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| SOUTHWESTERN **Workforce Development Consortium**    **PROGRAM YEAR 2024-25**  **WORKFORCE INNOVATION AND OPPORTUNITY ACT**  **YEAR ROUND ADULT and DISLOCATED WORKER SERVICES** REQUEST FOR PROPOSALS **Haywood County**  **RFP Release Date: 03/07/2024**    **Proposal Deadline: 04/18/2024**  **4:00 PM**  *Equal Opportunity Employer/Program*  *Auxiliary Aids and Services Available upon Request to Persons with Disabilities*  *Language assistance services are available free of charge to individuals with*  *Limited English Proficiency* |

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**2024-25**

**DISLOCATED WORKER PROGRAM**

**AND ADULT PROGRAM Summary Form**

**Southwestern Local Area**

Agency Name: Click here to enter text.  
Street Address: Click here to enter text.

Mailing Address: Click here to enter text.

Contact Person(s): Click here to enter text.  
Telephone Number(s): Click here to enter text.  
Fax Number(s): Click here to enter text. E-Mail: Click here to enter text.

Funds Requested for Dislocated Worker Activity: $**Click here to enter text.**   
Funds Requested for Adult Program Activity: $Click here to enter text.

Total Funds Requested $ Click here to enter text.

Total Number of Dislocated Worker Participants to be served: Click here to enter text.

Cost per DW Participant served $Click here to enter text.   
Cost per successful DW exit $ Click here to enter text.

Total Number of Adult Program Participants to be served Click here to enter text.

Cost per Adult Participant $Click here to enter text.   
Cost per successful Adult exit $Click here to enter text.

Check NCWorks Career Centers to be Served: Haywood

**I certify that the information contained in this response is accurate and reflects our plan to meet the program requirements for this program.**

**Signatory**

**Official: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

*(Signature Required)*

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| --- |
| **LA USE ONLY:**  Proposal Number:  Date and Time Received:  Received by: |

## RFP Timeline

|  |  |  |  |
| --- | --- | --- | --- |
| **Action Item** | **Date** | **Location** | |
| RFP Notice of Release Date | **March 7, 2024** |  | |
| RFP Advertisement | **March 7,8,9 2024** | **Asheville Citizen Times, Southwestern Workforce Development Board website,** | |
| Bidders Conference/Pre-Award  Technical Assistance | **Wednesday, March 20, 2024 11 am** | **Southwestern Commission**  **125 Bonnie Lane**  **Sylva, NC 28779** | |
| Due Date for Proposals | **No later than 4:00 pm, Thursday, April 18, 2024** | **David Garrett  Workforce Development Director**  **125 Bonnie Lane**  **Sylva, NC 28779**  **Or**  **david@regiona.org** | |
| Contract Award Date | **No Later Than June 5, 2024** |  |
| Projected Start Date of Program | **July 1, 2024** |  |

## Resource Materials

**A copy of the Workforce Innovation and Opportunity Act can be found at:**

[WIOA Law](https://www.gpo.gov/fdsys/pkg/PLAW-113publ128/pdf/PLAW-113publ128.pdf)

WIOA RESOURCE PAGE

Visit [www.doleta.gov/WIOA](https://www.doleta.gov/wioa/) to learn more about WIOA and to access relevant guidance and technical assistance tools and resources developed by the Employment and Training Administration (ETA).

**The Southwestern Workforce Development Board does not discriminate in regard to employment or service to WIOA participants on the basis of Race, Color, Religion, Sex or National Origin. All contractors must have an Equal Opportunity Policy that honors that commitment.**

## **I. DEFINITIONS**

1. The term “SWDB” means the Southwestern Workforce Development Board.
2. The term “Act” or “WIOA” refers to the Workforce Innovation and Opportunity Act.
3. The term Local Area (LA) refers to the Southwestern Local Area consisting of Clay, Cherokee, Graham, Haywood, Jackson, Macon and Swain counties.
4. The term “administrative entity” refers to the agency selected by the WDB to administer the WIOA Adult and/or Dislocated Worker Program.
5. The term “Solicitation” or “RFP” means this Request for Proposals, indicating that the procurement is advertised.
6. The terms “Offer” and “Proposal” refer to the responses to this PROPOSAL. “Offeror” and “Proposer” refer to the organization submitting that response. The terms “Service Provider” and “Contractor” refer to a successful offer selected by the WDB that has entered into a contract to provide service to eligible participants. “Service Providers” as referred to in this PROPOSAL are agencies providing adult and dislocated worker activities.
7. The term “Service Approach” refers to the progression of service from core to intensive to training service.
8. The term “Objective Assessment” refers to an examination of the capabilities, needs, and vocational potential of a participant based on a review of basic skills, occupational skills, prior work experience, employability, interests, aptitudes (including interests and aptitudes for non-traditional jobs), supportive service needs and developmental needs.
9. The term “Individual Employability Plan” or “IEP” refers to a written plan that is used to document employment goals, appropriate achievement objectives, and appropriate services for the participant.
10. The term “Basic Skills Deficient” refers to having English, reading or math skills below a 8.9 grade level on a generally accepted assessment instrument.
11. The term “Non-traditional Employment for Women” means the placement of females into an occupation in which there is currently less than 25% female employment.
12. The acronym “CBO” refers to Community Based Organization.
13. The acronym “LEA’s” refers to Lead Educational Agencies.

**II. BACKGROUND AND GENERAL INFORMATION**

**Introduction: Southwestern Workforce Development Board**

Southwestern Workforce Development Board is an employer-driven entity, charged with the responsibility of implementing policies that ensure the distribution of workforce funds in a manner that creates a network of programs and systems designed to address critical workforce challenges. SWDB works to ensure the efficient use of funds, maximize the system’s effectiveness, and improve collaboration. The mission of SWDB is to foster employment of southwestern North Carolinians by enriching the skills and suitability of candidate employees for the businesses of the region.

As a requirement of the Workforce Innovation and Opportunity Act of 2014 (WIOA), the SWDB has a federal mandate to be the lead organization for workforce development planning and to arrange for a system of service delivery that meets the workforce needs of businesses and the public alike. The Southwestern Workforce Development Board is comprised of private business owners, educational representatives, and community-based organization representatives from the seven counties. The SWDB provides WOIA services for Cherokee, Clay, Graham, Haywood, Jackson, Macon, and Swain counties

Any changes to the WIOA program, the State of North Carolina WIOA Plan, or the SWDB WIOA Plan, may result in a change in contracting. In such instances, the SWDB will not be held liable for what is in the Request for Proposal package or Bidder’s proposal.

The Workforce Innovation and Opportunity Act and federal regulations may be accessed on the US Department of Labor, Employment and Training Administration web site at <http://www.doleta.gov/WIOA>.

**Purpose of Request for Proposal**

SWDB is issuing this Request for Proposals (RFP) to procure a contractor that will provide WIOA Adult and Dislocated Worker services in an Integrated Workforce System in the SWDB counties of Haywood County. The Contractor will deliver workforce development services to both job seeker and employer customers as required by this RFP*.*  **The selected contractor will provide staffing in 1 Integrated Workforce Center, working directly with staff from the North Carolina Department of Commerce, Division of Workforce Solutions.** Interested organizations should understand that SWDB is looking for a contractor that can ensure staffing the Centers full-time during the hours of 8:00 a.m. to 5:00 p.m., Monday through Friday.

The SWDB is seeking interested organizations that demonstrate the objectives listed below:

* Competent and cooperative management with a vision for staffing and supporting the

NCWorks Career Center system;

* A commitment and ability to ensure that customer service-oriented staff are available to serve job seekers and employers.
* A willingness to integrate resources and activities with other organizations.
* Flexibility in deploying human resources and an ability to adapt to change as economic conditions and operational needs evolve; and
* Flexibility to move between teams as the need is identified by the NCWorks Career Center Manager.

A contract resulting from this RFP is anticipated to begin July 1, 2024, and continue until June 30, 2025, pending available funding. This is a one-year award with option to extend for two additional years.

Exact funds available are unknown at this time. Funding allocations are formulated by the Federal Government and passed down through North Carolina. Bidders should use the funding estimates below for their proposals; **the estimates are solely for the purpose of offering guidance**. The successful contractor must be willing to enter into a contract with the understanding that funding for the contract may be adjusted up or down based upon the final allocation and the Board’s discretion.

**Eligible Service Provider**: Any governmental, educational, community or neighborhood-based organization or non-profit agency engaged in a public service or private for-profit agencies engaged in providing services to Adults and/or Dislocated Workers.

**Program- Adult & Dislocated Worker WIOA –**

The Southwestern WDB is issuing this Request for Proposals (RFP) to procure a contractor that will provide WIOA Adult and Dislocated Worker services in an Integrated Workforce Delivery System in the Southwestern WDB counties of Haywood. The Contractor will deliver workforce development services to both job seekers and employer customers as required by this RFP. Selected contractors will provide staffing in an Integrated One-Stop Delivery Center working directly with staff from the North Carolina Department of Commerce, Division of Workforce Solutions. Bidders desiring to serve as a contracting organization should note that the following are the fundamental principles of the Southwestern WDB Integrated One-Stop Delivery System.

