT: WIA Funds and Pell Grants

PURPOSE: To provide policy on the use of WIA resources when combined with Pell Grants

BACKGROUND: The Federal Interim Final rule at Part 663.320(a) states that WIA 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.

Part 663.320(b) states that program operators must coordinate training funds available and make funding arrangements with one-stop partners and other entities. Training providers must consider the availability of Pell Grants and other sources of grants to pay for training costs, so that WIA funds supplement other sources of training grants.

Part 663.320(c) states that a WIA participant may enroll in WIA-funded training while the Pell Grant application is pending as long as the WIA service provider has made arrangements with the training provider and the WIA participant regarding allocation of the Pell Grant. If the grant is subsequently awarded, the training provider must reimburse the WIA service provider the WIA funds used to underwrite the training for the amount the grant covers.

ACTION: In summary, the Workforce Investment Act (WIA) seeks to ensure that a complete package of financial resources and services is available to the individual seeking training. Pell Grants are entitlement grants. Other resources that may be available to the individual, including WIA 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.



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When developing financial aid packages for individuals who are potentially eligible for a federal Pell Grant, the following will apply:

Application for the Pell Grant

All participants who may be eligible to receive Pell Grants must apply for them. Appropriate WIA service providers in the 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.

Determination of full cost of training for an individual

Appropriate WIA service providers in the 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, personal expenses, and other education-related expenses.

Determination of resources available for training

Appropriate WIA service providers in the Local Area will, in cooperation with the Financial Aid office of the training provider, complete a Financial Award Analysis form (Attachment A) or alternate form for each student receiving Pell Grant and WIA resources. This analysis will (a) identify all resources available to support the student, including Pell Grant, WIA resources and other sources of funding, and (b) compare these resources with the individual's full cost of training to arrive at a shortage/surplus of resources.

In summary, the Financial Award Analysis, or alternate form, shall serve to allocate Pell Grant, WIA resources and other financial aid resources for the student to ensure that the student's needs are met. Any alternate form used must include at least the information contained in the Financial Award Analysis form.

Allowable WIA costs

WIA resources may be used for any allowable WIA cost that supports the individual's full cost of training in an approved WIA-funded program.

When WIA resources may be used

WIA funds may be used before and/or after Pell Grant funds are in place.

Level of WIA resources

It is anticipated that, in most cases, the combined Pell Grant resources and the WIA resources will not exceed the individual's full cost of training. In this situation, WIA 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 and (b) the use of WIA funds will not result in an available level of resources that exceeds the individual's full cost of training.

However, if WIA funds are used first and the addition of Pell Grant funds results in an available level of resources greater than the individual's full cost of training, the WIA 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 WIA funds to the WIA service provider in the Local Area on behalf of the student and apply the individual's Pell Grant to these costs instead.

EFFECTIVE DATE: Immediately

EXPIRATION DATE: Indefinite

CONTACT: DET Planner



Alan H. Alexander

AHA/be

Attachment

FINANCIAL AWARD ANALYSIS
(TO BE COMPLETED BY THE TRAINING PROVIDER AND THE WIA SERVICE PROVIDER)

TRAINING PROVIDER: _____

WIA Customer:		SS#:	Telephone #:
Training Start Date:		Training End Date:	
Name(s) / Type(s) Of Training :		No. of Semesters / Quarters:	
Training Provider Contact Person:		Telephone #:	Fax #:

TRAINING ITEMS	FUND ASSIGNMENTS (#1-4 UNDER FUNDING SOURCES)	COSTS PER SEMESTER OR QUARTER	NUMBER OF SEMESTERS OR QUARTERS	TOTAL COST OF TRAINING SERVICES
Application / Registration				
Tuition				
Books/ Supplies				
Shop/Clinic/Lab Fees /Uniforms				
Physicals				
Licenses /Permits				
Parking Fees				
Student Activity Fees				
Transportation				
Child Care Cost				
Other Required Cost (specify)				
Other Required Cost (specify)				
TOTAL PROJECTED COST OF TRAINING				

AVAILABLE FUNDING SOURCES <i>(Documentation must be attached)</i>	AID PER SEMESTER OR QUARTER	NUMBER OF SEMESTERS OR QUARTERS	TOTAL AVAILABLE RESOURCES
1. Federal Pell Grant <i>(attach SAR, etc.)</i>			
2. Scholarships/Grants/Other Financial Aid <i>(attach applicable award/denial letters)</i>			
3. Other Sources <i>(specify)</i>			
4. Vocational Rehabilitation/Social Services			
5. TOTAL NON - WIA AVAILABLE RESOURCES			
6. NEEDED/ REQUESTED WIA TRAINING RESOURCES			
7. ADDITIONAL RESOURCES NEEDED <i>(normally this should be a zero balance)</i>			

I, _____, authorize and consent to the release and exchange of confidential information to the WIA service provider and the training provider.

SIGNATURES: _____
WIA CUSTOMER DATE

FINANCIAL AID OFFICER DATE

WIA SERVICE PROVIDER DATE