* **Integrated Service Delivery**: The Southwestern WDB Integrated One-Stop Delivery System will provide services through the Workforce Innovation and Opportunity Act (WIOA), Wagner-Peyser, Trade Adjustment Assistance (TAA), Veterans Services, Adult Education and Literacy, and Vocational Rehabilitation programs at local NC Works Career Centers and satellite facilities. The purpose of this RFP is to identify contractors that can provide operation and services through WIOA funding in the context of this integrated environment.
* **Functional Manager**: In the Southwestern WDB Integrated One-Stop Delivery System, functional supervision will play a key role in the operations. To implement this supervisory approach, the NCWorks Career Center will include a functional leader who is directly responsible for day-to-day operational activities. The functional leader will make operational decisions concerning customer flow, deploy staff as necessary to manage the customer flow, and be responsible for the overall quality and effectiveness of the Southwestern WDB Integrated Workforce Delivery System. The functional supervisor recognizes that the contracting organization is considered the employer of record and has internal human resource functions that must be managed within the organization. Please note that the Southwestern WDB has designated the DWS local office manager as the Functional Manager at the NCWorks Career Centers located in our region.
* **Team-Based Staff Deployment**: In the Southwestern WDB Workforce Delivery System, staff will be deployed in functional teams that work together to meet the needs of job seekers and employer customers. The specific functional teams that will operate in each workforce center will include a Welcome Team, an Employment Team and a Skills Team. Due to the limited number of staff at each of our centers, all Center Staff will be trained in all services offered at the center and expected to function on any of the three teams.

Through this RFP, the Southwestern WDB is seeking contractors that can staff these functional teams with high energy, experienced and qualified professional individuals who will deliver high quality services to customers. Staff will be expected to have the ability to determine the need for supportive services for employment and training, assess availability and suitability and identify resources to meet the customer’s needs.

* **Partners/Coordination/Linkages**: The Workforce Innovation and Opportunity Act (WIOA) and the Southwestern WDB require partnering and collaboration to deliver the most effective services that will provide the greatest possible community impact for customers and employers. Having as many partners as possible only strengthens the delivery of services. The approved WIOA contractor must sign a Memorandum of Understanding (MOU) including any addendums associated with the MOU. The MOU must document at a minimum the following information: a description of what customer services and employer services will be provided by each partner; how cost of services and operating costs of the partnership will be funded; method of referral between partners; duration of memorandum and procedures for amending the memorandum; other provisions as agreed upon by the parties of the MOU. Partnerships/collaborations with other organizations are not only encouraged but expected.

Partners/coordination/linkages ensure customers receive information on the full array of services available and referrals to appropriate training and educational programs.

**Program Period**

The program-funding period is from July 1, 2024, through June 30, 2025. Continuation beyond June 30, 2025, is subject to future funding and legislative authority. Based on funding availability, the option to extend the contract up to two additional years beginning July 1, 2025, exists with the opportunity for re- negotiation at least sixty days before the expiration date of the first-year contract. In order for the SWDB to exercise its two additional year option, the contractor **must meet the performance requirements** as outlined in the contract. However, the SWDB is not bound to exercise the two additional year contract solely on stated performance criteria. The SWDB can, with sufficient justification, renew an annual contract for two additional years without benefit of competitive procurement not to exceed a total of three years. Each renewal shall be limited to a one-year period.

**Type of Contract**

The LA will accept only **Cost Reimbursement Proposals** for this contract year. A Cost Reimbursement Contract is one that establishes an estimate of total costs for the purpose of obligating funds and a ceiling that the contractor may not exceed (except at contractor ‘s risk) unless the awarding party agrees to amend the contract to provide additional funds. A line-item budget shall be based on all legitimate costs to be incurred by the contractor in carrying out the training activity. The contractor is reimbursed for actual expenses according to the approved line-item budget.

**Program Allocations by Counties to be Served**

Proposers may bid to provide WIOA Adult and Dislocated Worker services In Haywood County. Haywood County NCWorks Career Center serves Haywood Counties. In preparing a bid, the bidder **must specify the counties** in which services are being proposed and develop budgets based on the following allocations:

**NOTE: This is a draft of estimated allocations based on PY23 funding. Actual figures will be determined at a later date based on approval of the Congressional budget and by SWDB. These figures should be used in preparing your budget worksheets. Budgets may have to be modified prior to July 1, 2024.**

|  |  |  |  |
| --- | --- | --- | --- |
| **County** | **Adult Estimated Allocation** | **Dislocated Worker Estimated Allocation** | **TOTAL ADULT/DW** |
| Haywood | $85,000.00 | $30,000.00 | **$115,000.00** |

**III. INSTRUCTIONS**

A. To be considered, all applications in response to this package must:

1. Be submitted no later than **Thursday, 04/18/2024, by 4:00 PM.**The Workforce Development Board reserves the right to return any proposal not received in the designated office at the specified time.

2. Use this package by completing the requested items in the RFP. All proposals must be submitted on the appropriate forms provided by this office.

3. Submit with required signatures to: Email submissions will be accepted.

**David Garrett**

**Workforce Development Director**

**Southwestern NC Planning and Economic Development Commission**

###### 125 Bonnie Lane Sylva, NC 28779

**david@regiona.org**

B. Questions concerning this package must be directed in writing to:

**David Garrett**

**Workforce Development Director**

**Southwestern NC Planning and Economic Development Commission**

**125 Bonnie Lane  
 Sylva, NC 28779** or [david@regiona.org](mailto:david@regiona.org)

**Note: Any comments provided in response to inquiries will be sent in writing via email to all bidders. No phone inquiries will be accepted.**

**RFP Forms Checklist**

**Forms:**

Application Summary/Signature Sheet Form attached (page 2)

Agency Organization and Experience Form attached (page 12)

Budget Form attached

Statement of Work (see pages 22-25)

A Signed Certification regarding Debarment attached (page 41)

Responders Information and Assurance Form attached (page 42-43)

Projected Number of Participants to be Served/ Exits Data Form attached (page 44)

Job Descriptions for all requested WIOA Funded positions (see page 33)  
 Financial Information (see page 34)

**Name of Organization Submitting the RFP:**

Contact Person:

Telephone Number:

**IV. GENERAL PROVISIONS AND REQUIREMENTS**

1. Each contractor will be notified in writing of project approval or disapproval.
2. If you are submitting RFPs for more than one (1) project, include separate project summary, target groups and budget information*.*
3. Proposals should be submitted in the format set forth in the Proposal Format and Required Forms section of the RFP.
4. Ownership of all data, material, and documentation originated and prepared by the service provider pursuant to the contract shall belong exclusively to the SWDB
5. Proposals submitted for funding consideration must be consistent with the federal WIOA legislation, all applicable Federal Regulations, the North Carolina Division of Workforce Solutions training policies, and Southwestern Local Area policies and procedures.
6. Formal notification to award a contract and the actual execution of a contract are subject to the following:

* receipt of WIOA funds granted under the WIOA plan;
* results of negotiations between selected service providers and SWDB administrative staff; and
* continued availability of WIOA funds.

1. SWDB is required to abide by all WIOA legislation and regulations. Therefore, SWDB reserves the right to modify or alter the requirements and standards as set forth in this RFP based on program requirements mandated by State or Federal agencies.
2. Service providers must accept liability for all aspects of any WIOA Program conducted under contract with the SWDB. Service Providers will be liable for any disallowed costs or illegal expenditures of funds or program operations conducted.
3. Proposers selected for funding must also ensure compliance with the following: USDOL Regulations 20 CFR Part 652, Office of Management and Budget Circulars A-21, A-87, A-110, A-122, A-133, or 48 CFR Part 31, whichever is applicable. OMB Circular A-102, 29 CFR 95.44 and CRF 97.36
4. All service providers must ensure equal opportunity to all individuals. No individual in the Southwestern Local Area shall be excluded from participation in, denied the benefits of, or subjected to discrimination under any WIOA-funded program or activity because of race, color, religion, sex, national origin, age, disability, or political affiliation or belief.
5. This RFP does not commit the Southwestern Workforce Development Board to award a contract, to pay any costs incurred in the preparation of the proposal under this request, or to procure or contract for services or supplies. The SWDB reserves the right to accept or reject any or all proposals received as a result of this request, to negotiate with all qualified sources, or to cancel in part or in its entirety this RFP if it is in the best interest of the SWDB to do so. The SWDB may require the contractors to participate in negotiations and to submit any monetary, technical, or other revisions of their proposals as may result from negotiations.
6. Reductions in the funding level of any contract resulting from this solicitation process may be considered during the contract period when a service provider fails to meet expenditure, participant, and/or outcome goals specified in the contract or when anticipated funding is not forthcoming from the federal or state governments.
7. Service providers will allow access to all WIOA records, program materials, staff, and participants to local, state, and federal representatives. In addition, service providers are required to maintain all WIOA records for three years, beginning on the last day of the program year.
8. The SWDB encourages all interested bidders to attend the Bidders Conference. While every effort has been made to include all necessary information, specifications and examples, the need for clarification or interpretation is recognized as a possibility. This is the forum the SWDB has selected to answer questions so that all interested parties will have the benefit of the same answer.
9. Upon award of a contract, the RFP, including any modification as a result of negotiations, will be incorporated into and made a part of the bidder’s contract.
10. Appeals by proposing organizations denied funding are limited to procedural appeals only; such appeals shall be based solely on allegations of irregularities in the solicitation and awards procedure and not on the relative merit of the offers submitted. If a proposer believes to have been harmed by the violation or misapplication of procedure or regulation of this program, the proposer has the right to file a grievance. This grievance should be filed according to the written procedures established by the Southwestern Workforce Development Board and may be obtained by contacting the Southwestern Workforce Development Director at 125 Bonnie Lane, Sylva, NC 28779, phone: 828-586-1962 ext. 210

## **V. PROPOSER’S ORGANIZATION AND EXPERIENCE**

**Complete Agency Organization and Experience Form**

**A.** Name of Agency or organization and mailing address. If a non-governmental agency, provide the name under which you are incorporated.

**B.** Type of Organization. Check the appropriate box which describes your organization

a. ( ) Unit of Local Government

b. ( ) Private-Non-Profit Organization

1. ( ) Private-For-Profit Organization
2. ( ) Educational Institution
3. ( ) Other \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**C.** Organization’s Structure and Experience.

1. **Organizational Chart**.  **Attach an organizational chart which outlines administration of proposed project**.

1. **Experience.** **List experiences in operating WIOA programs and/or providing public service in the past 2 years.**

3.  **In the space provided, enter the name and title of the person completing and/or providing information in section III, C, 2.**

## **VI. PROGRAM DESIGN AND SERVICES SPECIFICATIONS**

**Background**

The federal Department of Labor’s (DOL) Workforce Innovation and Opportunity (WIOA) legislation provides funding to local Workforce Development Boards (WDBs) to deliver a menu of services to job seekers and business customers.

The Workforce Innovation and Opportunity Act of 2014 is the nation’s principal workforce development legislation. Key components of this legislation include: streamlining services through a One-Stop Center service delivery system; empowering individuals through information and access to training resources; providing universal access to core services; increasing accountability for results; ensuring a strong role for Local Workforce Development Boards and the private sector in the workforce investment system and facilitating State and Local flexibility.

The Southwestern Workforce Development Board anticipates a Program that has a systematic approach, providing services to eligible dislocated workers and adults offering a comprehensive set of service strategies and a close link to the labor market. The Board will expect a high level of customer service and performance from any provider.

Successful responses will assure the SWDB that the service provider will be a partner of the NCWorks Career Center during the contract period. As a partner, the provider must be stationed at the NCWorks Career Center and will develop a relationship within the NCWorks Career Center.

Although the initial award will be for a 12-month period, bidders may design a multi-year program with longer-term interventions that provide for continuous performance improvement. Based on successful performance, timeliness of start-up and quality of service, the SWDB and the contractor will have the option, depending on future funding, to negotiate continued funding for up to an additional two years. However, each renewal of the contract shall be limited to a one-year period.

Program Design-Scope of Work and Functions

**NCWorks Career Center Functions**

The Southwestern WDB will incorporate more technology into core operations, align Workforce Delivery services to other community-based support services for customer referral, identify clear career pathways to target industry sectors for all Workforce Center customers and identify services to address the skill gaps between employers’ needs and job seekers.

The Southwestern WDB’s improved and innovative system will be organized around three interrelated functions to serve customers, (businesses and job seekers). The selected respondent(s) to the RFP will be responsible for the provision of all services associated with the Workforce Innovation and Opportunity Act (WIOA), in partnership with local DWS staff. The three interrelated functions to serve the customers are described below:

* Welcome Function welcomes customers, conducts basic assessment of needs, collects registration information, and directs customers to center services based upon needs.
* Skills/Training Function assists the job seeker with work readiness activities. Activities include, but are not limited to, skills analysis, assessment testing, supportive services assistance, career counseling, soft skills training, partner services, and occupational skills training referrals.
* Employment Function provides services to employers and work-ready job seekers. Services to connect employers and job seekers will be provided through a variety of activities including recruitment, labor market data, rapid response, career fairs, interview days, and many others.

**Customer Flow**

The selected WIOA contractor will have responsibility, along with DWS management, for providing staffing and services at the Haywood County full-time NCWorks Career Center.

All customers will be provided with the opportunity for skill assessment and to improve their skills in order to get the best job based upon their skills.

All customers will be given an initial, getting started, private and staff assisted customized welcome. This initial welcome must provide the customer with a positive experience and a tangible takeaway of what the next step(s) is (are) toward meeting their ultimate goal of employment. The staff shall connect customers continuously through service recommendations and offer, promote and schedule next visits. All customers should be continuously engaged.

**Customer Services**

The selected WIOA Contractor shall develop, in conjunction with the Southwestern WDB and local DWS staff, a product box of services to be provided at the NCWorks Career Center. Services must continuously be added or deleted from the product box to fit the needs of center customers. Integrated services will be provided by sharing and serving customers by function and not by programs and ensuring that center customers find employment and receive additional skills in order to be a better job candidate. All center customers need to know their skills, develop their skills and improve their skills to be more competitive and get the best job possible with their skills.

The product box shall be a customer (job seeker and employer) centered approach to the delivery of services designed to prepare and coordinate comprehensive employment plans such as service strategies for customers to ensure access to necessary workforce investment activities and supportive services using where feasible computer-based technologies and to provide job and career counseling during participation and after job placement as well as services for employers. See Attachments - Sample Product Box. It should be noted that the services listed in the Product Box are not limited to those services and will constantly change as new products are introduced. The Product Box will be driven by the demands and needs of job seekers and employers.

**Workforce Center Positions and Roles**

NCWorks Career Center staff will be trained in all services provided at the NCWorks Career Centers and will be expected to become proficient in all integrated services functions.

The minimum hours of operation for the full-time NCWorks Career Centers are 8:00 AM to 5:00 PM Monday through Friday. The hours of operation for the part-time centers are 8:00 AM to 5:00 PM and may vary 2-3 days per week as scheduled by the functional center manager. Staff coverage must be available for no less than 40 hours per week, unless otherwise approved by the Southwestern WDB. Staffing is not required on holidays observed by NCWorks Career Centers. There may be instances where staff coverage will be required during non-traditional hours as needed/requested by employers for rapid response, job fairs, mass recruitment, etc. Contractor staff must be willing to be available for non-traditional hours if needed.

When hiring staff, contractors will give preference to applicants who have prior experience in WIOA and Integrated Services Delivery.

In the event of staff turnover, the contractor will replace staff within a maximum of 30 days. The Southwestern WDB shall be informed of any staff turnover and information provided on new hires.

**Workforce Center Services Components**

**Career Services**Career and Training services are provided through the NCWorks Career Centers. Career Services are described as:

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

Other career services needed in order for an individual to obtain or retain employment may consist of:

* Comprehensive and specialized assessments of the skill levels and service needs of adults and dislocated workers, which may include diagnostic testing and use of other assessment tools and in-depth interviewing and evaluation to identify employment barriers and appropriate employment goals;
* Development of an individual employment plan, to identify the employment goals, appropriate achievement objectives and appropriate combination of services for the participant to achieve the employment goals, including providing information on eligible providers of training services and career pathways to attain career objectives
* Group counseling
* Individual counseling
* Career planning
* Short-term prevocational services including communication skills, interviewing skills, punctuality, personal maintenance skills, and professional conducts to prepare individuals for unsubsidized training.
* Out-of-area job search assistance and relocation assistance;
* Follow-up services

**Training Services**Upon completion of orientation and assessments, customers may be deemed appropriate for training services if the customer is unlikely to obtain or retain self-sufficient employment. Training programs should focus on in-demand industry sectors and be on the SWDB’s approved training lists. Occupational skills training will be provided through individual training accounts from an approved training provider. All customers interested in receiving WIOA assistance must apply for a Pell Grant.

Training Services are described as:

**Occupational Skills Training** - Instruction conducted in an institutional or worksite setting designed to provide, upgrade or retrain individuals with technical skills and information required to perform a specific job or group of jobs in locally identified skill demand occupations. This service may address situations where specific demand for identified occupations occurs in a number of companies with the same basic skills requirements or where a single company agrees to hire all certified completers. The SWDB has identified and approved training in occupations that are in demand in the Local Area. A copy of approved training curriculums is attached. Participants may elect to receive their training from any eligible provider from a listing on NCWorks (<http://www.ncworks.gov>). The eligible providers' list is established to maximize customer choice and aid an individual in making an informed decision about his/her training. The approved list will include those vendors who have applied for inclusion on the list and who have met performance criteria as it relates to program completion and placement of completers into training-related occupations. This performance information, as well as cost information, will be made available to customers of the One-Stop service delivery system. Once a training provider has been selected from the list of eligible institutions, the participant will be issued an Individual Training Account.

**On-the-Job Training**

On-the-Job Training services shall be provided through the One-Stop delivery system.

OJT is a strategic employment service used to train individuals in new skills for a job different from their previous occupation as well as assist employers to retrain unemployed workers with financial incentives.

OJT occurs while the participant is engaged in productive, full-time work as a

hired employee. OJT participants will work the same hours and will be provided the same benefits and working conditions as other employees working a similar length of time and doing the same type of work. The length of OJT training will be 1000 hours or less to be determined by the results of assessments chosen by the employer and provided through the NCWorks Career Center.

The contractor will be responsible for working in collaboration with the Local Area Business Services Representative. Case management for the individual trainee is the primary focus of the contractor on this program. OJT will be contingent upon funding either through additional grants for the region or formula funds at the discretion of the Workforce Director.

**Major Work Elements**

**•** Contractor staff will determine a participant’s need for training and establish an ITA.

• Coordinate with the NCWorks Career Center staff to ensure the provision of appropriate supportive services or provide appropriate services to allow an individual to participate in the training activity.

• Must be able to timely and efficiently issue funds associated with ITAs and supportive services to the participant or vendor providing the training service.

• Must be able to satisfactorily document the issuance of ITA and supportive service funds. This documentation must include a tracking system that provides present and projected obligations for participants.

• Must have demonstrated strong, fiscal capability.

• **Will be financially liable for any erroneously issued funds in connection with ITAs and supportive services.**

• Must provide financial documentation and reporting to the Workforce Development Board upon request

All customers that receive training services must be determined eligible for WIOA funding prior to receiving any WIOA funds.

**Services for Business Customers**

The business customers are the key to the success of the Southwestern WDB Integrated One-Stop Delivery System. The list below provides a menu of services available to employers through the Talent Employment Solution Team. Business services should include, but are not limited to:

• Support in filling open positions (talent pool)

• Meeting facilities for conducting interviews

• Assistance in understanding why one or more existing positions are not being filled or where there is a high amount of turnover per these positions

• Training for existing employees

• Job postings

• Connection to business resources

• Recruitment and prescreening

• Pre-employment training

• Job profiling

• Labor market data

• Career fairs

• Interview days

• Networking events

• Training seminars

• Industry roundtable meetings /presentations/workshops

• Referral to business services partners

• Employer workshops

* **Business Services for Job Seekers**

Once a job seeker is deemed work ready, the services available shall include, but are not limited to:

• Career workshops

• Employment assistance

• Career assessment

• Resume support and development

• Job matching support

• On-the-job training

• Work experience/internships

• Network opportunities with business professionals and peers

• Mock interviews

• Coaching and Counseling

• Targeted referral of current job openings

• Volunteer opportunities

• Using social media to find employment

• Access to employer presentations and workshops

##### Linkages - The Service Provider will be an active participant in the NCWorks Career Center and will link with required partners and other community services.

**Referrals -** Providers must ensure that each participant or applicant who meets the income criteria and other “most in need” criteria will be considered for enrollment and/or referral. Eligible individuals will be provided:

* Information on the full array of applicable or appropriate services that are available through the Local Board, other eligible providers or NCWorks Workforce partners, including those receiving funds under WIOA Title l and
* Referral to appropriate training and educational programs that have the capacity to serve the participant or applicant either on a sequential or concurrent basis.

**Individual Employment Plan**

Service strategies for each participant will identify:

* employment goal (including, in appropriate circumstances, nontraditional employment)
* appropriate achievement objectives
* appropriate services for the participant
* expected outcomes in relation to performance standards

**Supportive Services** - The contractor will issue supportive service payments in accordance with the Southwestern Workforce Development Board’s Supportive Policy. (See Attachments for LA Supportive Service Policy)

**Performance Measures and Follow-Up Services**

The Workforce Innovation and Opportunity Act (WIOA) establishes a comprehensive performance accountability system in order to optimize the return on investment of Federal funds and to assess the effectiveness of Local Areas in achieving continuous improvement of workforce investment activities funded under WIOA.

Below are the Southwestern Workforce Development Board’s required performance standards for PY 23. Performance level will be negotiated between the state and workforce director for the next 2 years. The numbers below are an estimate and will be updated as soon as possible. **Note: All Performance Standards must be met at 100%** (For example, if 2 standards are met at 100% of goal and one is 90% of goal, then standards are deemed not met).

**PY 2021 Local Area Negotiated Performance Measures for WIOA Adults and DW**

|  |  |  |
| --- | --- | --- |
| **Expected Level** | **Adult** | **DW** |
| Employment Rate 2nd Quarter After Exit | 82.5% | 78% |
| Employment Rate 4th Quarter After Exit | 81% | 77% |
| Median Earnings 2nd Quarter After Exit | $7,400 | $6,700 |
| Credential Attainment within 4 Quarters After Exit | 73% | 61.1% |
| Measurable Skills Gain | 51% | 47% |

**Please see USDOL (TEGL) Training and Employment Guidance Letter No. 10-16, change 1 in** **attachment section of RFP package for more information and guidance on required WIOA Title** **I program performance accountability.**

Since performance is based on a participant’s employment status for a period of twelve (12)

months after exit, the following will be required of the contractor:

* Intensive, Training, and Follow-Up Service - contractors will be expected to provide

Follow-Up Services as needed to participants that have exited from the program and

still need further assistance in obtaining or retaining employment. These services will be

reflected in the participant’s IEP. Follow-Up services may include:

* + additional career planning and counseling;
  + contact with the participant’s employer, including assistance with work-related

problems that may arise;

* + information about additional educational opportunities
  + referral to supportive services available in the community
* WIOA staff will be required to follow-up and obtain information on participants that have exited from the program and who have no wages reported during the follow-up period.

**WIOA Data Validation and Record Keeping**

The US Department of Labor has issued a data validation policy that establishes record keeping requirements to ensure the accuracy and integrity of information collected and reported on WIOA activities and program outcomes. The federal policy mandates that states “demonstrate the validity of reported data,” and conduct data validation annually. North Carolina has set statewide policy for data validation, and Southwestern Commission has developed guidelines and instructions for participant records/files that include file content and structure, data validation labeling requirements, and file maintenance.

Contractors will be required to complete and maintain in a case file the following:

* A completed and signed WIOA Suitability Assessment form (initial customer information form)
* A completed and signed NCWorks WIOA Intake form
* All documentation of eligibility (social security number, citizenship, County residency, income verification, selective service compliance, date of birth, veteran status, etc.) Results of assessment tests (interests, aptitudes, and values)
* A signed Disclosure/Release form
* A signed Participant Rights, Benefits and complaints form A
* Completed and signed Individual Employment Plan
* Documentation of program attendance, as appropriate
* Copy of updated/current case notes
* Request for (as appropriate) and documentation of receipt of supportive services.
* Verification of placement into unsubsidized employment
* Employment verification

The contractor will also be responsible for timely input of data into the North Carolina NCWorks data base/case management system for North Carolina. Information will include registration/enrollment details, eligibility information, pretest scores, service record, outcomes, placements, case notes, exit case notes and results of all follow up efforts.

**Staff Development**

Attendance at quarterly case manager/contractor meetings is mandatory. At the meetings, case managers/contractors will be updated on program issues and policy updates. Contractors will be asked to provide timely reports to include upcoming events, success stories and program highlights. Program staff is expected to attend training, which will enhance their career development skills. Local area training will be held according to staff training needs. In addition, contractors are expected to attend conferences and trainings sponsored and/or endorsed by the NC Division of Workforce Solutions.

**Program Administration Requirements**

Fiscal Record Keeping

In general, proposers who become operators, as a result of this RFP will be required to maintain records for a time period sufficient to cover Data Validation and Audits; usually three (3) years; however, not to exceed five (5) years.

**Vll. STATEMENT OF WORK NARRATIVE**

**This portion of the bid should give reviewers a clear picture of the design of the program, anticipated outcomes and the capability of the bidder to deliver the proposed services.**

**Bidders should follow the alphabetical and numerical sequence of the format below and address each element.**  (The bidder may use additional pages as necessary to provide a complete and adequate description of the proposed program.)

1. Provide a brief background/history of the organization. Describe the mission of your organization.
2. Identify lines of authority and supervision for program operation.
3. Identify all staff positions necessary for the operation of this program in the NCWorks Career Center. Attach complete job descriptions for each of the WIOA-funded positions. Include staff job duties, education and experience. (Generic job descriptions are not adequate).
4. Describe how you will ensure having functioning staff members who are qualified, experienced, professional and creative.
5. Describe how your WIOA funded staff members will work in cooperation with NC Division of Workforce Solutions staff members in an Integrated Service Delivery environment. How will division of duties be assigned?
6. Describe how you will work with the Integrated Services Regional Leadership Team?

1. Describe your agency’s role as a partner agency of the One-Stop Center (NCWorks Career Center).
2. Describe how overall interagency coordination and linkage will occur to maximize resources from existing community agencies.

**Services to Job Seeking Customers**

1. Describe how you will ensure seamless and streamlined services for each customer seeking jobs, career counseling, advancement and training.
2. Describe how you will address continuous improvement and quality assurance.
3. Describe how you will work with non-traditional partners.
4. What is your customer service philosophy?
5. What is your plan for community outreach?
6. Describe how you will utilize the data generated from the state’s VOS system to provide individualized service delivery.
7. Describe how you plan to support required career services described in this RFP.
8. Describe your strategy to meet or exceed performance goals. How will your organization oversee the performance management system?
9. Describe how you will staff and carry out the Rapid Response function consistent with this RFP, Southwestern WDB expectations, and federal and state guidelines.
10. Describe the organization's specific experience in serving individuals with significant barriers to employment. The information should include specific programs or grants, a comparison of the characteristics of individuals served to the target group for this program, and the employment outcomes that were achieved.

**Services to Employers**

1. How do you propose to coordinate efforts with the Local Area Business Services Representative and NCWorks Career Center to promote On-the-Job Training?
2. Describe the services you plan to provide to area employers.  
     
     
   **Program Operation**
3. Please give a description of the training activities to be provided including length of training and the approximate number of participants to be served in each training activity. Also include a description of the skill levels to be acquired and the method for measuring attainment.
4. Describe the minimum skill levels required for entry into the program. Any educational requirement should reflect the minimum skills needed to successfully complete training. Occupational skill requirements should reflect an absence of skills necessary for entry employment in the occupation of training. Include the method to be used to assess the skills.
5. Describe other specific services and activities to be provided such as assessment, the administration of specific test instruments, individual service strategy completion, counseling, job development, placement, and their relationship to the training activities.
6. Describe specific target groups (low income, dislocated workers, veterans, etc.) to be served and include how you will assure that priority of service is provided to veterans and spouses of certain service members
7. List occupational targets considered as training related placements and the related placement wage for each target. Wages should reflect the prevailing local wage for the occupation, based on local or regional surveys.
8. Describe how eligibility for training services for Adults/Dislocated Workers will be determined at the NCWorks Career Center.
9. Describe the case management system and how the system will be used during the coming year to provide supportive services and effective case management.
10. Describe the process of informing and assisting participants in considering training opportunities. Describe the process for ensuring that customer choice in the selection of eligible training providers is maximized.
11. Describe how the Individual Training Account vouchers will be issued. Describe the ITA process including the process for reporting accruals to the LA and the time frame for receiving bills from training providers. Provide a time frame for receipt of bills for each semester. Timeliness of reporting is essential.
12. Describe the process used to provide training services.
13. Describe the process for providing supportive services to participants including documentation of need and procurement of services.
14. Indicate methods that will be used to assist participants whose original Individual Employment Plan does not result in unsubsidized employment.
15. Describe how barriers to employment will be determined, and the typical steps for overcoming them. Include the way that collaboration and coordination efforts are undertaken in order to maximize the use of WIOA funds.
16. Describe the types of planned follow-up activities for individuals who enter employment. Indicate how follow-up services will occur to ensure that participants are employed through the one-year follow-up period. Describe how retention of participants by the   
    employer will be encouraged and monitored. Describe planned follow-up activities for individuals who do not enter employment.
17. Data Validation is an important part of WIOA program requirements. Describe how your agency will review data in the participant files, compared to data that has been keyed into the NCWorks System for accuracy, and ensure that supporting documentation has been received, filed, and labeled correctly in the participant files.
18. SWDB expects that contractors will expend at least 80% of current year allocations within the program year. Low expenditures may result in funding cuts/sanctions. Taking this into account please describe your agency’s plan of action to ensure that expenditures and

accruals are reported to the Local Area on a monthly basis as required.

1. Costs must be allowable and approved per budget/budget revisions. Describe your agency’s plan of action to monitor expenditures in the area of allowable costs, costs limits and appropriate documentation of need such as appropriate books, supplies, transportation, supportive services, etc. All costs should be incurred only after participant has been enrolled in WIOA.
2. Identify the staff person(s) responsible for internal program management, compliance monitoring and performance reviews.
3. **Other:**
   1. Provide a description of the facilities and location to be used during training/contract period
   2. Provide an itemized listing of the equipment (e.g., computers, etc.) to be used in the program in accordance with the requirements of the training.
   3. Any third parties to whom any part of the contract will be subcontracted must be identified and their responsibilities defined. All applicable work statement items will flow to the subcontract contract, with the solid exemption being the on-the-job training employers.
4. **Complete and attach the expected expenditures worksheets / budget forms.**
5. **Attach Job Descriptions for each position paid by WIOA funds**. These job descriptions should include specific duties within WIOA (generic job descriptions are not acceptable).
6. **Financial/Budget Requirements --**Budgets and back-up/supporting documentation must be included in the proposal. **SEE – Budget Forms.**

## **VIII. EVALUATION OF PROPOSALS**

Program operators selected under this proposal shall be selected in accordance with the provisions and regulations of the Workforce Innovation and opportunity Act (WIOA). Proposers will be evaluated on the basis of the proposer’s ability to perform successfully as determined by:

1. The ability of the organization to meet the program design specifications at a reasonable cost, as well as the ability to meet performance goals;
2. The ability of the organization to obtain adequate financial resources;
3. A satisfactory record of integrity, business ethics, and fiscal accountability;
4. A satisfactory record of past performance including: demonstrated quality of training, and the ability to provide the components requested;
5. The necessary organization, experience, accounting, and operational controls; and
6. The technical skills to perform the work.

Proper consideration shall be given to community-based organizations (CBOs) that are recognized in the community in which they are to provide services; local education agencies (LEAs) that provide educational services; and female or minority owned organizations.

Funds shall not be used to duplicate facilities or services in the area (with or without reimbursement) from Federal, State, or local sources unless alternatives would be more effective or more likely to achieve the established performance goals.

**Organizations that:**

* Have a history of unsatisfactory performance;
* Are financially unstable;
* Have a management system which does not meet WIOA’s minimum required management standards; or have not conformed to terms and conditions of previously awarded contact(s)

may be considered “high risk” and special funding restrictions may be imposed (20CFR667.170). These restrictions may include, but are not limited to:

1. Payment on a reimbursement basis;
2. Requiring additional and/or more detailed financial or performance reports;
3. Additional monitoring;
4. Requiring the service provider to obtain specific technical or management assistance; and/or
5. Establishing additional prior approvals.

If these or any other restrictions are to be imposed, the LA will notify the proposer/provider as early as possible, in writing, of:

1. The nature of the funding restriction;
2. The reasons for imposing them;
3. The corrective actions which must be taken before they will be removed and the time allowed for completing the corrective actions; and
4. The method of requesting reconsideration of the imposed restrictions.

Proposals will be rated on the following criteria:

**Staff Review/Evaluation of RFPs/Statements of Work**

If the proposal meets the above minimum criteria, the proposal will be evaluated by the SWDB staff and submitted to the Executive Committee of the SWDB for review.

|  |  |  |  |
| --- | --- | --- | --- |
| **WIOA Title 1 Programs: RFP/SOW Evaluation** | | | |
| **Evaluation Criteria Breakdown** | | **Yes** | **No** |
| **Completeness of Response to RFP (Pass/Fail)** |  |  |  |
|  | ALL required schedules, forms and informational items have been submitted. |  |  |
| **A. Program Performance** | |  |  |
|  | Describe the program process and expected outcomes |  |  |
|  | Processes and procedures of data management and integrity |  |  |
|  | Internal process for performance monitoring and evaluation |  |  |
|  | Innovative service delivery for performance and retention |  |  |
| **B. Organization Experience and Capacity** | |  |  |
|  | Description of Agency's purpose, mission, goals, and philosophy |  |  |
|  | Agency's accomplishments and previous program highlights. |  |  |
|  | Describe experience and expertise in any/all of the critical components of Title 1 Program design |  |  |
|  | Include a staffing chart along a description of all staff positions, related experience, training requirements, and any specialized training or certifications. |  |  |
| **C. Fiscal Responsibility** | |  |  |
|  | Provided an explanation of information contained in the budget breakdown form |  |  |
|  | Agency must have the capacity to track expenses down to the participant level. Include the system being utilized and provide a description of how this will be accomplished |  |  |
|  | Narrative describes what systems are in place to ensure fiscal accountability, timely, and appropriate expenditure of WIOA funds. |  |  |
|  | Describe internal fiscal/financial monitoring procedures to include any systems used to track, capture, and report program spending. |  |  |
| **D. Work Plan** | |  |  |
|  | Provided a description of how the program will be structured and all services provided. |  |  |
|  | Plan that highlights what components are already in place and a timeline for implementation of planned components |  |  |
|  | describe the characteristics, barriers to employment, and needs of the specific populations the Agency intends to serve and how will they address those needs. |  |  |
|  | Embraces the Integrated Service Design (ISD) approach to better serve the community and populations who require services |  |  |
| **E. Employer Services/Outreach** | |  |  |
|  |  |  |  |
|  | Describe efforts to coordinate delivery of services to businesses/employers, partner agencies, and community organizations. |  |  |
|  | Ability to describe and understand Work Based Learning Opportunities such as: Certified Career Pathways, OJT, WEX, and Apprenticeships |  |  |
|  |  |  |  |
| **RFP/SOW Approval** | |  | **-** |

Cost Reasonableness

To ensure that costs are reasonable, allowable and necessary, Local Area staff will compare proposals submitted for consideration to previous closeouts of similar projects within the Local Area and cost of similar projects in Western North Carolina. Specific costs targeted in the comparison are staff costs, tuition, participant support, fees, and other training costs. This market analysis comparison will be included in the RFP/Statement of Work rating process and contract renewal process. Cost reasonableness determination for all other services/equipment or supplies will be conducted in compliance with IPDC/local government procurement policy.

Additionally, Local Area staff may conduct pre-award reviews if deemed necessary prior to presentation of RFP/Statement of Work results to the WDB. The Local Area Director will be responsible for all technical assistance and inquiries regarding proposals.

Workforce Development Board Review

The RFP/Statement of Work will be reviewed by the Executive Committee of the Southwestern Workforce Development Board. Southwestern Local Area staff shall provide guidance, and/or technical assistance on an as needed basis to the Executive Committee. Following the review of all proposals the Executive Committee will make a representation to the board on which proposals it has selected to perform the WIOA contracted services.

## **IX. ASSURANCES AND CERTIFICATIONS**

**Instructions: Please complete the following Assurances and Certifications section. Areas which address compliance issues must identify the appropriate member of the agency’s staff responsible for compliance. Add any comments you find necessary for clarification.**

1. **Equal Employment Opportunity (EEO)**

The applicant assures compliance with the nondiscrimination and equal opportunity provision of the Workforce Innovation and Opportunity Act and with all applicable requirements imposed by or pursuant to regulations implementing those laws, including but not limited to 29 CFR Part 34. The United States has the right to seek judicial enforcement of this assurance. Applicable laws include but are not limited to the following:

* Age Discrimination Act of 1975 (42 U.S.C. 6101 et.seq.)
* Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794)
* Americans with Disabilities Act of 1990 (42 U.S.C. 12101 et.seq.)
* Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d et.seq.)
* Non-traditional Employment for Women Act of 1991
* Title IX of the Education Amendments of 1972

All participants and staff will be informed of EEO policies and guidelines and the name of the EEO Officer during enrollment.

All grievances and complaints submitted by WIOA participants involving allegations of discrimination, violations of the Workforce Innovation and Opportunity Act or criminal fraud, abuse or misconduct must be processed in accordance with the LA Grievance/Complaint Procedures.

1. Internal Program Management

All WIOA proposed service providers are required to establish internal program management procedures to assure compliance and to review program progress. The service provider agrees to monitor and review the following major areas of operation:

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

The internal program management procedures must be sufficient to prevent fraud and abuse. All reports of, information creating suspicion of, or instances of criminal misconduct, fraud or willful and gross misconduct, in connection with any WIOA program shall be reported immediately to the LA, the North Carolina Division of Workforce Solutions, and the U.S. Department of Labor. Internal program management procedures must also ensure that auditable and otherwise adequate records are maintained and confirm adherence to specific program requirements and limitations. The LA requires that WIOA proposed service providers utilize monitoring guides for reviewing OJT contracts with employers for compliance with federal regulations.

1. **Records Retention**

The following records and documents must be maintained for WIOA participants and employees. The proposed service provider agrees to make these records available for monitoring and review by the LA and agrees to retain these records, subject to audit, for three years from completion of services. Release of responsibility to retain records after the three (3) year period will not be authorized until final audit, resolution of audit questioned costs and all questioned costs are paid or accepted as allowable. In the event the proposed service provider goes out of business or ceases to be an organization prior to the expiration of records retention responsibility, the proposed service provider will deliver all records required to be retained hereunder to the LA. The following records shall be transmitted to the LA for acceptance in an orderly fashion, with documents properly labeled and filed and in an acceptable condition for storage:

1. General ledger or equivalent;
2. Cash receipts and cash disbursement journals/reports or equivalent;
3. Bank statements, reconciliation, deposit slips, and canceled checks for each bank account through which WIOA funds were received or disbursed;
4. WIOA contract, including all amendments;
5. All financial reports and requirements for reimbursement;
6. Payroll records including Individual Earning Record, Employee Withholding Authorization (W-4), FICA reporting forms, Federal and State Withholding, Unemployment taxes, Employee Personnel Files, Time Records and Employee Time/Salary Allocation plan;
7. Invoices and/or supporting data for non-payroll disbursements;
8. Participant records including data forms, verification/documentation items, assessment tests and results and the Individualized Service Strategy; and
9. Monthly Financial Status and Program Performance reports
10. **Staffing**

**COMPLETE STAFF JOB DESCRIPTIONS** for all staff positions to be compensated with WIOA funds. Attach one (1) JOB DESCRIPTION for *each* staff position planned for each service projected under this proposal. Complete and include additional sheets as necessary. All 100% WIOA Staff should be full-time positions with benefits. Intermittent or part-time status employees should not be used to fill WIOA 100% funded positions.

**X. FINANCIAL MANAGEMENT**

1. **Internal Financial Management**

The Proposed Service provider agrees to conduct internal financial reviews of the following major areas:

1. Compliance with the provisions of the Workforce Innovation and Opportunity Act and its regulations;
2. Compliance with the provisions of the WIOA Contract;
3. Compliance with the applicable State and SWDB Policies;
4. Compliance with WIOA Regulations regarding record maintenance;
5. Compliance with accepted financial management and accounting practices as appropriate;
6. Compliance with OMB Circulars A-87, A-110, A-122, and others as appropriate.

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

1. **Monitoring and Audit Procedures**

The LA has developed a systematic fiscal and programmatic monitoring system for evaluating the quality and effectiveness of WIOA funded programs. Monitoring is the process whereby the LA gathers and analyzes information to detect problems, identify strengths and weaknesses, and propose improvements to the program. It is the quality control system for job training projects operated with WIOA funds. The LA will ensure that monitoring covers activities, services, and management practices supported by WIOA funds. In many instances, fiscal and programmatic monitoring are interrelated, and conducted simultaneously.

According to the provisions of the Workforce Innovation and Opportunity Act, service providers must cooperate with any monitoring, inspection, audit or investigation of activities related to WIOA contracts. These activities may be conducted by the North Carolina Division of Workforce Solutions, the State of North Carolina, the U.S. Department of Labor, and the LA, or their designated representatives. Service providers must provide access to the premises for the purpose of interviewing employees or participants and permit the examination of, and/or photocopying of books, records, files, or other documents related to the WIOA funded program.

1. **Invoicing, Reporting and Contractor Close-out**

The LA will reimburse the proposed service provider for total allowable costs incurred as agreed upon between the LA and the proposed service provider. The proposed service provider will submit monthly invoice reports to be provided by the LA for reimbursement of allowable costs. This report must be submitted to the LA not later than the 10th working day following the end of any given month.

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

*The final contract close-out report is to be furnished to the LA within thirty (30) days after the ending date of the contract.*

1. **Submission of Most Recent Audit to the Administrative Entity**

As a recipient of WIOA funds, all proposed service providers must have an annual financial and compliance audit performed. The WIOA audits must be conducted according to auditing standards set forth in the financial and compliance handbook entitled “Standards for Audit of Governmental Organizations, Program Activities and Functions” issued by the Comptroller General of the United States. The audit shall be performed by an independent Certified Public Accountant selected by methods recommended by the NC Local Government Commission and/or by the Office of the State Auditor, as appropriate.

This requirement will be met by providing the LA with a copy of the annual audit according to OMB Circular A-128 or A-133 as appropriate. The audit should be submitted within 30 days after the completion and acceptance by the service provider’s Board, but not later than one year after the end of the audit period. The audit expense cannot be billed to the WIOA program.

1. **Bonding Insurance Requirements**

Agencies must meet bonding requirements as required through the Office of Management and Budget Circulars or other applicable regulations. Public agencies are required by the North Carolina General Statute to be bonded. Non-governmental agencies shall procure a blanket fidelity bond, position bond, or name schedule fidelity bond for allpersons or positions authorized to receive or disburse WIOA funds. The Contractor must maintain all bonding in force for the period of the contractual agreement. The proposed Contractor must submit a written notice to the SWDB within fifteen (15) calendar days prior to any reduction in the limits stated on the bonding document. Similarly, the Contractor must provide written notice of any cancellation of the bonding policy to the SWDB immediately upon receipt of the cancellation notices. The bond coverage limit shall be for the total contracted amount or $50,000, whichever is less.

**Attach a copy of the current bonding document, issued by the vendor’s insurance**

**company, clearly indicating the staff/job titles covered.**

1. **Requirements for Depository Accounts Holding WIOA Funds**

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

1. **Program Income Requirements**

The U.S. Department of Labor requires that all income generated under any WIOA program shall be reported and used to further program objectives. The potential service provider assures that it will comply with this WIOA mandate.

1. **Property Management Requirements**

Any purchases with a unit cost value of $5,000 or more to be purchased with WIOA funds must be approved by the LA and the State, prior to purchase. The LA must make the request. The State will monitor the inventory of all items purchased or leased with a value of $5,000 or more.

The proposed service provider agrees not to dispose of or transfer any property purchased with WIOA funds which has a value of $500 or more and/or a life expectancy of one year of more until written authorization is received from the LA. Any disposal of WIOA property must be in accordance with applicable Federal, State and local disposal procedures. Any revenues derived from the sale of property purchased with WIOA funds must revert to a WIOA activity.

The proposed service provider will be responsible for maintaining an accurate inventory of all WIOA property in their possession. A copy of the updated annual inventory shall be submitted by the contractor to the SWDB with the contract closeout document.

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

The proposed service provider agrees to pay for or replace (from non-Federal funds) any property purchased with WIOA funds which is lost or destroyed through the negligence of the proposed service provider, its staff or representatives.

1. **Medical/Accident Insurance**

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

**J. General Liability Insurance**

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

**K. Automobiles** – WIOA contractors using motor vehicles in conducting services shall provide automobile insurance that clearly specifies that Southwestern Workforce Development Board, and/or staff are held harmless against claims arising from ownership, maintenance, or use of said vehicle. SWDB requires a minimum coverage of $100,000 per person and $300,000 per accident for bodily injury and $25,000 per accident for property damage.

1. **Prohibition against subcontracting without SWDB Approval**—WIOA contractors may not assign all or any portion of its interests nor shall any of the work or services be performed by subcontract without prior written approval of the SWDB.

## **XI. ADDITIONAL ASSURANCES AND CERTIFICATIONS**

**General Assurances**

1. The Project Applicant (hereinafter referred to as the “Contractor”) assures full compliance with the requirements of the Workforce Innovation and Opportunity Act and its regulations, all Federal Regulations Issued pursuant to the Act, LA plan approved by the SWDB, the Chief Elected Official for the Job Training Consortium, and the NC Division of Workforce Solutions.
2. The Contractor assures that it will administer its services under the Workforce Innovation and Opportunity Act in full compliance with safeguards against fraud and abuse as set forth in WIOA and the WIOA regulations; that no portion of its WIOA service will in any way discriminate against, deny benefits to, deny employment to, or exclude from participation any person on the grounds of race, color, national origin, religion, age, sex, disability, or political affiliation or belief; that it will target employment and training services to those most in need of them.
3. The Contractor assures that it will administer its services under the WIOA in accordance with these provisions: (1) a trainee will receive no payments for training activities in which the trainee fails to participate without good cause; (2) on-the-job training participants will be compensated by the employer at the same rate, including periodic increases, as similarly situated employees or trainees and in accordance with applicable law, but in no event less than the higher of the rate specified in Section 6(a)(1)of the Fair Labor Standards Act of 1938 of the applicable State Minimum Wage Law; and (3) participants employed in activities authorized under the Act must be paid wages which will not be less than the highest of (a) the minimum wage under Section 6(a)(1) of the Fair Labor Standards Act of 1938, (b) the minimum wage under the applicable State Minimum Wage Law, or the prevailing rates of pay for individuals employed in similar occupations by the same employer.
4. The Contractor assures that it will administer its services under the Workforce Innovation and Opportunity Act as amended in full compliance with health and safety standards established under State and Federal law and that conditions of employment and training be appropriate and reasonable in light of such factors as the type of work, geographical area and proficiency of the participant.
5. The Contractor assures that all staff and participants/enrollees paid from the grant funds and employed in any service will be covered by workers compensation benefits in accordance with State law; that enrollees in WIOA work-related training will be provided accident or medical insurance to cover any injury resulting from participation in the program; and that enrollees employed in subsidized jobs will be provided benefits and working conditions at the same level and to the same extent as other employees working a similar length of time and doing the same type of work.
6. The Contractor assures that no funds available under the Workforce Innovation and Opportunity Act will be used for contributions on behalf of any enrollee to retirement systems or plans; to impair existing conditions for services or collective bargaining agreements; to assist, promote, or deter union organization; and to displace any currently employed worker.
7. The Contractor assures that no enrollee will be employed or fill a job opening when any other individual is on layoff from the same or substantially equivalent job, or when the employer terminates the employment of any regular employee or otherwise reduces its work force with the intention of filling vacancies so created by hiring participants subsidized under the Act; and no funds may be used to create promotional lines that infringe upon any current promotional opportunities.
8. The Contractor assures compliance with all federal rules and DOL regulations which prohibits the use of WIOA funds to lobby the Executive or Legislative Branches of the Federal Government in connection with a specific contract, grant or loan. If lobbying has occurred utilizing other than Federal appropriated funds, the service provider agrees to file a disclosure report if applicable.
9. The Contractor assures and certifies that it is in compliance with federal rules and regulations concerning Debarment and Suspension and is not presently debarred, suspended, proposed for debarment, declared ineligible, or involuntarily excluded from participation in this transaction by any Federal department or agency.
10. The Contractor assures and certifies that the Contractor has in place an established grievance procedure to be utilized for grievances or complaints about its program and activities from participants/enrollees, sub-grantees, and subcontractors and other interested parties.
11. The Contractor will comply with the provisions of the Uniform Relocation Assistance and Real Property Acquisition Act of 1970 (Public Law 91-646) which requires fair and equitable treatment of persons displaced as a result of Federal and federally assisted programs.
12. The Contractor will comply with the provisions of the Hatch Act, which limits the political activity of certain State and local government employees.
13. The Contractor will comply with NC-GS-234 which contains a provision that prohibits public officials and employees from having a personal interest in any contract to which he is also a party in an official capacity
14. For proposed grants, contracts and subcontracts in excess of $100,000 or where the NC Division of Workforce Solutions has determined that orders under an indefinite quantity financial agreement in any year will exceed $100,000, or if a facility to be used has been the subject of a conviction under the Clean Air Act [42 U.S.C. 1319(c)] and is listed by the Environmental Protection Agency (EPA) or is not otherwise exempt, the Service Provider assures that: (1) no facility to be utilized in the performance of the proposed grant has been listed on the EPA List of Violating Facilities; and (2) it will notify the SWDB, prior to award of the receipt of any communication from the Director of Federal Activities,

U.S.E.P.A., indication that a facility to be utilized for a contract is under consideration to be listed on the EPA List of Violating Facilities.

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

|  |
| --- |
| * The Drug Free Workplace Act * The Immigration Reform and Control Act * The American’s with Disabilities Act |

* The Davis-Bacon Act
* Child Labor Laws
* The Fair Labor Standards Act
* E-Verify Requirements for Contractors and Sub Contractors
* Veterans Priority Provisions

**CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION LOWER TIER COVERED TRANSACTIONS**

This certification is required by the regulations implementing Executive Order 12549, Debarment and Suspension, 29CFR Part 98, Section 98.510, Participant Responsibilities. The regulations were published as Part VII of the May 26, 1988 Federal Register. (Pages 19160-19211).

BEFORE SIGNING THIS CERTIFICATION, READ THE ATTACHED INSTRUCTIONS WHICH ARE AN INTEGRAL PART OF THE CERTIFICATION

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

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

NAME AND TITLE OF AUTHORIZED REPRESENTATIVE

SIGNATURE\_\_\_\_\_\_\_\_\_\_\_\_­­­­­­­­­­­­­­­­­­­\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ DATE \_\_\_\_\_\_\_\_\_\_\_\_\_\_  **Responder’s Information and Assurances:**

Instructions: Completion of this section certifies compliance with all requirements of this Request for Proposal including all of the assurances and certifications in Sections VII, VIII and IX.

**I. Name and Address of Organization:**

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**II. Type of Organization:**

**III. Experience (List WIOA projects or similar projects and outcomes):**

**IV. Attach Organizational Chart**:

**V. Provide a copy of the latest agency audit:**

**Date submitted: Click here to enter a date.**  
**VI. Equal Opportunity Assurances**:

**(Name of EEO Officer)**

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**(Position Title)** **(Telephone Number**)

The service provider is required to develop and adhere to affirmative action policies. **ATTACH a copy of your organization’s client grievance procedures.**

**VII. Financial Information**

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

**Staff Assigned Job Title Phone #**

**Indicate how program income and stand-in costs will be tracked by the proposed service provider and recorded on financial reports to the LA:**

The Fiscal Year End is , 20 .

Check the appropriate answer(s) to indicate the financial arrangements that are available to facilitate performance during initial phases of contract.

1. Own Resources \_\_\_Yes \_\_\_No

2. Bank Credit (If yes, name of bank and amount.) \_\_\_Yes \_\_\_No

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

Name/Address of Depository

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

Yes\_\_\_\_\_ No\_\_\_\_\_

I certify that the information contained in this proposal is accurate and reflects our plan to meet the program requirements for this request. All assurances and certifications are accepted and met in this response.

**Signatory Official:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

*(Signature Required)*

**PROJECTED EXITS DATA FORM**

**A successful exit** means that a participant entered employment and remained employed through the third quarter after entering employment.

The 2024-2025 **Median earnings** goals for dislocated workers and adult program participants in the region have not yet been determined by state WIOA administrators. That information will be given to contractors as soon as it is available.

Median Earnings is defined as the following:

Of those adult participants who are employed in the first, second, and third quarters after the exit quarter: The total earnings in the second plus the total earnings in the third quarters after the exit quarter divided by the number of participants who exit during the “exit quarter”.

The proposed program operator/contractor does hereby agree to execute all work related to this RFP in accordance with the WIOA, applicable federal regulations, USDOL regulations, NC DWS issuances, SWNC LA Operator Notices, the SWNC LA Workforce Investment Plan, and the attached description of activities, services, and coordination criteria.

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | **Estimated Carry over/follow-up for PY 24-25** | **1st Projected Quarter Exits** | **2nd Quarter Exits** | **3rd Quarter Exits** | **4th Quarter Exits** | **Totals** |
| **Dislocated Workers** | *\*1 Active DW*  *\*0 DW follow-up*  *estimated* |  |  |  |  |  |
| **Adult Program Participants** | *\*17 Active Adult*  *\*8 Adult follow-up*  *estimated* |  |  |  |  |  |
| **Totals** |  |  |  |  |  |  |

**\*See attachment- Projected Number of Carryover Participants**

NOTE: Measures of performance regarding average wages for Dislocated Worker and Adult Programs for the Southwestern Workforce Development Board Region will be announced as they are received from the State Division of Workforce Development.

**Projected Exits for (indicate counties to be served) Haywood**

1. Number of dislocated worker (DW) Participants to be served **Click here to enter text.**
2. Number of successful DW Exits **Click here to enter text.**
3. Number of adult program participants to be served **Click here to enter text.**
4. Number of successful adult program Exits **Click here to enter text.**
5. Number of persons to receive training services **Click here to enter text.**

Attachments:

Budget Forms- Separate Attachment (Excel Form)

SWDB Supportive Service Policy  
SWDB ITA Policy

SWDB Change in ITAs Guidance

SWDB Approved Training Programs

**SOUTHWESTERN LOCAL AREA**

**SUBJECT: Supportive Services Policy**

**PURPOSE:**  **To Establish Policy for WIOA Supportive Services**

**BACKGROUND:**

WIOA defines supportive services for customers as those services such as transportation, child-care, dependent care, and housing necessary to participate in activities authorized under the Act.

Supportive services may only be provided when they are necessary to participate in WIOA Title I Career Services and/or Training activities. Supportive services must be tied to training and employment and deemed necessary to participate in training and/or prepare for employment.

**ACTION:**

The Local Area has defined those acceptable areas for supportive services to be:

* Transportation / Travel Reimbursement
* Child Care
* Training Required Items
* Emergency Assistance

Customers require different services at different times during their participation and those services may be vital to their success. Contractors are to budget appropriately to allow for these services. It is understood that there are support services that may constitute an emergency.

**Travel Reimbursement:** Travel to and from WIOA employment and training activities and travel reimbursements will be coordinated with other agencies including Vocational Rehabilitation, Department of Social Services, etc. If another agency is not paying travel reimbursement, WIOA will reimburse the customer .32 per mile. Reimbursement will be only for those days the customers attend classes and the instructor signs the timesheets. Reimbursement for travel will be limited to $50.00 per week. WIOA participants that are required to do clinicals as a part of their training will be exempt from the $50.00 per week maximum. These participants will be paid at the rate of $.32 per mile for actual miles traveled up to a maximum of $100.00 per week

**Child Care:** Dependent care costs will be paid directly to the provider if possible. However, under certain circumstances the cost may be reimbursed to the customer. Prevailing rates per county after all resources have been exhausted of Non-WIOA assistance will be paid. Day care providers must be licensed or registered providers if required by the Day Care Licensing Board (919) 733-4801.

**Training Required Items:** Assistance provided to eligible individuals to enable them to participate in short-term training or any other employment activities. Supportive services may include: uniforms, shots, work attire, required work-related tools, books, school supplies, payments and fees for employment and training-related applications, tests, and certifications.

**Emergency Assistance**: Emergency assistance is defined as payments made on behalf of a WIOA customer to help with problems that would impact his or her continuation in and/or completion of a program or continuation in unsubsidized employment upon completion of the program.

Emergency assistance can be provided for but not limited to, the following:

* Emergency rent
* Emergency utilities (power, heating fuel)
* Emergency car repairs

Emergency rent payment is defined as the rent deposit and one month’s rental payment to provide safe and sanitary housing for a customer. Emergency utility payment is defined as the deposit and one month’s payment for electricity or heating fuel for a customer. Emergency car repair may be provided if the car is no longer safe, is the only means of transportation to and from training and is owned by the customer. The customer will be required to obtain three (3) written quotes for repairs, not exceeding 25% of the tax value of the vehicle or $500, whichever is lower. Emergency clothing, defined as the proper clothing for a job interview or work experience, may be provided. Emergency eye glasses or protective eyewear may be provided if there are no other resources available to provide the eyewear, and the customer cannot see. Broken eyeglasses may be replaced if the customer cannot afford to replace them and cannot attend classes or participate in work experience without them.

Customers requesting emergency assistance should meet the following criteria before the request will be considered:

* Customer is enrolled in WIOA Career Services or Training Services or has been terminated within the prior twelve months.
* Customer demonstrates an inability to cover the cost himself/herself.
* Customer has established a record of cooperation and good attendance and has made progress toward the goals and objectives as outlined in his/her Individual Employment Plan (IEP).
* The need is documented in his/her IEP.
* Emergency assistance is limited to $1,000 per individual per program year.

Recommendations for emergency assistance will be made based on the above criteria, the availability of funds and the assistance has been deemed appropriate by the Workforce Development staff. Any changes to the amount for unforeseen needs must be approved by the Workforce Development Administrator. Emergency assistance will only be granted when all other sources of assistance have been investigated and proven to be unavailable. This documentation must be in the customer’s file.

Contractors are cautioned that the Local Area expects all efforts to be exhausted in providing any of the above services prior to using WIOA funds through collaboration with partnering agencies for assistance.

EFFECTIVE DATE: Immediate

EXPIRATION DATE: Indefinite

CONTACT: David Garrett

**Southwestern Local Area**

**SUBJECT: Individual Training Account Policy**

**PURPOSE: To Establish Policy for WIOA ITAs**

**Local Area’s ITA**

ITAs may be issued upon enrollment into a training component.

* The dollar limit: $3,500.00 per WIOA program year**.**
* No more than $10,500.00in ITAsmay be spent on any single individual.
* Time limits: expires at the end of a program year.
* Degrees, diplomas or certificates allowed: Community college certificates, diplomas or associate degrees and bachelor’s degrees are permitted with certain conditions.
* Exceptions to the training length/cost allowed: Only on approval by the Workforce Development Administrator.
* Length of training and cost allowed are always subject to exception on a case by case basis approved by the Workforce Development Administrator.
* For what period of time are ITAs issued? ITAs are issued for a school semester.

In accordance with the Local Area’s policies and procedures, training services shall be provided to eligible adults and dislocated workers through Individual Training Accounts (ITA) issued through the NCWorks Career Centers. The ITA is an account established on behalf of a Title I customer to assist with the cost of training (tuition, books and fees) offered by an approved training provider. The ITA shall have a maximum training participation value, per individual, of $10,500.00 with authorizations issued for a program year based on tuition, fees, and estimated book costs. Authorizations shall not exceed $3,500.00 a program year unless prior approval has been received from the Workforce Development Administrator.

A financial award analysis form will be completed by the WIOA Specialist to determine the financial needs of the applicant and to determine if the applicant has previously applied for or is currently eligible or receiving financial aid. The case manager will then develop a cost estimate for the student to attend college in the selected curriculum to be assured that an over award of funds has not been made to support the student. Coordination of WIOA and Pell Grants is required and if an over award is identified the Pell Grant will be applied first to the cost of the training.

Case Managers along with the Fiscal Unit Staff will be responsible for tracking of training costs to assure that the authorizations and expenditures do not exceed the $10,500.00 participation limit. This amount will continue to be reviewed annually based on current credit hour rates within the North Carolina Community College System and private training providers and is subject to further adjustment. Individuals must satisfactorily meet attendance and academic requirements of the training providers and comply with the terms of the Local Area’s Individual Employment Plan (IEP) to be considered for continual funding.

Any course of study must be on the approved curriculum list of the Local Area. If an area of study is not on the approved curriculum list, permission must be received from the Workforce Development Administrator before issuing an ITA. The Local Area’s ITA may be used for Associate Degree, diploma, and certificate programs that are supported by PELL grants. In addition, in cases where an individual is within two years of completing his/her Bachelor degree, an ITA may be established with prior approval from the LA Workforce Development Director. Although the course of study may be approved, the value of the individual’s ITA will remain the same.

**EFFECTIVE DATE: IMMEDIATE**

**EXPIRATION: INDEFINITE**

**CONTACT: David Garrett**

**David Garrett**

**Workforce Development Director**

**Southwestern Local Area**



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